

Key Personnel Form

ComEd® Energy Efficiency Program Retro-Commissioning Offering

Complete and submit a Key Personnel Form for each individual employed by Contractor or a Subcontractor and who will be performing ComEd Energy Efficiency Program services including, but not limited to, managing project paperwork; interacting with customers, in-person or over the phone; completing in-field energy assessments, and/or performing customer installations. Provide the individual's resume, licenses and certifications, and credentials as an attachment to the form.

Key Personnel Information

Contractor Name:

Key Personnel Name:

Key Personnel Title:

Company Name (if a subcontractor):

Office Location:

Primary Phone Number:

Email Address:

Education:

Certifications/Licenses:

Professional Accreditation/Certifications:

Business or Chamber Affiliations:

Years with Company:

Years of Experience within Current Role:

Systems/Technologies

Indicate what level of experience the individual identified above has in providing energy efficiency services for the systems/technologies listed below. (1 = none, 2 = some, 3 = extensive)

Packaged or Split System HVAC: _____

Chiller Plants: _____

Boilers: _____

Variable Frequency Drives: _____

Lighting: _____

Energy Management/Building Automation Systems (EMS/BAS): _____

Control Sequences – Setbacks/Resets/Staging: _____

Ventilation Systems/Components: _____

Other: _____

Services

Indicate what level of experience the individual identified above has in providing energy efficiency services for the services listed below. (1 = none, 2 = some, 3 = extensive)

Auditing/Assessments: _____

Measure Implementation: _____

Business Development: _____

Marketing: _____

Engineering: _____

Computer Knowledge/Skills: _____

Facility Types

Indicate what level of experience the individual identified above has in providing energy efficiency services for the services listed below. (1 = none, 2 = some, 3 = extensive)

Office: _____

Multi-Family: _____

Retail: _____

Industrial: _____

Grocery: _____

Lodging: _____

Hospital: _____

Warehouse: _____

Education: _____

Other: _____

Sample Projects

Complete the table below by summarizing three recent auditing/assessing, project installations, and/or energy efficiency projects for the individual identified above. Please only list projects and contacts in which Resource Innovations, Inc. may follow-up for references. If possible, list projects completed in Illinois. **For companies applying to be considered an approved contractor for participation in the ComEd Energy Efficiency Program, please provide a copy of the final report or deliverable for at least one of the projects listed below as an Appendix.**

	Project One	Project Two	Project Three
Project Name			
Date Completed			
Facility Type			
Facility Size (sq. ft.)			
Project Type			
Project Location			
Project Cost			
Project Contact Name			
Project Contact Title			
Project Contact Phone			
Project Contact Email			
Systems Investigated			
Energy Savings (kWh)			
Demand Savings (kW)			
Gas Savings (therms)			
Water Savings			

Sample Projects (cont.)

Role of individual (1 = none; 2 = some; 3 = lead performer; N/A = not applicable).

	Project One	Project Two	Project Three
Business Development			
Conducting On-site Investigation/Assessment			
Presenting Assessment Findings and Education of Improvements to Customer			
Identifying Measure Costs and Scope of Work			
Calculating Energy and Demand Savings, Eligible Incentive and ROI			
Developing Final Report/Deliverable			
Managing Overall Project			

Signature

I certify that 1) I am a duly authorized representative of Contractor and 2) all the information included in this Key Personnel Form is true and correct and if at any time the information in this form changes, I will promptly notify the Implementing Contractor.

By signing below, you are providing your "electronic signature." You agree to be bound by your electronic signature and that your electronic signature will have the same force and effect as a handwritten signature.

Signature

Contractor Name

Contractor Representative Printed Name

Title

Date

Background Investigation Requirements and Certification Form

ComEd® Energy Efficiency Program Retro-Commissioning Offering

Background Investigation Requirements

Capitalized terms not defined herein are as defined in Contractor's ComEd Energy Efficiency Program Participation Agreement ("Participation Agreement").

1. Purpose

This Background Investigation Requirements document ("Investigation Requirements") sets forth minimum background investigation requirements applicable to persons employed by Contractor or a Subcontractor performing Program services ("Key Personnel") who will be given access to Commonwealth Edison ("Utility") assets, whether tangible or intangible, including but limited to buildings, properties, computer systems, trade secrets, confidential data and/or employee or Customer Information, and/or (2) have any contact with any Utility customers. Utility business units or departments may have more stringent background investigation requirements than the minimum background investigation requirements set forth in this document. The Contractor and its Subcontractors must comply with both the minimum requirements set forth within this document and the additional more stringent background investigation requirements of that business unit or department. All background investigations of Key Personnel must be conducted, and the results reviewed and evaluated, by the Contractor or its Subcontractor, as applicable. The Contractor and its Subcontractors must do this in accord with Utility standards set forth in this procedure, unless otherwise, and in all cases in accordance with the Fair Credit Reporting Act and any applicable laws. The process for completing the Background Investigation and the minimum compliance requirements for Contractor are set forth in detail in the "Procedure" section. Violation of this Investigation Requirements may result in disciplinary actions up to and including legal action and termination of Contractor's Participation Agreement ("Agreement") or its Subcontractor's.

2. Procedure

Background investigations for each Key Personnel must be complete prior to the first day upon which such Key Personnel begins to provide services.

a. Background Investigation Criteria

The background investigation of Key Personnel must be performed, reviewed, and evaluated by the Contractor or its Subcontractors, as applicable. The Background Investigation shall include the following, as applicable:

i. General Requirements applicable to all Key Personnel

- a.) Use as Investigation search components the applicant's date of birth, Social Security Number and all names/aliases provided or identified during the investigation;
- b.) SSN Verification and Trace;
- c.) Searches of:
 - National criminal database, such as the National Crime Information Center (NCIC) or the Widescreen Plus National Criminal Search;
 - Seven (7) year county and, if available, local municipality criminal database search using addresses from the previous seven years;
 - Seven (7) year Federal District Court criminal database search using addresses from the previous seven years;
 - The National Sex Offender & Violent Abuse Registry; Global OFAC;
 - Seven (7) year Employment Verification;
 - Education Verification- Highest completed; and
 - Five (5)-panel Drug Test

ii. The following additional checks are required for Key Personnel performing certain functions:

- a.) Driver's License Check: must be performed if Key Personnel requires a driver's license in order to perform the services.
- b.) Credit Check: must be performed for any Contractor, Subcontractor and/or Key Personnel who (i) will have access to Personal Information of an employee of Utility or of a customer of Utility; (ii) trade secrets related to business strategy or business plans; (iii) or non-public financial information related to Utility's financial or strategic direction; and/or (iv) will be executing, monitoring or reviewing a key financial control for Sarbanes-Oxley Section 404 Compliance. Any requirement for Key Personnel to be subject to credit check will be set forth in the Agreement and will only be conducted in accordance with applicable laws.

b. Adverse / Derogatory Findings

The Contractor and its Subcontractors must review the background investigation results for their personnel.

Contractor shall not permit any Key Personnel to perform services hereunder if a background investigation shows any items that would likely have a negative impact upon the services.

In all situations, Contractor or its Subcontractors will evaluate the eligibility of all Key Personnel in accordance with all applicable laws, including but not limited to federal guidance related to the use of criminal records issued by the Equal Employment Opportunity Commission and the Office of Federal Contract Compliance Programs. An individual with a history of one or more convictions of a crime may be deemed to pose an unacceptable safety or security risk to Implementing Contractor or ComEd or its affiliates and therefore may be removed from further consideration for the position in question. At a minimum, Contractor or its Subcontractors will consider the nature and gravity of the offense or conduct; the nature of the duties of the job the individual would be assigned; the number of offenses for which the individual was convicted; the age of the individual at the time of conviction, or release from incarceration; evidence that the individual has performed the same type of work, post-conviction, with no known incidents of criminal conduct; the length and consistency of employment history before and after the offense or conduct; rehabilitation efforts, e.g., education/training; employment or character references; whether the individual is bonded under a federal, state, or local bonding program and any other information regarding fitness for the particular position.

At all times, the guiding principle shall be whether this particular individual based on all of the factors set out above, presents an unacceptable safety or security risk. Contractors and its Subcontractors shall not consider arrests that do not result in findings of guilt unless it has evidence that the individual has engaged in the conduct for which he or she was arrested.

Similarly, where a credit report is required, Contractor and its Subcontractors shall make an individualized assessment whether this particular individual represents an unacceptable safety or security risk. Applicants for employment shall not be rejected based merely on evidence that, through no fault of their own, they have been unable to pay their bills.

c. Cost of Background Investigation

Contractor will be responsible for conducting the background investigation and any self-reporting requirements at its own expense and shall not be entitled to recover costs for conducting such background investigation or self-reporting program unless both parties agree, in writing, in advance of the background investigation.

d. Certification of Background Investigation

Contractor will submit a written background investigation certification (letter or affidavit) to the Implementing Contractor confirming that the Background Investigation has been conducted in accordance with the applicable requirements and no material items were discovered in the Key Personnel's background investigation which would impact performance of the services to Utility, using the Background Investigation Certification Form at the end of this document.

e. Required Self-Reporting Program

Contractor and its Subcontractors shall enforce a self-reporting requirement providing that its Key Personnel disclose any criminal arrests or convictions to Contractor or its Subcontractor.

Contractor and its Subcontractors shall not permit any Key Personnel to perform the services for Utility if such adverse information would likely have a negative impact upon the services.

In all situations, Contractor and its Subcontractors will evaluate the eligibility of all Key Personnel in accordance with all applicable laws, including but not limited to federal guidance related to the use of criminal records issued by the Equal Employment Opportunity Commission and the Office of Federal Contract Compliance Programs.

f. Audit

Utility and Implementing Contractor shall have the right to audit Contractor's compliance with the requirements of this Investigation Requirements at any time and from time to time upon reasonable notice.

Contractor shall fully and promptly comply with such audit by Utility, Implementing Contractor, or any governmental authority, and shall provide written evidence of its compliance with the terms herein.

Background Investigation Certification Form

Key Personnel Name: _____

I, the undersigned, certify on behalf of the company named in the acknowledgement below (the "Contractor") that:

- (a) Contractor has completed, or has caused its Subcontractors to complete, a background investigation on the individual named above ("Key Personnel") in accordance with the applicable requirements in the Background Investigation Requirements;
- (b) All such background investigations were conducted in accordance with the provisions of the Fair Credit Reporting Act, applicable federal and state laws and the Background Investigation Requirements; and
- (c) Contractor has evaluated any and all adverse/derogatory information obtained as a result of the background investigation for this individual and has determined no material items were discovered in the background investigation which would impact performance of the services under Contractor's Participation Agreement.

I certify that Contractor will retain all background investigation information for such Key Personnel for the term of its applicable agreement or as long as the Key Personnel is providing services related to Contractor's Participation Agreement.

I ACKNOWLEDGE THAT I AM A DULY AUTHORIZED REPRESENTATIVE OF CONTRACTOR AND HAVE READ, UNDERSTAND AND AGREE TO THE ACCURACY OF THIS CERTIFICATION.

By signing below, you are providing your "electronic signature." You agree to be bound by your electronic signature and that your electronic signature will have the same force and effect as a handwritten signature.

Contractor Representative Signature

Contractor Representative Printed Name

Contractor Representative Title

Contractor Name

Background Investigation Certification Acknowledgement Date

Contractor Background Investigation Completion Date