

# INSTRUCTIONS FOR QUALIFYING AS A PPD PROVIDER FOR THE CALIFORNIA SOLAR INITIATIVE THERMAL PROGRAM

The purpose of this section is to outline the required process and qualifications to be approved as a PPD provider for the CSI-Thermal Program. This section also details the data reporting requirements (format, delivery method) and schedule for 70/30 true-up payments and M&E purposes. The PPD provider may also provide CPM provider services. All PPD providers must meet the requirements established herein in addition to the requirements set forth in the CSI-Thermal Program Handbook.

## BACKGROUND AND REQUIREMENTS

Customers participating in the CSI-Thermal Program 70/30 true-up payment process and/or M&E program are required to install performance meters to determine the energy delivered by their SWH system. For customers enrolled under the 70/30 true-up program, the PA will use the first four quarters of data to calculate the true-up payment. This data must be read and communicated to the PA by a third-party PPD provider. This document provides information and instructions for providers wishing to qualify to provide PPD provider services.

The following are the PPD provider's primary responsibilities:

- Manage meter reading and data retrieval schedule
- Read and retrieve performance meter data
- Post data to [www.csithermal.com](http://www.csithermal.com) on a consistent and reliable schedule, per PA requirements.
- Validate performance data prior to submitting
- Calculate quarterly energy delivered by the SWH system for true-up payment and M&E purposes
- Format data using the CSI-Thermal program approved protocol
- Troubleshoot and resolve communications issues
- Store data in accordance with program requirements
- Make historical performance data available to PAs as requested
- Provide technical support to PAs as well as customer support
- Communicate meter/device changes to the PA
- Provide disaster recovery and data backup services as requested by the PAs
- Ensure confidentiality of customer information and performance data
- Possess technical expertise and capability
- Comply with all State and Federal laws

## PPD Provider Task Requirements

### Data Format

Data must conform to the specific program requirements as outlined in Section 6.4.4. The 70/30 true-up and M&E data reports must include 15-minute interval (as defined in Section 6.4.4.5 Time Granularity of Acquired Data). All 70/30 true-up and M&E data reports must be formatted using XML unless otherwise specified. Sample EDI 867 Implementation Guides and Tutorials are available from each of the PAs. Required fields can be found in Section 6.4.4.3, Solar Performance Data.

## **Data Validation**

The PPD provider must validate all data prior to posting it to the PAs secure FTP server. The following data validation rules shall apply:

- Time Check of Meter Reading Device/System (all)
- Meter Identification Check (all)
- Time Check of Meter (all)
- Pulse Overflow Check (if applicable to metering system)
- Test Mode Check (if applicable to metering system)
- Sum Check

## **Payment Validation, Audits, and Measurement and Evaluation**

The PA may, at their discretion, perform validations on performance data prior to issuing payments to customers participating in this program. The validations will compare actual first year performance data with the expected performance as estimated based on documentation submitted on the Host Customer's approved incentive claim from. If payment falls outside expected ranges for the year, the incentive payment will be withheld until the PA determines to its satisfaction the reason for the discrepancy.

The PPD provider will work with the Host Customer to resolve any discrepancies identified by the PA which may include testing and/or recalibrating the meter/devices if deemed necessary. The PAs are not responsible for the costs associated with investigating and resolving any such discrepancies (i.e., testing, meter replacement hardware, installation labor).

The PA will also perform random audits of PPD provider data to ensure accuracy and compliance with the requirements outlined in this document, or as part of the CSI-Thermal Measurement and Evaluation Program in accordance with the CSI-Thermal Handbook. Any PPD provider found to be in violation of any of these requirements will be subject to the penalties outlined later in this document. The PA, via the local utility or its designated contractor may, at its discretion, inspect and test the performance meter or install separate metering in order to check meter accuracy, verify system performance, or confirm the veracity of monitoring and reporting services.

Any additional metering installed by or at the request of the PA will be paid for by the PA. However, in the event metering is installed during the course of an audit or investigation initiated by the PA where cheating or tampering is suspected and confirmed, the System Owner will be charged for these costs.

## **Data Retention**

Raw and PPD provider validated interval and cumulative monthly data must be retained in accordance with appropriate program requirements (see Section 6.4.4.7 of the CSI-Thermal Handbook for CSI-Thermal program requirements). The PPD provider must be prepared to post historical interval data at the PAs request. The PA audit will include raw interval data which is to be maintained by the PPD provider for comparison with validated interval data transmitted to the database. The PPD provider is also responsible for providing backup and disaster recovery services for 100 percent of the data (in accordance with the CSI-Thermal data retention policy outlined in Section 6.4.4.7 of the Handbook)

## **Technical and Customer Support**

The PPD provider must provide a technical support number to the PA for use during normal business hours (8am to 5pm Pacific time, Monday through Friday, except holidays) to help resolve any data availability, format or corruption issues, communication problems, server access problems, or other technical issues. Within those normal business hours, the PPD provider must respond to PA requests within two business days with a status report and plan for correcting the issues. The PPD provider must also provide a customer support number to respond to customer inquiries within two business days from the initial customer contact. PAs will have the discretion to set deadlines for the resolution of data transfer problems/issues.

## **PPD Provider Performance Exemptions**

The PPD provider is responsible for meeting the above noted program requirements and for consistently posting performance data in accordance with the PAs scheduling and data posting requirements. At its discretion, the PA may grant reasonable allowances for occasional issues or technical problems, as well as for large catastrophic events such as earthquakes.

In the event of such catastrophic event resulting in an energy delivered interruption; OR in the event of metering or communications equipment failure where the data is irretrievable by the PPD provider at no fault of the customer AND it can be determined that the customer's SWH equipment was still operating, the PA may extend the 70/30 true-up incentive payment period beyond the established timeframes otherwise specified by the incentive program Handbook. The 70/30 true-up incentive payment extension period will be equivalent to the same period the system energy production data is unavailable. To submit a Data Report relative to missing data, the PPD provider will resubmit the respective Data Report, thereby replacing the previous incomplete report with a complete quarter of data.

## **PPD Provider Non-Performance**

The PA will not issue incentive payments to customers based on estimated data from the PPD provider, nor will the PA estimate incentive payments under any circumstances. It is the PPD provider's responsibility to ensure timely (within 5 days after the end of the specified reporting period) and accurate posting of validated performance data so customer incentive payments can be made.

The following conditions may result in penalties, suspension of activity, or revocation of PPD provider approval from the PA:

- Data not posted by specified date (10 percent of accounts serviced by PPD provider over a one month period are late).
- No data received for incentive period (per customer: no data posted 2 times consecutively OR 2 times in 9 months; and/or per PPD provider: no data posted for 10 percent of accounts serviced by PPD provider). Submittal of corrected data or previously missing quarterly data must be received in cycle sequence.
- Data not validated in accordance with program requirements over the course of the CSI-Thermal Program. (1 time)
- Estimated data posted instead of actual data. (1 time)
- Meter change information not reported within 30 days of the meter change. (3 times within 6 months)
- If an audit or investigation shows a discrepancy of more than 5 percent between the PPD provider reported data and PA check meter production data for one data report period. This discrepancy will trigger an audit schedule set by the PA for the PPD provider.

The PPD provider will be given reasonable opportunity to correct problems identified by the PA. The PA will work with the PPD provider to correct any such problems and avoid unnecessary delays in issuing incentive payments to customers, to the extent feasible. However, if the PPD provider fails to resolve any issues to the PAs satisfaction within 60 days which result in delays in incentive payments to customers, the following penalties may apply:

- If the problem is with a single or less than 20% of customer accounts served by the PPD provider, the PA will suspend PPD provider activity with just those affected customers. The affected customers will be notified that the PPD provider has been unable to resolve the specified issue within an acceptable timeframe and they will be given a 30 day grace period to select and engage with another PPD provider. The original PPD provider will be required to transfer all historical data to the newly selected PPD provider. An incentive payment will not be made until the customer provides a contract or similar document proving they are engaged with another PPD provider, but the customer's incentive payment period will be extended beyond the established period allowed under the applicable program rules to compensate for this interruption in data collection. If the customer fails to engage with and provide proof that they have contracted with a new PPD provider within the allowable grace period, the time between the grace period expiration date and the date the PA receive such proof will be deducted from the final payment amount.
- If the problem is of a more serious nature as determined by the PA and continues over 60 days, or it affects more than 20% of customers served by the PPD provider, the PPD provider's approval will be revoked and all customers will be notified that they must select another PPD provider. As above, an incentive payment will be made until the customer selects another PPD provider, but the customers' incentive payment period will be extended beyond the established payment period. The PPD provider will be eligible to reapply after six months upon demonstrating that they have successfully resolved all problems to the PAs satisfaction.

Unless the PPD provider's actions results in revocation, upon receipt of a notice from the PA with respect to the PPD provider's failure to provide the performance, the PPD provider must, as soon as reasonably practicable: (1) perform a root-cause analysis to identify the cause of such a failure; (2) provide the PA with a report detailing the cause of, and procedure for correcting such failure within 3 days of completion of such root-cause analysis; (3) implement such procedure after obtaining the respective PA approval of such procedure.

#### **Criteria for a PPD Provider Appeals Process**

Should the PPD provider disagree with a PA decision regarding a penalty, the PPD provider has the right to appeal to the CSI-Thermal Working Group for further consideration.

## **APPLICATION PROCESS**

### **Application & Documentation**

The PPD provider applicant completes the attached “Application to provide PPD Services” and provides all documentation in the attached checklist. Note that the PPD provider Applicant must submit an application to and successfully complete the data transfer test described later in this document to any of the four PAs.

The PAs will review the submitted documentation, determine if the PPD provider Applicant meets the program requirements and notify the PPD provider Applicant via email. The PA will review the application and respond to the PPD provider Applicant within 15 business days.

### **Data Transfer Test**

Once the PA has reviewed and accepted the prospective PPD provider’s application, they will contact the PPD provider to schedule a data transfer test. Upon approval of the test, the PPD provider is eligible to submit quarterly performance data for CSI-Thermal customers.

### **PPD Provider Approval Initial Audit Period**

Upon PA approval of the required PPD provider application documentation, and successful completion of the PPD provider data test procedures, the PPD provider will be qualified to provide performance data to the PA for incentive payment. However, the PAs will audit the raw production data from each PPD provider’s first data report for their first three customers for compliance with these PPD provider requirements. The PA will notify the PPD provider of noncompliance and will work to assist the PPD provider with resolving the issues.

## Application to Provide PPD Provider Services

This application and the attached documents are to be used by Applicants for approval as a PPD provider. Please refer to the checklist to ensure your application includes all applicable documentation.

Company Name: \_\_\_\_\_

Primary Contact: \_\_\_\_\_

Address: \_\_\_\_\_

Address 2: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_

ZIP: \_\_\_\_\_ Phone: (\_\_\_\_) \_\_\_\_ - \_\_\_\_\_ Fax: (\_\_\_\_) \_\_\_\_ - \_\_\_\_\_

Email: \_\_\_\_\_

### Technical Support Contact

Contact Name: \_\_\_\_\_

Phone: (\_\_\_\_) \_\_\_\_ - \_\_\_\_\_ Email: \_\_\_\_\_

### Customer Support Contact

Contact Name: \_\_\_\_\_

Phone: (\_\_\_\_) \_\_\_\_ - \_\_\_\_\_ Email: \_\_\_\_\_

## PPD provider APPLICATION CHECKLIST

### Background

- Company background (years in business, number of employees, general description, executive team, etc.)
- Meter data reading and reporting experience and capabilities, capacity, technology overview, IT capabilities, etc.
- Proof of sufficient bond or insurance coverage

### Procedures

- Meter reading and data retrieval procedures
- Data communication (frequency, scalability, types, troubleshooting, etc.)
- Process for retrieving missed reads
- Data validation procedures
- Technical Support (hours of operations, staff levels, procedures, etc.)
- Customer Support (hours of operations, staff levels, etc.)

**IT Systems and Processes**

- Data posting (data translation, formatting, firewall access, etc.)
- Data retention plan
- Backup and recovery plans
- Hardware and software scalability plans
- Data confidentiality and security procedures

By signing this document, the Applicant agrees to comply with all program requirements including those described in the CSI-Thermal Program Handbook (signature must be someone with legal authority at the PPD provider). Additionally, Applicant agrees to keep confidential all data received from the PA for testing. Information in this document will remain confidential.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Printed Name: \_\_\_\_\_ Title: \_\_\_\_\_