**ESPC Audit Ready Checklist**

**Acronyms**

Contracting Officer (CO/KO)

Contracting Officer Representative (COR)

Measurement and Verification (M&V)

Energy Service Company (ESCO)

Energy Conservation Measure (ECM)

Operation and Maintenance (O&M)

Repair and Replacement (R&R)

|  |  |
| --- | --- |
| **Project Title** |  |
| **Contract Number** |  |
| **Contracting Officer** |  |
| **Contracting Officers Representative** |  |
| **ESCO** |  |
| **Project Performance Period/Year** |  |
| **Date Checklist Reviewed** |  |

1. **Site Level**

Documentation

* Project Documentation is complete *(see Resource #1, Documentation Matrix)*
* Key documentation of annual M&V Activities
  + Documentation of agency witnessing of ESCO annual M&V in accordance with witnessing approach in M&V Plan *(see Resource #2)*
  + Agency impacts to savings documented with root cause and corrective action
  + Records of COR memorandum to CO/KO documenting M&V report review and acceptance recommendation *(see Resource #3)*

Project Performance

* Site staff/project lead are familiar with Energy Conservation Measures (ECMs) within ESPC project and agencies responsibilities for O&M and R&R
* O&M has been performed per task order and recorded
* For project where ESCO’s verified savings does exceed guaranteed savings, ESCO has provided root cause and corrective action
* Performance issues identified by site staff are captured in annual M&V report
* Decommissioned or removed ECMs have been documented and communicated to CO/KO.

1. **Program Management/HQ Level**

Documentation

* Records of COR memorandum to CO/KO documenting M&V report review and acceptance recommendation
* Records of CO notification to ESCO of M&V report acceptance
* Record of ESPC training for all CO/COR/Site staff responsible for management of ESPC projects
* Project Contract Modifications

Contract Administration

* Projects in Performance Period have an assigned CO and COR
* Required contract modifications identified or justification on file for not taking contracting action (ex: addressing decommissioned/removed equipment, demolished buildings, etc.)
* Invoices to ESCO adjusted to account for ESCO responsible savings shortfall to guarantee.

**Resources**

1. 2008 DOE IDIQ ESPC Life of Contract Plan Template <https://energy.gov/sites/prod/files/2013/10/f3/espc_lifeofcontractplan.docx>
2. Guide to Government Witnessing and Review of Measurement and Verification Activities

<https://energy.gov/sites/prod/files/2014/03/f14/agency_witness_accept.pdf>

1. Reviewing Post-Installation and Annual Reports for Federal ESPC Projects, February, 2007

<http://energy.gov/sites/prod/files/2013/10/f3/reviewing_annual_pi_reports.doc>

1. Best Practices for ESPC Portfolio Review

<https://energy.gov/sites/prod/files/2017/08/f35/portfolio_review_bps.pdf>