

Johnson Controls Inc.

Comfort Plan Policy & Procedures

Dealer Manual

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Introduction

Welcome

Welcome to the Johnson Controls Inc. Comfort Plan Program! We would like to thank you for your participation in the Comfort Plan Program whether you are new to the program or have been a participant for many years. We hope you will find this dealer manual to be a user friendly reference for Comfort Plan Information. Please call the warranty department at 1-866-621-9675 if you have further questions or need assistance. Listed below is a current list of the employees and description of job duties.

Debbie Torres (Option 1)
Warranty Processor
Standard Warranty

Kelly Bradley (Option 2)
Comfort Plan Claims Processor
Comfort Plan Claims

Michelle Pfingsten (Option 3)
Comfort Plan Warranty Processor
Comfort Plan Applications (transfers, reprints)

Teresa Wadsworth (Option 4)
Warranty Processor/ Desktop Audit
Desktop Audit

Shanna Duncan (Option 5)
Comfort Plans and Warranty Processer
Comfort Plan Contracts
Standard Warranty

Warranty Department E-mail

BE-CG-UPGWARRANTYDEPT@JCI.COM

What is a Comfort Plan Contract?

Comfort Plan Contracts are offered to extend specific coverage of certain JCI equipment beyond the terms of the standard warranty. A Dealer may purchase Comfort Plan Contracts through their local distributor.

Plans must be submitted and approved by JCI warranty administration within one year of installation. Plans take effect either on the 31st day, start of 2nd year following installation or the date the contract is sold whichever is greater.

Comfort Plan Dealer Benefits

Increased profit opportunities-

- Margin on Comfort Plan sales
- Equipment upgrades & accessories
- Future replacement sales
- Referral business
- Maintenance contracts
- Creates a "Customer for Life" opportunity
- Offers a parts mark-up & travel allowance throughout the term of the contract
- Program is administered by the equipment manufacturer Johnson Controls Inc.
- Consumer brochures and mailers are available through Johnson Controls Inc. Distributors.
- Variety of plans available including Residential, Commercial and Compressor only coverage
- Comfort Plans are available for up to 10 years, parts and labor
- Comfort Plans are transferable to new homeowners for the balance of the contract term.
- Easy claim processing and quick turn around on Dealer reimbursement. Claims are paid by check directly to the servicing dealer.

Types of Coverage

Residential

Johnson Controls Inc. offers a variety of residential plans ranging from 5 to 10 years in length that provide labor coverage. **You must provide matched coil information in order to purchase a comfort plan** (except on furnace only plans).

Condenser/ Coil Plans (unit) – cover one AC unit and one coil per plan.

Heat Pump Plans (HP) – covers a split system heat pump with or without a coil.

Gas & Electric Furnace Plans (furn) – Gas or Electric furnaces can be placed on furnace plans. Electric furnaces are composed of an air handler and heating coil. There can only be one furnace covered on each plan.

System Plans (SSPK) – Covers one AC, one furnace or air handler, and one coil or air handler/coil, or one package AC system per plan.

Heat Pump SS Plans (HPSS) – Covers one HP, one furnace or air handler, and one coil or air handler/coil, or one package HP system per plan.

Commercial

Several types of plans are available for commercial equipment. Commercial plans are selected based on the tonnage of the unit. For assistance in selecting the correct plan for the equipment, please contact your distributor. Each plan covers one system (split or packaged).

Compressor Only Plans (Comp) – Can extend compressor coverage to 5 years on new units. *Compressor serial number(s) are required for these plans.*

How to Choose Residential Plan Types

YRCP, PRCP for Residential

UNIT Plan Types

***Plan information section choose [Condenser Coil] option**

1. The plan type is for A/C units and coils.

FURN Plan Type

***Plan information section choose [Furnace] option**

1. This plan type is for Furnace & a Coil
2. Covers an Electric Furnace
 - ** Air handler with or without a heat strip (accessory)

SSPK Plan Types

***Plan information section choose [System] option**

1. A/C unit & Furnace & Coil
2. A/C unit & Air Handler & Coil
3. Packaged A/C Units
4. A/C unit and Air Handler/Coil

Example of SSPK

TCHD (A/C unit) + TM9M (Furnace) + MC (coil) would qualify for SSPK plan type.

Example of SSPK #2

TCGF (A/C unit) + MV (Air Handler) + MC (coil) would qualify for SSPK plan type.

Example of SSPK #3

DNZ (Packaged AC)

Example of SSPK #4

TCGD (A/C unit) + AHX (Air Handler/Coil)

Heat Pumps

HP Plan Types

***Plan information section choose [Heat Pump] option**

1. This covers a split system heat pump with or with out a coil.

Example HP

YZE (Heat pump) + MC (coil)

Example HP #2

YZE (Heat pump) -- with out a coil also qualifies.

HPSS Plan Types

***Plan information section choose [Heat Pump] option**

1. Heat Pump & Furnace & Coil
2. Heat pump & Air Handler & Coil
3. Packaged Heat Pump Unit
4. Heat Pump & Air Handler/Coil

Example HPSS

THGF (heat pump) + TM9V (Furnace) + FC (coil) would qualify for HPSS plan type.

Example HPSS #2

BHX (Package Heat Pump) would qualify for HPSS plan type.

Example HPSS #3

THJD (heat pump) + MV (standard air handler) + MC (coil) would qualify for HPSS plan type.

Example HPSS #4

THGD (heat pump) + AHX (air handler/ coil combo) would qualify for the HPSS plan type.

Accessories on Comfort Plans

Accessories (purchased from UPG) and Non-UPG coils are covered by the Comfort Plan. Non York coils must be AHRI matched. All accessories must be listed on the approved Comfort Plan Contract. The Dealer or Distributor may be asked to provide a copy of the York Invoice.

NON-UPG COIL

Select Accessory in the equipment covered section
In Model Number/Part Number box type in the model number of the "nonupgcoil".
In the drop down menu choose option- non upg coil
Select Add

On the 13 seer screen you will have to provide the brand, model number, serial number and a valid AHRI code for the plan to be approved.

ACCESSORIES (including heat strips)

Select Accessory in the equipment covered section
In model # field type the model or Source 1 part #
Select Add

Do not input serial # of the accessory.

The AHRI reference number for a non York coil can be found on the AHRI website.

WWW.AHRIDIRECTORY.ORG

WARRANTY ADMINISTRATION

Warranty Administration

www.upgnet.com

Warranty Administration is available by using Johnson Controls Inc. online warranty software. Dealers are able to sign on to www.upgnet.com for the following functions:

1. Product Registration
2. Verifying equipment warranty periods
3. Inquiring on a specific piece of equipment by serial number
4. Purchasing comfort plan products
5. Submitting comfort plan claims
6. Checking the status of comfort plan applications and claims
7. Submitting standard warranty claims

To access UPGNET.COM, please contact your distributor.

Product Registration

- Dealers are able to register the product on UPGNET.COM or UPGPRODUCTREGISTRATION.COM
- The product registration process establishes the warranty start date.
- Once the start date has been established, UPGNET considers the unit to be 'registered.'
- 'Registered' units cannot be edited.

Unit Tracking

UPGNET displays all dates and information that have been entered into our warranty database:

- The date the unit was produced.
- The date the unit was sold to the distributor.
- The date the unit was sold to the dealer.
- The date the unit was installed at the consumer location.
- The date the unit was registered

Warranty Verification

- Allows the dealer to view warranty periods for a specific serial number.

Comfort Plan Purchases

- Dealers can submit comfort plan contract applications to the distributor via UPGNET.

Comfort Plan Claim

- Dealers can enter Comfort Plan claims via UPGNET.
- UPGNET will assign a claim number once the claim has been submitted.
- All units must be repaired using Source 1 parts.
- If you need to claim a non-Source 1 part, please contact your Comfort Plan claims administrator.
- A late filing fee will be deducted on any claims that are submitted beyond 90 days of the service date.
- Comfort Plan paper claims will still be accepted by non-UPGNET users and keyed into UPGNET by the warranty staff.
- Comfort Plan paper claims that cannot be entered into UPGNET due to incomplete or inaccurate information will be returned.

Documentation Requirements on UPGNET

Claims have the basic documentation requirements below:

1. Distributor invoices for all non-Source 1 parts claimed.
2. Distributor invoices for Source 1 parts that are \$100 or greater.
3. Distributor invoices for parts not included on claim submittal.
4. Work orders for repairs with no parts.
5. Some claims may require additional documentation.

*****The invoice must show the dealer cost of the part*****

Please send all documentation via fax to 844-834-3930 or email to BE-CG-UPGWARRANTYDEPT@JCI.COM. Please reference your claim number on all documentation.

NOTE: Freight charges and taxes will not be reimbursed through the comfort plan.

Comfort Plan Inquiries: Contract Applications and Comfort Plan Claims

- The UPGNET user can search for a comfort plan contract by contract number, submittal date, application status, and or other search criteria.
- The UPGNET user can search for a comfort plan claim by claim number, submittal date, claim status and /or other search criteria.

If you have questions regarding UPGNET, please contact your UPG distributor or your comfort plan processor.

COMFORT PLAN APPLICATION PROCEDURES

Comfort Plan Applications

Comfort Plan applications can be taken to every job and used to make an extended warranty offer at the time of the equipment sale. Blank Comfort Plan application forms can be obtained from your distributor.

Submitting Comfort Plan Application

The Comfort Plan applications must be filled out **COMPLETELY**, returned to your distributor and approved by **"JCI" WITH IN ONE YEAR OF INSTALLATION. All contracts submitted beyond one year from installation date will be denied.** Comfort Plan Applications must include the following information:

A. Dealer/ Contractor Information:

- Registered Dealer #
- Business Name, Business Address & Phone #
- Distance from Dealer location to equipment location (one way)

Note: For comfort plans on equipment in Florida, the price paid for the Comfort Plan by the selling Dealer must be entered in the "Sales Price" field.

B. Owner Information: ***The finalized contract will be mailed to the owner's mailing address***

- Name, Address, City, State, Zip Code & Phone# (Please ensure this information is complete to avoid delays in processing.)
- Equipment location (Required if different from owner's address, or if owner uses a P.O. Box to receive mail.)

C. Coverage:

- Product Application
- Type of Equipment
- Length of coverage
- Type of Coverage

D. Equipment Covered:

- Model Number, Serial Number, & Description of Equipment

E. Installation Date

F. Owner Signature (Required in the state of Florida)

G. Dealer Signature (Required in the state of Florida)

Completed applications should be returned to your local JCI Distributor. After JCI processes the application, the "active" Comfort Plan Contract will be mailed to the end user (the dealer does not receive a copy).

How to Confirm Applications have been Received and Approved

Please allow at least 30 day to process Comfort Plan Contracts. Confirmation of applications can be obtained on UPGNET.COM through the comfort plan contract status application. It is the responsibility of the dealer and/or distributor to confirm that all Comfort Plan Applications are approved.

MAKING CHANGES ON A COMFORT PLAN CONTRACT ALL CHANGES MUST GO THROUGH YOUR DISTRIBUTOR

Once an application has been processed through JCI and the plan becomes valid, the homeowner will receive a copy of the contract. The homeowner should verify that all of their information is correct, and all of their equipment is listed on their contract. Any changes must be submitted in writing to the distributor. Any changes or requests for additional coverage must be submitted to JCI with in 90 days.

The distributor must submit all changes in writing via e-mail or fax. No phone calls please.**

Needing more coverage then processed?

1. Follow the normal procedure to order a new contract.
2. Enter the new application through UPGNET.COM (on the 2nd address line for homeowner type, "This contract replaces #XXXXXXX.")
3. JCI will void the first application.
4. The next day, the "new" application will be approved.

Request to Void a Comfort Plan Contract or to purchase a contract with less coverage.

JCI requires a written request to void a contract if the consumer wishes to void the existing contract or purchase a contract with less coverage. The homeowner will need to complete the Request to Void a Contract Form within 30 days of the plan being approved by JCI. You will need to mail in the request form along with the original copy of the contract. Contracts canceled after 30 days are subject to a surcharge. For details, please see terms and conditions of the contract.

Request to Void a Contract

Please void contract #

Reason for the Void

I, _____ wish to cancel the above contract. I understand by canceling the contract, my unit will no longer be covered beyond the standard warranty of the equipment unless another Comfort Plan Contract is purchased.

Homeowner's Signature

Dealer Signature

- 1. Follow the normal procedures to order the new contract.**
- 2. Enter the new application through UPGNET.COM. (On the 2nd address line for the homeowner type, "This contract replaces contract # XXXXXXXX.")**
- 3. The new contract will be denied by JCI until all documentation is provided.**
- 4. Mail homeowner's copy, and Void request to:**

**Johnson Controls Unitary Products
Attn: Michelle Pfingsten
3110 N. Mead
Wichita, Ks. 67219**

To Transfer Contract

The remainder of the contract may be transferred to a new homeowner for a fee of \$50. Please fill out the request to transfer a contract form and mail to the address on form.

Comfort Plan Contract Transfer Request

Comfort Plan Contract #

Unit(s) Serial #

New Owner Name:

Mailing Address:

***Please include a \$50.00 check or money order and a copy of the contract (if available) mail to:**

Johnson Controls Inc.
Attn: Comfort Plan Transfer
3110 N. Mead
Wichita, Ks. 67219

A copy of the Comfort Plan contract will be mailed to the new homeowners when the transfer has been completed. Please allow 3 - 4 week to process.

X _____
Signature of new homeowner

X _____
Signature of previous homeowner (if available)

Should a claim need to be filed and the transfer has not been performed, JCI recommends the homeowner provide the transfer request (including check or money order) to the dealer. The dealer should mail the transfer request along with the claim to JCI. Please include a letter stating: Process transfer before processing claim.

Comfort Plan Claims

How to submit a comfort plan claim

If service work is required, the dealer must first verify that the customer has an "active" Comfort Plan contract and must verify the effective dates of the plan. Verification can be done via WWW.UPGNET.COM, or contacting the local JCI distributor. Claims should be submitted on a Comfort Plan Claim Form. These forms may be obtained from your Distributor.

How to Complete a Comfort Plan Claim Form

- Contract Number
- Document Control (reference) Number
- Consumer Name
- Consumer Address
- Dist/Dealer ID
- Dealer Name
- Dealer Address
- Dist/Service ID (if different from original Dealer ID)
- Service Name
- Service Address
- Unit Serial Number
- Service Date
- Description of Repair / Comments
- Refrigerant Used: (Yes or No)
- Refrigerant Type
- Refrigerant lbs. Used
- Travel miles (one-way) to the equipment location
- New JCI part numbers (distributor invoice must include for Source 1 parts greater than \$100 and for all non-Source 1 parts)
- New & Failed compressor serial numbers for compressor claims
- Cost Distributor charged dealer
- Non-Source 1 parts- Replacement parts should be purchased from Source 1. In the event non-Source 1 parts are used only one will be reimbursed per claim.
- Labor Codes if applicable
- Dealer's signature
- Customer signature

Mail claim and all necessary paperwork to:

**Johnson Controls Inc.
Attn: Comfort Plan Claims
3110 N. Mead
Wichita, Ks. 67219**

NOTE: Some old claim forms are still in circulation with an old addresses please disregard these addresses and mail your claim to the Wichita, KS. address shown above.

How Claim Reimbursement is calculated

JCI reimburses the Dealer labor by calculating the standard hours allowed for the specific defect codes, times the dealer's hourly rate on file. (Some restrictions apply, see Service Agreement form). JCI will automatically reimburse the dealer for allowable travel time based on the mileage reported on the Comfort Plan application, multiplied by your labor rate. 0-29 miles is a half hour of labor. 30+ miles is an hour of labor.

If parts are covered by standard warranty, the mark-up will be reimbursed by multiplying the cost reported, times the applicable mark-up rate as noted on the Dealer's Service Agreement. If parts are not covered by standard warranty, part costs plus the applicable mark-up will be reimbursed.

In all cases standard warranty policy and service letter take precedence over claims payment through comfort plan. Comfort Plan coverage services as supplemental warranty coverage on standard warranty claims.

Refrigerant reimbursement will be calculated by multiplying the pounds used by the corresponding refrigerant allowance per pound at the current market rate.

Comfort Plan Payments

JCI pays comfort plan claims directly to the dealer via check. Checks are issued on the 1st and 22nd of every month. Complete submitted claims will be processed as they are received and a check for that claim will be mailed out in the next check run. Any claim that is not complete will be put on weekly statement and mailed to the service dealer. These claims will not be processed until a complete claim form is provided.

PLAN NOMENCLATURE

Residential Comfort Plan Nomenclature

Commercial Comfort Plan Nomenclature

Y	Y =York Care P = Performance Promise	Y	Y =York Care P = Performance Promise
R	R = Residential	C	C = Commercial
CP	Comfort Plan	CP	Comfort Plan
FURN	FURN = Furnace and Evap Coil Unit = A/C Unit and Evap Coil SSPK = Split or Pkgd A/C, Furnace or Air Handler, & Coil HP = Split System Heat Pump and Evap Coil HPSS = Split or Pkgd HP, Furnace or Air Handler, & Coil 5TCOMP = Compressor Only *	125	050 = Three Phase, Up to 5 tons 075 = Three Phase, 6 1/3 to 7 1/2 tons 100 = Three Phase, 8 1/2 to 10 tons 125 = Three Phase, 12 1/2 tons 150 = Three Phase, 15 tons 200 = Three Phase, 20 tons
		SS	SS = Split System PK = Packaged Unit
060	012 = 1st Year or 1 Year Renewal * 060 = 5 year Warranty 120 = 10 year warranty	060	012 = 1st Year or 1 Year Renewal 060 = 5 year Warranty 120 = 10 year warranty (up to 5 ton splits)
LM	PL = Parts, Labor, & Mark-Up* PLM = Parts, Labor, & Mark-UP * LO = Labor Only * PLX = Parts, Labor, & Markup * LM = Labor, Markup & Travel PO = Parts Only * LM2 = Labor, Markup& Travel starting year 2 LT2 = Labor and Travel starting year 2 * L = Labor L2 = Labor starting year 2*	PL	PL = Parts, Labor, & Mark-Up PLM = Parts, Labor, & Mark-UP * LO = Labor Only LM = Labor and Markup * PO = Parts Only PLX = Parts, Labor, & Markup (up to 5 ton splits)

***Plans are no longer offered**