

Decision 15-10-028 October 22, 2015

**BEFORE THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA**

Order Instituting Rulemaking Concerning  
Energy Efficiency Rolling Portfolios,  
Policies, Programs, Evaluation, and  
Related Issues.

Rulemaking 13-11-005  
(Filed November 14, 2013)

**DECISION RE ENERGY EFFICIENCY GOALS FOR 2016 AND BEYOND AND  
ENERGY EFFICIENCY ROLLING PORTFOLIO MECHANICS**

**Appendix 4**  
**Implementation Plan Template**

## **ATTACHMENT: Implementation Plan Guidance**

The following information will be uploaded to EEStats, to create a separate webpage for each program and sub-program through an online database platform.

### **Program Budget and Savings Information**

EE Stats implementation plan platform will generate summary views of the following information, based on application tables that the PAs upload to EE Stats .The information will be organized at the measure and sub-program level to enable multiple cross tabulations and outputs for stakeholders review and consideration. Programs with subprograms will be displayed at subprogram level, and will roll up to a program summary page..

1. Program and/or Sub-Program Name
2. Sub-Program ID number
3. Sub-program Budget Table
4. Sub-program Gross Impacts Table
5. Sub-Program Cost Effectiveness (TRC)
6. Sub-Program Cost Effectiveness (PAC)
7. Type of Sub-Program Implementer (Core, third party or Partnership)
8. Market Sector (including multi-family, low income, etc)
9. Sub-program Type (Non-resource, resource acquisition, market transformation)
10. Intervention Strategies (Upstream, downstream, midstream, direct install, non-resource, finance, etc)

### **Implementation Plan Narrative**

Provide the following narrative description for each program (and sub-program, if applicable):

1. **Program Description:** Describe the program, its rationale and objectives.
2. **Program Delivery and Customer Services:** Describe how the energy efficiency program will deliver savings (upstream, downstream, direct install, etc); how it will reach customers and the services that the program will provide. Describe all services and tools that are provided.
3. **Program Design and Best Practices:** Describe how the program meets the market barriers in the relevant market sector/end use. Describe why the program approach constitutes “best practices” or reflects “lessons learned”. Provide references where available.
4. **EM&V:** Describe any process evaluation or other evaluation efforts that the Program Administrator (PA) will undertake Identify the evaluation needs that the PA must build into the program. These might include:
  - a. data collection strategies embedded in the design of the program or intervention to ensure ease of reporting and near term feedback, and

- b. internal performance analysis during deployment
  - c. performance metrics
5. **Pilots:** Please describe any pilot projects that are part of this program, and explain the innovative characteristics to these pilots. The inclusion of this description should not replace the Ideation Process requirements currently agreed by Commission staff and IOUs. This process is still undergoing refinements and will be further discussed as part of Phase III of this proceeding.<sup>1</sup>
6. **Additional information:** Include here additional information as required by Commission decision or ruling (As applicable. Indicate decision or ruling and page numbers)

### Supporting Documents

Attach the following documents in Word:

1. **Program Manuals and Program Rules (See below)**
2. **Program Logic Model:** Model should visually explain underlying theory supporting the sub-program intervention approach, referring as needed to the relevant literature (e.g., past evaluations, best practices documents, journal articles, books, etc.).
3. **Process Flow Chart:** Provide a sub-program process flow chart that describes the administrative and procedural components of the sub-program. For example, the flow chart might describe a customer's submittal of an application, the screening of the application, the approval/disapproval of an application, verification of purchase or installation, the processing and payment of incentives, and any quality control activities.
4. **Incentive Tables, Workpapers, Software Tools:** (Can incentives be drawn out of the E3s?) Provide a summary table of measures and incentive levels, along with links to the associated workpapers. Templates are available at <http://eestats.cpuc.ca.gov/StandardTables/GuidanceDocument.aspx>.

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<sup>1</sup> The Ideation Process is a set of reporting requirements developed collaboratively to ensure adequate reporting and review of pilots and other similar projects. This process will be further deliberated as part of Phase III. The current set of guidelines can be found here: [http://www.cpuc.ca.gov/NR/rdonlyres/2D89F0DD-619B-4FC7-BD17-843E2993594D/0/IdeationProjectsProcess\\_OUT.pdf](http://www.cpuc.ca.gov/NR/rdonlyres/2D89F0DD-619B-4FC7-BD17-843E2993594D/0/IdeationProjectsProcess_OUT.pdf)

5. **Quantitative Program Targets:** Provide estimated quantitative information on number of projects, companies, non-incentive customer services and/or incentives that program aims to deliver and/or complete annually. Provide references where available.
6. **Diagram of Program:** Please provide a one page diagram of the program including sub-programs. This should visually illustrate the program/sub-program linkages to areas such as:
  - a. Statewide and individual IOU marketing and outreach
  - b. WE&T programs
  - c. Emerging Technologies and Codes and Standards
  - d. Coordinated approaches across IOUs
  - e. Integrated efforts across DSM programs

**Program Manuals:**

All programs must have manuals to clarify for implementers and customers the eligibility requirements and rules of the program. Note that program rules must comply with CPUC policies and rules. Table templates are available at <http://eestats.cpuc.ca.gov/StandardTables/GuidanceDocument.aspx>. At minimum, manuals should include:

1. **Eligible Measures or measure eligibility:** Provide requirements for measure eligibility or a list of eligible measures.
2. **Customer Eligibility Requirements:** Provide requirements for program participation (e.g., annual energy use, peak kW demand)
3. **Contractor Eligibility Requirements:** List any contractor (and/or developer, manufacturer, retailer or other “participant”) eligibility requirements (e.g. specific IOU required trainings; specific contractor accreditations; and/or, specific technician certifications required).
4. **Participating Contractors, Manufacturers, Retailers, Distributors:** For upstream or midstream incentive and/or buy down programs indicate
5. **Additional Services:** Briefly describe any additional sub-program delivery and measure installation and/or marketing & outreach, training and/or other services provided, if not yet described above
6. **Audits:** Indicate whether pre and post audits are required, if there is funding or incentive levels set for audits, eligibility requirements for audit incentives
7. **Sub-Program Quality Assurance Provisions:** Please list quality assurance, quality control, including accreditations/certification or other credentials

For Market Transformation Programs Only:

1. **Quantitative Baseline and Market Transformation Information:** Provide quantitative information describing the current energy efficiency program baseline information (and/or other relevant baseline information) for the market segment and major sub-segments as available.
2. **Market Transformation Strategy:** A market characterization and assessment of the relationships/dynamics among market actors, including identification of the key barriers and opportunities to advance demand side management technologies and strategies A description of the proposed intervention(s) and its/their intended results, and specify which barriers the intervention is intended to address.

(End of Appendix 4)