

# The EEB Program Evaluation & Market Assessment Roadmap

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*August 9, 2021 (Final; approved by Evaluation Committee Vote 9/26/21)*

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## DEFINITIONS:

EEB - Energy Efficiency Board	The Energy Conservation Management Board (EEB or the Board) is a statutorily formed body of representatives identified in Connecticut General Statutes Section 16-245m. The EEB's role is to: advise and assist the electric distribution companies and gas companies in the development of combined conservation and load management energy efficiency plans; assisting the electric distribution and gas companies in implementing such plans; collaborating with the Connecticut Green Bank to further the goals of such plans; to coordinate the programs and activities funded by the Clean Energy Fund and the Energy Efficiency Fund; and reporting to the General Assembly. Program Administrators are non-voting members of the Board.
EEB Evaluation Administrator	The individual or firm(s) selected by the EEB Evaluation Committee to manage program evaluations. The Evaluation Administrator is one of the EEB Technical Consultants. Also referred to as EA or EA Team.
EEB Technical Consultants	Managing and Program Consultants provide the Board with information to assist it in developing policy and positions; review utility plans and proposals; develop options for innovative program and plan modifications; provide assessments of utility positions and data; assist in framing and examining policy initiatives; prepare documents and represent Board positions at Board direction; and handle other tasks as assigned by the Board in the course of conducting its business. Also referred to as TC.
EEB Evaluation Committee	The Energy Efficiency Board (EEB) Evaluation Committee (EC), which consists of non-utility EEB members, represents the EEB in the evaluation process. The evaluation process includes both Program Evaluations and research related to markets and program development. The EEB Evaluation Committee and the EEB Evaluation Administrator is independent from the EEB Technical Consultants and the Program Administrators. The EEB Evaluation Administrator reports directly to the EEB Evaluation Committee.
EEB Evaluation Contractor	The firm or group of firms which is retained to complete program evaluation and market assessment studies on behalf of the Energy Efficiency Board Evaluation Committee. Also referred to as contractor(s).
Evaluation Team	The Evaluation Team is made up of the Evaluation Administrator, Evaluation Contractor and the Evaluation Committee.
Program Administrators / Companies	Program managers or program representatives from the Companies. Program Administrators (PA) are not intended to be Other Persons.
Program Persons	Program Persons are defined as all persons responsible for managing and implementing the efficiency programs who are not the EEB Evaluation

Committee, the EEB Evaluation Administrator or members of the evaluation Contractor Team. Specifically, members of the EEB (unless they serve on the EEB Evaluation Committee), Program Administrators' staff; ; and the EEB Technical Consultants are collectively Program Persons.

Other Persons

Other Persons include Program Vendors and Implementers and members of the public.

Evaluation Studies / Research

Evaluation Studies / Research: Studies or research undertaken that to evaluate program performance and cost-effectiveness, including process evaluations, impact evaluations, free ridership / attribution / net-to-gross, or market research serving to identify baselines for impact studies or other studies. These studies are called out because their evaluations must be treated as independent, without influence from those involved in implementation or planning of the programs they evaluate. Non-evaluation studies are all others, including, for example, customer segment research, measure performance analyses, market assessment studies, studies of customer preferences, other baseline studies, and other studies designed to collect and develop information other than that to evaluate program performance,

Research Area Projects

Research Area Projects are projects managed by the Evaluation Administrator and conducted by Evaluation Contractors selected through a competitive RFP process. The Research Area contracts will be issued in topic areas voted on by the Evaluation Committee, covering the Residential and Commercial / Industrial areas and potentially Cross-Cutting areas (covering topics that cross residential and C&I sectors). It is expected that winning Research Area Contractor Teams will be the first choice to conduct research in the Research areas, but the Evaluation Administrator or the Evaluation Committee may elect to have individual projects conducted by other consultants, selected through a competitive process, should it be deemed to be to the benefit of the State of Connecticut. Non-Research Area Projects shall be those not conducted under the Research Area process.

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# The EEB Program Evaluation & Market Assessment Roadmap - May 2021 Revision

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## SUMMARY

The Energy Efficiency Board (EEB) Evaluation Committee, which consists of non-utility EEB members, represents the EEB in the evaluation process. The evaluation process includes both Program Evaluations and research related to markets and program development. The EEB Evaluation Committee and the EEB Evaluation Administrator is independent from the EEB Technical Consultants and the Program Administrators. The EEB Evaluation Administrator reports directly to the EEB Evaluation Committee. Absent payment through the CEEF, the EEB Evaluation Administrator shall have no financial or business ties to CL&P, UI, Yankee, SCG, CNG, any EEB members, or any other EEB Technical Consultants who plan the efficiency programs. In addition, the EEB Evaluation Administrator may not have financial or business ties to vendors that provide program-related products or services to the Program Administrators.

The EEB Evaluation Administrator, under direction of the EEB Evaluation Committee, will execute the following responsibilities: evaluation planning, development of study scopes, contractor selection, project initiation, project management and completion, and finalization of evaluation reports. All RFPs will be issued by the EEB Evaluation Administrator and responses will also be sent to the EEB Evaluation Administrator. The EEB Board members (including DEEP), the Technical Consultants, and the Program Administrators (PAs) may provide initial insights into the scope of work, review proposals that have been submitted, and may submit preferences for contractor selection, but final decisions rest with the EEB Evaluation Administrator, with the advisement of the Evaluation Committee. The Program Administrators, Technical Consultants, and Evaluation Committee review the final work products conducted and provided by third party evaluators and may provide comments on the Review Draft report in writing. After completion of the Final report, the Evaluation Administrator, through the EEB Executive Secretary, files the evaluation report with the Board and DEEP, and the Board will post a copy of each report on its Internet web site. The Board and its members, including electric distribution and gas Program Administrator representatives and other interested members of the public have the opportunity to file written comments regarding any Final evaluation report with DEEP or for posting on the Board's Internet website.

In addition, the Program Administrators must file with DEEP a description of how the results and recommendations will be implemented, including a summary chart. This responsibility is described further in the Project Completion section below.

The Evaluation Committee may add to, reduce or alter the roles of the Evaluation Administrator and/or the Companies at its discretion at any time so long as those changes comport with the requirements of state law.

The EEB Evaluation Administrator communicates and coordinates with the EEB Evaluation Committee, and then with interested EEB members, the Companies, and the public through scheduled Committee meetings and retention of documents as described herein. These communications continue throughout the course of all evaluation activities. The EEB Evaluation Administrator schedules and coordinates all stages of the evaluation process to address the research and design concerns of the EEB Evaluation Committee and, as appropriate, the Companies to assure the highest quality of studies and the best allocation of ratepayer dollars among the studies.

The EEB revised Program Evaluation Roadmap is independent and transparent, with the EEB Evaluation Administrator communicating progress through the scheduled events of the EEB Evaluation Committee. The EEB Evaluation Administrator schedules and coordinates all EEB Evaluation Committee meeting dates and conference calls, and the EEB Executive Secretary posts dates in a way that allows all interested EEB members and members of the public to attend events, participate in calls, and provide input as appropriate. The Evaluation Committee confers with and directs the Evaluation Administrators in all activities as it deems fit.

### **Adoption of Connecticut's Energy Efficiency Program Evaluation Measurement and Verification Process**

Per CGS 16-245m, DEEP must adopt an independent, comprehensive program evaluation, measurement, and verification process. When the evaluation process roadmap is updated, DEEP and the Board post the document on their internet websites and DEEP provides for a 30-day public comment period surrounding the EEB meeting at which the evaluation process roadmap is reviewed. The final document is posted on the DEEP and EEB Websites.

The general guiding responsibilities are characterized as follows:

- DEEP adopts an evaluation process.
- The Evaluation Committee hires an Evaluation Administrator, adopts an Evaluation Plan, and monitors progress of the Evaluation Plan's constituent projects and budget.
- The Board approves the Evaluation budget and contracts with the Evaluation Administrator.
- The Evaluation Administrator is responsible for managing the independent conduct of Evaluation Plan projects, and selecting and overseeing project contractors.

# 1. PROGRAM EVALUATION PROCESS

The EEB Evaluation Committee and the EEB Evaluation Administrator lead the conduct and performance of the program evaluation process. Program Administrators (PAs) and Technical Consultants are in a strong position to identify aspects of the programs (e.g., savings, market, process) that would benefit from evaluation activities. The Program Administrators have intimate knowledge of program procedures and program data collection that are necessary to evaluation. Moreover, the Program Administrators have a strong interest in ensuring program improvements. Continued participation in planning and the opportunity to examine final draft reports for factual issues are important for ensuring that evaluations will be used to improve the programs.

## 1.1 EVALUATION PLANNING

With consultation and input from the EEB Technical Consultants and the Program Administrators, the EEB Evaluation Committee and Evaluation Administrator develop a Three-year plan prepared every three years, generally in synch with the C&LM Plan, and also prepares annual interim updates. The Evaluation Committee and Consultant develop an initial slate of evaluations expected to be needed, set overall priorities, and establish the evaluation budget in line with those priorities.

Consistent with CGS 16-245m(d)(4), program and measure Evaluation, Measurement and Verification (EM&V) studies are conducted on an ongoing basis, with emphasis on the following evaluation priorities:

1. Preference given to impact and process evaluations,
2. Programs or measures that have not been studied, and
3. Programs or measures that account for a relatively high percentage of program spending.

The Companies, separately and together, provide important programmatic information that helps ensure that needed information on evaluation issues, program structure, and ex ante estimates are available to the Evaluation Administrator in a timely manner. For evaluation planning, the following process is used.

- The Evaluation Administrator assembles from the Companies, the EEB Technical Consultants, Evaluation Administrator, and others, lists of studies each entity would like to be included in the evaluation plan; and suggested priorities for those studies; and associated budgets for the studies.
- The Evaluation Administrator participates in the process to develop the Evaluation budget.
- The Evaluation Administrator organizes the information and uses criteria adhering to, but not limited to, those provided in state law and provides the prioritized draft plan of projects and budget. The Plan may include Connecticut studies as well as regional and other joint studies. The Plan should cover a Three-Year period, to provide an organized research agenda and use time and resources efficiently.
- The Evaluation Plan and budget are reviewed and approved by the EEB Evaluation Committee.
- Budgets that are sufficient to support the final plan as determined by the EEB Evaluation Committee are then approved by the EEB;
- The Evaluation Plan and budget are incorporated into the three-year C&LM Plan and annual updates.
- The EEB and the Companies submit the three-year C&LM Plan and annual updates to DEEP for the Commissioner's review and approval.

As part of the annual process of establishing the evaluation work plan, the Evaluation Committee should prioritize studies emphasized under 16-245m)d)(4). Under the statute, four types of studies would be considered higher priority including: (1) impact evaluations, (2) process evaluations, (3) programs or measures that have not been studied or sufficiently addressed in existing studies, and (4) programs that account for a relatively high percentage of program spending. The Evaluation Committee shall also consider other types of studies as needed, e.g., market studies and other work that supports C&LM and program planning, PSD revision, and other objectives. In addition, in early years of the Plan, a study denoted “emerging issues” may be included in the Plan to be responsive to changing priorities and emerging issues. Studies that encourage or incorporate fast-feedback approaches are also encouraged. The Evaluation Committee shall also consider other criteria, including, the maximum number of studies that can be feasibly supervised / overseen by the Evaluation Administrators and reviewed by the Evaluation Committee, Technical Consultants and Program Administrators, and other criteria considered high priority by the Evaluation Committee. To the extent possible, the studies are scheduled to provide time to ensure that Program Administrators can effectively implement evaluation report recommendations for program improvements and PSD Updates.

Members of the Program Administrators, Technical Consultants, Evaluation Administrator, and others participate in a process to develop the budget for evaluation. Voting members of the Board review and approve the budget for evaluation to be included in the set of budgets presented in the Three-year C&LM Plan and annual updates. The three-year C&LM Plan and annual updates are submitted to DEEP for the commissioner’s review and approval. The electric and gas Program Administrator representatives and the representative of a municipal electric energy cooperative are not voting members of the Board and may not vote on board plans, budgets, recommendations, actions or decisions regarding such evaluation budgets, program evaluations and the conduct of the evaluations. The Evaluation Administrator:

- Provides the Evaluation Committee with a package of program evaluations, priorities and costs;
- When the evaluation plan is approved by the EEB Evaluation Committee, establishes the resulting total budget for submittal to the full EEB for vote;
- Writes the Evaluation Plan to be approved by the EEB Evaluation Committee and reviewed by the EEB, and included in the filing of the Companies’ Annual Plan;
- Revises the plan periodically, with Committee approval, to reflect changes in opportunity, circumstances, remaining budget or other considerations. The Evaluation Administrator will explicitly solicit input from the Technical Consultants and others for the revision. Unless a different process is voted on by the Evaluation Committee, it is anticipated that the full Three-Year Plan process will be conducted every three years, and updated in the interim years. The third year of the Plan provides guidance for key elements of the first year of the new three-year plan, for continuity.

## 1.2 RESEARCH AREA APPROACH

Under a Research Area approach to managing evaluation studies, an RFP/RFQ is released for each research area. Respondents provide detailed information on work scope, budgets, and qualifications for a set of near-horizon studies, understanding of the issues and broad approach to addressing those issues, and a guaranteed set of rates for the full time period – usually, but not necessarily, three years.

To provide benefits to the State and to provide competition, the Evaluation Committee anticipates the selection of one contractor team for each research area – residential, non-residential (commercial and industrial), and cross-cutting, covering overarching projects that cover elements of both residential and C&I sectors.



The winning proposers are the primary evaluation contractor teams for their particular research area. These teams will be expected to handle the bulk of all evaluation issues and therefore is responsible to do what is needed to make sufficient resources available for required studies. However, the research area approach does not guarantee that the contractor will be provided any particular volume of work, nor does it guarantee the contractor team will retain the contract if their work is unsatisfactory or the research area is no longer needed. In addition, the Evaluation Administrator or the Evaluation Committee may elect to have particular studies conducted by a contractor selected through a separate competitive process in cases in which it is deemed to be in the best interest of the State of Connecticut.

## 1.3 STUDY DEVELOPMENT

### 1.3.1 DEVELOPMENT OF RFPs

The Research Area approach retains contractor teams to perform all needed studies in their area over a multi-year time period. Therefore, in any particular year there may be no need to seek additional or new contractor teams.

In the RFP development phase, the EEB Evaluation Committee and Evaluation Administrator develop the Request for Proposals, with input from the EEB Technical Consultants and the Program Administrators. The group provides lists of needed information and studies, along with outlines of desired objectives and suggestions of overall priorities for these studies. Since the contractor team is being selected to provide services over several years, and study needs change more frequently, the studies provided and included in the RFP generally represent near-term needs rather than a comprehensive set of studies. Proposing contractor teams must explain their understanding of the objectives of each of the studies including discussion of measurement and analytical complexities and how they would anticipate solving the challenges. The proposing team provides anticipated level of effort for each study. For one or more studies in the slate of studies provided, the proposers are required to provide a more complete description of the methods that would be used and the costs that would be required. These requirements are included to provide those reviewing the proposal with information on: how the team thinks through and solves problems, their current understanding of the types of studies presented, their ability to respond to novel situations, the ways the team thinks about pricing studies and their ability to explain their thought processes clearly in writing. Respondents are also required to provide guaranteed hourly rates for each year.

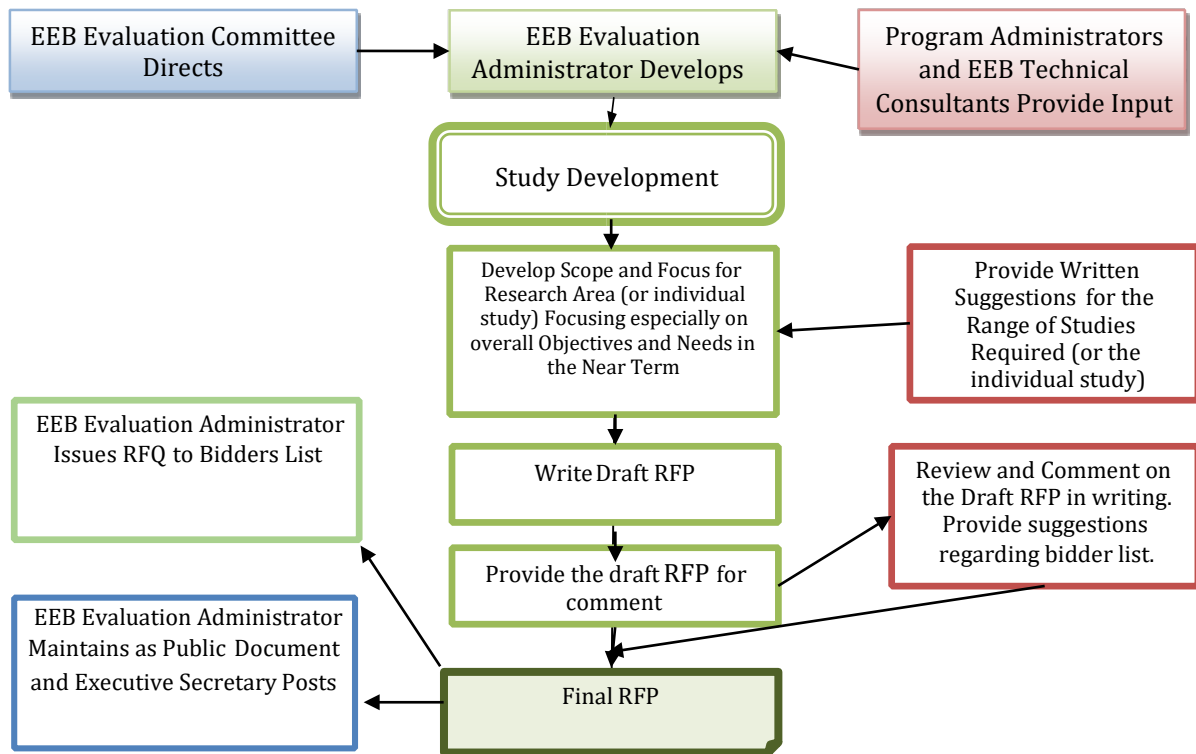
The Evaluation Administrator, as representative of the Evaluation Committee, finalizes the RFP after review and written comment by the Program Administrators and Technical Consultants. Thereafter, the Evaluation Administrator requests suggestions for bidders to be included in the issuance in addition to those already known. The Program Administrators may also suggest that inclusion of some contractors may be inadvisable, providing reasons for those beliefs. The Program Administrators shall provide their Terms and Conditions and other relevant contractual documents for inclusion in the RFP.

The RFPs explicitly identify the EEB Evaluation Committee as the entity requesting proposals and the EEB Evaluation Administrator, who works on behalf of the EEB, as the sole contact for additional information and for receipt of the proposals. The EEB Evaluation Committee, through the Evaluation Administrator, releases the RFP to previously identified firms, the Association of Energy Services Professionals (AESP), the International Energy Program Evaluation Conference (IEPEC) and the Executive Secretary posts the RFP to the Board website. See Figure 1.

### 1.3.1.1 DEVELOPMENT OF RFPs OUTSIDE THE RESEARCH AREA PROCESS

For projects voted by the EEB Evaluation Committee to be conducted outside the Research Area process, (for example if the study would require skills not currently available among the current contractor pool, or a separate bidding process is determined to be in the best interest of the State and its ratepayers), the development process is very similar to that discussed above. In the study development phase, the EEB Evaluation Administrator, with input from the EEB Technical Consultants and the Companies, develops the Scope of Work for the particular study to be undertaken. The Program Administrators and EEB Technical Consultants provide the EEB Evaluation Administrator with suggested study objectives, issues to be included in the scope, and types of results needed to form the focus of the RFP. The resulting RFP is prepared by the Evaluation Administrator and requests a complete and definitive proposal of the work that will be done and the price the contractor will require in order to provide that scope of work. All other aspects of the process are the same as that used for Research Areas.

Figure 1: Study RFP Process for Retention of Research Area Teams and Contractors for Individual Studies



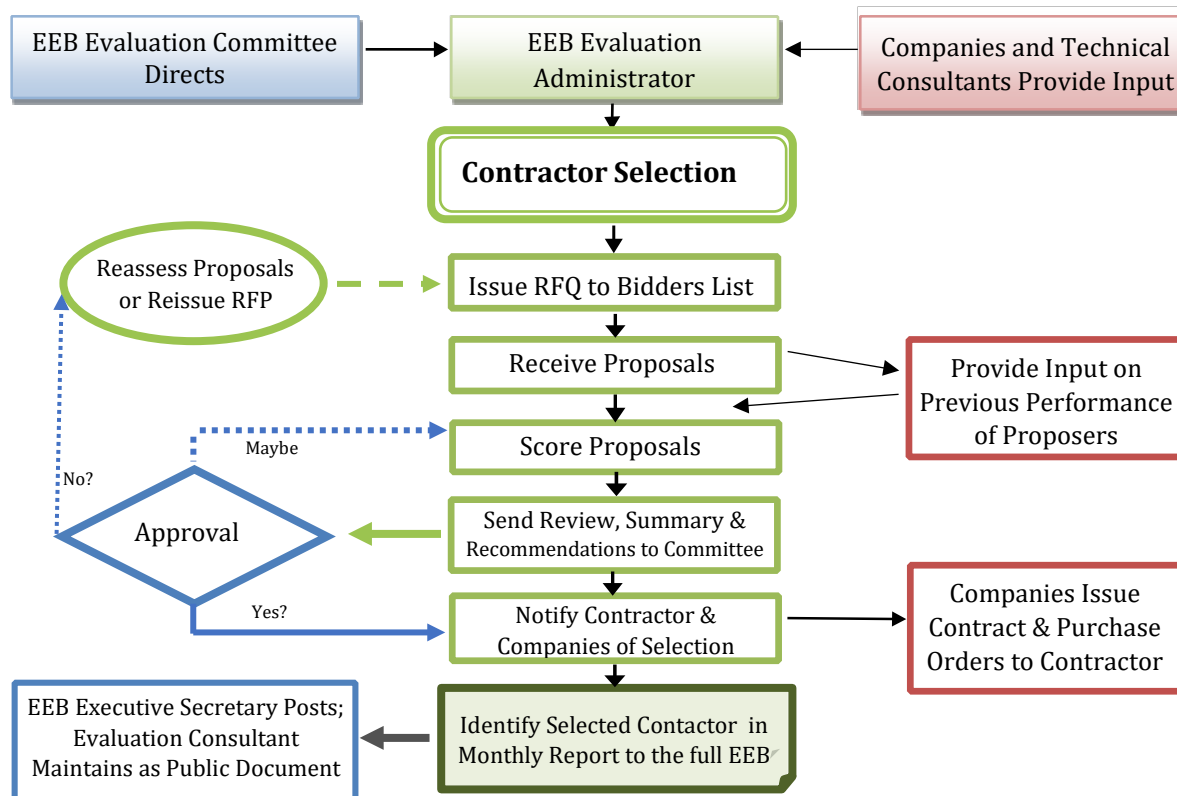
## 1.4 CONTRACTOR SELECTION PROCESS

### 1.4.1 CONTRACTOR SELECTION FOR RESEARCH AREA STUDIES

It is especially important that the selection of Evaluation Contractors be transparent. The EEB process (Figure 2) for selection of an evaluation contractor is:

- Contractor proposals are submitted directly to the EEB Evaluation Administrators who review the proposals. All proposals are initially reviewed for technical content only. Any reviews will be documented in writing. In addition, the EA team are expected to request information from the Technical Consultants and the PAs regarding previous performance of the bidding contractors. If a minimum of two reviewers are not available from the EA team, additional evaluators may be solicited from the Technical consultant team.

Figure 2: Contractor Selection Process for Research Areas



- The EEB Evaluation Administrator then scores the proposals based primarily on the understanding of the studies, quality of proposed approaches and solutions, the contractors' experience and qualifications, and the proposed costs.
- The EEB Evaluation Administrator sends a summary of the proposal analysis, and the EEB Evaluation Administrator recommendations to the EEB Evaluation Committee members.
- The EEB Evaluation Committee reviews the summary and selects the evaluation contractor.

- A public summary of the basis for selecting the winning contractor is drafted by the EEB Evaluation Administrator and approved by the EEB Evaluation Committee. The EEB Evaluation Administrator, Executive Secretary and each Program Administrator’s purchasing agent retains this summary of the basis for the bid award as public record.
- The EEB Evaluation Committee notifies the winning contractor and the other proposers.
- The Evaluation Administrator provides the RFPs, and scoring justification documents to the PAs for use by their procurement departments.
- The Program Administrators then issue contracts and execute Purchase Orders, depending on their Purchasing requirements.

EEB Evaluation Committee reports to the full EEB at the regularly scheduled EEB meetings. The report shall include identification information on the evaluation contractors selected since the previous EEB meeting.

#### 1.4.2 OPTIONAL PROCESS FOR CONTRACTOR SELECTION FOR NON-RESEARCH AREA STUDIES

For non-research area studies, the process is the same as listed above. Alternatively, the EEB Evaluation Committee may vote to allow the EEB Evaluation Administrator to conduct an abbreviated process, in which the contractor is judged by the Evaluation Administrator on the merits of the approach and pricing for their proffered solution to the individual project required. It is expected this abbreviated process will be reserved for small studies, quick turn-around studies, non-evaluation studies, or similar conditions. Note that the selected Research Area consultants are eligible to bid on these contracts.

### 1.5 PROJECT INITIATION

#### 1.5.1 PROJECT INITIATION

For all projects (Research Area / non-Research Area, Evaluation and non-Evaluation, and regional projects) included in the Evaluation Plan, and occasionally others (e.g., contingency fund projects, etc.), the Evaluation Administrator will move individual projects forward by providing to the Evaluation Committee with a Scope Overview document in the form of a PowerPoint presentation and kickoff meeting for committee vote. This document and meeting provide a brief summary of the project and scope, key objectives, tangible outcomes, general analytical methods, schedule, level of effort / budget, along with survey targets / topics / timing, and type and timing of data requests. The kickoff meeting provides an opportunity for comment and questions by the Committee, PAs, and Technical Consultants.

Prior to the kickoff meeting, the EA and the selected contractors shall conduct informational interviews with the PAs and the Technical Consultants to:

- Solicit information about the programs, directions, needed outcomes, context, and specific issues and topics of interest and need to assure the evaluation project will be well-informed and adequately support C&LM program planning and PSD update.
- Discuss with the PAs the general types of data required to support the evaluation design, and revise the design as necessary based on these discussions.

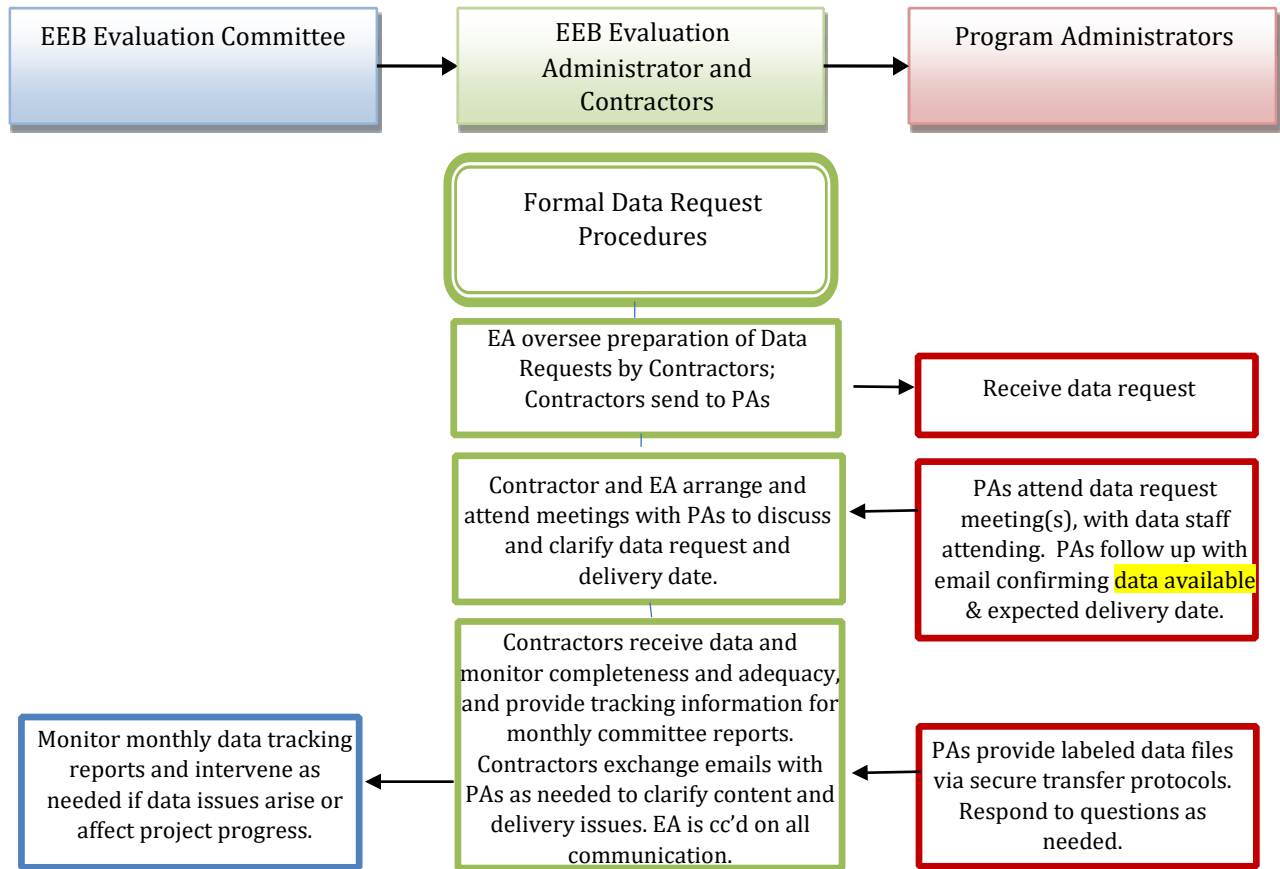
Additional meetings may be held with company staff, Technical Consultants, and Evaluation Contractors to assure good communication and project progress, but must include the Evaluation Administrator, with prior consent of the Evaluation Administrator. For both evaluation and non-Evaluation projects, notes of attendees and primary topics must be taken and retained. These meetings should occur as needed throughout the

process of the project to assure accurate information about the programs and issues being evaluated are well-understood.

### 1.5.2 FORMAL DATA REQUEST PROCEDURES

For each data request, the EEB Evaluation Administrator, the Program Administrators and the selected evaluation Contractor will meet to discuss the data request / needs, the availability, and processes for acquiring data. The EEB Evaluation Administrator gathers input from PAs and contractors, and organizes date, time, location, and needed personnel for the meeting, apprising the Program Administrators of the final schedule. The Program Administrators identify the appropriate data personnel needed based on the specific evaluation or program, and type of data needed. The delivery of the data should be advised by input from Program Administrators on scheduling, particularly related to data request timing and turnaround. The Program Administrators may raise questions relative to the requested data in order to ascertain if the data elements requested are appropriately understood by the contractors. The Program Administrators will describe data availability, format and requirements for transfer to the Contractor. Following this meeting, the Contractor may need to incorporate revisions to the Data Request. Upon receipt of the final Data Request, the Program Administrators must confirm in writing (email) the **data available and** date by which the data request will be supplied. Follow-up emails may be sent by contractors to PAs with questions about data received or interim updates or queries on data progress; formal meetings may be conducted, if needed, to clarify these issues. EA Team updates the Committee on data progress, and delays or quality issues affecting conduct of the evaluations. See Figure 3.

Figure 3: Formal Data Request Procedures



### 1.5.3 EVALUATION OVERSIGHT

The Evaluation Administrator is expected to hold management and administrative / technical kickoff meetings with the Evaluation Contractors, if needed to clarify / firm up changes, and is expected to hold regular progress meetings with contractors on projects. For Research Area and non-Research Area projects, following execution of contracts and release of Master Services Agreements between the PAs and the Selected Evaluation Contractor, meetings are held between the EA and the contractors to refine and finalize the Research Plan, a plan that incorporates information from the informational interviews and the meetings regarding data availability.

The Selected Evaluation Contractor and EEB Evaluation Administrator meet to establish management and reporting requirements, methodological metrics and an understanding of procedural requirements and processes that must be followed. In these meetings between the EA Team and Contractors, direction on content and provision of the Research Design will be developed. Evaluation designs must be developed to assure use of statistically valid monitoring and data collection techniques appropriate for the programs or measures being evaluated. The Contractor will be informed that all evaluations must contain a description of any problems encountered in the process of the evaluation, including, but not limited to, data usability and collection issues. Recommendations regarding addressing those problems in preparation for future evaluations are required.

## 1.5.4 DEVELOPMENT AND CONTENT OF WORK PLAN

### 1.5.4.1 Work plans are developed for each single project or project component.

A work plan is developed by the contractors in conjunction with the Evaluation Administrator. After the EA Team is satisfied with the final design, a Kick-off Meeting is scheduled by the Evaluation Administrator at which the contractor presents project goals and outputs, methods, schedule, and budget. Meeting invitees include at least the Evaluation Committee, PAs and Technical Consultants. The work plan is finalized after incorporating feedback from the Kickoff meeting. The EEB Evaluation Administrator will supply the EEB Evaluation Committee, Program Administrators, and Technical Consultants with notes summarizing the decisions made regarding any changes in methods as provided by the Contractor as the project proceeds.

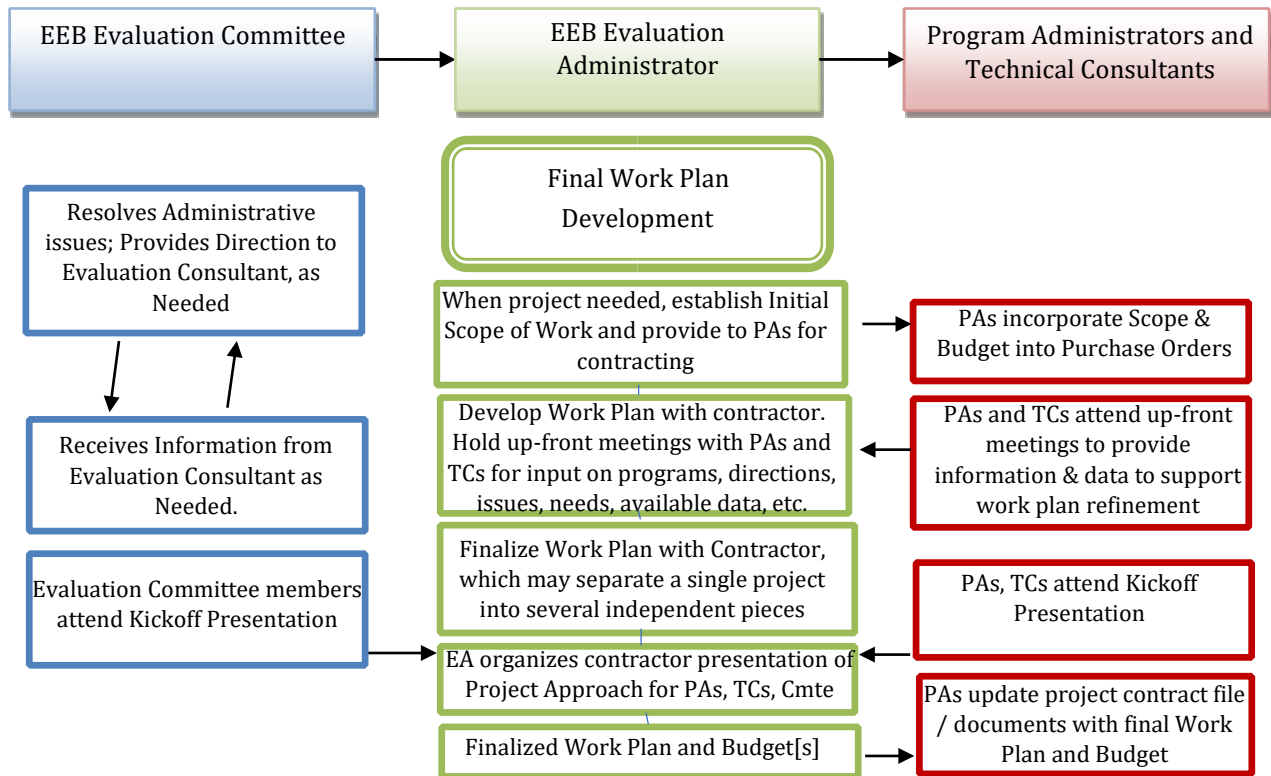
Within the work plan, it is sometimes helpful to break projects into smaller pieces for technical, budget, or scheduling reasons. First, doing so allows information to be provided quickly; it is not necessary, for example, to wait for both winter and summer data to be collected and analyzed before providing information on one of them. Information that can be provided quickly can be completed while planning is being completed for the larger project. In other cases, an early phase of work (e.g., literature or detailed data review) may be needed before details on a second phase or approach can be specified.

Subdividing the project also allows for competing demands for studies of different programs. As described above, the PAs should also be consulted in developing the data requests; in many cases, smaller data requests may also be preferable for the companies. For example, a program study that is developed in smaller discrete projects can allow for addition of a new project that requires immediate attention without delaying the entire original project.

The work plan content and key process steps are summarized below (See Figure 4).

- The draft work plan, addressing project objectives, methods, deliverables, budget, and timeline, consistent with the approved Evaluation Plan or RFP response (proposal) is provided to the Program Administrators for use in contracting / PO purposes.
- The Evaluation Administrator and Evaluation Contractor works together to identify specific objectives for the work. Meetings with the PAs and Technical Consultants are conducted to gather information on objectives, PSD or program information needs, available data, program directions, and other information useful to the study refinement process.
- The Contractor develops methods and timing to satisfy those objectives and reviews them with the EEB Evaluation Administrator. Work plans should be designed to support highest quality research and best practices, and should reflect the ISO-NE accuracy and precision requirements for evaluations. Evaluations should address evaluation and program performance issues, but are also important for forward-looking results and recommendations for the companies to enact their programs.
- After the kickoff meeting, a full work plan is developed and costs assigned. The final work plan will take precedence over the proposed work plan or any draft work plan in guiding the technical conduct of the study. This final refined workplan and budget is provided to the utilities as additional project documentation.

Figure 4: Final Work Plan Development



1.5.2.2 For stand-alone projects, the initial work plan is provided in the Contractor’s proposal. Then the kickoff meeting may identify scope changes to improve accuracy, align the plan with data availability, or reduce costs.

## 1.6 PROJECT MANAGEMENT AND COMPLETION

### 1.6.1 PROJECT MANAGEMENT

Once the evaluation contractor team has been selected and the evaluation has begun, the relationship between (1) the Evaluation Contractor, the Energy Efficiency Board Evaluation Committee and the Evaluation Administrator and (2) the Program Administrators, vendors of the Program Administrators whose products or services are relevant to the evaluation, all other Energy Efficiency Board members, DEEP, and the EEB Technical Consultants will be treated in a similar fashion to a contested proceeding, with the main objective to avoid undue influence on the evaluation.

However, the goal is also to provide Evaluations that are as well-informed about the programs, outputs, issues, and applications for the Evaluations as possible. This is partly facilitated by the up-front interviews with Technical Consultants and PAs that precede development of the refined project designs. Generally, to maintain distance, there shall be no informal communications regarding any design elements or outcomes of



the evaluation between the Program Administrators, vendors of the Program Administrators whose products or services are relevant to the evaluation, the Energy Efficiency Board, DEEP, and the Evaluation Administrator or Evaluation Contractor. However, if the Evaluation Administrators determine at any time that it would be beneficial to the Evaluation's quality (e.g., to clarify questions about programs, data interpretation, directions, etc.), such meetings may be held – and are encouraged; Evaluation Administrators are in attendance on the call.

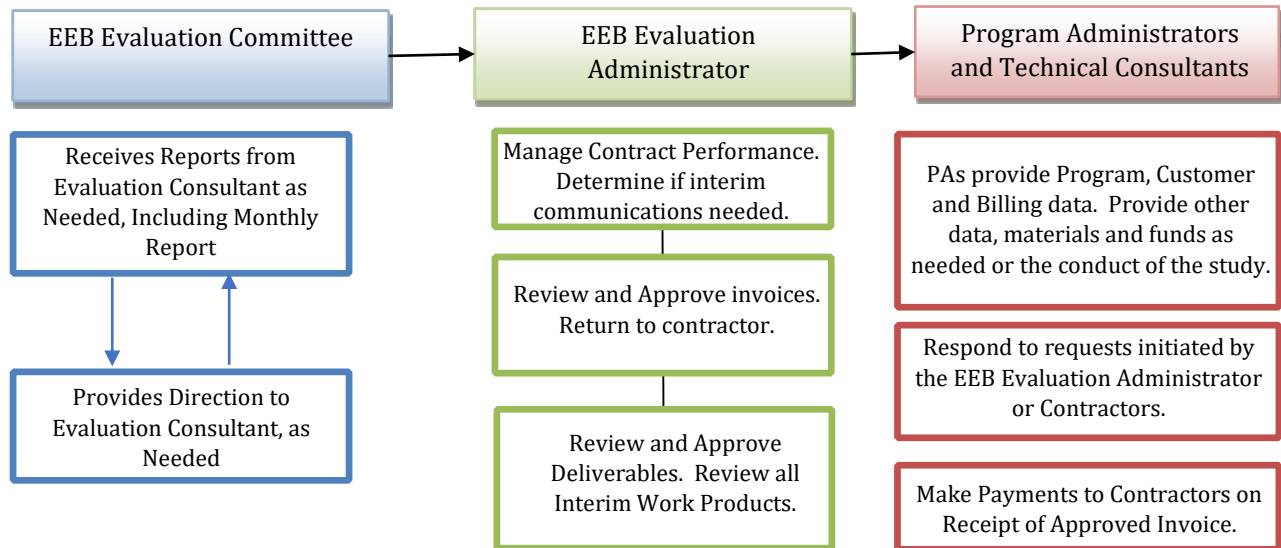
The EEB Evaluation Administrator leads the project management process (Figure 5) and is responsible for determining what information needs to be developed. In particular the Evaluation Administrator will:

- Work with the Contractor to resolve issues and expedite solutions. Determine if additional communication is needed with PAs or Technical consultants to inform project or processes.
- Review and approve all deliverables and milestones.
- Review all interim work products and any issues of importance that may impact the results or cost of the evaluation.
- Provide Review Draft report to the Evaluation Committee, Technical Consultants, and Program Administrators for comment.
- Retain all communications from the Contractor and from Program Administrator representatives.
- Review and approve Contractor invoices for payment by the Program Administrators from the CEEF.
- Provide the full EEB with reports on evaluation schedules and internal project deadlines through monthly reports to the Board.

The Program Administrators act as CEEF contract administrators and conduits for program information. Specifically, the Program Administrators:

- Issue payments to the independent evaluation contractors on approval of the EEB Evaluation Administrator.
- Provide required program, billing, customer data and any other information needed for the completion of the study.
- Provide other materials as needed.

Figure 5: Project Management



### 1.6.2 PROJECT COMPLETION

There are no differences in procedures between research area studies and non-research area studies. Program Administrators, the Energy Efficiency Board, DEEP, the EEB Technical Consultants, Vendors, and the general public are not permitted to receive or review any internal draft evaluation reports. When the Review Draft report is ready for release for public review, the EEB Evaluation Administrator provides it to the EEB Executive Secretary who then notices the Review Draft, posts it to the EEB site and simultaneously provides it to the EEB Board, EEB Technical Consultants and those Program Administrator representatives the PAs have designated as well as to any additional Other Persons who have expressed interest in the evaluation study. All parties are invited to provide comments in writing within two calendar weeks after the Review Draft is noticed. The EEB Evaluation Committee may vote to extend the review period for any particular study.

After the review, comments are considered by the EEB Evaluation Committee and the Evaluation Administrator, and the EEB Evaluation Administrator will do one or more of the following:

- Finalize the report with no additional changes
- Provide direction to the Contractor on how to incorporate those changes that are needed
- Require a new Review Draft that will be available for review by Program administrators, Board members and/or EEB Technical Consultant and Other Persons.

The Evaluation Administrator will consider all comments and work with the Contractor to finalize the evaluation report and submit it to the Evaluation Committee for approval. The Evaluation Administrator will assure the report includes a summary of key results suitable for Technical Meeting notices (abstract).

When the Final Report is ready, the Evaluation Administrator, through the EEB Executive Secretary, will file the evaluation report with the Board and with DEEP. The Board shall post a copy of each report on its Internet web site. See Figure 6. The Board and its members, including electric distribution and gas Program

Administrator representatives, may file written comments regarding any evaluation with DEEP or for posting on the Board's Internet web site.

1. A Technical Meeting may be provided in association with any process and impact evaluation study or other evaluation study if any members of the board and/or Program Persons request such a meeting in writing within two weeks of posting. In that event, DEEP shall arrange for the technical meeting to be recorded or transcribed. Participants in any such transcribed technical meeting shall include the Evaluation Administrator, the evaluation Contractor and the Office of Consumer Counsel (at its discretion).
2. If a technical meeting has not been requested within the two-calendar week window, the EEB Evaluation Administrator and Contractor will schedule a public presentation of the final report, which is noticed by the Executive Secretary. Comments that remain after the final report or presentation may be provided in writing to the Evaluation Team and Executive Secretary and will be posted on the website by the Executive Secretary.
3. The Program Administrators will provide memos to the Evaluation Administrator of responses regarding whether and how they intend to implement each evaluation recommendation in each evaluation committee report, including recommendations related to data, programs, PSD values and other. These memos will be provided twice a year, coordinated to support the C&LM Plan Updates, which are filed in March and November. One memo will e.g., cover all final reports completed by the December 1 and another covering new final reports completed by May 15. The PA memos will be provided six weeks after these dates. This timing is implemented to assure values can be agreed in advance of PSD update and C&LM planning. Note that the PSD will only be updated based on evaluation recommendations once a year, with updates made to include the May 15 reports and made in time to be filed with the November 1 C&LM Plan.
4. Within four calendar weeks after the PA Responses have been filed, the EEB Evaluation Administrator is required to respond in writing to the Program Administrators' memo, which will identify agreement and highlight concerns about recommendations the PAs do not intend to implement. Within one month thereafter, the EEB Evaluation Committee votes and issues the document.
5. The Evaluation Administrator will be provided with a mark-up of the PSD to facilitate confirmation that the agreed updates based on evaluation recommendations are incorporated. This document and a summary memo highlighting deviations will be provided at least 3 weeks before the PSD review process is completed or finalized to allow the Evaluation Administrator to identify whether key evaluation results have been incorporated into the PSD in a timely manner and consistent with the direction of the treatment of study recommendations identified in the memo vote by the Committee. Discussion with the PAs is encouraged to facilitate speedy understanding and rationale. Within 3 weeks of receipt of the marked-up PSD and memo, the Evaluation Administrator will provide a memo to the Evaluation Committee identifying key remaining gaps or any concerns.

Records of all communications during the evaluation, the Review Report and written comments will be kept on file and maintained after the evaluation has been completed. This information, excluding any confidential customer data, shall be available to the public without protective status. Any communications that include confidential customer information will be released following the guidelines in Section 2 below. The EEB is responsible for maintaining all evaluation products, both interim and final with the exception of data, which are maintained by contractors using secure procedures for a period of five years (as mentioned below). Neither the third-party contractor nor the Program Administrators nor the Evaluation Administrator may release preliminary or final data without prior approval from the EEB Evaluation Committee or its designee. However, the Evaluation Administrators may identify project or customer data gathered for one project that could be beneficial to the State and to the conduct of evaluations if shared with another project. In this case, if

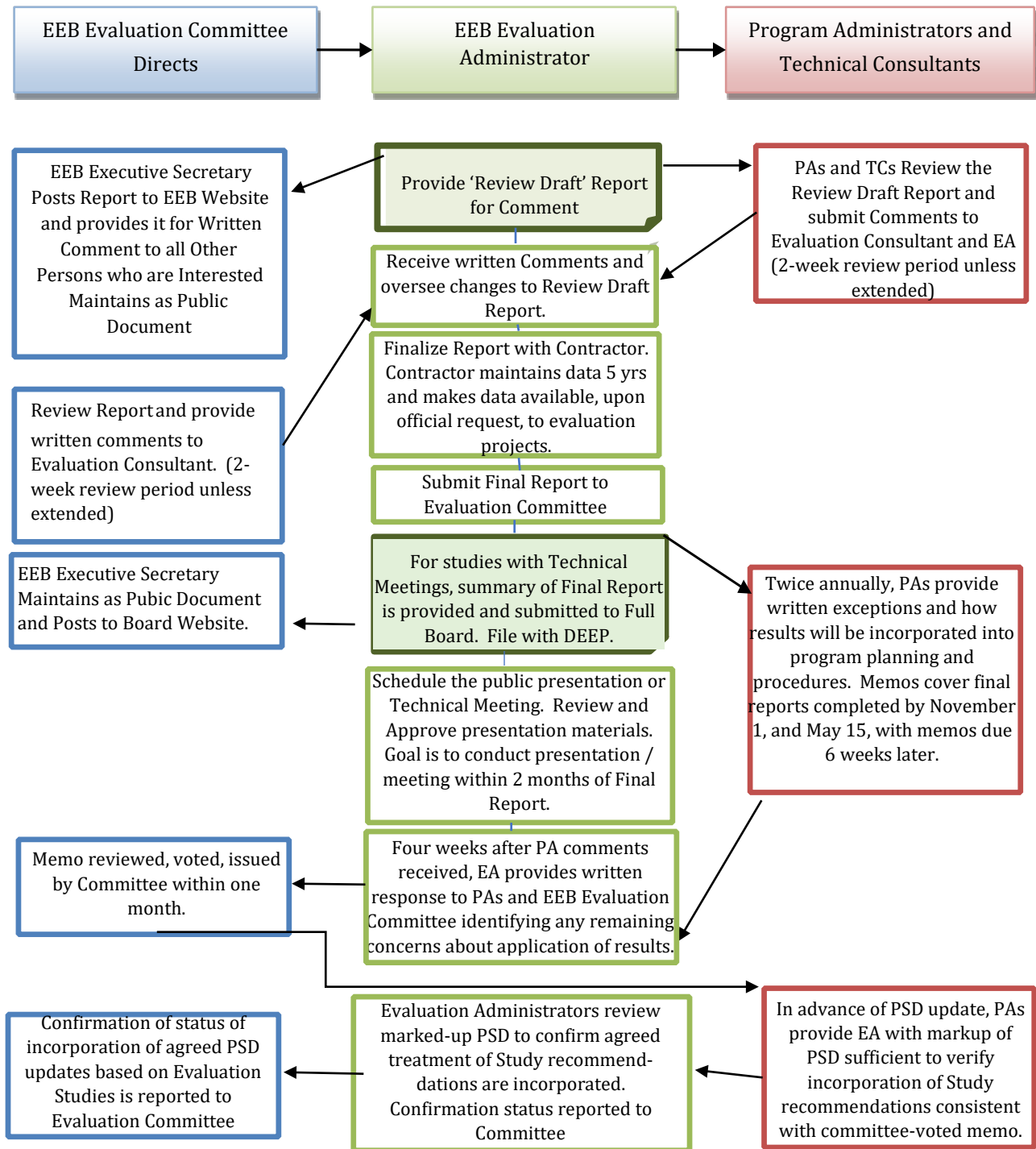
all firms have complied with all data security procedures required by the Program Administrators, the Evaluation Administrator may request this data transfer, and will notify the Evaluation Committee at the next regular meeting.

Note that at the conclusion of projects, all Evaluation Contractors will be required to maintain reasonably-documented databases of input, interim, and final datasets in secure form and provide those data to the Evaluation Administrators or Evaluation Contractors or PAs or others as specified by the Evaluation Administrators via secure transfer upon request and at no fee for a period of five years.

## 1.7 REGIONAL STUDIES

The EEB Evaluation Committee may delegate the Evaluation Administrator to represent the EEB Evaluation Committee in all regional evaluation studies, either with Northeast Energy Partnership (NEEP) or with individual Companies and groups of Companies from outside of Connecticut. The EEB Evaluation Administrator will then assume the leadership role for the EEB in all discussions and negotiations among the regional parties involving these evaluation or research studies and bring any substantive issues before the Evaluation Committee. No other entity will hold itself out as representing Connecticut's interests in selecting, reviewing or managing evaluation studies. To the extent applicable and for all regional studies, the EEB Evaluation Administrator and the Program Administrators shall exercise responsibilities in an equivalent fashion as those identified in this document for Evaluation or Research studies as applicable. This does not restrict multi-state utilities from participating in the non-CT portions of these projects in manners consistent with Roadmaps or other governing documents from those other states.

Figure 6: Project Completion for all Evaluation Committee Studies



## 2. COMMUNICATIONS PROTOCOLS FOR EVALUATION AND NON-PROGRAM EVALUATION RESEARCH STUDIES

The purpose of this document is to provide communication procedures for Connecticut Energy Efficiency Fund evaluations in accordance with the provisions of Public Act 11-80. In this section, there are not differences between stand-alone studies and studies conducted through Research Areas.

### 2.1 CONFIDENTIAL CUSTOMER DATA

Processes for protection of confidential customer information are important since substantial quantities of this information are typically exchanged during the course of evaluation studies. Confidential customer data is defined as any personally identifiable customer information, including but not limited to name, account number, telephone number, email address, and service or billing address. Confidential data also includes survey, interview, or similar data that was collected with a guarantee of confidentiality as part of the recruitment process. The purpose of these procedures is to identify any correspondence that contains confidential customer data. If correspondence that has been identified as containing confidential customer data is requested for public release through a DEEP process, a request from the general public, or any other request, the EEB Evaluation Administrator will submit the document(s) to DEEP for a determination regarding the need for a protective order, redaction, or other methodology to protect the privacy of customers while assuring transparency of the evaluation process.

In addition to the term and conditions set forth in the professional services and data security agreements between the program administrators, evaluation contractors, and evaluation administrators, the following procedures will be employed when dealing with confidential customer data during the evaluation process. The EEB Evaluation Administrator, Program Administrators, and evaluation contractors will all observe the following for communications between each other:

- All documents that contain confidential customer information must be clearly labeled as such. It is unacceptable for these documents to contain statements that the document “may” contain confidential information. Documents containing confidential customer data must include the word “confidential” or phrase “contains confidential customer information” on every page, or in the case of spreadsheets, “confidential” must be at the top of each worksheet.
- Emails may not contain confidential customer information, but are only sent via secure filesharing services. Communications that contain confidential customer information in the body or attachments must use the word “confidential” in the subject line. In addition, any attachments that contain confidential customer information must include the word “confidential” on every page, or in the case of spreadsheets, “confidential” must be at the top of each worksheet.
- When responding to an email that contains confidential customer information and for which the confidential information is not required for the response, all confidential customer information must be removed. The confidential label must then be removed from the subject line.
- If confidential customer information is transmitted by the one of the program administrators without the labeling described above, that program administrator is solely responsible in the event that information is re-transmitted or otherwise made available to other parties by one of the recipients.

## 2.2 COMMUNICATIONS CONCERNING STUDIES THAT ARE NOT PROGRAM EVALUATIONS

The EEB Evaluation Committee has been charged with completing important studies that are not studies evaluating a program's process or performance. These studies provide information to inform program development. Among them are:

- Market assessment studies
- Studies of customer preferences, participation etc.,
- Baseline studies
- Workforce development studies
- Other studies designed to collect and develop information other than that to evaluate program performance

### 2.2.1 DETERMINATION THAT A STUDY IS A PROGRAM EVALUATION OR A NON-PROGRAM EVALUATION STUDY

Before a study can be considered a non-program evaluation study, the EEB Evaluation Administrator will outline the study's objectives and likely results to the Evaluation Committee which will make any inquiries needed to be satisfied that the study is not a program evaluation. This initial determination is provided as part of the development of the Evaluation Plan, but is revisited upon project start-up. If the Evaluation Committee considers a study to be a program evaluation or cannot reach consensus that the study is not a program evaluation, then the study will be treated in all ways as a program evaluation as outlined in this Roadmap. If anyone, including another Person attempts to affect the conduct of the study in order to ensure it produces results it finds favorable, the study will be treated as if it were a program evaluation thereafter.

### 2.2.2 COMMUNICATION RESTRICTIONS FOR NON-PROGRAM EVALUATION STUDIES

There are no restrictions on communications between the Evaluation Committee, EEB Evaluation Administrator, members of the Board, the Board Technical Consultants and Program Administrators at any time during any study. Communication may not be conducted with the Evaluation Contractors (Research Area or individual study), unless approved by the Evaluation Administrator, and may not be conducted without involvement of the Evaluation Administrator.

## 2.3 COMMUNICATIONS PRIOR TO PROGRAM EVALUATION STUDY INCEPTION

1) When an Evaluation Contractor has not yet been selected for a given program evaluation, there are no restrictions on communications between the Evaluation Administrator, and Program Administrators, EEB Technical Consultants and EEB members. As provided in the Evaluation Roadmap, anyone in these organizations may offer suggestions, information and opinions concerning the focus of studies, issues and methods that might be included in a Request for Proposal or Request for Qualifications, and on the quality of Contractor submissions in response to RFPs. These persons may provide suggestions on contractors to be included in the RFP solicitation, and provide recommendations and feedback on experience they may have had with specific bidders, but may not provide suggestions on which Contractor will be selected to avoid influence on the design of the evaluation.

During the development of the Annual Evaluation Plan, these Persons may suggest studies to be included in the Plan, provide rankings of study priority, and outline important issues to consider.

Communications prior to study inception will generally be in written form and will be retained. Should meetings or conference calls be needed that include the Evaluation Contractor and any party beyond the Evaluation Administrator, the Evaluation Administrator will take minutes, or the call will be recorded and notes retained.

2) Meetings between the PAs and Technical Consultants and the EA Team and Evaluation Contractors during the project design refinement phase of the study will be held to solicit background information on the programs, needed outcomes, directions, issue, and other information useful to a well-informed evaluation. These meetings may only be held with the attendance of the Evaluation Administrator.

3) After the Contractor has been selected, and the EA has identified the Program Administrators and EEB Technical Consultants and Evaluation Committee members are invited to the official Kick-off meetings to better understand the methods that will be employed, ask questions, make suggestions, and provide information on data availability and procedures to access that data.

## 2.4 COMMUNICATIONS DURING THE PROGRAM EVALUATION STUDY

There shall be no informal communications regarding the design or outcomes of an active program evaluation between the Program Administrator staff, Energy Efficiency Board members and the Evaluation Administrator and Contractor except in the following circumstances:

- Interim communications between the PAs or Technical Consultant and the Evaluation contractors may be held if the EA believes it is in the best interest of the evaluation (to answer questions, clarify data, etc.), but only with the attendance of the Evaluation Administrator, or if by email, with cc to Evaluation Administrator. These communications are encouraged where the evaluation will benefit, but at the instigation of the Evaluation Administrator.
- The EEB Evaluation Administrator may continue to consult with the EEB Evaluation Committee or Companies or others for administrative purposes, including issues regarding data requests.
- Contractors may communicate directly with Program Administrators on issues related to data requests and associated follow-up questions. The Evaluation Administrator will be copied on these emails and will attend any data-associated phone meetings.
- EEB Board members, including members of the evaluation committee, shall not communicate directly with an Evaluation Contractor conducting an active evaluation without the Evaluation Administrator being present.
- Records of all communications during the evaluation, written reviews of the draft report and written comments on the final report shall be kept on file and maintained after the evaluation has been completed. These records, with the exception of documents or emails containing confidential information, shall be made available to members of the public upon request.

To meet these requirements:

- The EEB Evaluation Administrator will initiate requests for technical assistance, data and administrative action to the specific person (Program administrator or their vendor, or EEB Technical Consultant) that holds the data or information to respond to that request whenever needed. The requests will most frequently be made in writing; however, some telephone communication is likely to be needed in order to clarify needs and reduce delays.



- When these requests are made, the entity can respond with the materials, data, and/or other action required. The entity may also respond with any clarifying questions. Clarifying questions may not include questions regarding the need for the materials, data, and/or action, except to suggest that there may be a superior solution, which the EEB Evaluation Administrator will consider.
- Program Persons will not initiate these discussions.

## 2.5 COMMUNICATIONS WITH EVALUATION CONTRACTORS DURING A PROGRAM EVALUATION STUDY

Determining appropriate Communications protocols between the EEB Evaluation Administrator and the Contractor that performs the program evaluation study versus Program Persons can be difficult. While the Act makes clear that Program Persons generally should not be in direct communication with Contractors, there are times when such communications are important and solutions involving intermediaries inefficient. A careful balance follows:

- 1) Vendors and other members of the public may never communicate with an Evaluation Contractor
- 2) Under nearly all circumstances, persons who are not part of the Evaluation Team may not communicate directly with the Contractor, either by phone, in writing, or in person. DEEP, Board members, (including the EEB Evaluation Committee), Technical Consultants, and Program Administrators' representatives or their vendors, may not communicate with an evaluation contractor about an ongoing evaluation except with the express permission and in the presence of the EEB Evaluation Administrator, which may only be granted if the EEB Evaluation Administrator believes the communication will not compromise the independence of the evaluation.
- 3) Any allowed communications that can be conducted in writing will be conducted in writing. Those written communications will be sent to the EEB Evaluation Administrator for transmission to the Contractor. Responses will also be transmitted through the EEB Evaluation Administrator.

Exceptions include:

- 1) As described in Section 1.4.1, the Kick-off meeting is an exception to the written comment requirement, as input comments from attendees are verbal.
- 2) Communications concerning data collection. As mentioned above, all data requests are required to be followed by a data request meeting with the PAs, Evaluation Contractors and EA. When additional discussions must be made by phone, most often concerning secure data transfer, the EEB Evaluation Administrator will also be on the phone. In cases where time is of the essence and the EEB Evaluation Administrator cannot be available, if the Evaluation Administrator pre-approves, the Contractor will provide a record of the call, either in writing or by oral recording (with attendee permission) and provide that record to the EEB Evaluation Administrator.
- 3) Collection of data. Direct data collection on the Program Administrator premises should be avoided or completed through administrative assistants or 3<sup>rd</sup> party vendors (e.g., copying services), whenever possible. However, if the Contractor must copy data in person, Program Administrator administrative staff may assist the Contractor as needed. No personnel that manage or staff the program may be present.
- 4) Direct communications concerning electronic data transfer to be held between Program Administrator IT personnel and their IT counterparts for the Contractor may be held so long as no other Program Administrator staff that manage or staff the program is participating in the meeting in any way, including as an inactive participant.

- 5) Contract issues that extend beyond the study start date. Utility purchasing agents may communicate with the Contractor for the purpose of resolving contract issues *that do not in any way affect the study or outcomes*.

Contractors will be fully apprised of these requirements and must agree to adhere to them.

## 2.6 SITE REPORTS IN PROGRAM EVALUATION STUDIES

Site Reports may become available (depending on the nature of study) prior to completion of the Draft report. Site Reports provide detailed information on what the Contractor's team found at each of the customer premises inspected during the study. Findings may include things such as differences between tracking system equipment and that found in the facility, logger locations, conditions of operations and more.

The site reports reflect the Contractors' collection of data. Because the site reports may contain information that would help the Program Administrators better serve their participants or prevent ongoing problems, it is important that the site reports be available upon request to the Program Administrators after they are reviewed / approved by the Evaluation Administrator. Provision of site reports and response to questions concerning information in a site report will be completed using the protocols described in the "Communications with Evaluation Contractors" section. These reports will contain confidential data and will be treated as such.

- 1) The EEB Evaluation Administrator will make site reports available to the Program Administrators (each Program Administrator receiving only the reports for its own customers) when all site reports are completed. Secure communication protocols will be used as appropriate, depending on content.
- 2) If the Program Administrators have questions concerning a site report, they will submit those questions in writing to the EEB Evaluation Administrator. The EEB Evaluation Administrator will review the questions submitted and, if appropriate, provide the questions to the Contractor.

## 2.7 COMMUNICATIONS CONCERNING PROGRAM EVALUATION STUDY RESULTS/REVIEW OF DRAFT MATERIALS

The Companies and Energy Efficiency Board will not be permitted to comment on internal draft evaluation reports. When the report is ready, the Evaluation Committee will issue the Review Draft report to the Program Administrators, EEB members and the Program Technical Consultants for written comment that shall become part of EEB's public record. At that time, the Program Administrators, Technical Consultants, and the Energy Efficiency Board may make public written comments. The Evaluation Administrator will then make modifications at their discretion then issue either a final report or another draft report.

Records of all written/email communications during the evaluation and regarding the draft report (herein called the "Review Draft") and written comments on the planning and draft reports are kept on electronic file and maintained after the evaluation has been completed. This information is available to the public upon request.