

# The EEB Program Evaluation Roadmap

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*Updated Final December 2014*

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## **DEFINITIONS:**

<b>EEB - Energy Efficiency Board</b>	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 plan; collaborating with the Connecticut Green Bank to further the goals of such plan; 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.
<b>EEB Evaluation Administrator</b>	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.
<b>EEB Technical Consultants</b>	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.
<b>EEB Evaluation Contractor</b>	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.
<b>Evaluation Team</b>	The Evaluation Team is made up of the Evaluation Administrator, Evaluation Contractor and the Evaluation Committee.
<b>Program Administrators / Companies</b>	Program managers or program representatives from the Companies. Program Administrators are not intended to be Other Persons.
<b>Program Persons</b>	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.
<b>Other Persons</b>	Other Persons include Program Vendors and Implementers and members of the public.
<b>Evaluation Studies / Research</b>	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 issued in topic areas voted on by the Evaluation Committee, covering the Residential and Commercial / Industrial areas. 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.

# The EEB Program Evaluation Roadmap - Revised December 2014

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Consistent with Public Act 13-298, Public Act 11-80 S 33, the Final Decision in Docket 10-10-03, and ,Connecticut General Statutes section 16-245m(d)(4),this revised Program Evaluation and Market Assessment Roadmap is presented.

## 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 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) are in a strong position to identify aspects of their programs (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 two years and 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. 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, 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 Administrators organize the information and use 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 criteria, including, the maximum number of studies that can be feasibly reviewed by the Consultants, Contractors, 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. ,

Voting members of the Board determine the budget for evaluation to be included in the 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 their implementation. 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 resulting total budget to submit to the full EEB for vote;
- Writes Evaluation Plan to be approved by the EEB Evaluation Committee and 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 two years, and updated in the second year. The third year of the Plan provides guidance for key elements of the first year of the new three-year plan, for continuity.

## **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 and budgets 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.

The winning proposer is the primary evaluation contractor team for their particular research area. That team 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.

### **1.2 STUDY DEVELOPMENT**

#### **1.2.1 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 Consultant develop the Request for Proposals, with input from the EEB Technical Consultants and the Companies. 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 Companies and Technical Consultants. Thereafter, the Evaluation Administrator requests suggestions for bidders to be included in the issuance in addition to those already known. The Companies may also suggest that inclusion of some contractors may be inadvisable, providing reasons for those beliefs. The Companies shall provide their Terms and Conditions 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

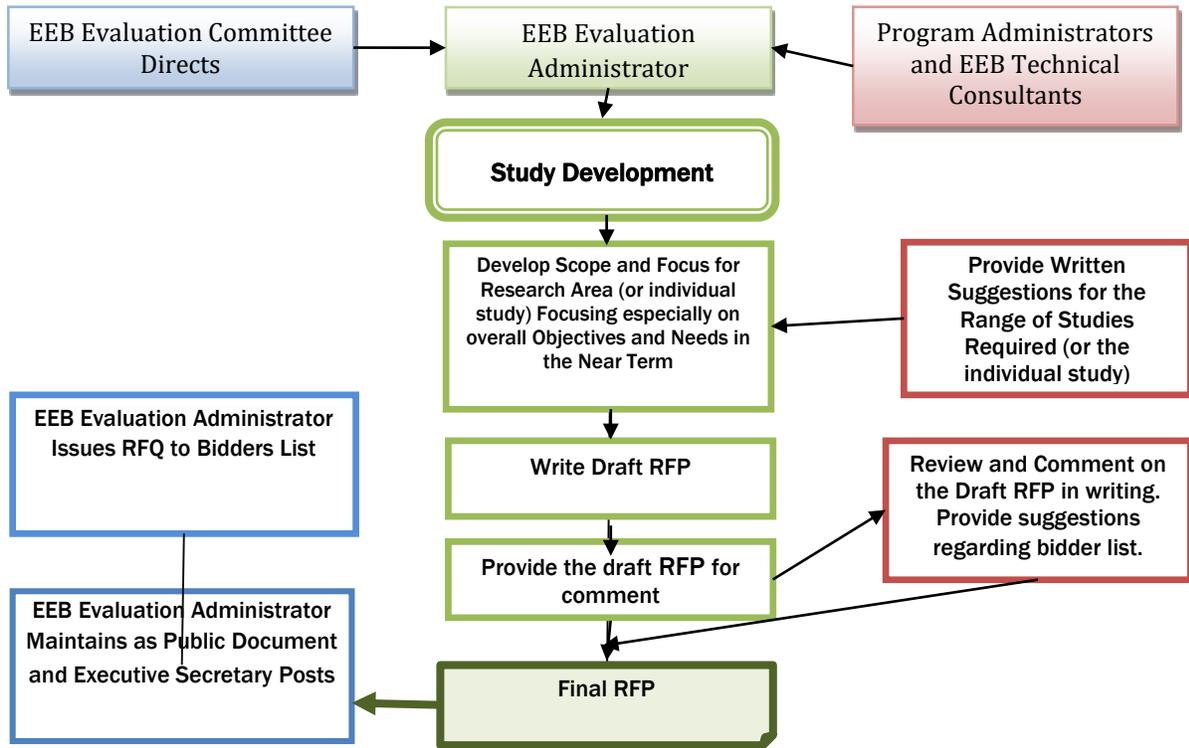
the RFP to previously identified firms, the Association of Energy Services Professionals and the Executive Secretary posts the RFP to the Board website.

See Figure 1.

#### **1.2.1.1 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**



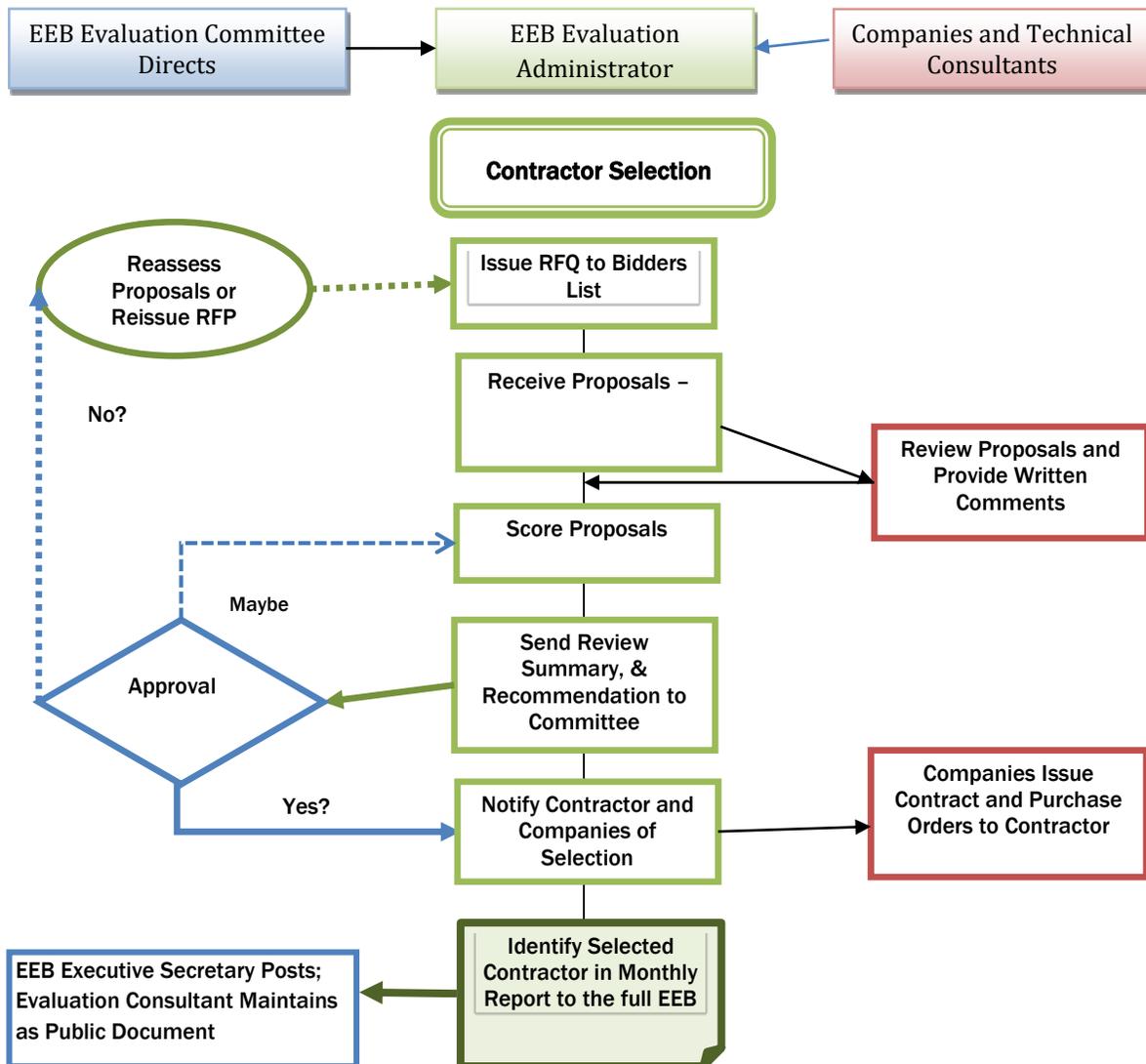
### 1.3 CONTRACTOR SELECTION PROCESS

#### 1.3.1 CONTRACTOR SELECTION FOR RESEARCH AREA STUDIES

It is especially important that the selection of 3rd party contractors be transparent. The EEB process (Figure 2) for selection of an evaluation contractor is:

- Contractor proposals are submitted directly to the EEB Evaluation Committee through the Evaluation Administrator. The Evaluation Administrator provides the technical proposals to EEB Technical Consultants and a staff person or persons from each appropriate Program Administrator who may review the proposals. All proposals are initially reviewed for technical content only. Any reviews will be provided to the EEB Evaluation Administrator in writing.

Figure 2: Full Contractor Selection Process



- 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 top 2 or 3 finalist proposals are identified.
- The EEB Evaluation Administrator sends a summary of the finalist proposals, 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 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.

### **1.3.2 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 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.

## **1.4. PROJECT INITIATION**

### **1.4.1 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 for committee vote. This document provides a brief summary of the project and scope, key objectives, tangible outcomes, general analytical methods, level of effort / budget, along with survey targets / topics / timing, and type and timing of data requests. This document includes four elements treated as additional, outside the base budget provided, and requiring specific committee vote:

1. Review of scope / work plan document (with additional costs to Evaluation Contractor and Evaluation Administrator): If scope review is approved as part of the scope overview document, a work plan is submitted broadly for written comment / mark-up (with comments aggregated for each Company). The Evaluation Contractor and Evaluation Administrator negotiate a revised plan, and if the revisions call for a revised budget or substantial changes to the scope, a revised Scope Overview document and budget is provided for consideration and vote to the EEB Evaluation Committee. The Evaluation Administrator issues the final / revised scope (this is conducted after the kickoff, if kickoff is selected).
2. Kickoff of Work plan (with additional costs to Evaluation Contractor and Evaluation Administrator): If attendance at Kickoff meeting is approved in the project's scope overview above, the Evaluation Administrator schedules a call-in / web kickoff meeting and the Evaluation contractor walks through scope / approach in kickoff meeting. The meeting is broadly noticed to the Evaluation Committee, Technical Consultants, Companies, Program Administrators, and others,, and their schedules are considered in the designation of the kickoff date and time. The Evaluation Administrator takes comments and works with the Evaluation Contractor to revise scope, if warranted. The Evaluation Administrator prepares and distributes a memo of any substantial changes that for wide distribution including to the Evaluation Committee, Technical Consultants, and Program Administrators, among others. IF both kickoff and scope are selected, these changes are reflected in the final scope. If the project is an evaluation project, the Evaluation Contractor will avoid detailed topics of survey questions.
3. Review of Survey Instruments (with additional costs to Evaluation Contractor and Evaluation Administrator). Note this step cannot be considered or included for Program Evaluation Studies. If review of survey instruments is approved in the project's scope overview above, the draft survey instrument is distributed and written comments are provided to the Evaluation Administrator (one document per company). The Evaluation Administrator and Evaluation Contractor develop a revised version – the Revised draft – which is distributed. The Evaluation Administrator may request that additions must be paired with subtractions, to make sure requests are useful.

4. Other special elements (with additional costs to Evaluation Contractor and Evaluation Administrator).

Additional data meetings may be held with company staff 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. When data requests are involved, the EEB Evaluation Administrator, the Program Administrators and the selected evaluation Contractor meet to discuss the proposed approach and establish data availability and processes for acquiring data. The EEB Evaluation Administrator organizes date, time, location and needed personnel for the meeting, apprising the Program Administrators of the final schedule. The schedule should be advised by input from Companies on scheduling, particularly related to data request timing and turnaround. Representatives of the Program Administrators may attend this first kick-off meeting, often by phone, since meetings will be held either in the presence of the Evaluation Administrator or by telephone with Evaluation Administrator in attendance. This requirement is set in order to ensure the selected Contractor understands the project management structure and need for the study to be independent of those who administer the programs studied. The Program Administrators may raise questions relative to the scope of work and will describe data availability, format and requirements for transfer to the Contractor. Following this meeting, the Contractor may need to incorporate revisions to the final Scope of Work

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, a Kick-off Meeting is held between the Selected Evaluation Contractor and the EEB Evaluation Administrator. The Selected Evaluation Contractor and EEB Evaluation Administrator meet to establish management and reporting requirements, methodological metrics and an understanding of processes that must be followed. In this meeting, direction on content and provision of the Final Work plan will be developed. Evaluation work plans 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. The Contractor will also be apprised of all reporting relationships and procedural requirements. The EEB Evaluation Administrator will supply the EEB Evaluation Committee and the Program Administrators with notes summarizing the decisions made regarding methods as provided by the Contractor.

If the Evaluation Administrator identifies issues that may reflect the possible introduction of bias, conflict, or other problems in comments received in scoping / kickoff / surveys for evaluation studies or other stages, the Evaluation Administrator may, at its discretion, call a meeting or call of the EEB Evaluation Committee to notify about and discuss the issue. The meeting or call will involve a discussion of the perceived problem and call for a vote of the Evaluation committee for resolution of the issue.

## **1.4.2 DEVELOPMENT OF A WORK PLAN**

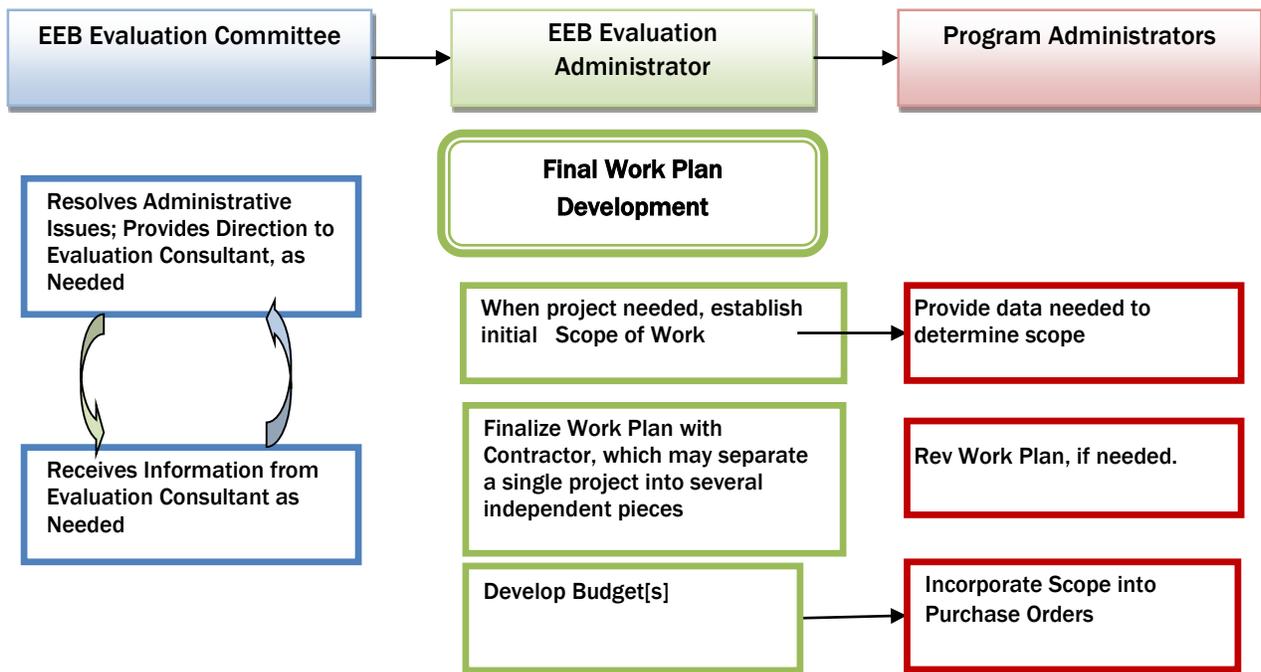
1.4.2.1 Work plans in the Research areas are developed for each single project or project component. It is sometimes helpful to break projects into smaller pieces for technical and scheduling reasons. First, doing so allows information to be provided quickly; it is not necessary, for example, to wait 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. Subdividing the project also allows for competing demands for studies of different programs. The Companies 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. Therefore the first step is to identify the highest priority study. Priority can be determined by the need to capture weather characteristics, need for information, or regulatory requirement. Then In the Research Areas for each project or subproject:

- The Evaluation Administrator and Evaluation Contractor works together to identify specific objectives for the work
- The Contractor develops methods and timing to satisfy those objects and reviews them with the EEB Evaluation Administrator
- A full work plan is developed and costs assigned
- If additional review steps are approved / voted by the Evaluation Committee, an additional review process is conducted.
- The Final work plan and budget are provided to the Companies. United Illuminating then provides an individual Purchase Order for each project or subproject.
- Note that 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.

See Figure 3.

**Figure 3: Final Work Plan Development**



1.4.2.2 For stand-alone projects, the initial work plan is provided in the Contractor's proposal. Then the kick-off meeting may identify scope changes to improve accuracy, align the plan with data availability, or reduce costs. These scope changes may impact the budget as well as changing the work plan.

If additional review steps are voted and funded by the Evaluation Committee, the Program Administrators and EEB Technical Consultants may review potential changes to the work plan and provide comments in writing. The Evaluation Administrator considers these comments and then finalizes the work plan with the selected Contractor. The final work plan and budget will be provided to the Program Administrators for incorporation into Purchase Orders (or, often, revised Purchase Orders). The final work plan will take precedence over the proposed work plan or any draft work plan in guiding the conduct of the study.

## **1.5. PROJECT MANAGEMENT AND COMPLETION**

### **1.5.1 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 versus (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. There shall be no informal communications regarding the design 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. The EEB Evaluation Administrator may continue to consult with the EEB Evaluation Committee or the Companies or others for administrative purposes, including issues regarding data requests. An Evaluation Contractor conducting an active evaluation shall not communicate directly with the EEB Board members, including the Evaluation Committee, Program Administrators, EEB Technical Consultants, vendors of the Program Administrators whose products or services are relevant to the evaluation, or DEEP without the Evaluation Administrator being present. Input from the Program Administrators/Energy Efficiency Board shall be limited to responding to the Evaluation Administrator's request for data or technical assistance. Any communications shall be in writing and include a copy to the EEB Evaluation Administrator.

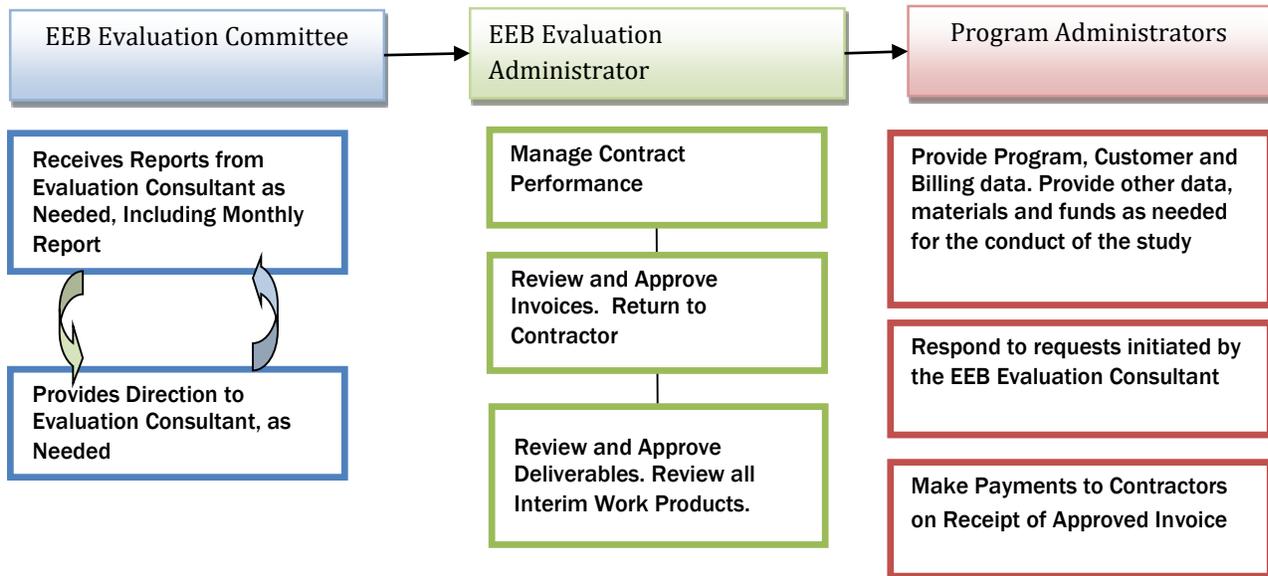
The EEB Evaluation Administrator leads the project management process (Figure 4) and is responsible for determining what information needs to be developed. In particular the Consultant will:

- Work with the Contractor to resolve issues and expedite solutions.
- 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 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 4: Project Management**



### 1.5.2 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 written 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.

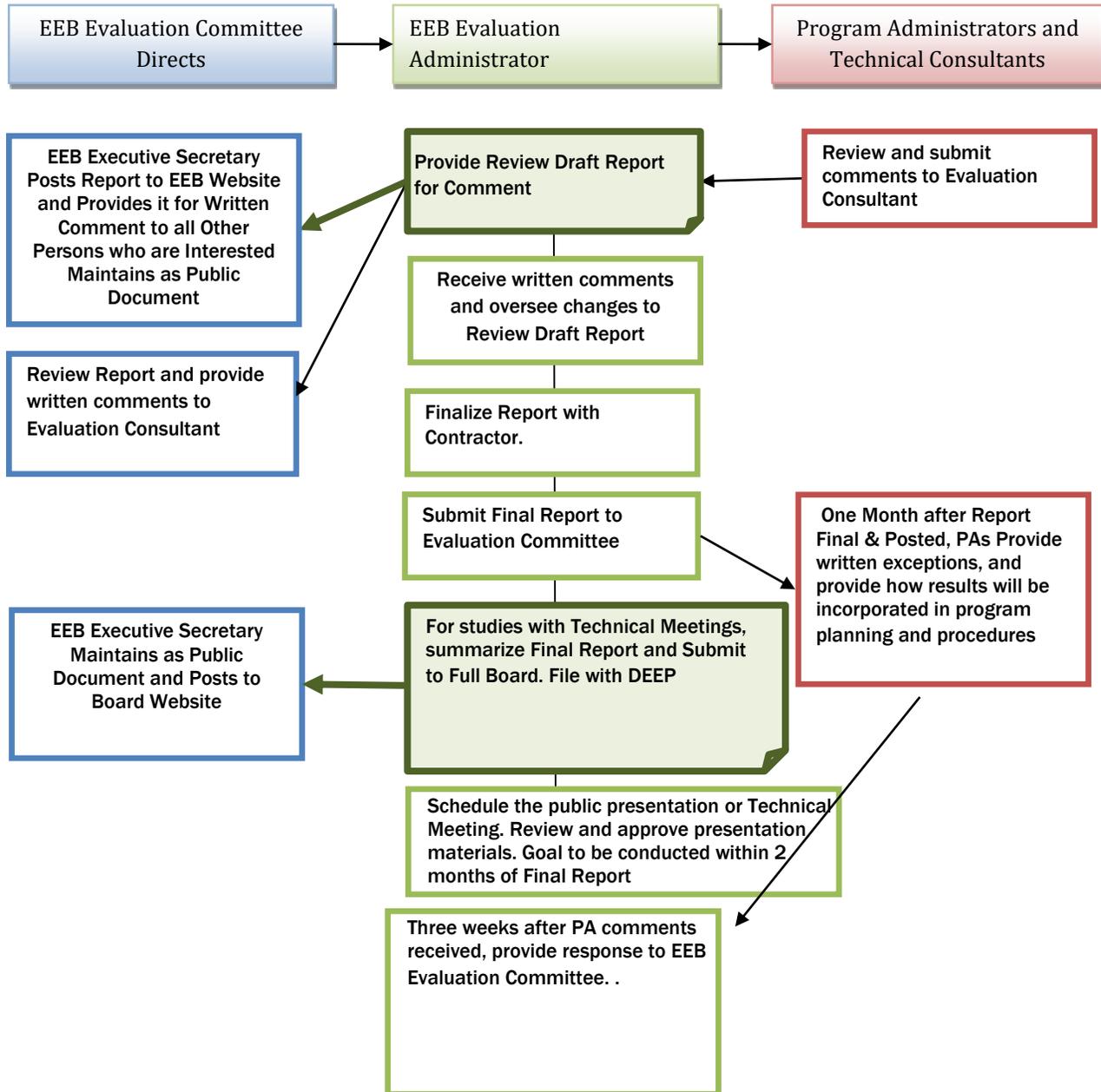
The Evaluation Administrator will consider all comments and work with the Contractor to finalize the evaluation report. The Evaluation Administrator will then summarize the Final Report and submit that summary with the final report to the EEB Evaluation Committee for their approval.

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 5. 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 will be provided in association with every process and impact evaluation study. Members of the board and/or Program Persons may request in writing, and DEEP shall arrange, for the technical meeting to be recorded or transcribed. For other studies, within two calendar weeks of the filing of any Final evaluation committee report, DEEP, members of the board and/or Program Persons may request in writing, and DEEP shall conduct, a technical meeting to review the methodology, results and recommendations of any evaluation. Members of the board and/or Program Persons may request in writing, and DEEP shall arrange, for such 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.
3. Within one calendar month after the Final Report has been filed, the Program Administrators are required to report how they intend to implement each recommendation and how the results will be incorporated into the PSD.
4. Within three calendar weeks after all relevant PA Responses have been filed, the EEB Evaluation Administrator is required to respond in writing to the report and/or to the Program Administrators' response to the recommendations in the report, and within one month thereafter, the EEB Evaluation Committee votes and issues the document.
5. The Evaluation Administrator will be provided with information before the PSD review process is completed or finalized that will 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 study recommendations. The Evaluation Administrator will provide a memo to the Evaluation Committee identifying key 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 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. 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.

**Figure 5: Project Completion for all Evaluation Committee Studies**



## 1.6 REGIONAL STUDIES

The EEB Evaluation Committee may delegate the Evaluation Administrator to represent the EEB Evaluation Committee in all regional evaluation studies, either with the EM&V Forum 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.

## **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. 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.

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.
- Email that contains 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.
- 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
- Baseline 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 an Other 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 recommendations on which Contractor will be selected, although they have no vote in the final Contractor selection.

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) After the Contractor has been selected, the Program Administrators and EEB Technical Consultants may attend the Kick-off meetings (if selected) 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. 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. 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) 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. When 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 provided to the Program Administrators as soon as they are generated. 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 provide site reports to the Program Administrators (each Program Administrator receiving only the reports for its own customers) when all site reports are completed.

- 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 report to the Companies, EEB members and the Program Technical Consultants for written comment that shall become part of EEB's public record. At that time, the Companies 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.