Energy Trust of Oregon
Request for Proposals:
2020 Customer Insights Study

RFP Issued:	**October 17, 2019**
Intent to Bid Due:	**October 30, 2019**
Questions Due:	**October 30, 2019**
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EnergyTrust of Oregon

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About Energy Trust

Energy Trust of Oregon is an independent nonprofit organization, selected and overseen by the Oregon Public Utility Commission, to lead Oregon ratepayers in benefiting from saving energy and generating renewable energy. Our services, cash incentives, and solutions will help participating customers of Portland General Electric, Pacific Power, NW Natural, Cascade Natural Gas and Avista save $7.7 billion on their energy bills over time. The impact of our leadership since 2002 has been a contributing factor in our region's low energy costs and in building a sustainable energy future. More information about Energy Trust's background, funding sources, strategic and action plans, policies and programs are available on our website at www.energytrust.org/about.

Some of Energy Trust's requirements in this RFP and in any subsequent negotiating and/or contracting phases are driven by governing law, the provisions of our grant agreement with the OPUC (the OPUC Grant Agreement) and our funding agreements with each utility.

Introduction

Energy Trust launched the Customer Insights Study in 2016 to inform marketing efforts and learn more about the demographics of both participants and non-participants in its residential energy programs. Customer Insights is a general population survey that asks eligible residential utility customers in Energy Trust's service territory about household demographics, awareness of Energy Trust and its services, home improvements, and energy-related attitudes and behaviors. Prior studies (2016, 2017 and 2018) compared survey responses between program participants and non-participants to see how these groups differ, including demographic differences. However, the study has not been used to directly assess the equity of Energy Trust's residential energy programs across different demographic groups. The report for the 2018 Customer Insights Survey, completed by Research into Action in 2019, is located on Energy Trust's website at: www.energytrust.org/reports.

Energy Trust is currently planning the fourth Customer Insights Study, with an expanded scope and sample size, to be fielded in early 2020, and is seeking proposals for a vendor to administer the survey.

Research Objectives

Similar to prior years, Energy Trust is interested in assessing residential customer awareness of Energy Trust and its offerings, and barriers and motivations to taking action to save energy (particularly related to Energy Trust's offerings). Energy Trust would like to compare these metrics between participants and non-participants, and among several other dimensions, such as race/ethnicity, income, own/rent/landlord status, and home type (single-family vs. multifamily). Understanding differences along these dimensions among non-participants is critically important for Energy Trust to develop program,

marketing, and outreach strategies for groups with lower awareness or knowledge, and/or higher barriers to participation. While the 2020 Customer Insights Study may not fully address how to better reach or communicate with these customers, the sampling strategy, survey and analysis will allow Energy Trust to decide where to target follow-up research (e.g., qualitative research, focus groups, concept testing).

For 2020, Energy Trust is expanding the scope of the study and the sample size of the survey to better assess program equity, identify populations that have been underserved, and help steer program services to those populations. The expanded sample and analysis will help validate the geographic analysis described in the 2018 Diversity, Equity and Inclusion (DEI) Baseline Analysis report.[1] We refer to this portion of the Customer Insights Study as the "DEI Baseline Validation" and it is described in more detail in the sections below.

For the DEI Baseline Validation, Energy Trust is seeking a larger sample among Census tracts that Energy Trust classified as "high diversity" or "low diversity" along a five-point "Racial Diversity Index," and "most affluent" or "least affluent" along a five-point "Income Diversity Index" for the 2018 DEI Baseline Analysis. This will allow Energy Trust to compare demographic characteristics of participants in the "high" and "low" Census tracts of each index and determine if, for example, participants in lower-income or more racially diverse areas are similar enough to the general population (of utility account-holders) in those areas to be "represented" by geographically-aggregated data (i.e., Census data).

The overall research questions for this project are listed below.

- How should Energy Trust focus its marketing and outreach investment to reach all ratepayers?
    - What are the differences in awareness of Energy Trust offerings between demographic groups?[2]
    - What are the differences in barriers to energy efficiency (and Energy Trust programs) between demographic groups? (considering both structural barriers and barriers or perceptions that Energy Trust can influence)
    - What are the differences in motivations to save energy–including responses to messaging–between demographic groups?
- Are Energy Trust's programs reaching/serving different demographic groups equally (proportionally)?
    - What are the differences in demographics between Energy Trust program participants[3] and non-participants?

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[1] Energy Trust of Oregon. 2018 Diversity, Equity and Inclusion Data and Baseline Analysis. Published December 26, 2018. Available at: https://www.energytrust.org/documents/energy-trust-of-oregon-2018-diversity-equity-and-inclusion-data-and-baseline-analysis/

[2] Energy Trust is primarily interested in differences by racial/ethnic group, by income, by site ownership/occupancy, and by region. Secondary dimensions include single-family vs. multifamily, urban/rural location, and utility service type.

[3] Participation is within Energy Trust's residential and multifamily rebate programs from 2015-2019. About 50% of Energy Trust's residential energy savings come from rebates where the recipient can be *identified.* However, about 50% of energy savings come from offerings where the recipient is unknown, such as

- What are the differences in demographics between participants in more racially diverse and less racially diverse Census tracts? Between participants in higher-income and lower-income Census tracts?
- What are the differences in demographics between participants and non-participants in the most racially diverse Census tracts? The least racially diverse? Lowest income? Highest income?

Energy Trust and Vendor Responsibilities

This section describes the division of responsibilities between Energy Trust and the survey administration vendor.

Energy Trust of Oregon Responsibilities

Sample frame

In preparation for the 2020 Customer Insights Study, Energy Trust is developing a sample frame dataset and sample design for the study and will provide the survey administration vendor with the full sample frame with all required identifiers for quota groups. The sample frame dataset will contain a street address and a contact name for each eligible household, which will be used for sending materials by postal mail. Most Energy Trust program participant household records will have a phone number or email address (not all will have email addresses). However, non-participant households will not have email addresses or phone numbers, and the vendor will need to identify the best sources and process for appending this information.

Sample design and quotas

Energy Trust will provide a final sample design and quotas once the final sample frame dataset is complete. The Sample Design section below outlines the expected sampling dimensions and approximate sample sizes.

Research instruments and recruiting materials

Energy Trust will provide English-language and Spanish-language versions of the web and phone instrument, invitation letter, reminder postcard, email invitation and phone script. All materials will have been qualitatively tested with a small sample of customers prior to finalization.

Community-based organizations

Energy Trust will use its existing relationships to recruit and contract with 4-6 community-based organizations to help reach specific racial and ethnic groups of interest for this study. Energy Trust will contract with these organizations to conduct additional outreach and recruitment activities in the specified oversample areas. This outreach may occur in advance of, concurrent with, or following the survey administration vendor's outreach and recruitment activities, depending on the strategy Energy Trust develops with each community-based organization.

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product buy-downs and in-store discounts (i.e., midstream). The 2020 Customer Insights Survey instrument will attempt to identify some midstream program participants based on self-report.

Fielding questions from respondents

The survey administration vendor will escalate questions from sampled customers about the legitimacy of the survey. However, the survey administration vendor will be the primary point of contact for respondents and it will be the survey administration vendor's responsibility to field questions and only escalate matters that require a direct response from Energy Trust.

Survey Administration Vendor Responsibilities

Energy Trust seeks a survey administration vendor with recruiting and survey administration expertise among populations typically underrepresented in surveys (including limited English proficiency households), as well as sophisticated analytical and synthesis capabilities for sampling, data management, analysis, and reporting. The survey administration vendor will conduct a mixed-mode survey via mail, web, and phone with Energy Trust of Oregon's residential customers. The survey administration vendor will be responsible for recruitment, survey administration, data cleaning, analysis and reporting to address questions of customer awareness, knowledge and perceptions of energy efficiency solutions in Oregon, as well as the diversity, equity and inclusion of Energy Trust's residential program portfolio.

Sample development

- Securely receive, process and store the participant and non-participant sample frame provided by Energy Trust staff
- Verify the counts and quota groups that Energy Trust develops for the sampling plan
- Draw a stratified random sample based on the sampling plan and quota groups that Energy Trust establishes
- Work with third-party vendors to acquire and append missing phone numbers and email addresses to both participant (will be mostly complete) and non-participant (mostly incomplete) samples
- Ensure customer information security throughout all phases of survey recruitment and deployment

Survey programming and fielding

- Program, QA/QC and pre-test survey instrument for online (web and mobile) and telephone completion, in English and Spanish
- Print and deliver recruitment letters and follow-up mail (e.g., postcards) as needed
- Deliver recruitment emails and follow-up emails
- Make outbound telephone calls to non-respondents (in English and Spanish)
- Field inbound inquiries (email or phone) if respondents have questions about the survey or call-in from the letter/postcard to complete it
- Coordinate with 4-6 community-based organizations to conduct outreach within 10-20 targeted Census tracts that will be part of an oversampling effort, including providing organizations with expectations for outreach efforts, survey updates, example materials, and sample list(s)
- Deliver survey incentives and complete any necessary tax reporting

Ongoing communication

- Host regular webinar-style conference calls during survey planning and fielding process
- Proactively advise on ways to maximize study quality and response prior to, during, and post data collection
- Provide near-real-time tracking and dispositions of survey responses to Energy Trust during fielding process (i.e., twice per week)

Weighting and analysis

- Review and refine full dataset (initial completes) to a set of valid completes for analysis
- Develop analysis weights that will be needed to report out on the analysis groups below
- Perform weighted analysis and statistical testing to address key research questions

Reporting

- Review previous 2018 Customer Insights Study report and 2018 DEI Baseline Analysis report as input to creating a new report template (being consistent with the 2018 Customer Insights Study report where applicable, but keeping in mind that some of the goals and research questions have changed)
- Work with Energy Trust to confirm key research questions and reporting requirements
- Provide a written report with survey results and conclusions, including:
    - Executive Summary
    - Introduction, including description of study purpose and goals
    - Methods, including survey design, recruitment, fielding, and analysis methods
    - *Customer Insights Results section:* Report and discuss differences between participants and non-participants on key Customer Insights metrics, and comparisons of key analysis subgroups (detailed below). Perform statistical testing where appropriate.
    - *DEI Baseline Validation Section:* Compare demographics of participants and non-participants in the “high” and “low” categories of two diversity index scores that Energy Trust developed for the 2018 DEI Baseline Analysis: the Racial Diversity Index and Income Diversity Index. This analysis/reporting comprises the “DEI Baseline Validation” described in a separate section below. Perform statistical testing where appropriate.
    - Draw conclusions relating to the Key Research Questions outlined above
    - Appendix with summary tables of all responses per the analysis groups and tables specified below (weighted results)
- Host one webinar with Energy Trust staff to discuss results prior to delivering report
- Attend a Diversity Advisory Council (DAC) meeting to answer any questions about the study
- Provide Energy Trust with a final, scrubbed dataset of all completes, with quota group information and appended weights, as well as a data dictionary

Assumptions for Study Scope of Work

The following sections contain assumptions about the study design that can be used to develop a scope of work, timeline, and budget.

Sample Design

Sample frame

The population for this study will be Oregon utility premises on residential rate codes with electricity and/or natural gas service from Energy Trust's funding utilities. Households in the sample frame may include single-family and multifamily dwellings. The utility accountholders representing these premises include homeowners, landlords, tenants, and home-based businesses. All customers with confirmed utility service and involved in paying bills or managing home energy use are eligible for the study.

Core sample and oversample approach

The highest level of sampling will be at the participant and non-participant level, to achieve quotas to support participant vs. non-participant comparisons, and comparisons of subgroups within each. To address Energy Trust's two overarching business objectives and related research questions, **each** sample will be designed to have two components:

1. **Core sample:** A statewide stratified random sample across all Census tracts. All Census tracts are eligible for inclusion, to be representative of participants and non-participants (respectively) across the state. Premises will be stratified by Diversity Index category (intersection of the Racial Diversity Index and Income Diversity Index) and sampled proportionally to the counts of Energy Trust households in each Diversity Index category. Some groups of Census tracts (e.g., highest on racial diversity index) will be oversampled to achieve minimum quotas for the DEI Baseline Validation.

   This is the primary sample that will be used to answer all questions related to the Customer Insights Study (i.e., awareness, knowledge, motivations barriers) and to the DEI Baseline Validation (i.e., demographic differences between participants and non-participants and "high" or "low" index scores), with the exception of assessing differences by race and ethnicity. To provide comparisons by race and ethnicity, the primary sample will be augmented by the Communities of Color Oversample, described below.

2. **Communities of color oversample:** An oversample of premises in 10-20 Census tracts with the highest proportions of households in three key racial groups. Energy Trust will oversample 10-20 Census tracts with the highest proportions of Black and African American, Native American, and Asian American households, to increase the number of completes within each of these racial groups.[4] These additional responses will be used to augment responses among these groups from the core sample to (1) *compare differences in awareness, barriers and motivations*

[4] An oversample of Latino communities is not required because we expect enough responses from the Core Sample and from within the communities oversampled for the three racial groups to characterize Latino households.

by racial/ethnic group, and (2) *compare differences in participation rates by racial/ethnic group.* The Core Sample will not provide enough completes from these groups to allow for such comparisons, and additionally, we expect that households of color, particularly non-participants, may respond at a lower rate. In a later section we present ideas for additional outreach to these communities.

The Communities of Color Oversample will be for (a) reporting Customer Insights results by racial group—and in particular, to characterize non-participants in each racial group, and (b) comparing participation rates by racial group. Because this the Communities of Color Oversample is geographically correlated, will only include 10-20 of the approximately 800 Census tracts in Energy Trust's Oregon service territory, and will over-represent these groups as a proportion of the overall population, responses from the oversampled Census tracks will be weighted down (not counted as heavily) when analyzing the overall sample, including (a) overall metrics (i.e., awareness /motivation/barriers) by participants vs. non-participants), (b) comparison of metrics on other dimensions (i.e., income, rent vs. own, home type), and (c) the DEI Baseline Validation.

The table below summarizes the two sample components and how each will be used.

Table 1: Overview of Core Sample and Communities of Color Oversample

	Core Sample	**Communities of Color Oversample**
Who and where?	Statewide – All ~800 Census tracts in Energy Trust's Oregon service territory	10-20 Census tracks with highest proportions of households in three racial groups
How will the sample be used?	Develop statewide representative sample for assessing (a) Customer Insights metrics, and (b) DEI Baseline Validation	Augment core sample for reporting on differences in Customer Insights metrics by racial/ethnic group (primarily among non-participants) Assess the equity of residential programs by racial/ethnic group (e.g., differences in participation rates)
Approximate sample size*	Non-participants: 790-970 Participants: 640-850	Non-participants: 790-910 Participants: 210-275
Weighting considerations	Stratify and weight proportionally to Racial Diversity Index and Income Diversity Index sample frame proportions for most analyses For DEI Baseline Validation, report results for each "end"	Oversampled customers will be used primarily for describing results by racial/ethnic group and their responses will be weighted down (contribute less heavily) for other analyses (e.g., characterizing non-participants overall, or comparing

	Core Sample	Communities of Color Oversample
	of the index (i.e., index scores of one or vs five)	results by other demographics like income)
Outreach / recruiting approach	Core approach (explained below) Individualized survey links by household	Core approach *plus* community-based organization outreach (explained below) Individualized survey links *plus* option of a general link with validation

* Per the next section, the final sample size will depend on cost trade-offs based on the selected vendors' cost estimates.

Table 2 provides an overview of Census tracts that Energy Trust is considering for the communities of color oversample.

Table 2: Summary of Census tracts identified for communities of color oversample

Type of Census tract	Location	Racial Diversity*	Number of tracts in oversample	Oversampling rate
Highest proportions of Black and African American households	All in Portland Metro	18-24% Black / African American	5	Contact 20-100% of premises in each tract
Highest proportions of Native American households	Distributed; none in Portland Metro	12-91% Native American	10	Contact 20-100% of premises in each tract
Highest proportions of Asian American households	All in Portland Metro	33-48% Asian American	5	Contact 20-100% of premises in each tract

* Most tracts also have above-average proportions of other non-White racial and ethnic groups of interest for this study (including Latino households), such that survey completes from one set of tracts will help fulfill other racial/ethnic quotas.

Participant and non-participant samples

Energy Trust is targeting 1,580-1,875 non-participant completes and 850-1,125 participant completes across the Core Sample and Communities of Color Oversample (overall sample sizes of 2,430 and 3,000). Participants will be defined as households that have participated in, or received, an Energy Trust incentive in 2018-2019 (current participants) or 2013-2017 (recent participants). Participants include both "Direct" and "Indirect" participants. Direct participants are premises where the landlord/owner,

homeowner, or tenant-occupant took action to participate in a program or directly received an incentive or measure installed in their home/unit. Direct participants comprise the majority of program participants. Indirect participants are tenants in a multifamily building where a multifamily project was completed by a building landlord/owner (e.g., whole-building shell, HVAC or water heating equipment, or appliances), for which the tenants may or may not be aware of the project.[5] All other households, including participants prior to 2013, and households that may have received a point-of-sale or midstream discount on energy efficient equipment[6], will be classified as non-participants for sampling purposes.

Both the participant and non-participant samples will be stratified by two Census tract-level index scores – the Racial Diversity Index and Income Diversity Index – that Energy Trust developed for the 2018 DEI Baseline Analysis.[7] Energy Trust is interested in achieving minimum quotas for the lowest and highest ends of each equity index (some of which will be intentionally oversampled), though the overarching objective is meeting all quotas.

Energy Trust will also establish quotas for region (four regions) and utility service type (electric and gas, electric-only, gas-only) for the survey administration vendor to monitor. Depending on the final sample sizes for the overall participant/non-participant sample, we may also ask the survey administration vendor to stratify the sample on these dimensions (within the Index Score stratification) to ensure sufficient geographic representation to report results by region.[8]

The non-participant sample is designed to be larger, to achieve higher counts of people and households of color to support reporting on Customer Insights metrics like awareness, knowledge, and perceptions of Energy Trust by racial and ethnic groups. For these metrics it is more important to achieve larger sample sizes among non-participants compared with participants since non-participants have, by definition (not participating), higher barriers to participation – and understanding their current perceptions, barriers and levers will be more instructive for marketing and outreach.

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[5] Tenants in premises classified as “Indirect Participants” may or may not realize any benefits from it, depending on their utility payment arrangement and the type of project (e.g. common area lighting). For most analyses, indirect and direct participants will be combined, but may be analyzed separately in some cases. We do not know if we will receive sufficient responses from indirect participants to enable separate reporting or crosstabs.

[6] Premises that received a point-of-sale or midstream discount, for example for LEDs purchased in-store, cannot be identified by account number in program tracking data. However, the survey instrument will seek to identify LED lighting purchasers who may have received a midstream discount.

[7] Energy Trust developed index scores (1-5 score) for each of the ~800 Census tracts in their service territory to understand their racial and ethnic diversity and relative income levels. Each premise in Energy Trust’s territory has been mapped to a Census tract and assigned an index score (1-5) for Racial Diversity, Income Diversity, and level of ruralness (urban/rural). Only the Racial Diversity Index and Income Diversity Index scores will be used for sampling.

[8] To inform this decision the vendor should advise Energy Trust on the expected number of completes by region and service fuel type from the core sample after preparing a sample based on the two Diversity Indices.

The participant sample will be designed around the Racial Diversity Index and Income Diversity Index, with a focus on obtaining larger sample sizes at the highest and lowest ends of each spectrum to support the DEI Baseline Validation. Participants are the key analysis group for the DEI Baseline Validation, and as such we designed a sample to achieve higher-than-proportional sample sizes in Census tracts with index scores of one or five on either the Income Diversity Index or Racial Diversity Index. The participant sample will also benefit from the Communities of Color Oversample to augment sample sizes from smaller racial and ethnic groups, to compare differences in participation rates by racial/ethnic group.

The table below is an example of how sampling on these two dimensions might look. This is provided to illustrate the stratification concept; final counts are not yet available.

Table 3: Example stratification for "core" sample (separate samples, but similar design, for participants and non-participants)

		Income Index					
		1 (High-Income)	2	3	4	5 (Low-Income)	Total
Racial Diversity Index	1 (Least Diverse)	X	X	X	X	X	**X**
	2	X	X	X	X	X	
	3	X	X	X	X	X	
	4	X	X	X	X	X	
	5 (Most Diverse)	X	X	X	X	X	**X**
	Total	**X**				**X**	

Sample sizes

Energy Trust and its survey development consultant, ILLUME Advising, developed a preliminary sampling plan based on Energy Trust's research objectives and current counts of sample frame subgroups. This preliminary sample design is based on historical program participation data; it will be updated in January 2020 using final participant counts from 2019. The table below provides *approximate* respondent count ranges; these counts may change based on budget estimates and final participant counts (after program year 2019). *For the purpose of developing a budget, please show cost estimates for the low and high scenarios.*

Table 4: Approximate sample sizes for low and high sample size scenarios

	Non-participants		Participants	
	Low	High	Low	High
Overall sample				
Overall sample size	1,580	1,875	850	1,125
Core Sample	790	970	640	850
Communities of Color Oversample *	790	910	210	275
Target counts of households of color **				
Latino	240	295	115	155
Black/African American	100	115	45	60
Native American/American Indian	100	120	35	45
Asian/Asian American	95	115	60	80
Top and bottom quintiles of 2018 DEI baseline study Census tracts ***				
Race Index: Most Diverse	285	350	285	225
Race Index: Least Diverse	175	215	175	145
Income Index: Lowest Income	225	280	225	225
Income Index: Highest Income	110	135	110	160

* These counts assume oversampling within several tracts with the highest proportions of (a) Black or African American households, (b) Native American households, and (c) Asian American households. Energy Trust will identify specific tracts to target and quotas for each, and work with the vendor to establish required sample sizes.

** These are the maximum number of customers that could be included in breakdowns of results by racial or ethnic group. For analysis of other subgroups (e.g., by income or own/rent, or Participants/Non-Participants overall), households from the communities of color oversample will be weighted down because customers from this sample come from just a few Census tracts.

*** Counts by Racial and Income Diversity Index score groups do not include customers from the communities of color oversample, since these will be weighted down significantly in the DEI Baseline Validation (since they only represent a few Census tracts).

Energy Trust will provide the entire sample frame of eligible customers. Energy Trust will provide identifiers (flags) in the sample for all relevant sampling dimensions for the vendor to (a) draw a sample, and (b) track progress against quotas and monitor other key characteristics.

The survey administration vendor will advise Energy Trust on required sample sizes to meet the quotas above, based on vendor's estimates of response rates from key analysis groups, and expected contact information quality (i.e., undeliverable addresses, email addresses and phone numbers). Once Energy Trust has decided on the final sample

quotas, the survey administration vendor will draw a sample of households from the sample frame data based on their estimates of the number of sampling points required per quota group.

In addition to tracking and monitoring responses within these quota groups, Energy Trust will establish overall quotas for completes by geographic region (Portland Metro, Willamette Valley/North Coast, Southern Oregon, East of the Cascades) and utility service fuel type (electric and gas, electric-only, gas-only) to be monitored during recruiting.

After the vendor draws the sample, Energy Trust would like to see verification of the sample's coverage of the Diversity Index quota groups, regions and utility service fuel type. As discussed above, depending on final sample sizes we may ask the vendor to stratify by region and/or service fuel type.

Contact information

Energy Trust's utility funders provide a premise address and the name of the utility accountholder for households on residential utility rate codes. The utility funders do not (and cannot) provide phone numbers or email addresses. Energy Trust has an email address or phone number (and in most cases, both) for program participants. However, Energy Trust does not have email addresses or phone numbers for non-participants, except in rare cases. Some households are flagged in Energy Trust's system as "Do Not Contact." This information will be provided in the sample frame data and the survey administration vendor must abide by customers' requests not to be contacted.

The survey administration vendor will need to purchase and append contact information—phone numbers and email addresses—for the non-participant sample, and some participants, for which Energy Trust does not have contact information. It is important to Energy Trust and the integrity of the sample design that all non-participants in the sample are contacted and recruited for the study. We understand that many non-participants may not successfully match with third-party databases and consequently may only have a mailing address for recruitment purposes.

Survey Implementation

The survey will be administered as a mixed-mode effort, with recruiting by mail, email, and phone to a web survey and alternative phone survey. The survey administration vendor will be responsible for administering the survey end-to-end as detailed below.

Web/mobile and phone survey

The survey will be designed for web/mobile and phone completion, though Energy Trust hopes that most completes come from the online option. The "core approach" to recruiting is the following:

1. All sampled households should receive an initial letter via postal mail with an invitation and *personalized* link to the online survey. The letter will be bilingual (English/Spanish) and co-branded with Energy Trust and utility logos.

2. Premises with email addresses should receive an analogous email within a few days or week to reinforce the letter.[9]
3. Follow-up communication for non-respondents may vary depending on what contact information they have available, and may include a reminder postcard, a reminder email, or outbound phone survey attempts.
4. Optionally, in the event of very poor response rates among key groups, Energy Trust may consider an abbreviated paper survey among non-respondents (this should be budgeted as an optional effort; Energy Trust will consider using a pre-incentive for non-respondents who receive the paper form).

In the table below, we provide estimates of the type/level of contact information available for participants; the level of contact information available for non-participants will depend on match rates achieved by the third-party vendor the survey administration vendor selects. The survey administration vendor should propose the most appropriate follow-up strategy for households with different levels of contact information, including modes, cadence and timing. *Proposals should describe the proposed approach as well as key reasons for selecting that approach and estimates for what proportion of completes are expected to come from each mode and contact attempt.*

Table 5: Proposed recruitment and follow-up modes (by contact information type*)

	Households with **no contact information** 0% of participants; ~X% of non-participants**	Households with **no email address** (but with phone #) 5% of participants; ~X% of non-participants**	Households with **no phone number** (but with email address) 15% of participants; ~X% of non-participants**	Households with **full contact information** 80% of participants; ~X% of non-participants**
First contact	Letter (push-to-web)			
Second contact	Postcard	*Please advise*	*Please advise*	*Please advise*
Third contact (if needed)	*Please advise*	*Please advise*	*Please advise*	*Please advise*
Fourth contact (if needed)	*Please advise*	*Please advise*	*Please advise*	*Please advise*

* Energy Trust has provided estimates of available contact information for participants, but we do not have email addresses or phone numbers for non-participants.

[9] Ideally all follow-up communication efforts will remove contact information from premises who have responded. The survey administration vendor can suggest appropriate timing for email and other follow-up communications.

** Proposals should provide estimates for the percent of non-participant households with each type of contact information available after purchasing and appending it.

In the RFP response, please describe your approach for appending contact information to non-participant records. Please document your assumptions about what percentage of non-participants will have each combination of contact information (each column of Table 5 above) after you or a third-party vendor appends or matches contact information (i.e., neither phone or email; only phone appended; only email appended; both appended).

Survey recruiting: Core approach

Energy Trust will provide templates for bilingual mail-based recruiting materials, including the envelope and letter for the initial mailing, and reminder postcards and emails. The survey administration vendor will be responsible for selecting, contracting with, and managing a printing vendor, and paying for postage.

The survey administration vendor will be responsible for personalizing and printing these materials, including developing a unique web link for the survey. All participants should receive a short, personalized link to the web survey (e.g., bit.ly) so that their responses can be tied to sample data, or a PIN to be used for the telephone survey (inbound calls) or if they encounter issues with the short URL or web survey.

The survey instrument provided by Energy Trust will contain recommended language and subject lines for emails and outbound telephone calls, in English and in Spanish. While Energy Trust is conducting qualitative testing of the recruitment materials and instrument prior to the study, we welcome the survey administration vendor's feedback on the recruitment materials, particularly with respect to reaching populations typically underrepresented in surveys in Oregon. *In the RFP response, please describe any experience and success you have had in designing materials and conducting outreach or recruitment for populations typically underrepresented in surveys.*

Survey recruiting: Community-based organization approach (for communities of color oversample)

To reach more households of color, Energy Trust is identifying 10-20 Census tracts with the highest proportions of three key racial groups with a very low prevalence statewide, for an expanded sample and extra recruiting effort (Communities of Color Oversample). In these oversample tracts, a much higher proportion of households will be eligible for the survey (~20-100%), so community-based outreach, or advanced notification, could help spread the word about the survey, and let customers know to look out for a letter.

For these communities, Energy Trust is identifying community-based organizations with networks in and around the target Census tracts who can help with advance outreach or encouraging responses. Some community-based organizations may be highly localized, while others may be regional, and able to reach customers within key racial/ethnic groups beyond the targeted Census tracts. Any and all responses from households of color will be valuable and increase the power of analysis and reporting by racial/ethnic group.

Energy Trust will work with community-based organizations to develop an approach for their members or constituents. For example, community-based organizations may use social media, a newsletter, or events to provide advance notification of the survey effort, with a message like, "Energy Trust of Oregon is conducting an important survey with a

$## gift card if you complete it! Be on the lookout for a letter with your personal invitation for the survey. You can complete it online or by phone, in English or Spanish."

Energy Trust will contract with the community-based organizations and set the general scope of their activities. However, the survey administration vendor will need to work with these organizations and (a) develop a short brief about the survey and survey timing to share with community-based organizations, (b) provide samples of the letter, postcard, or email to use in advance notification, (c) provide a list of sampled households in targeted census tracts, and (d) communicate and coordinate with each organization about survey completes and progress towards quotas and recruiting strategies.

One limitation of conducting advanced outreach for a survey with personalized links is that only sampled households will be able to respond to the survey. As such, the survey administration vendor cannot share a general link or phone number with local community groups to help spread the word and recruit for the survey more broadly. Since the survey link needs to be personalized, the survey administration vendor cannot provide a general link in advance of the personal letters.

However, as an *optional* component of the Communities of Color Oversample, Energy Trust would consider using a "generalized" web link and phone number for community-based organizations to distribute as a last resort if the personalized invitations and targeted recruiting do not produce a sufficient response. Using response data generated from a generalized link or survey will require some validation and address-matching, and the survey will require a physical address and confirmation of utility electric or natural gas service to receive a completion incentive. To support this validation process, the survey instrument will contain a module that is activated when people enter without a personalized link or PIN and requires address and utility service verification.

Survey instrument

Energy Trust will provide a final mixed-mode survey instrument, in both English and Spanish, to the survey administration vendor for online and telephone programming. Energy Trust is working with ILLUME Advising, a third-party research and evaluation team, to finalize, review, and test this instrument. ILLUME will conduct cognitive testing of the instrument among a small group of customers in 2019 to gauge their understanding of the terms and language in the survey. Energy Trust expects that some small tweaks to the instrument may be needed during programming or after pre-testing, but the survey administration vendor should make only very limited changes to the instrument.

The survey will require about 10-12 minutes to complete. The screening questions in the survey require that the respondent is an owner or occupant of a residential dwelling served by one of Energy Trust's funding utilities, and that they can confirm their relationship to the premise and utility provider(s).

Survey testing and deployment

In the RFP response, please describe the proposed approach to QA/QC of programming, any recommended pre-testing, management of the sample during fielding, the process of fielding the survey, and delivery of completion incentives.

The vendor will be responsible for fulfilling survey completion incentives. Energy Trust advises a $10-$15 incentive per respondent and may consider the use of "pre-incentives"

in areas with the highest prevalence of people typically underrepresented in surveys. The vendor will be responsible for any necessary tax reporting associated with the incentives.

Survey timing

Energy Trust would like to soft launch the survey in early January 2020 and field the survey by mid-January 2020, with the goal of conducting all follow-up communication and ending the survey no later than the end of February 2020. Completing the survey before March 2020, in advance of the 2020 U.S. Census, is important to Energy Trust in anticipation of media and outreach related to the 2020 U.S. Census that may affect response rates.

Analysis and Reporting

Analysis groups

Energy Trust envisions two overarching types of analysis and reporting, to address the two categories of research questions presented in the Research Objectives section above. Different analyses will support research questions within each objective, and these analyses require different "cuts" of the data (i.e., analysis groups) to draw comparisons that answer each question. Here we summarize the analysis and reporting groups of interest to Energy Trust for each analysis.

Analysis by participation and demographic groups: Much of the analysis and reporting for Customer Insights questions (like awareness, perceptions, barriers, motivation) will compare survey responses between participants and non-participants, and within each group, between different subgroups (e.g., demographics or housing). For example, Table 6 below contains the cuts of results that Energy Trust would like to see for Customer Insights questions—at the highest level, a comparison of participants and non-participants, and within each group, the table outlines sub-groups to profile and compare.

Table 6: Analysis groups for customer insights reporting

Comparison	Sub-Groups WITHIN participants and non-participants*
Participants vs. Non-participants	Direct Participants | Indirect Participants** | Non-Participants
LED Purchasers	LED purchasers at stores with Energy Trust discounts | All other Direct Participants | All other Non-Participants
Race/Ethnicity	White Only | Latino | Asian or Asian-American | Black or African American | Native American or American Indian
Premise Ownership	Own & occupy | Rent & occupy | Landlord or manager (do not occupy)
Housing Type	Single-Family | Small Multifamily (2-9 units) | Large Multifamily (10+ units)

Income	Low-Income (<60% of Oregon median household income by number of occupants) | Moderate-Income (60%-120% of state median income) | High-Income (>120% of state median income)
Region	Portland Metro | Willamette Valley and North Coast | Southern Oregon | East of the Cascades

* Report WITHIN participants vs. non-participants for nearly all questions. There may be a few questions/metrics where Energy Trust is interested in a weighted average across the population, but generally, weight to participant or non-participant.
** Indirect participants are tenants in a multifamily building where a multifamily project was completed by a building landlord/owner, for which the tenants may or may not be aware of the project.

To support the DEI Baseline Validation, Energy Trust would like to see a comparison of demographics between participants and non-participants, and statistical testing of race/ethnicity, premise ownership, housing type, income, and language needs. The vendor should calculate these proportions using appropriate weights to represent participants and non-participants.

Analysis by high/low Census tract-level index scores: For the DEI Baseline Validation (next section), Energy Trust would like to compare demographic and housing characteristics of households in Census tracts at the highest vs. lowest ends of two Indices: the Racial Diversity Index and the Income Diversity Index. The goal of this analysis is essentially to understand whether the demographic and housing characteristics of participants can be represented by the demographic and housing characteristics of their respective Census tracts. This analysis will be used to determine whether Census tract data (geographically aggregated data) can be used as a cost-effective way to approximate the demographics of participants and non-participants so that Energy Trust can understand whether Energy Trust's programs are reaching/serving different demographic groups equally (proportionally). This analysis is described in more detail in the next section and the analysis groups are summarized in Table 7 below.

Table 7. Analysis groups for the DEI Baseline Validation reporting

Comparison	Sub-Groups
Within Participants (for DEI Baseline Validation approach #1*)	Comparison of low to high racial diversity tracts (one and five) Comparison of low to high income tracts (one and five)
Within Non-Participants (for DEI Baseline Validation approach #1)	Comparison of low to high racial diversity tracts (one and five) Comparison of low to high income tracts (one and five)
Within Low & High Diversity Tracts	Comparison of participants to non-participants in highest racial diversity tracts *(primary comparison)*

Comparison	Sub-Groups
(for DEI Baseline Validation approach #2)	Comparison of participants to non-participants in lowest racial diversity tracts *(point of reference)*
Within Low- & High-Income Tracts (for DEI Baseline Validation approach #2)	Comparison of participants to non-participants in lowest-income tracts *(primary comparison)* Comparison of participants to non-participants in highest-income tracts *(point of reference)*

* Energy Trust recommends a few different analytical approaches for the DEI Baseline Validation, which are described in the next section.

All results will need to be weighted to support the comparisons and analysis described above. We anticipate that more than one set of weights may need to be developed, depending on the analysis.

Reporting

Energy Trust seeks a survey administration vendor with sophisticated analytical and synthesis capabilities for analysis and reporting. Energy Trust would like to maintain the level of rigor and synthesis reflected in the 2018 Customer Insights Study report, while expanding the scope to address additional research questions, including integrating more information about diverse populations and people of color that were not possible to report on in 2018, due to low sample sizes. Additionally, the report for the 2020 Customer Insights Study will need to address questions about the validity of using geographic analysis (i.e., Census tract data), as reflected in the 2018 DEI Baseline Analysis, to draw conclusions about the equity of Energy Trust's residential programs.

Diversity, Equity, and Inclusion Baseline Validation

Energy Trust began trying to answer the overarching question of, "Are Energy Trust's programs reaching/serving different demographic groups equally (proportionally)?" in its 2018 DEI Baseline Analysis. This analysis was done to begin tracking the equity of participation in programs with respect to race/ethnicity, income, and rural/urban geography. It is relatively simple, low-cost, and repeatable, while providing Energy Trust with a way to benchmark and improve upon program equity and track progress towards DEI goals.[10] However, because demographic data in this analysis are aggregated to the Census tract level, it does not directly quantify differences in participation levels between

[10] The geographic analysis method compares program participation rates between Census tracts in Oregon based on differences in demographics. This approach provides broad indicators of program equity and allows Energy Trust to identify large gaps in participation based on race/ethnicity, income, and rural/urban geography. For instance, if Latino households in Oregon participate in Energy Trust programs at a lower rate than their non-Latino counterparts, then we would expect to see lower participation rates in more heavily Latino Census tracts. In fact, this was a finding of the 2018 geographic analysis which was confirmed by the 2018 Customer Insights Study and 2018 Fast Feedback survey. However, this approach cannot quantify how many Latino households participated or how large the participation gap is between Latino and non-Latino households.

demographic groups; it simply indicates whether certain geographic areas have been underserved.

Energy Trust has received feedback about the suitability of the geographic analysis to track participation of different demographic groups accurately, especially people of color and low-income households. One of the primary underlying assumptions of the geographic analysis is that program participants reflect the demographics of the area in which they live. Energy Trust recognizes that this may not be the case. So, we would like to empirically test the geographic analysis by embedding this validation study within the 2020 Customer Insights Study. The underlying question is: are program participants predominantly affluent, white households even in areas that are racially diverse or low-income?

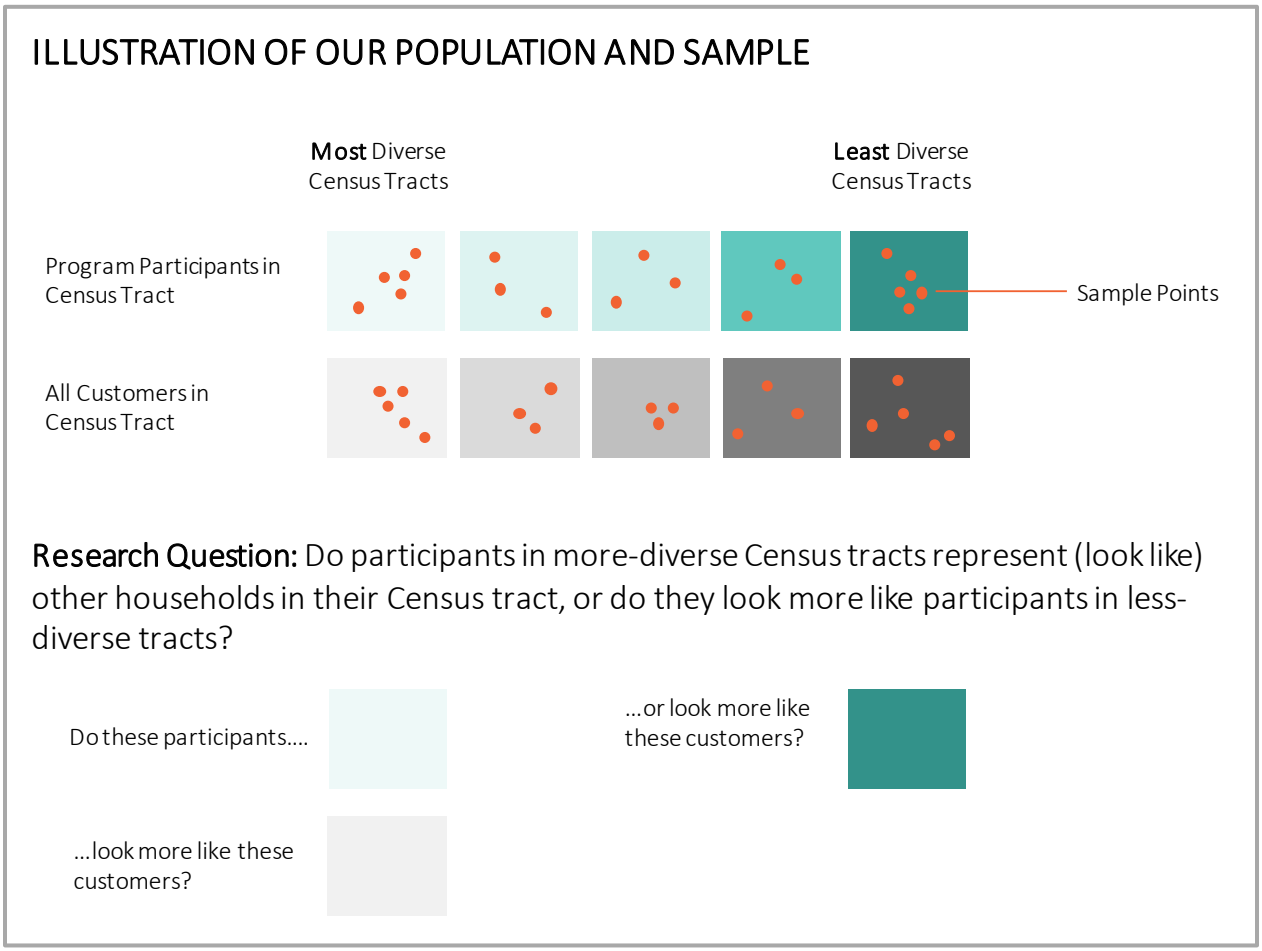
To answer this, the validation will compare the demographic characteristics of program participants and non-participants, using a few “cuts” of the data:

- What are the differences in Energy Trust program participation rates between demographic groups?
- What are the differences in demographics *between participants* in:
    - More racially diverse vs. less racially diverse Census tracts?
    - Higher-income vs. lower-income Census tracts?
- What are the differences in demographics *between non-participants* in:
    - More racially diverse vs. less racially diverse Census tracts?
    - Higher-income vs. lower-income Census tracts?

There are several ways to answer this question with survey data and Census data. No single method may answer the question perfectly, so Energy Trust proposes analyzing the data in a few different ways. The figures below illustrate the desired analysis.

First, consider how participants are distributed geographically, taking a five-point index score like the Racial Diversity Index as our base. In the figures below, we represent the five values of an index score with shading, and participants as orange dots.

Figure 1: Illustration of the DEI Baseline Validation sample distribution*

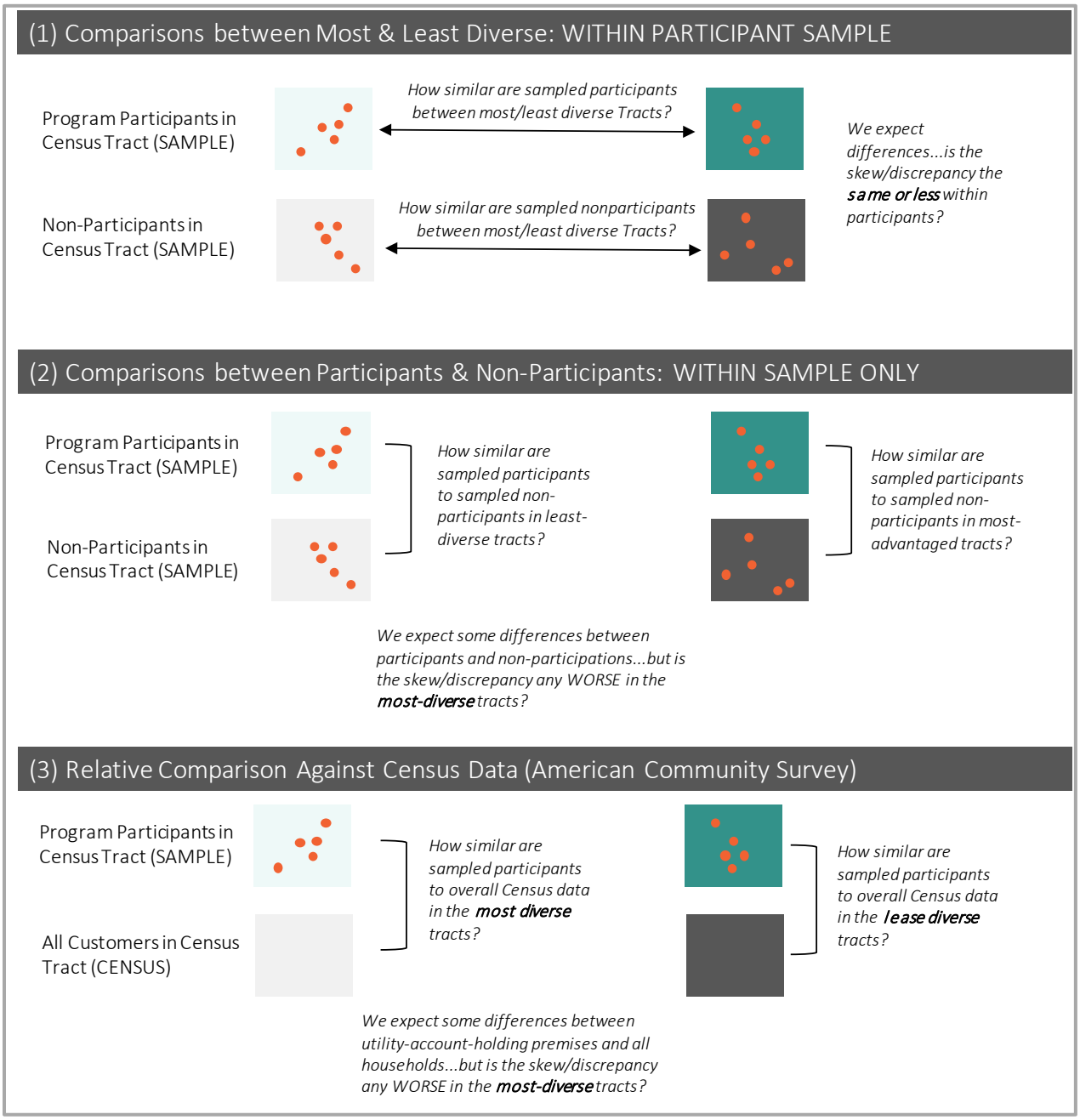


* This example takes the Racial Diversity Index as the index under analysis. The DEI Baseline Validation will include a similar analysis for the Income Diversity Index.

The figure below illustrates three potential approaches for comparing participants and non-participants in the highest and lowest Census tracts of the Racial Diversity Index and the Income Diversity Index.[11] This analysis is additional to comparing participation rates by demographic group.

[11] Energy Trust does not need the survey administration vendor to perform this analysis for the Composite Index or the Urban/Rural Index.

Figure 2: Three analytical approaches for the DEI Baseline Validation *



* This example takes the Racial Diversity Index as the index under analysis. The DEI Baseline Validation will include a similar analysis for the Income Diversity Index.

Approaches (1) and (2) can be performed directly from the survey data, after applying appropriate weights to account for the geographic distribution of respondents in the sample. In Approach (1), the comparison of participant demographics between (a) the highest-diversity and lowest-diversity tracts, and (b) the lowest-income and highest-income tracts, is of primary interest, and a similar comparison among non-participants is represented as a point of comparison (similar to a difference-in-differences analysis). We expect differences in both groups and want to test if the differences between participants

in tracts on either end of the spectrum are any different than differences between non-participants in tracts on either end of the spectrum. Similarly, for Approach (2), the comparison of participants to non-participants within (a) the most-diverse tracts, and (b) lowest-income tracts is of primary interest, though comparisons of participants to non-participants among the least-diverse and highest-income tracts are necessary as a point of comparison.

Analysis (3) also involves a differences-in-differences component, because we do not expect the sampled participant population (nor the non-participant population) to fully represent all households counted by the U.S. Census. This is because:

- Energy Trust's sample frame of residential account holders does not include names or contact information for all occupants of housing units in Oregon (rather, it represents residential utility accountholders who pay bills)
- The outreach, recruitment and screening approaches of this study, even with community outreach, will not provide an opportunity to reach a representative sample of people or households who do not directly pay their utility bills
- Many Census tracts in Oregon, particularly larger, more rural ones, are only partially served by one of Energy Trust's funding utilities. These tracts are on the edges of Energy Trust's service territory and not all residential households within them will be eligible customers included in the survey sample frame.

In other words, because the sample frame is the **account holders** of utility accounts on residential rates, this limits the respondent population to:

- Owners and renters who are directly responsible for paying their utility bills
- Landlords or property managers who pay utility bills directly

These criteria exclude several living situations, including individuals and families[12] who:

- Live in group quarters – e.g., military, senior/assisted living, dorm-type housing
- Live in rental units where utilities are included in the rent (e.g., family arrangements, large apartment complexes, some affordable or subsidized housing, and/or senior housing)
- Live in sublets
- Live in shared housing
- Are experiencing homelessness

Some of these living arrangements may be correlated with certain demographic characteristics, and therefore we do not expect people in these living situations to match the general population. For example, residents of the living arrangements less likely to hold utility accounts may be more likely to be (a) relatively younger or older heads of household (e.g., student or senior housing), (b) migrant workers or immigrants (e.g., in

[12] The landlords of these properties may be included in the sample frame if the premise is on a residential rate; since the survey does not ask participants to respond for a particular address or premise, if landlords are contacted they would likely interpret the survey as intended for their personal residence. Because landlords could appear in the sample frame as individuals (at their personal residents) and for the rental property they own/manage, they have a higher probability of being sampled. Sampling and weighting approaches, and the survey instrument, will need to account for this.

sublets, shared housing, or group quarters), (c) lower-income households, (d) persons with physical or mental disabilities, etc. Therefore, we do not expect the Customer Insights Study sample, even when weighted to the overall customer population, to match Census characteristics. However, performing Approach (3) as a difference-in-differences analysis (looking at differences between participants and the Census in low-income or high-diversity tracts, as well as those in high-income or low-diversity tracts), can assess whether the differences between participants and the Census are more pronounced in racially diverse or low-income tracts.

While the 2020 Customer Insights Study sample design will effectively represent residential accountholders, including owners and renters who pay the bills, and owners, landlords, and property managers who pay bills for units they do not occupy, the demographic information we can obtain from the survey will be limited to respondents who occupy the sampled households. We do not expect (or intend) landlords who pay tenant/occupant utility bills to answer for the demographics of the occupants, though the survey may ask “proxy” questions related to affordable housing or housing subsidies.

Energy Trust has considered multiple approaches to obtaining contact information or survey completes from occupants who do not pay utility bills, such as (a) asking landlords to share or distribute surveys, (b) purchasing or obtaining names and contact information for the occupants rather than the account holders, and (c) community outreach. However, few approaches appear cost-effective, and still present challenges for reaching certain populations of occupants. Therefore, for this study, Energy Trust has decided not to pursue survey completes among occupants who are not responsible for their bills; rather, as much of the survey will be completed by the landlord or owner as possible, including “proxy” questions on demographics. This approach will allow Energy Trust to quantify and characterize the units where occupants do not pay for utilities, including their market share, geographic distribution, type of housing unit and rental agreement. This information will help Energy Trust develop a cost-effective strategy for reaching them in future survey or outreach efforts.

Energy Trust can provide the summary Census tract demographic information from the U.S. Census American Community Survey (ACS) that was used for the 2018 DEI Baseline Analysis. The vendor may wish to pull additional or alternative metrics from the ACS.

Tasks

Energy Trust anticipates that the survey administration vendor will need to complete the following tasks to successfully complete the 2020 Customer Insights Study. *In responding to this RFP, please describe how your firm will approach each task, including any assumptions you are making for budgeting purposes and any best practices you will apply. Identify any methodological challenges that you foresee and describe how you plan to address them.* Please refer to the Vendor Responsibilities, the Assumptions for the Scope of Work, and the DEI Baseline Validation sections above for detailed guidance on activities to complete for each task.

Task 1: Kickoff and Work Plan

Activities: Review materials from Energy Trust, including plans and guidelines for the 2020 Customer Insights Study, past-year results of the 2018 Customer Insights Study and 2018 DEI Baseline Analysis, and the revised 2020 survey instrument. Host an online kickoff meeting. Request follow-up materials. Develop a draft and final Work Plan, Budget and Timeline for the project.

Deliverables: Kickoff meeting materials. Draft and final Work Plan, Budget and Timeline.

Task 2: Sampling

Activities: Establish a secure way to receive, process and store the participant and non-participant sample frame dataset. Review sample frame for premise flags and counts provided by Energy Trust. Acquire and append missing phone numbers and email addresses to both participant and non-participant samples. Advise Energy Trust on contact information match rates and expected response rates. Draw a stratified random sample for the Core Sample based on a revised sampling plan and quota groups that Energy Trust will establish, as well as random samples from Census tracts in the Communities of Color Oversample. Develop unique survey links for respondents in sample. Share contact lists as-needed with contracted research vendors (e.g., printer, phone survey vendor, community-based organizations) or Energy Trust.

Deliverables: Data security and transfer protocol. Final sample frame with appended contact information. Final sample(s) and customer lists for survey administration.

Task 3: Survey Recruitment and Fielding

Activities: Program survey for web and telephone administration. Test (QA/QC) survey instrument internally and provide links to Energy Trust for testing. Conduct soft launch or pre-test to check initial responses. Coordinate all activities related to printing and delivering recruitment materials. Field survey and fulfill survey incentives. Provide regular updates to Energy Trust on recruitment and reminder timing, completes by quota group, and response rates. Provide Energy Trust with a survey timeline and example materials. Coordinate directly with 4-6 community-based organizations and provide sample list(s) so they can conduct outreach activities in 10-20 Census tracts in the Communities of Color Oversample.

Deliverables: Final versions of any recruitment materials or survey instruments if they are adjusted during testing.[13] Twice-weekly survey updates and disposition dashboard or report (e.g., status, invites delivered, # completes overall and by quota group). Escalate matters that require a direct response from Energy Trust.

[13] Per Energy Trust's responsibilities outlined above, Energy Trust is developing and testing the final research instruments and recruitment materials in Q4 2019 and expect limited changes prior to fielding. However, we understand that in the course of programming and pre-testing an instrument with a range of stakeholders and customers, some requests for changes may emerge.

Task 4: Analysis and Reporting

Activities: Review previous 2018 Customer Insights Survey Report and 2018 DEI Baseline Analysis as inputs for creating a new report template. Create an updated report template for Energy Trust review, including examples of key tables. Review and refine all survey responses to a set of valid completes for analysis. Develop analysis weights to report out on the key analysis groups. Perform weighted analysis and statistical testing to address key research questions. Provide a written report with survey results and conclusions (see more detailed reporting guidelines above). Provide summary tables of weighted results for key analysis groups. Tables and graphs should be used for material that does not lend itself well to narrative form, as well as for important findings. The draft report will be reviewed and commented on by Energy Trust staff and stakeholders. Make revisions and deliver a final version of report based upon comments. Achieving an acceptable final report may take more than one iteration.

Provide Energy Trust with a final, scrubbed dataset of all completes, with analysis/quota group information and appended weighs. Host one webinar with Energy Trust staff to discuss results prior to delivering report. Attend a Diversity Advisory Council (DAC) meeting to answer any questions about the study.

Deliverables: Draft report template (before populating report). Draft and final written report with methodology, findings, conclusions, executive summary, and results tables. Final dataset with analysis groups and weights appended, and a data dictionary.

Task 5: Project Management

Activities: Host regular webinar-style conference calls during survey planning and fielding process. Proactively advise on ways to maximize study quality and response prior to, during, and post data collection. Provide near-real-time tracking and dispositions of survey responses to Energy Trust during fielding process. Submit monthly status updates presenting 1) a summary of accomplishments during the previous month; 2) current month's activities/plans; 3) variances in schedule and budget, including any necessary explanations; and if applicable, 4) issues or concerns to be addressed, with proposed solutions. Status updates are due by the 10th of every month and must accompany each invoice.

Deliverables: Conference calls with notes supplied afterward. Frequent study updates during survey fielding. Monthly status reports.

Schedule

Proposals should provide a timeline for the tasks above, assuming that the survey will be fielded in early to mid-January 2020, with the goal of conducting all follow-up communication and ending the survey no later than the end of February 2020. Completing the survey in January-February 2020, in advance of the 2020 U.S. Census, is important to Energy Trust in anticipation of news, PR, or outreach related to the 2020 U.S. Census that may affect response rates. The timeline should allow time for all review, sampling,

programming, and testing activities to support the survey. Please assume one week of Energy Trust and consultant review for all documents and materials. Where needed, please provide time for meetings or check-ins to discuss key documents.

A draft report should be delivered to Energy Trust by May 1, 2020. A final report must be delivered within two weeks of receiving all comments and edits from Energy Trust on the submitted draft. The vendor will be required to provide a written, monthly status update to Energy Trust on the 10th of every month, to accompany the invoice.

Budget and Budgeting Assumptions

Respondents should provide a low and high budget scenario based on the sample quota ranges provided in the RFP. Proposals should describe their underlying budget assumptions and may identify drivers of cost that can be modified without compromising the integrity of the study. Respondents should describe any cost drivers or options and their estimated budget impact. Please provide optional pricing for developing and delivering a variety of recruiting and follow-up materials, including introductory letters, postcards, outbound phone calls and emails, and an abbreviated print survey booklet for non-respondents (assume booklets would only be deployed after 5-7 weeks attempting other methods). In addition, please provide optional pricing for developing and administering an open version of the survey, not requiring an individual link, for use by community-based organizations to expand recruiting for the communities of color oversample. This option will be considered if survey quotas are not being met for the communities of color oversample using the individualized links.

Proposal Requirements

Proposal must contain the following information. There is a 32-page limit for proposals, not including résumés, insurance coverage information, conflict of interest disclosure, or representations and signature page.

1. Proposal Information

Qualifications

Provide a description of your firm's qualifications, including key staff, to conduct the type of research and tasks described in this RFP. Proposals should describe the respondent's experience doing similar work and identify specific aspects of the study where the respondent's experience will be particularly relevant or important. Survey design, sampling, weighting, and analytical experience will be as important as recruiting and fielding experience. Any experience the respondent has in working with low-income communities and communities of color to obtain will be of particular interest. **Should not exceed 5 pages.**

Technical proposal

Provide a detailed technical proposal describing respondent's proposed approach to the study overall and to the specific tasks identified in the "Tasks" section above. Refer

to the Vendor Responsibilities, the Assumptions for the Scope of Work, and the DEI Baseline Validation sections in the RFP for proposal requirements and detailed guidance on the anticipated scope and activities of the study. **Should not exceed 20 pages.**

Staffing plan

Describe the project team, role of each team member, and the management plan. **Should not exceed 2 pages.**

Schedule

A proposed schedule should include approximate dates of major activities and deliverables. Assume a project kick-off meeting will be scheduled within two weeks of awarding the contract. **Should not exceed 1 page.**

Budget

Provide a detailed budget proposal including at least two scenarios, outlining low and high budget options, based on different survey quota assumptions. Provide details about the other assumptions underlying the budget and the drivers of cost. Beyond the two main budget scenarios, proposals should provide options for specific activities or choices that will impact the budget. Assume that billing will be on a time and materials basis, up to a not-to-exceed budget cap (to be determined). Proposals should summarize the low and high budget scenarios in tables, breaking out the estimated hours and costs by task and by staff member (please use the budget template provided below). Key staff should be identified by name, with billing rates for each. **Should not exceed 3 pages.**

Budget template:

Staff Name	Hourly Rate	Hours Per Task		Total Hours	Total Cost
		Task 1	Task 2		
Total Hours Per Task					
Total Cost Per Task					

Diversity, equity, and inclusion

Describe your firm's specific efforts and experiences in integrating diversity, equity and inclusion internally at your firm, including both staffing and contracting for services. Note whether your firm is COBID-listed and/or whether your firm is woman or minority-owned. **Should not exceed 1 page.**

Insurance information

Energy Trust requires its contractors to maintain, at a minimum, workers compensation insurance, adequate commercial general liability insurance coverage, and automobile liability insurance. Cyber liability coverage may also be required for contractors handling sensitive data. Provide a description of the insurance coverage provided by your firm for administering this study, including:

- Whether such coverage is on a “comprehensive” or “commercial” form
- Whether such coverage is on a “claims made” or “occurrence” basis
- All endorsements excluding coverage of any nature, if any
- All limits, including aggregate limits and the current remaining coverage amounts under those limits
- Effective date

No page limit.

Résumés

Provide résumés of key staff and subcontractor team members who will be executing the work scope. **No page limit.**

2. Conflict of Interest Disclosure

Disclose any direct or indirect, actual or potential conflicts of interest your firm may have with Energy Trust in its proposal. A “direct or indirect conflict” is defined as any situation in which an individual or a member of their family or close business or personal acquaintance, is employed by Energy Trust or the OPUC, or may be reasonably construed to have a direct or indirect personal or financial interest in any business affairs of Energy Trust, whether because of a proposed contract or transaction to which Energy Trust may be a party or may be interested or is under consideration, or whether such conflict is purely conceptual, because of similarity of business interests or affairs.

If no potential conflict is identified by the respondent, the proposal will explicitly provide such a statement in this section. The determination of whether a conflict of interest exists is left to the sole discretion of Energy Trust. **No page limit.**

3. Representations and Signatures Page

Proposals must contain the signature of a duly authorized officer or agent of the company submitting the proposal. Respondent’s duly authorized officer or agent shall sign ***Appendix A*** certifying to the representations stated in *Appendix A.*

Administration of RFP and Schedule

Proposal Selection Criteria

Proposals will be judged on the following criteria, and any other factors deemed relevant by Energy Trust:

- Strength of technical proposal
- Qualifications of firm and proposed staff (including subcontractors)
- Budget proposal
- Diversity, equity, and inclusion information

RFP Schedule

- **October 17, 2019** RFP issued
- **October 30, 2019** Intent to bid due
- **October 30, 2019** Questions/request for additional information due
- **November 6, 2019** Response to questions sent no later than
- **November 15, 2019** **Proposals due**

Questions and Requests for Additional Information

Any questions and/or requests for clarification or additional information regarding this RFP must be submitted in writing, via email, according to these instructions and received by Energy Trust by **October 30, 2019**. Send questions and/or requests for clarifications via email to Dan Rubado at dan.rubado@energytrust.org.

These emails must be clearly labeled with a subject line "Request for Clarification—RFP". Questions submitted by email and received prior to the stated deadline will be answered on Energy Trust's website by the date shown in the schedule. Energy Trust staff is not available for verbal conversations with individual respondents and will not respond to additional requests for information after the date listed in the schedule.

Intent to Respond and Proposal Submission

A statement of intent to respond to this RFP must be submitted, via email to the contact named below, by **October 30, 2019**. Stating intent to bid does not obligate a respondent to submit a proposal. However, if an intent to respond is not received by the deadline, then Energy Trust may not accept a submitted proposal from the respondent.

Only electronically submitted proposals (in PDF form) will be accepted; faxed or print proposals will not. A signed Representations and Signature Page (Appendix A) is required and should be scanned and submitted as part of the proposal. All proposals must be received by 5pm PST on **November 15, 2019**. Energy Trust will not be obligated to consider information received outside this time interval for the purposes of this RFP. Please submit proposal to:

Dan Rubado
Evaluation Project Manager
Energy Trust of Oregon
Email: dan.rubado@energytrust.org

Revisions to RFP

If it becomes necessary to revise any part of this RFP, an addendum will be issued by Energy Trust and will be posted on the website. Respondents should contact Energy Trust if they find any inconsistencies or ambiguities to the RFP. Clarification given by Energy Trust may become an addendum to the RFP.

Withdrawal and Modification of Proposals

Respondents may withdraw their proposal and submit a revised proposal prior to the response deadline. After the response deadline, Respondent initiated changes will not be accepted. Respondents may withdraw their proposal from consideration at any time.

Proposal Evaluation and Notification for Negotiations

Energy Trust will review the proposals as received and will initiate negotiations with the leading respondent.

RFP Governing Provisions

All submitted proposals are subject to the following additional provisions.

Right to Accept or Reject Proposals, Multiple Awards

Energy Trust reserves the right to make multiple awards, reject any and all proposals and to waive any nonconformity in proposals received, to accept or reject any or all of the items in the proposal, and award the contract in whole or in part as it is deemed in Energy Trust's best interest. Energy Trust may also choose to negotiate any of the details of proposals prior to contracting.

Confidentiality

Respondents shall clearly identify only those portions of their proposals that they do not want revealed to third parties and label such portions as "Confidential Information". Except as required under law or for regulatory purposes Energy Trust will maintain confidentiality of such information. Energy Trust will not accept proposals or other documents that are marked to indicate the entire document is the confidential or proprietary information of the sender or that restricted handling is required. Normal business practices will be observed in handling proposal materials.

Ownership and Return of Proposals

All materials submitted in response to this RFP shall become the property of Energy Trust and shall not be returned to the respondent.

No Verbal Addendums

No verbal agreement or conversation made or had at any time with any officer, agent, or employee of Energy Trust, nor any oral representation by such party shall add to, detract from, affect or modify the terms of the RFP, unless specifically included in a written addendum issued by Energy Trust.

Proposal Costs

Each proposal prepared in response to this RFP will be prepared at the sole cost and expense of the Respondent and with the express understanding that there will be no claims whatsoever for reimbursement from Energy Trust.

Waiver of Claims

Respondent waives any right it may have to bring any claim, whether in damages or equity, against Energy Trust or its officers, directors, employees, or agents, with respect to any matter arising out of any process associated with this RFP.

Energy Trust Rights Reserved

Energy Trust reserves the right, in its sole discretion, to reject any or all proposals in whole or in part, to waive any minor irregularities or informalities in a proposal, and to enter into any agreement deemed to be in their best interests. In addition to any other enumerated reserved rights and/or options as stated in this RFP, Energy Trust may in its sole discretion do any one or more of the following:

- Determine which proposals are eligible for consideration in response to this RFP.
- Disqualify proposals that do not meet the requirements of this RFP, in the sole determination of Energy Trust.
- Negotiate with any Respondent to amend any proposal.
- Select and negotiate and/or enter into agreements with Respondents who, in Energy Trust's sole judgment, are most responsive to the RFP and whose proposals best satisfy the interests of Energy Trust, in its sole discretion, and not necessarily on the basis of price alone or any other single factor.
- Issue additional subsequent solicitations for proposals, including withdrawing this RFP at any time and/or issuing a new RFP that would supersede and replace this one.
- Vary any timetable or schedule, add or change any provisions discussed herein.
- Conduct any briefing session or further RFP process on any terms and conditions.
- Suspend or modify the RFP process at any time.
- Enter into relationships with more than one Respondent.

Resulting Contract

The selected vendor will be required to execute a written contract with Energy Trust to perform an agreed upon work scope. No award will be considered a commitment, and no obligations or legal relations shall exist between Energy Trust and the selected respondent until a final and binding contract has been executed by and between Energy Trust and the contractor. Time is of the essence with regard to this study, and prolonged contract negotiations will not be undertaken. In general, Energy Trust strongly prefers contracts that are consistent with Energy Trust’s standard terms and conditions; negotiations for such contracts can generally be completed quickly. In some cases, a few terms and conditions may need to be substituted or waived, in accordance with contract negotiations. Any party involved in these contract discussions can terminate negotiations at any time and for any reason. If contract negotiations are not proceeding in a timely manner, Energy Trust may opt to terminate discussions and select another vendor.

APPENDIX A – REPRESENTATIONS AND SIGNATURE PAGE

I, the undersigned declare that;

1. I am an authorized agent of the respondent and have authority to submit this proposal on behalf of the respondent.
2. The information provided in this proposal is true and correct to the best of my knowledge.
3. I have read this Request for Proposals in its entirety and agree unconditionally to all of its conditions and requirements.
4. The respondent has not directly or indirectly induced or solicited any other respondent to submit a false or sham proposal.
5. The respondent has not solicited or induced any other person, firm, or corporation to refrain from proposing.
6. The respondent has not sought by collusion to obtain for itself any advantage over any other respondent or Energy Trust.
7. The respondent's proposal is genuine; not made in the interest of, or on behalf of, any undisclosed person, firm, or corporation; and is not submitted in conformity with an agreement of rules of any group, association, organization, or corporation.
8. I understand and accept that the approval or rejection of respondent's request is within the sole discretion of Energy Trust and that there is no legal commitment until all due diligence has been performed and a properly authorized contract has been duly and properly executed.
9. I authorize the representatives of Energy Trust to investigate the business and personal financial credit history of respondent, its affiliates, and all associated partners, principals and management and authorize the release of all said information.
10. I agree that I will report immediately in writing to Energy Trust any changes to the information contained herein at any time while I am under consideration for funding.

The information contained in this proposal and any part thereof, including its exhibits, schedules, and other documents and instruments delivered or to be delivered to Energy Trust is true, accurate, and complete. This proposal includes all information necessary to ensure that the statements therein do not in whole or in part mislead Energy Trust as to any material fact.

Date: _____

Authorized Signature: _____

Name and Title: _____

(please print)