Appendix G: Program Implementation

This appendix outlines the roles and responsibilities that the PMC and PDC must meet to deliver the program. Proposals should address how respondent will perform these roles and responsibilities in the proposed program design and implementation plan for the PMC and/or PDC services.

Other RFP Appendices, such as Appendix A: Existing Buildings to Appendix B: Energy Performance Management, Appendix C: Existing Multifamily, Appendix D: Commercial Buildings—Southwest Washington, Appendix E: Business Lighting, Appendix F: Coordination and Collaboration, Appendix G: Program Implementation, Appendix H: Transition, and Appendix L: Information Technology Requirements provide additional program-specific implementation details and requirements. Refer to Appendix B to note areas for which differences from or additions to the roles and responsibilities listed below may exist for EPM implementation.

1. Budget and Savings Goals Development
   - Use Energy Trust’s organizational budget platform and action plan development documents.
   - Develop and manage to annual incentive and administrative budget and savings goals, subject to annual budgets and action plans adopted by the Energy Trust Board of Directors.
   - Provide insight into the approach for drafting and maintaining a budget, including providing internal tools such as measure buildup workbooks, techniques for predicting market uptake, estimating delivery costs or other relevant resources.
   - Balance annual performance metrics with developing new savings opportunities and expanding the base of participants.

2. Forecasting and Pipeline Management
   - Develop forecast strategy and document in a plan.
   - Lead forecasting activities and monitor the performance of the measures in a program portfolio for a single- and multi-year timeline.
   - Track and monitor the savings in Energy Trust’s systems of record and synthesize this information with available data on market conditions and historical trends to monitor progress towards achieving annual goals.
   - Submit detailed reporting and forecasting to Energy Trust on a monthly basis.
   - Manage budget and savings goals for each utility by enrolling projects and monitoring projects in the program pipeline. Work with Energy Trust to make necessary modifications to program activities to manage budget.
   - At the end of every quarter, compare savings performance, incentive budget and delivery budget to contract goals and budget. Where variances exist, address the reasons and provide a mitigation plan.
• Create multi-year projections for key aspects of the portfolio to monitor future available energy resources, trends in cost-effectiveness or other relevant indicators that may assist in characterizing future operating budgets.
• Determine appropriate levels of investments to direct toward research and pilot activities that develop future savings opportunities.

The PMC and/or PDC is responsible for conducting all technical analysis of projects, providing energy technical expertise, analysis of project cost-effectiveness,¹ engagement with participants and project teams and general management of submitted projects.

A. Energy Engineering
• Manage technical and energy engineering personnel to perform analyses of project plans, designs, technical reviews, calculated and prescriptive measures and special measures as requested.
• Manage all aspects of technical studies and review for the custom non-lighting and lighting engineering processes.
• Coordinate with other Energy Trust contractors, Energy Trust program management, Energy Trust Planning and Evaluation, and external entities such as equipment manufacturers, utilities, national standards organizations, RTF, etc.

B. Analysis
In conjunction with Energy Trust staff, the PMC and/or PDC will:

• As requested, perform statistical and quantitative data analyses to support program forecasting, design, operations, reporting and other goals or activities. Energy Trust uses SQL and R organization-wide.
• Perform analyses to create market characterizations and/or customer segments and provide information about the data and methods used. If requested, collect market and/or customer data to support market characterizations and/or customer segments.
• Use data visualization tools to support program forecasting, design, operations, reporting and other goals or activities. Energy Trust uses Power BI organization-wide.
• In cases where data live outside Energy Trust’s systems, develop and maintain datasets and/or databases to support program forecasting, design, operations, reporting and other goals or activities.

C. Technical Support
• Provide walk-through audit services.
• Conduct project scoping, quality control and technical reviews with customers and project teams, including trade allies/contractors.

¹ CE Fact sheet
• Oversee other project-related quality control elements pertaining to engineering, including pre-installation site visits to establish baseline conditions and to identify energy-saving opportunities and post-installation verifications to ensure that equipment has been installed and appears to be operating according to design specifications;

• Ensure that the technical needs of trade allies/contractors are being appropriately met.

• Train trade allies and contractors performing technical procedures to leverage incentives.

• Participate in user acceptance testing for tools and systems.

4. Measure Development and Evaluation Support

Following is an overview of PMC and/or PDC measure development and evaluation responsibilities.

A. Measure Development

• Attend training on Energy Trust measure development processes.

• Vet and develop new measures and technical protocols according to the Energy Trust measure development process and in coordination with Energy Trust’s Measure Development Manager and Planning Engineers.

• For new measures, develop preliminary estimates of cost-effectiveness, establishing preliminary results using the utility and total resource cost tests to assess whether the proposed measure can possibly meet Energy Trust’s cost-effectiveness requirements.

• Manage and maintain existing measures according to the Energy Trust measure development process and in coordination with Energy Trust’s Measure Development Manager and Planning Engineers.

• Update measures for changes in baseline performance, measure costs, measure performance, mandatory standards or changes in code. Revise analyses based on new information on market characteristics or results of evaluation reports, coordinated research projects or outside research from entities such as the Regional Technical Forum (RTF), Bonneville Power Administration (BPA) or others.

• Define measure specifications, end use applicability, estimated range of costs, measure life, savings and non-energy benefits including citations for all sources and assumptions.

• Assess, in approximate terms, the range of outcomes for cost and savings.

• Respond to requests for additional data collection.

• Work with Energy Trust to document the final assumptions in the form of Measure Approval Documents (MADs), including a cost-effectiveness screening spreadsheet completed in the format utilized by Energy Trust.

• Understand Energy Trust’s cost-effectiveness procedures (including utility and total resource cost test and regulatory framework).

• Document potential measures that were reviewed but rejected to avoid duplicate future efforts, or alternatively to highlight when rejected measures might become viable if future conditions change.
B. Evaluation Support
- Provide program data, information and materials to respond to requests that originate from Energy Trust Evaluation staff, its contractors or partner organizations (such as the Northwest Energy Efficiency Alliance (NEEA), etc.).
- Participate in meetings to develop evaluation and research plans and present evaluation results.
- Make appropriate staff available for evaluation interviews.
- Introduce customers and program trade allies to evaluators and encourage their participation in evaluations.
- Review and comment on evaluation reports and deliverables.
- Incorporate evaluation and research findings to continuously improve program design.
- Inform and coordinate with Energy Trust Evaluation staff on any PMC-led research activities.

C. Pilots/Coordinated Research Projects
- Propose and implement, as assigned, new pilots/coordinated research projects that may increase customer participation or introduce new measures or energy-saving concepts, in coordination with Energy Trust staff and adhering to Energy Trust’s coordinated research project process.
- Develop delivery structures and forms associated with pilots/coordinated research projects.
- Monitor, track and evolve existing pilots/coordinated research projects to help Energy Trust establish whether a pilot/coordinated research project should become a permanent part of the program design.

D. Product Maintenance

Within Energy Trust’s Project Tracking system, measures used by PMC/PDC are identified as products (for selection during data entry) and must be maintained on an ongoing basis.
- Attend training on the product request process.
- Submit requests for new products or changes to products in Energy Trust’s Project Tracking system (PT) according to Energy Trust’s process and timelines.
- Test new and updated products in PT before they are in active use.
- Work with Energy Trust staff to answer inquiries and address issues with product requests in a timely manner.

5. Trade Ally and Contractor Engagement
Energy Trust’s Trade Ally Network includes over 1,500 trade and program allies--contractors, architects, engineers, builders and verifiers—that span large and small commercial retrofit and new construction, HVAC, lighting, weatherization and other specialties and services.

Table G1 breaks down the trade ally network by program and lighting versus non-lighting track.
Please note that since trade allies can be enrolled in multiple programs, the total number is not reflective of the entire network and is only for the individual program listed.

Table G1. Trade Allies Managed by PDC and PMC

<table>
<thead>
<tr>
<th>Program</th>
<th>Non-Lighting Allies</th>
<th>Lighting Allies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Existing Buildings</td>
<td></td>
<td>325</td>
</tr>
<tr>
<td>Existing Multifamily</td>
<td></td>
<td>126</td>
</tr>
</tbody>
</table>

A. Delivery Requirements

- Process participation agreements for Existing Buildings and Lighting programs.
- Deliver regular communications, training and education, and program updates to trade allies.
- Work closely with Energy Trust to manage contractor components of escalated customer complaints.
- Support development for content in Energy Trust’s bi-monthly Insider newsletter following a review schedule provided by Energy Trust. The Insider is the primary communication vehicle for trade allies.
- Support Energy Trust’s annual Trade Ally Forums, held throughout its service territory, by developing program content, bringing relevant external speakers for breakouts, inviting vendors, and through outreach and marketing.
- Assist Energy Trust in providing follow-up to key Existing Building and Lighting allies that have not responded to previous communications about expiring insurance, risking termination.
- Develop an engagement strategy for working with contractors that are not enrolled as trade allies.
- Ensure incentive applications are being attributed to the correct trade allies in alignment with Energy Trust standards. This helps ensure Energy Trust can track incentives paid to contractors and their customers.
- Meet the following Energy Trust service-level agreements:
  - Respond to trade ally phone inquiries within the same business day
  - Respond to contractor email request within two business days
  - Respond to contractor literature requests within two business days
6. Marketing

- Energy Trust’s program marketing team develops and implements a portfolio-level integrated business-to-business marketing campaign that provides the strategic marketing framework for all PMC-created marketing. Energy Trust’s business-to-business strategies support efforts to reach smaller, more diverse and rural customers which may be less familiar with energy efficiency as a business strategy and with Energy Trust as a resource.

- Energy Trust has a policy of maintaining a standardized customer-facing presentation/brand in all marketing and outreach materials and requires all PMC marketing and outreach teams to follow these standards. PMC marketing teams or any subcontracted marketing resources must follow Energy Trust’s brand guidelines. The marketing team from the selected PMC, and any creative service subcontractors, will receive a copy of Energy Trust’s brand guidelines and assets and must attend a brand training delivered by Energy Trust marketing staff. All work must be reviewed and approved by Energy Trust’s program marketing team prior to production. Additionally, Energy Trust provides business development funds for trade allies and other partners to co-brand following guidelines laid out by Energy Trust.

- For PMC Marketing (Option 1 or 3), the PMC will be required to develop annual marketing implementation plans, including metrics for measuring success, for Existing Buildings and NW Natural—Washington that drive customer acquisition and complement Energy Trust’s overarching business-to-business marketing strategy, above. Activities will center around creating measure- and/or product/service-specific materials and/or activities that promote Energy Trust incentives and services to general and/or targeted vertical sector customers, or other influencers, to support outreach teams and trade allies and also to disseminate through owned, shared and paid marketing channels.

- PDC Marketing (Option 2): The PDC will be responsible for supporting marketing efforts for Existing Buildings and Business Lighting, collaborating with the PMC marketing team as appropriate, and with the Energy Trust program marketing team for Business Lighting marketing needs. PDC staff will work regularly with Energy Trust’s program marketing team to provide technical content and review, market insights and context and customer contacts necessary to inform the development and implementation of marketing materials and activities for the Business Lighting program. This collaboration will focus on providing any and all information necessary to support the development and implementation of effective lighting-related marketing materials and activities to reach customers, trade allies and other market actors.

- The PDC will play a similar role with the Existing Buildings PMC marketing team to support marketing activities that support overall messaging to business customers served by the programs.
7. Outreach and Ongoing Project Support
The following provides an overview of PMC/PDC outreach responsibilities. As a reminder, the PDC will not perform direct outreach to customers except in specific circumstances. See Appendix E for further details.

Outreach responsibilities for the Existing Buildings PMC and Business Lighting PDC will involve tasks related to building awareness about the program with customers and the market, as well as helping energy efficiency projects move toward completion. Tasks include, but are not limited to:

- Building awareness of the program through events and presentations
- Attending networking events and conferences
- Coordinating with trade allies and for the commercial PMC, coordinating with allied technical assistance contractors (ATACs)
- Updating customers and trade allies on program changes and bonuses
- Ushering projects through custom and standard paths and updating customers on status of projects
- Delivering incentive estimates and incentive offers to customers with a technical description of the project requirements
- Developing customized outreach/engagement based on customer type
- Supporting customers throughout and to the conclusions of their projects

8. Customer Service and Call Center
The PMC and PDC must meet the following call center delivery requirements:

- Provide full inbound call center services, M-F, 8:00am – 5:00pm PPT. The call center will also conduct outbound calling in support of the program.
- Answer incoming calls and be prepared to warm transfer to Energy Trust, subcontractors, trade allies and others.
- Provide auto-attendant greetings and instructions during lines-full and training scenarios.
- Send information to customers via email or mail as necessary.
- Record all customer interactions received in the call center in Energy Trust’s systems, including CRM.
- Deliver regularly-scheduled ongoing training to call center representatives including scripts, talking points and program updates.
- Provide Energy Trust with local Direct Inward Dials (DIDs) to support call routing through Energy Trust’s Interactive Voice Response (IVR) phone system.
- Call center must provide high levels of data security for Energy Trust information stored by call center systems and personnel.
- Assign a dedicated team of program professionals to Energy Trust. Team members must possess advanced customer service, oral and written communication skills and be proficient in the computer skills needed to serve Energy Trust effectively. Energy Trust
must be able to work closely with the successful applicant(s) regarding representative reassignments in the case of unsatisfactory performance.

- Team members assigned to customer service must be local staff embedded with the program.
- Provide clear communication channels for notification of expected and emergency changes (such as planned and unplanned systems downtime).
- Document, resolve and escalate all issues and complaints in accordance with Energy Trust’s case escalation procedures, including customer issues and complaints as well as disputes that may arise involving contractors.
- Participate, as requested, in work-process mapping or training designed to improve service to Energy Trust customers.
- Resolve customer inquiries successfully and efficiently per Energy Trust guidelines.

A. Service Level Agreements
The call center must meet minimum service level agreements (SLAs) and report on performance. Table G2 below lists mandatory and preferred SLAs and performance standards.

<table>
<thead>
<tr>
<th>Customer Service Level Agreements</th>
<th>Performance Standard</th>
<th>Preferred or Mandatory</th>
</tr>
</thead>
<tbody>
<tr>
<td>1   Answering time lapse</td>
<td>80 percent within 30 seconds</td>
<td>Mandatory</td>
</tr>
<tr>
<td>2   Access and response from technical support and programmers</td>
<td>Within one business day</td>
<td>Preferred</td>
</tr>
<tr>
<td>3   Call quality</td>
<td>Meet or exceed 85 percent call quality per month (based on existing methodology)</td>
<td>Mandatory</td>
</tr>
<tr>
<td>4   Implement report format and content change requests from Energy Trust</td>
<td>Within five business days</td>
<td>Preferred</td>
</tr>
<tr>
<td>5   Major and minor script revisions</td>
<td>Minor within one business day; major within three business days</td>
<td>Preferred</td>
</tr>
<tr>
<td>6   Network availability</td>
<td>99.9 percent during all hours</td>
<td>Mandatory</td>
</tr>
<tr>
<td>7   Network delay times</td>
<td>4:1 ratio between peak and average ping times</td>
<td>Mandatory</td>
</tr>
<tr>
<td>8   Network packet loss</td>
<td>&lt; 1 percent packet loss during business hours</td>
<td>Mandatory</td>
</tr>
<tr>
<td>9   Percent of abandoned calls</td>
<td>&lt; 3 percent</td>
<td>Mandatory</td>
</tr>
<tr>
<td>10  CSR staff availability during open hours</td>
<td>99.9 percent during business hours</td>
<td>Mandatory</td>
</tr>
<tr>
<td>11  Phone system availability</td>
<td>99.9 percent during business hours</td>
<td>Mandatory</td>
</tr>
<tr>
<td>12  Respond to customer email requests</td>
<td>Within two business days</td>
<td>Mandatory</td>
</tr>
<tr>
<td>13  Respond to contractor email requests</td>
<td>Within two business days</td>
<td>Mandatory</td>
</tr>
<tr>
<td>14  Real-time reporting availability for statistics</td>
<td>99.9 percent during all hours</td>
<td>Mandatory</td>
</tr>
<tr>
<td>Customer Service Level Agreements</td>
<td>Performance Standard</td>
<td>Preferred or Mandatory</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------------------------</td>
<td>-------------------------------</td>
<td>------------------------</td>
</tr>
<tr>
<td>15 Record all inbound and outbound calls and store for three years for Energy Trust to access at any time</td>
<td>Ongoing basis - daily</td>
<td>Mandatory</td>
</tr>
<tr>
<td>16 Perform call quality monitoring and scoring</td>
<td>Bi-weekly (every other week)</td>
<td>Mandatory</td>
</tr>
<tr>
<td>17 Utilizing call quality monitoring scores, provide coaching and feedback to CSRs</td>
<td>Bi-weekly (every other week)</td>
<td>Mandatory</td>
</tr>
</tbody>
</table>

**9. Reporting and Invoicing**

- Submit monthly progress reports covering the previous month. Document goals and activities and include detailed performance data, customer service issues and successes, case tracking, address marketing, program activities and diversity and equity effort metrics. The reports will also include a summary of projects completed, review other relevant indications or program activities, track on large projects, comment on challenges faced and highlight any planned activities for the upcoming month. The reports support joint management meetings through trending analyses, forecasting and continuous improvement.
- Submit a detailed annual progress report that includes an executive summary with an analysis of accomplishments for the year including all of the quarterly report elements, Quarter 4 accomplishments or challenges.
- Provide program data from systems, PT, CRM or other tracking tools as needed to respond to requests from Energy Trust stakeholders including, but not limited to, the Board of Directors, OPUC, legislators, media and Energy Trust management within a timeframe specified by Energy Trust for responding to data requests and provide updates on program goals and budget tracking.
- All Energy Trust programs are expected to deliver status reports as requested.
- By no later than the 10th of each month, PMC will be required to submit one or more electronic invoices for labor and other direct charges incurred the previous month. PMC/PDC invoices will categorize charges as management, delivery, marketing or (if applicable) specific contracted retainage/performance compensation payments. All charges must be supported by detailed documentation (such as payroll reports, certified expense reports or receipts). Charges incurred more than 60 days prior to the invoice date will not be considered current, and Energy Trust may delay or withhold payment for such charges. All required supporting documentation for charges to be paid will need to accompany the invoice. Energy Trust pays invoices 30 days after invoice date by electronic (ACH) payment.
• Separate cost tracking and invoicing and payment controls/procedures may be required for specific tasks or types of services. For example, the Existing Buildings PMC is currently required to track and invoice separately for Oregon and Washington PMC services, for PMC’s SEM coach services which are payable to PMC as service incentives via PT,² and for individual technical studies payable by PMC to PMC’s subcontracted ATACs as service incentives via PT. Payments of service incentives to the current Existing Multifamily PMC for purchased and installed ISMs are also invoiced and payable via PT.

10. Operations and Controls
Energy Trust maintains high quality standards and requires significant amounts of operation-related activities and frequent interaction, collaboration and reporting from its PDCs. Tasks include administration and quality control activities and should be budgeted appropriately.

A. Quality Control and Quality Assurance
• Develop, deliver, and maintain content for a program implementation manual documenting all procedures, protocols, forms, processes and policies regarding the program delivery, program management, quality control, customer service and compliance activities. The PMC and/or PDC is required to keep implementation manual contents updated on a regular basis and posted to Energy Trust’s systems.
• Develop and document quality control procedures for all aspects of program operations in the program implementation manual. Quality control and compliance procedures, at a minimum, are to incorporate all relevant Energy Trust policy and program requirements. For aspects of program operations requiring licenses or certifications, quality control standards and procedures will be consistent with and rely on industry standards. Costs associated with quality control and compliance must be considered and included in budgeting for this proposal.
• Ensure that program quality control activities are sufficient, including quality control of projected savings analyses for measures, measures installed and information provided to Energy Trust as documentation and included with the project file.
• Provide data, payment and project file quality control, clearly addressing how customer and project electronic (and hard copy, as needed) records will be created, maintained and accurately entered into Energy Trust’s current Customer Relationship Management (CRM) and Project Tracking (PT) systems.
• Develop project file document requirements checklist and approval process, as well as change control procedures for forms, cost-effectiveness models and any other applicable elements of the project documentation process.

² While some SEM coaching services are payable as service incentives, the selected respondent will work in this area with Energy Trust to identify tasks that may qualify for service incentive funding. For the purpose of this proposal, all identified SEM coaching services should simply be categorized as program delivery costs (instead of incentives).
• Conduct pre- and post-project verification and quality control reviews, including performing quality control of field work, technical studies and site installation inspections.

• Support and provide resources necessary to comply with all quality assurance requests by Energy Trust in a timely manner. Although specific QA project audits may be regularly scheduled (e.g., weekly and quarterly), any project may be audited at any time. Other quality control requirements include:
  o Ensuring that security protocols are in place to maintain customer confidentiality. This includes gathering UCI agreements from any subcontractors such as ATACs.
  o Maintain and deliver sensitive data and other confidential information in a secure environment as applicable by state and federal laws and regulations.

B. Audit Requirements

• Cooperate with Energy Trust auditors, either internal or external.

• As a 501(c) (3) charitable organization, Energy Trust is required to annually obtain an audit by an independent auditing firm. Energy Trust is subject to an annual audit performance measure imposed by the OPUC Grant Agreement. Because of the nature of the program implementer’s work for Energy Trust, the PMC and/or PDC will be obtaining, creating and retaining records relating to how Energy Trust's funds are spent. It will keep its own financial records according to GAAP and will keep accurate and complete records of how Energy Trust's funds are spent so as to enable Energy Trust to appropriately respond to audits and to any other authorized external information requests.

• Energy Trust administers a quarterly audit that provides insight into the program’s adherence to written policies and provides opportunities to discuss process improvements. After the audit, Energy Trust outlines the findings in a formal memo and the PMC and/or PDC and Program Manager have an opportunity to respond and clarify.

C. Record Management

• Maintain electronic records for all projects in an Energy Trust-approved format, marked with the project ID and including all associated paperwork, invoices, final technical studies and analyses, any simulation modeling files (inputs, models, outputs) and all savings and incentive calculations. Records should be systematically organized with a clear accounting of the contents and the final disposition of the project and be filed in a central location in Energy Trust’s systems.

• Deliver completed project file records to Energy Trust, in accordance with Energy Trust’s requirements, for all projects completed.

• The PMC and PDC are required to submit project files to Energy Trust in the format and according to the schedules specified. Energy Trust currently requires that the PMC and PDC load all required project documentation for record management to PT when queuing the project for payment.
• Load all project documentation to PT and manage all such documentation, using provided tools, to ensure no projects are missing documentation.

D. Forms, Tools and Program Documents

• Prepare, assess effectiveness and update all program forms, lighting and custom tools and documents, including web forms and/or use of DocuSign for program forms, used to document program participation requirements, workflows and incentive agreements consistent with Energy Trust’s requirements.
• Submit forms per Energy Trust’s defined forms style guide, process and updating schedule and work with Energy Trust for final formatting, review of terms and conditions and overall content.
• Collaborate with Energy Trust on document design and version control using SharePoint.

E. Incentive Processing and Project File Maintenance

• Process incentives weekly. All incentive payment transactions are posted using Energy Trust’s project tracking system.
• Every payment request must be QCed by the PMC or PDC prior to Energy Trust approval. QC includes, but is not limited to, spot-checks and statistical checks for validation of accuracy and completeness.
• During all processing activities, the PMC and/or PDC will perform the following tasks:
  o Ensure all program forms, incentive sheets and other public documents in use are current;
  o Establish review procedures for each project before an incentive payment is authorized and requested through Energy Trust systems;
  o Verify that incentive application forms meet program requirements and that all required project paperwork is present, complete, legible and accurate;
  o Complete accurate data entry of participant information, incentive application information and payment details;
  o Process payments according to Energy Trust requirements, and track and verify data;
  o Collect complete, accurate and verifiable tax identification information for incentive payments and prize promotions. Ensure W9 procedures are met according to Energy Trust protocols;
  o Ensure all active measures in Energy Trust’s program tracking system are up to date;
  o Assist Energy Trust with maintaining the PT system to support program requirements;
  o Ensure all active projects in Energy Trust’s program tracking systems are up-to-date;
  o Track and record up-to-date customer and project data in Energy Trust’s program tracking systems; and
  o Deliver checks per Energy Trust procedures.
11. Information Technology
See Appendix L for Information Technology Requirements.

12. SEM Delivery
See Appendix B for details on roles and responsibilities associated with SEM-specific delivery.