

Customer Generation Evaluation
Responses to Recommendations (RTR) Process Guidance¹
Version: 09/14/21

Summary and Purpose

The Responses to Recommendations (RTR) are the program administrators'/IOUs' specific plans and activities to incorporate evaluation findings and recommendations into programs to improve performance and operations. RTR process starts with a compilation of recommendations of a final evaluation report and then the program administrator/IOU must complete a response for each recommendation found in the study. The documentation of this exchange is archived as an appendix to the report. The response to recommendation table is a tool (excel spreadsheet) designed for Energy Division and stakeholders to track and ensure that improvements and reforms identified in evaluation activities are reflected in program improvements. This RTR Process Guidance is for the Customer Generation team to streamline evaluation practices amongst the Customer Generation programs.

Key Roles

Program administrators (PAs) and/or IOUs are responsible for responding to recommendations in evaluation reports within 60 days of release. The respondents should fulfill the following tasks:

- Compile key findings and recommendations from evaluation reports to be shared with Program Administrators' program teams (this step may be unnecessary if vendor completed the standardized Recommendations Appendix)
- Support the Program team as they develop a draft RTR (Response to Recommendations)
- Complete all posting and vetting requirements per the process described in this document.

Energy Division (ED) Staff has the responsibility of reviewing responses to recommendations for clarity and responsiveness. Staff is also responsible for ensuring the RTR process is completed for studies they lead.

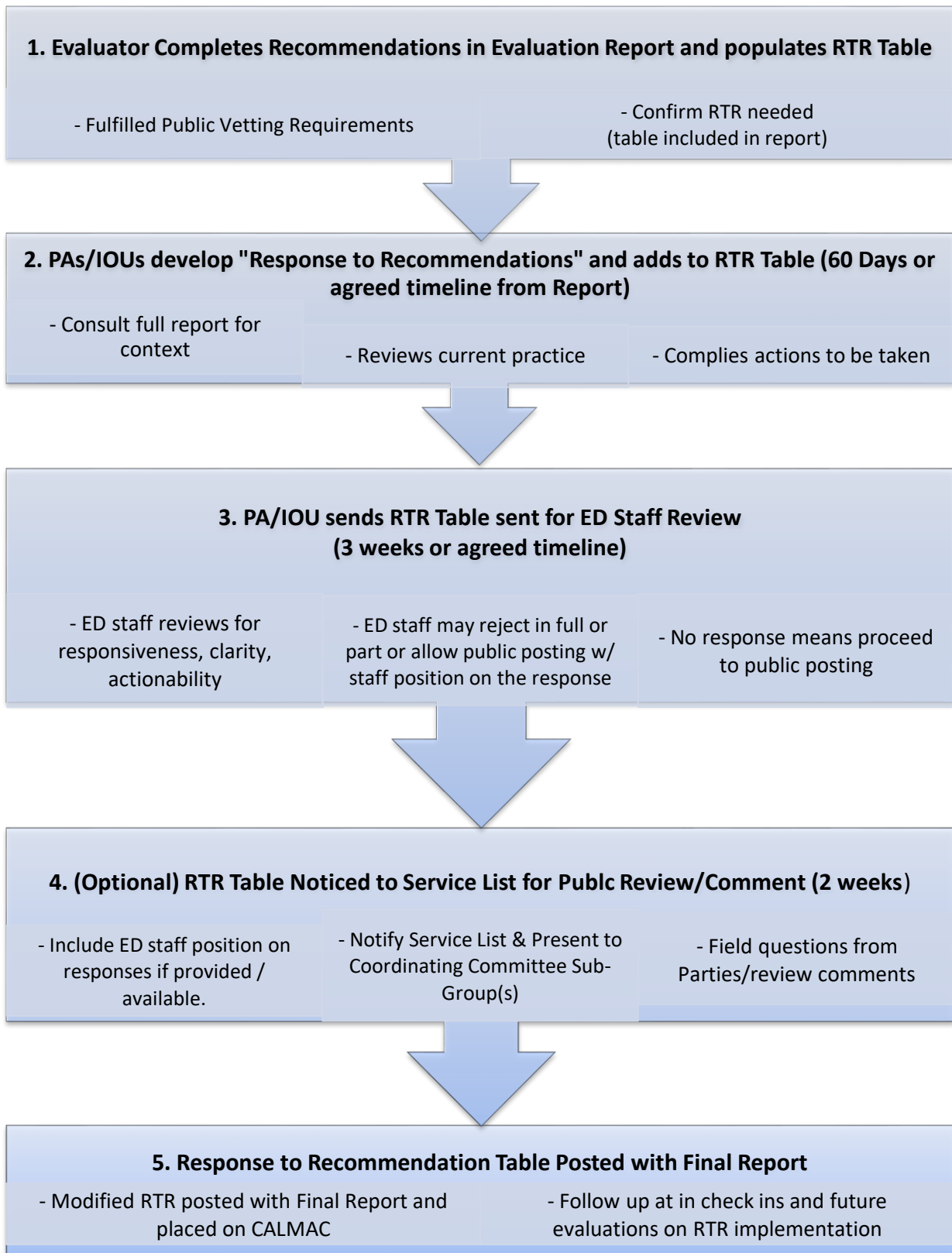
Stakeholders are responsible for knowing what program administrators plan to do in response to recommendations, comment, and support follow through on the actions in collaboration with ED Staff and program administrators in their collective oversight of program success. Stakeholders who are parties to an applicable proceeding should feel encouraged to include and refer to RTRs in proceeding and Advice Letter comments.

Response to Recommendations Process has 5 Key Steps

The next page shows a flow diagram for the 5-step process. The first three steps are to build consensus on the recommendations and the responses to the recommendations. The fourth and fifth steps are to ensure accountability for follow-through and awareness of the actions that are planned to be taken in response to the evaluation recommendations.

¹ This document utilizes the 2016 RTR Process document from CPUC Energy Efficiency Branch.

Response to Recommendation Process Guidance Flow Diagram:



1. Evaluation Completed, RTR Table included in Report, RTRs Confirmed Necessary

The Response to Recommendations table is provided in the appendix of the final report, and ED staff confirm with the program administrator and/or the IOU that a response is required.

The RTR table should include 1) the specific entity (PA, IOU, etc.) to whom the recommendation is intended, 2) the program(s) to which the recommendation is targeted (if more than one), and 3) reference to the finding leading to the recommendation.

ED staff or the program administrators/IOUs may plan and conduct review meetings to discuss the RTRs while in progress.

RTRs are not necessary for cancelled programs.

2. Program Administrators'/IOUs' Response to the Recommendations in the RTR table within 60 days of the report being completed.

On or before the 60-day time period has closed, program administrator/IOU or ED staff will post the RTR table.

The responses from the program administrators/IOUs shall indicate whether the recommendation is accepted, rejected, or not applicable and provide an explanation justifying the response. The response shall provide specific steps the program administrator/IOU will take to address the recommendation and specify a timeframe for completing or implementing the recommended action.

If they do not accept a recommendation or find it is not applicable, the program administrator/IOU shall outline specific steps already taken to address the recommendations or render them not applicable.

3. ED Staff Reviews Program Administrators'/IOUs' Responses to Recommendations ED staff will review the responses provided by the program administrators/IOUs within three weeks of receiving them.

ED staff also may release to the public without pre-review as determined on a case by case basis. ED staff will review the responses for responsiveness to the recommendation, clarity and program actionability and will respond to the program administrators/IOUs if they are accepted as submitted.

If the responses, in whole or in part are not acceptable, then ED staff shall notify the program administrators/IOUs in an additional column of the RTR table. A follow up meeting with the program or regulatory staff should be held to clarify issues with the responses and settle on an agreed upon response to move the program forward. Resolution with the program administrators/IOUs should occur in a reasonable timeframe (two weeks).

If ED staff and program administrators/IOUs cannot agree on revised responses, then the contested response can be maintained in the RTR table, clearly outlining the difference. This version of the RTR can move to the public comment process.

4. (Optional) Responses to Recommendations Table is Posted for Public Comment

The table including the recommendation, the response, and any contested responses (as needed) will be noticed to the applicable service list.

If public comments reveal issues needing to be addressed within the response, it would be considered in the final modifications of the response in the table, but written responses to public comments on the RTRs will not be made.

5. Final Response to Recommendation Table are Posted with the Final Evaluation Report

At the completion of this process the completed template will be posted alongside the final evaluation report and, additionally, can also be provided as a standalone appendix. The final evaluation report with appended RTR will be published to California Measurement Advisory Council website (www.calmac.org) listed under “Self Generation.”