

**Illinois Energy Efficiency Stakeholder Advisory Group:
Portfolio Planning Process Project Plan
DRAFT – updated 10/29/2015**

Description	Participants
Champions	IL Attorney General's Office – Karen Lusson Ameren IL – Keith Goerss ComEd – Roger Baker Department of Commerce and Economic Opportunity – Molly Lunn Nicor Gas – Hammad Chaudhry Peoples Gas-North Shore Gas – Sue Nathan (AEG)
SAG Facilitation Team	Annette Beitel Celia Johnson
Participants: Illinois Program Administrators	Ameren IL ComEd Department of Commerce and Economic Opportunity Nicor Gas Peoples Gas-North Shore Gas
Participants: Non-Program Administrators that generally intervene in EE Plan dockets.	Citizens Utility Board (CUB) Illinois Attorney General's Office (IL AG) Illinois Commerce Commission Staff (ICC Staff) Large customer representatives (e.g. IIEC, REACT) Natural Resources Defense Council (NRDC) Other interested organizations and companies
Observers: Interested parties that generally do not intervene in dockets but may be interested in participating in this process.	Energy consulting firms (e.g. Program Implementers) Independent Evaluators MEEA State agencies (IL Environmental Protection Agency; Illinois Power Agency)
Writing Team Will review/edit, as described further below, EE SAG Planning Process Final Deliverables	The writing team is comprised of attorneys, including: Celia Johnson – SAG Facilitation Team Karen Lusson – IL AG Kristol Whatley – Ameren IL Anne Mitchell – Nicor Gas
EE SAG Planning Documents	The SAG Facilitation Team will work with the Planning Champions (listed above) on the following planning documents to support this effort: 1. Planning Process Overview 2. Planning Templates, including: i) Existing Program Performance Template; ii) Proposed New Program Idea Template; iii) Proposed Program Change Template; iv) Proposed Policy Template; v) High-Level Portfolio Template; vi) Final Program Template for Filing; and vii) Consent Agreement/Proposed Stipulation Template.

EE SAG Planning Process Tracking Documents	The SAG Facilitation Team will maintain the following tracking documents: 1. Open Items/Action Items 2. Consensus and Non-Consensus Items 3. Responses to Stakeholder Suggestions and Recommendations 4. “Parking Lot” Issues
Final Planning Process Deliverables	The Writing Team is responsible for editing the final Planning Process Deliverables: 1. Stipulation Agreement (with a Non-Consensus Comparison Exhibit, if applicable) 2. Acknowledgement and Agreement Document (for consensus discussions) 3. EE SAG Planning Process Descriptions
Commencement Date	July 2015
Conclusion Date	September 15, 2016
Attachments to Project Plan	Attachment A: Background and Definitions Attachment B: Key Issues for SAG Portfolio Planning Process Attachment C: Schedule for SAG Portfolio Planning Process Attachment D: Templates (see the list in Section VI below)

I. Objectives

The objective of the SAG Portfolio Planning Process is to reach as much consensus as possible on issues related to Energy Efficiency Portfolio Plans, before the Energy Efficiency Plan filing for Program Administrators in fall 2016. The goal is to reach consensus on a variety of issues in order to reduce litigation during the upcoming Plan dockets.

SAG will prioritize consensus on the following Plan components:

1. Allocation of portfolio budget across sectors (8-103 and 8-104 budgets to be provided by Program Administrators);
2. Portfolio savings;
3. Programs to be funded (existing and new);
4. Residential and non-residential split;
5. Low-income offerings; and
6. Coordination between gas and electric utilities.

See Attachment B, Key Issues for Portfolio Planning, for a list of issues proposed for discussion. SAG may also discuss program-specific details, as applicable, but those topics will not be prioritized for resolution through this process. In addition, issues identified as Policy Issues will be moved to the Policy Manual Subcommittee for discussion and resolution.

II. Process Rules and Guiding Principles

SAG is a forum that allows parties to provide early input and ongoing input into the Portfolio Planning process, express different opinions, better understand the opinions of others, and foster collaboration and consensus, where possible and appropriate. All SAG participants will seek to follow the process rules and guiding principles described in this Project Plan, to foster communication and productive discussion and engage in consensus decision-making.

A. Participant Roles and Responsibilities

The following section describes roles and responsibilities of key participants:

- **Facilitation.** SAG Portfolio Planning Process meetings will be facilitated by the SAG Facilitation Team. The SAG Facilitation Team duties include:
 - **Meeting Facilitation:** Presiding over meetings, develop agendas, complete background research, as needed and resources permitting, maintain the schedule, review draft meeting materials, and update the SAG website. Materials will be circulated to participants at least five (5) Business Days in advance of meetings.
 - **Tracking Open Items/Action Items:** Action items and open issues will be tracked by the SAG Facilitation Team during each meeting. An updated tracking document will be circulated to participants within five (5) Business Days following meetings, and will be available for download on the SAG website. Responses to open issues will also be circulated in advance of the next meeting.
 - **Tracking consensus and non-consensus:** SAG Facilitation will track consensus and non-consensus issues and seek to forge consensus to minimize the number of non-consensus items remaining at the end of the process. SAG Facilitation will also track potential stipulations as they are discussed in SAG.
 - **Tracking Responses to Stakeholder Suggestions and Recommendations:** Throughout the planning process, stakeholders will make specific suggestions and recommendations. SAG Facilitation will track the suggestions and recommendations and responses from the Portfolio Administrators. If a stakeholder makes a suggestion that is not listed on the “Suggestions and Recommendation” tracking sheet, it is the stakeholder’s responsibility to notify SAG Facilitation so that the recommendation and Portfolio Administrator Response can be memorialized. Program Administrators responses should include rationale for rejecting stakeholder suggestions and recommendations.
 - **Tracking Stipulations:** SAG Facilitation will keep a list of
 - **“Parking Lot” Issues:** SAG Facilitation will keep a list of issues/items that come are raised in the Planning process but will not be addressed during the planning process. Such issues may include issues that are beyond the scope of SAG Planning Process, belong in another process (such as Policy Manual ver. 2.0), are not ripe for decision and should be considered during the next three-year SAG, not of general interest, etc. The SAG Facilitation Team will seek to identify another venue for addressing issues that stakeholders raise that, for whatever reason, will not be addressed through the SAG Planning Process.
 - **EE SAG Planning Process Description:** SAG Facilitation will track and memorialize in a memo key activities the SAG EE Planning Process so that participants and the Commission have a record of the planning process objectives, discussion, key activities and results. This document will be finalized by the Writing Team.
 - **Rendering Decisions on Project Process/Scope:** The SAG Facilitation Team shall render final decisions on process matters, including the Project scope and what issues can reasonably be addressed in the Planning Process, to maintain a manageable and efficient process. Agendas and

materials will be available for download on the [Meeting Materials](#) page of the SAG website, unless documents include confidential or proprietary information. The SAG Facilitation Team will adhere to a clear timeline and process for conclusion of work in the SAG Portfolio Planning Process.

- **Program Administrator Participation.** Program Administrators offering programs pursuant to Sections 8-103, 8-104 and Section 16-111.5B of the Public Utilities Act shall participate in the SAG Portfolio Planning Process (e.g. Ameren IL, ComEd, the Department of Commerce and Economic Opportunity, Nicor Gas, and Peoples Gas – North Shore Gas), and will be providing identified deliverables to allow interested stakeholders to provide meaningful input. In addition, they will respond to requests for stakeholder information, consistent with preserving confidentiality of customer and other confidential information, and assuming information is readily available and does not require significant processing or analysis to respond to stakeholder requests. Finally, Program Administrators are expected to respond to stakeholder suggestions and recommendations and provide rationale of stakeholder suggestions and/or recommendations are not accepted.
- **Stakeholder Participation/Participation Restrictions for Financially-Interested Parties.** Attendance and participation in the SAG Portfolio Planning Process is open to all interested stakeholders. However, there may be agenda items during this process that require open discussion between Program Administrators and non-financially interested stakeholders, involving confidential and/or proprietary information. Confidential and/or proprietary topics will be identified by the SAG Facilitation Team in advance. Participants with a financial interest (e.g. current and prospective program implementers, contractors, and product representatives) must recuse themselves from attending confidential and/or proprietary meetings.
- **Writing Committee.** A small group Writing Committee, comprised of attorneys, will meet to discuss draft language and SAG work product, as needed. The Writing Committee includes Celia Johnson, SAG Facilitation Team; Kristol Whatley, Ameren Illinois; Karen Lusson, Illinois Attorney General's Office; and Anne Mitchell, representing Nicor Gas. The purpose of the Writing Committee is to produce documents with a consistent voice, “look and feel”, and content, with high quality editorial review. The Writing Committee will seek to preserve substance of writings they edit.

B. Guiding Principles

The following Guiding Principles will be observed:

1. **Collaboration.** SAG meetings are intended to build trust and collaborative working relationships. Parties are encouraged to raise issues and voice concerns when they don't support specific initiatives discussed at the SAG, and also offer constructive approaches and solutions where possible. Discussions should focus on the merits of an issue, rather than assertions of prior litigation positions or future speculation of litigation positions.
2. **Prioritizing Issues.** The SAG Facilitation Team will prioritize the issues to be addressed through the Portfolio Planning Process (see Attachment A), with input from SAG participants.
3. **Productive Discussion.** Participants in the SAG Portfolio Planning Process should avoid providing feedback to Program Administrators that is based on:
 - a. Assuming “evil” intent or inevitable opportunistic behavior.

- b. Attempting to address extreme or worse-case scenarios.
- c. Creating opportunities to micro-manage Portfolio Administrators.
- d. Seeking information for purposes of seeking future cost disallowances.

C. Process Guidelines

The following Process Guidelines will be observed:

- **Proposal Support.** SAG participants that propose to discuss a policy change, Program design, or other topic relevant to the SAG Portfolio Planning Process shall demonstrate fact-based support of their recommendation(s) prior to discussion at SAG. Support includes, but is not limited to, background, research, and data analysis, and information about other jurisdictions who have implemented the proposed policy change or Program Design change. The Proposed New Program Idea Template and/or Policy / Issue Template must be submitted to the SAG Facilitation Team in advance of scheduled discussion. The SAG Facilitation Team reserves the right to request additional information prior to scheduling discussion at SAG.
- **Discussions in the Nature of Settlement Discussions.** The SAG Facilitation team will seek to build group consensus on issues that are addressed through the Portfolio Planning Process. Consensus decision-making is in the nature of settlement discussions. As a matter of general agreement, positions or statements made during SAG meetings shall not be used by any party to contradict or impeach another party's position, or prove a party's position, in a Commission proceeding. See Section V, Settlement Policy, for more information. If, after a reasonable period of time as determined by the SAG Facilitation Team, consensus is not reached, the SAG Facilitation Team will prepare a "Comparison Exhibit" that tracks areas of non-consensus, including positions and rationale. Parties who agree to a consensus position who later change their positions in litigation will be viewed as negotiating in bad faith.
- **Conflict of Interest Policy.** Various SAG participants have raised concerns about stakeholder participation on sensitive issues that may arise during the SAG Portfolio Planning Process. A conflict of interest is present when a SAG participant, in the judgment of the SAG Facilitation Team, has a financial stake in a SAG discussion topic and participation of the financially interested party could have adverse consequences, such as hindering complete and frank discussions. SAG participants that have a conflict of interest in specific meetings topics must recuse themselves from participating in those meetings. Topics that may include conflicts of interest and the associated SAG participants include, but are not limited to, the following: 1) Discussion of proprietary and/or confidential information (e.g. current and prospective program implementers, contractors, and product representatives); 2) current and past program performance (e.g. current program implementers and contractors); 3) Future bids (e.g. current and prospective program implementers, potential bidders, and contractors); and 4) Evaluation performance and proposed changes (e.g. current and prospective independent evaluation contractors).

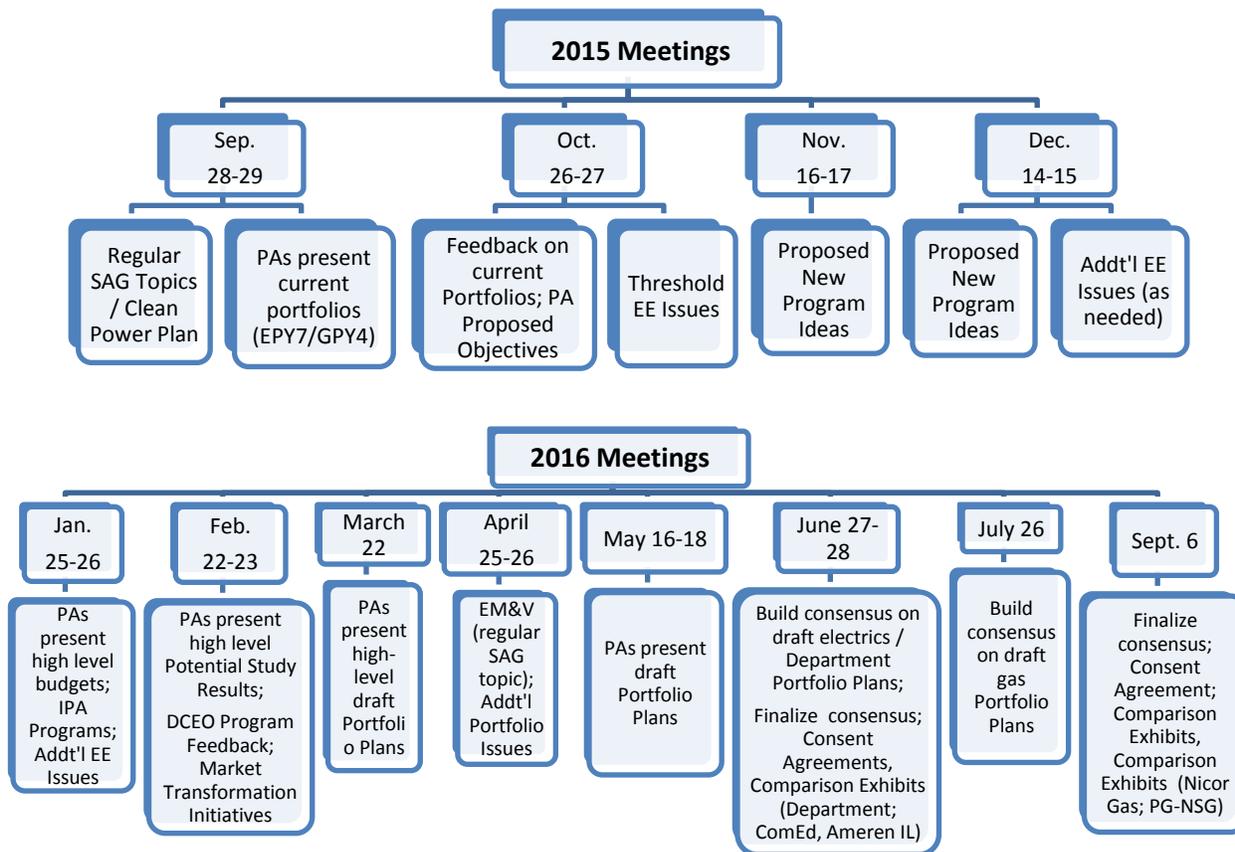
III. "Acknowledgment and Agreement"

Parties who wish to engage in settlement discussion will be asked to sign an "Acknowledgment and Agreement" document agreeing that positions discussed during the

settlement discussions will not later be used in litigation. Formal settlement discussions will occur late in the SAG Planning Process.

IV. Flow Chart Summary

The flow charts below provide a high-level overview of upcoming meetings in 2015 and 2016, excerpted from the SAG Portfolio Planning Process Flow Chart document.



V. Deliverables and Due Dates

The following Deliverables and Due Dates will be followed by the SAG Facilitation Team and SAG participants:

SAG Portfolio Planning Process Deliverables and Due Dates			
<i>Due Date</i>	<i>Deliverable</i>	<i>Responsible Participants</i>	<i>SAG Meeting Date(s)</i>
2015			
Tues., September 15	Existing Portfolio / Program templates due	Ameren IL, ComEd, Department, Nicor Gas, Peoples Gas-North Shore Gas (Program Administrators)	Mon.-Tues., September 28-29, 2015

SAG Portfolio Planning Process Deliverables and Due Dates			
<i>Due Date</i>	<i>Deliverable</i>	<i>Responsible Participants</i>	<i>SAG Meeting Date(s)</i>
Mon., November 9, 2015	All new proposed Programs due (complete Proposed Program Template) by COB	Stakeholders / Program Administrators	Mon.-Tues., November 16-17, 2015; Mon.-Tues., December 14-15, 2015
Fri., December 4	All new proposed policies due (complete Proposed Policy Template) by COB	Stakeholders / Program Administrators	Policy Manual Version 2.0 Subcommittee Process (meeting dates TBD; January to May 2016)
2016			
Mon., February 15	Potential Study Results (high level) presentations due	Program Administrators	Mon.-Tues., February 22-23, 2016
Mon., March 7	Draft Portfolio Plan (high level) presentations due	Program Administrators	Tues., March 22, 2016
Mon., April 15	Program Administrators' draft Portfolio Plans due for review and comment	Program Administrators	Mon.-Wed., May 16-18, 2016
Fri., May 6	All stakeholder comments on Program Administrator draft Portfolio plans due (15 Business Days for review)	Stakeholders	Mon.-Tues., June 27-28, 2016
Wed., June 8	Draft electric, Department, and gas Consent Agreements and Comparison Exhibits circulated for review	SAG Facilitation	Mon.-Tues., June 27-28, 2016
Fri., June 10	Updated electric, Department, and gas Program Administrator draft Portfolio plan filings due	Program Administrators	Mon.-Tues., June 27-28, 2016
Wed., June 22	Stakeholder comments on draft electric and Department Consent Agreements and Comparison Exhibits due	Stakeholders	Mon.-Tues., June 27-28, 2016
On or before Fri., July 1	Finalize consensus on draft electric and Department Portfolio Plans with stakeholder input (Consent Agreements and Comparison Exhibits)	SAG Facilitation	Mon.-Tues., June 27-28, 2016
Wed., July 20	Stakeholder comments on draft gas Consent Agreements and Comparison Exhibits due	Stakeholders	Tues., July 26, 2016
On or before September 1	Electric companies and Department file Plans with	Ameren IL, ComEd, Department	N/A

SAG Portfolio Planning Process Deliverables and Due Dates			
<i>Due Date</i>	<i>Deliverable</i>	<i>Responsible Participants</i>	<i>SAG Meeting Date(s)</i>
	ICC		
Thurs., September 15	Finalize consensus on draft gas Portfolio Plans with stakeholder input (Consent Agreements and Comparison Exhibits)	SAG Facilitation	Tues., Sept. 6
On or before October 1	Gas companies file Plans with ICC	Nicor Gas, Peoples Gas-North Shore Gas	N/A

VI. Attachments

- Attachment A: Background and Definitions
- Attachment B: Key Issues for SAG Portfolio Planning Process
- Attachment C: Schedule for SAG Portfolio Planning Process (2015-2016)
- Attachment D: Templates¹:
 - Template D1: Existing Program Performance Template (completed)
 - Template D2 Proposed New Program Idea Template (completed)
 - Template D3: Proposed Program Change / Portfolio Suggestion Template (completed)
 - Template D4: Proposed Policy Template (completed)
 - Template D5: High-Level Portfolio Template (draft in process; for discussion in March)
 - Template D6: Final Program Filing Template (to be developed; for discussion in May)
 - Template D7: Portfolio Template (to be developed; for discussion in May)
 - Template D8: Stipulation Template (draft in process)

¹ Additional templates will be forthcoming, as needed.