

# Appendix A: Workpaper Related Reports and Templates

This appendix provides templates for regularly used documents related to workpaper reviews and approvals.

Each document section is organized as follows:

- Basic description of the document. Its purpose, frequency of delivery, and a data dictionary defining terms in the document.
- Template mock-up defining intent and content of each section.

## Monthly WPA Activity Status Report (Public)

**Purpose.** This document compiles the workpaper project archive activity for the month as follows:

- Dispositions Issued. Listing of all workpapers in month where the CPUC issued a disposition.
- Dispositions in Progress. Listing of all submitted workpapers that are under preliminary or detailed review.
- Workpapers in Development Listing of all workpapers with a submitted workpaper plan.

An accompanying spreadsheet provides the same information as the document, but in excel form.

**Frequency.** The report and the accompanying spreadsheet are posted on <https://deeresources.info/> and <http://www.deeresources.com/> within one week after the last day of the month.

### Data Dictionary.

Data field	Definition
PA	The submitting program administrator.
Workpaper ID and revision number (Source Description)	Workpaper identifier which along with the revision number uniquely identifies workpaper. The workpaper ID and revision are concatenated to form the Source Description. The Source Description is used throughout the DEER ecosystem to link data streams with a workpaper.
Workpaper Title	Written title of workpaper.
Effective Date	The date a workpaper becomes effective.
Disposition Date	The date the CPUC disposition was issued.
CPUC Action	CPUC's disposition regarding the workpaper. The actions include: <ul style="list-style-type: none"><li>• Interim Approval: Workpaper is approved for use as of the effective date</li><li>• Rejected: Workpaper is not approved</li></ul>
PA Submittal Date	Date PA submitted or planned to submit the workpaper to the WPA, MM/DD/YYYY

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## EXANTE REVIEW (EAR) DEEMED TEAM MONTHLY WORKPAPER PROJECT ARCHIVE (WPA) ACTIVITY STATUS REPORT

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DATE: MM/DD/YYYY  
FROM: EAR TEAM  
TO: SCE, SDGE, SCG, PGE

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### Introduction:

The following report and attached excel workbook summarizes WPA activity for the month of Month YYYY which includes dispositions that were issued, dispositions in progress, and workpapers in development. This report will be posted on <https://deeresources.info/> and <http://www.deeresources.com/> within one week after the last day of the month.

### Legend:

Item	Description
PA	Program Administrator
Rev	Revision Number

### Dispositions Issued:

The following dispositions have been issued, see attached workbook:

PA	Workpaper ID	Rev	Workpaper Title	Effective Date	Disposition Date	CPUC Action
XXX	XXXXXXX	XX	Title	MM/DD/YYYY	MM/DD/YYYY	Interim Approval
XXX	XXXXXXX	XX	Title	MM/DD/YYYY	MM/DD/YYYY	Rejected

## Dispositions in Progress:

The following dispositions are in progress, see attached workbook:

PA	Workpaper ID	Rev	Workpaper Title	PA Submittal Date	Official Submittal Date (1st or 3rd Monday)
XXX	XXXXXXX	XX	Workpaper Title	MM/DD/YYYY	MM/DD/YYYY

## Workpapers in development:

The following workpapers have submitted workpaper plans and are in development, see attached workbook.

PA	Workpaper ID	Rev	Workpaper Title	PA Submittal Date
PGE	SWLG012	01	LED Ambient Fixtures and Retrofit Kits, Commercial	05/19/2020

## Workpaper Submission Cover Sheet

**Purpose.** Standardized coversheet summarizing key workpaper information that allows the WP Deemed Team to accurately ascertain the review and approval requirements of the workpaper.

**Frequency.** Required submission by PA included with all workpapers submittal packages.

**Data Dictionary.** Not Applicable – See template below.

# E X A N T E W O R K P A P E R S U B M I S S I O N C O V E R S H E E T

**PURPOSE:** The information in this coversheet will be used by the Ex Ante Review (EAR) Team to identify incoming workpapers using consistent information applicable to track key information needed for the workpaper review.

**INSTRUCTION:** This cover sheet should be completed by Program Administrators upon submitting a workpaper. Additional instructions are provided below.

## Program Administrator (PA) Information

Parameter	Description	PA Entry
<b>PA</b>	Please check one.	<input type="checkbox"/> SCE <input type="checkbox"/> SCG <input checked="" type="checkbox"/> PG&E <input type="checkbox"/> SDG&E
<b>Contact info</b>	Please provide the name and email address of submitter.	Tai Voong (PG&E) TXV0@pge.com

## Workpaper Information

Parameter	Description	PA Entry
<b>Date of Workpaper Submission</b>	This entry should be date of upload to WPA (MM/DD/YYYY). Actual submission date will be noted as the subsequent first or third Monday of the month.	05/19/2020
<b>Workpaper Title</b>	This entry should match the title on the workpaper.	LED Ambient Fixtures and Retrofit Kits, Commercial
<b>Source Description</b>	This entry should match the source description for the workpaper. (e.g., SWHC099-01)	SWLG012-01

Parameter	Description	PA Entry
<b>Workpaper Phase</b>	Please provide the phase and year for the workpaper. (e.g., 2020 P2 Workpaper Revision)	Effective Year:  <input checked="" type="checkbox"/> Phase 1 <input type="checkbox"/> Phase 2  <input type="checkbox"/> New workpaper (new product or technology, new delivery type)  <input checked="" type="checkbox"/> Workpaper revision (new tiers, new costs, change in measure parameters such as EUL or NTG, measures added to workpaper)  EAD Table only: Added SCE Implementation IDs adopting Residential measures. (No other changes)
<b>Rationale for Workpaper Revision</b>	Please check all boxes that apply and include a brief description explaining why the workpaper is being revised.	<input type="checkbox"/> Not a revision but a new WP <input type="checkbox"/> Code <input type="checkbox"/> DEER <input type="checkbox"/> Disposition <input type="checkbox"/> CPUC Resolution <input type="checkbox"/> Baseline Update <input type="checkbox"/> Cost Update <input type="checkbox"/> Industry Standard Practice Study <input checked="" type="checkbox"/> Other: EAD Table only: Added SCE Implementation IDs adopting Residential measures. (No other changes)
<b>Effective Date</b>	Please provide the <u>proposed</u> earliest date of any claims to be made against this workpaper if it is approved. If this is a Phase 2 workpaper, please account for the submittal date as the first or third Monday of the month. Please add 90 days, where applicable. <sup>1</sup>	Start Date: Original date 1/1/2020 Notes: EAD Table only: Added SCE Implementation IDs adopting Residential measures. (No other changes)

<sup>1</sup> 90-day does not apply to new workpapers or new measures added to workpapers.

Parameter	Description	PA Entry
<b>Total expected statewide net lifetime savings from workpaper measures in the year indicated.</b>	This value is expressed in kWh or therms for electric and gas, respectively.	Year: 2019 Electric: (kWh) Gas: (therms) Check which PAs are included in this estimate of savings: <input type="checkbox"/> SCE <input type="checkbox"/> PG&E <input type="checkbox"/> SCG <input type="checkbox"/> SDG&E Notes: No data from SDG&E, SCE & PG&E.
<b>Change in net lifetime portfolio savings due to workpaper revision in the year indicated.</b>	This value is expressed in kWh or therms for electric and gas, respectively. Note a + indicates portfolio savings are expected to increase and a – indicates portfolio savings are expected to decrease.	Year: 2020 Gas: +/– (therms) 0 Electric: +/– (kWh) 0 Describe the sources of the change: No data
<b>Stakeholder Communications</b>	Describe which stakeholders were notified and what was the outcome of the correspondence. For some workpapers this may not be applicable. Please include additional sheets if necessary.	SDG&E, SCE, & Cal TF.
<b>CalTF Development</b>	During development of this workpaper were there any specific flagged issues from CalTF pertaining to technical methodology or approach?	Yes, Cal TF reviewed this workpaper.
<b>Potential Market Impacts or Controversies</b>	Describe any responses to the stakeholder communications and any other sources of stakeholder or PA implementation concern with this workpaper revision regarding negative market impacts or controversies.	This workpaper updates is low impact with minimum changes.



Parameter	Description	PA Entry
<b>Associated Dispositions</b>	Is there a disposition associated with this workpaper?  If yes, please include the file name. (e.g., SWFS007-02_HotHoldCab_02_19_2020.pdf)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Additional Notes</b>	1/15/2020:  Re-submission to correct NTG IDs, text clarification, rename building type to MFmCmn. No impact on savings and no change in revision number.	File name: SWLG012-01 LED Ambient Fixt and Retrofit Kits, Commercial 013120.Zip
	5/19/2020:  EAD Table only: Added SCE Implementation IDs adopting Residential measures. (No other changes)	File name: SWLG012-01 LED Ambient Fixtures and Retrofit Kits, Commercial 05192020.zip

### Cover Sheet Revision History

Revision Number	Revision Date	Implementation Start Date	Author	Summary of Changes
0	3/15/2019	3/18/2019	Kerri-Ann Richard, EAR Team	Original Cover Sheet
1	4/17/2019	4/22/2019	Kerri-Ann Richard, EAR Team	Addition of Consult with Stakeholders entry
2	3/13/2020	MM/DD/YYYY	Kerri-Ann Richard, EAR Team	Updated All Entries

## Workpaper Plan (WPP) Template (Public)

**Purpose.** The purpose of a workpaper plan is for PAs to request feedback from CPUC Staff on a workpaper prior to its submission. Early feedback on workpaper submittals will identify concerns, so they can be addressed in the workpaper development, rather than through a disposition. Workpaper plans will be required for all new workpaper submittals. In addition, CPUC may request a workpaper plan for an in-development workpaper from time to time.

**Frequency.** The PAs post workpaper plans and CPUC Staff post comments on the plans in WPA.

Report and the accompanying spreadsheet are posted on <https://deeresources.info/> and <http://www.deeresources.com/> within one week after the last day of the month.

**Data Dictionary:** Not Applicable – See template below.

## WORKPAPER PLAN TEMPLATE

The purpose of a workpaper plan is for PAs to request feedback from CPUC Staff on a workpaper prior to its submission. Early feedback on workpaper submittals will identify concerns, so they can be addressed in the workpaper development, rather than through a disposition. Workpaper plans will be required for all new workpaper submittals. In addition, CPUC may request a workpaper plan for an in-development workpaper from time to time.

The workpaper plan should be updated as changes occur to schedules or requests for review.

<b>Workpaper title and workpaper ID, if applicable</b>	
<b>WPP submission date</b>	
<b>WPP version number and date of last submission</b>	
<b>Submitting PA</b>	
<b>Expected workpaper submission date</b>	
<b>PA contact – Name, title, email, phone</b>	
<b>Status of current workpaper development</b>	<input type="checkbox"/> Workpaper is largely drafted <input type="checkbox"/> Workpaper draft in progress <input type="checkbox"/> Workpaper research in progress <input type="checkbox"/> Workpaper research scoping in progress <input type="checkbox"/> Workpaper preliminary analysis
<b>Reason for workpaper plan</b>	<input type="checkbox"/> Workpaper plan for new workpaper – this is mandatory for all new workpapers <input type="checkbox"/> Complying with CPUC request for a workpaper plan <input type="checkbox"/> CPUC to provide feedback on research elements such as scope of research, specific research components (like surveys), or other in-progress technical analysis <input type="checkbox"/> CPUC provides feedback on the feasibility of the measure and the proposed approach

## BRIEF DESCRIPTION OF THE WORKPAPER MEASURE

[In a few paragraphs, describe the proposed workpaper measures, the mechanism of savings, special considerations, and the source of the research or analysis that will be submitted with the workpaper.]

## MARKETS IMPACTS OR CONTROVERSY

[In a few paragraphs, describe any anticipated negative market impacts or controversies associated with this workpaper.]

## REQUEST FOR CPUC INPUT

[Describe what the CPUC will be asked to review. For more complex workpapers, this may include multiple review points (e.g., a draft survey instrument, a metering plan).]

## MILESTONE REVIEW SCHEDULE

Complete the milestone review schedule for each review component; include the approximate date when the information will be made available and when the response is expected.

Milestone Description	Expected Date for Submission of Review Item	Expected Date for CPUC Comments