



## **Draft Cal TF Interim Workpaper Policy**

### **Overview**

The Cal TF interim workpaper policy outlines the criteria for temporary approval by the Cal TF of workpapers that lack sufficient data or information available at the time of workpaper drafting to warrant longer term approval under the Cal TF review process. Interim workpaper approval will be granted by the Cal TF for a limited duration with the expectation that additional data or information will be gathered, after which the workpaper will be re-reviewed by the Cal TF for longer term approval.

### **Objectives**

The interim workpaper policy shall

- enable the temporary approval of a measure with insufficient information for a limited duration
- establish criteria for interim approval
- establish guidelines for expiration of temporary approval

### **Current Practice/Background/Statement of Need**

Under the current Cal TF review process, the Cal TF approves workpapers that it believes are based on sufficient data and information available at the time of workpaper drafting, such that a program implementer may proceed with confidence that the ex ante estimates are reasonable and minimize ex post risk. In some cases, the data or information is insufficient at the time of workpaper drafting but will be forthcoming, either due to pending completion of research efforts or data collection during program implementation. In these cases, a program administrator may wish to move forward with program implementation prior to the immediate availability of sufficient data or information. This interim workpaper policy is intended to allow the Cal TF to grant temporary approval of workpapers for which it believes forthcoming data or information will strengthen the ex ante estimates.

### **Proposal**

This section outlines key details of the interim workpaper policy:

1. Eligibility for Interim Approval
2. Interim Approval Criteria
3. Process for Interim Workpapers

If a measure proposed for interim workpaper development is selected for Cal TF review, the workpaper developer shall populate the section of the workpaper abstract pertaining to interim workpapers.

### **1. Eligibility for Interim Approval**

- Enough “placeholder” data or information must exist to populate all cost effectiveness parameters in the workpaper, as determined by the Cal TF.
- The data or information proposed for an interim workpaper must result in a reasonable level of ex ante savings risk for a program administrator, as determined by the Cal TF.
- Sufficient additional data or information must be forthcoming within the interim workpaper approval duration approved by the Cal TF.

### **2. Interim Approval Criteria**

- The interim approval period will be determined by the Cal TF.
- The entity that submitted the workpaper for Cal TF review must provide the Cal TF with a written detailed plan for obtaining the additional data and/or information required for longer term approval, including the following components:
  1. Timeline for obtaining additional data/information.
  2. Any possible barriers or delays.
  3. Description of data/information collection methods.
  4. Description of how data/information collected will be used in revised workpaper.
- The entity that submitted the workpaper must commit to returning to the Cal TF within three months of the date the additional data/information is available to present a revised workpaper or a status update.

### **3. Process for Interim Workpapers**

- A measure may be proposed to the Cal TF for review with the intention of developing either a regular workpaper or a temporary, interim workpaper. The entity submitting the proposed measure must indicate upon submission if the measure is intended to be temporary. The measure will be subject to the Cal TF’s Measure Selection and Prioritization Procedure, as will all measure submissions.
- Regardless of whether the measures is proposed for interim or regular workpaper development, the Cal TF reserves the right during the course of measure review to determine which measures should be granted interim or longer term approval based on data and information available.
- At the discretion of the Cal TF, interim workpaper values may be based on professional judgment.
- The written detailed plan for obtaining additional data/information must be referenced/attached to the abstract and workpaper documents that will be publicly posted on the Cal TF website.

- Prior to the expiration of the interim workpaper approval, the Cal TF may require the entity responsible for submitting the workpaper to submit a written update to the Cal TF describing the status on the data/information collection plan that was provided upon interim workpaper approval.
- The entity responsible for submitting the workpaper to the Cal TF must return to the Cal TF prior to interim approval expiration, either to present a revised workpaper or to present an update on the status of the measure.
- The Cal TF may grant an extension of interim approval at their discretion.

Date Issued	2/13/2015
Prepared by:	Jenny Roecks
Approved by:	
Prior Versions	