



# MTI Advancement Plan Template

CalMTA is a program of the California Public Utilities Commission (CPUC)  
and is administered by Resource Innovations

**Initiative Name:** e.g., Efficient Roof-Top HVAC

**Lead Name:** First Last

**Date:** 10/5/2023

This Advancement Plan summarizes available information for the proposed Market Transformation Initiative (MTI) that CalMTA recommends advancing from Phase I Concept Development into Phase II Program Development. It also identifies the scope of work for research, testing, and stakeholder engagement that is needed during Phase II to develop a full MTI Plan for approval by the CPUC for Phase III Market Deployment. All MTI Advancement Plans are reviewed by the Market Transformation Advisory Board (MTAB) and the public before they are finalized by CalMTA. This Advancement Plan contains:

- 1) Key characteristics of the proposed MTI (e.g., description, target market, initial MT theory, etc.)
- 2) Identified gaps in knowledge that need to be filled before an MTI Plan can be written for CPUC approval.
- 3) Budget and work plan for activities in Phase 2 that will fill the knowledge gaps.

## **I. Executive Summary**

*In approximately 250 words summarize the MT opportunity and strategy, the problem it is trying to solve and what ultimate sustained change in the market we are expecting to see.*

## **II. Product, Service, or Practice Definition**

*In approximately 200 words, describe the technology, product, service or practice and its benefit. List any specific existing codes, standards or policies that govern this technology, product or service, or disclose that none apply.*

## **III. Market Transformation Theory and Opportunity**

### **1. Market Opportunity**

*What is the MT opportunity? What are the existing market leverage points? Why do we care about it? Why this product/service/practice? Why is this an MT opportunity vs a utility play? Stage 2 scoring information should be used to populate this section where available.*

### **2. Target Market**

*Define the sector(s) this product, service or practice is intended for.  
(Example: Residential single-family homes)*

### **3. Market Vision/End-State**

*What does the transformed market look like? What is the sustained market change we want to see in the market because of the work we did through the MTI?*

### **4. Key Market Assumptions**

*What are some of the key assumptions defining the targeted market?  
(Example: EV market share is growing, and policies are moving towards EV transportation vs other technologies such as Hydrogen, etc.)*

### **5. Diffusion and “Lastingness” Mechanism**

*What is the mechanism in the market that will carry the initiative through when we exit?  
How do we expect diffusion to occur? What is our strategy to lock in sustained market change?*

### **6. Conceptual Logic Model**

*The figure on page 3 shows the Logic Model template which will be drafted with each Advancement Plan.*

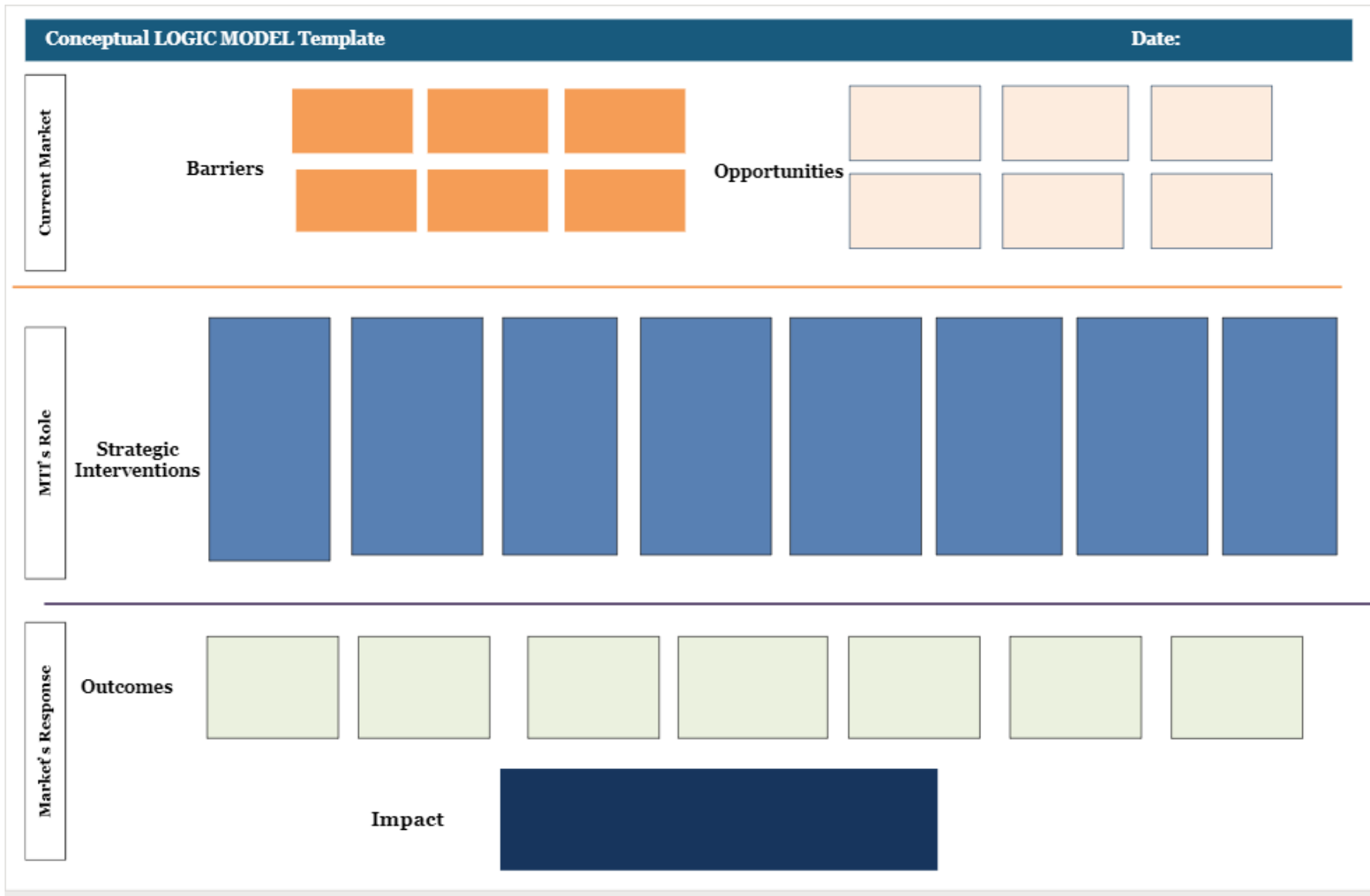
## **IV. External Program Review**

*Summarize all existing, relevant energy efficiency programs in the market and assess any potential overlap and needs for coordination during the MTI Plan development phase.*

## **V. Gap Analysis**

*What minimum new data/information is needed to develop the initiative MTI Plan for approval? Summarize critical topics in a few sentences or bullets. Outline how these gaps will be addressed in Section VI.*

Figure 1: Draft MTI logic model



## VI. Research & Program Development Plan

### 1. Market and Technology Research

Data and Information needed to develop the full MTI Plan as shown on Tables 1 and 2.

**Table 1: Research objectives, tasks, and final deliverables**

Research Objective	Phase II Research Task		
	Activities that will be used to satisfy the research objectives	Examples: Market actor surveys (include method & sample size); Delphi panel; Data analysis, etc.	Informed Deliverables
State the high-level research objective, with a few bullets to illustrate the type of information that will be gathered during the research.			State the deliverable(s)
Example: Characterize the Bidirectional Charging Market (Supply side) <ul style="list-style-type: none"> <li>Understand and map supply chain</li> <li>Identify barriers for supply chain market actors</li> <li>Identify value proposition and business case for supply side market actors</li> </ul>			
Research Objective #2			
Research Objective #3, etc.			

**Table 2: Research, budget, and estimated timeline**

Research Task	Schedule (estimated weeks)	Estimated budget	Deliverables Informed by this Task
(1)			
(2)			
(3)			
(4)			
(5)			
(6)			
<b>Total Estimate:</b>			

## 2. Strategy Development and Testing

### a. Technology

*What information is needed, if any, to test out the proposed market intervention strategies? If the market strategies are proven, they do not need to be tested again*

#### 1. Technical Assessment Objectives

*If a technical assessment is needed, discuss its objectives. How will conducting the technical assessment inform the MTI's business case?*

#### 2. Technology Assessment Method(s)

*What are the methods that will be used to test the technology?*

**Table 3: Summary of technology assessment needs, budget, and estimated timeline**

Assessment Task	Schedule (estimated weeks)	Estimated budget	Deliverables Informed by Task
(1)			
(2)			
(3)			
<b>Total Estimate:</b>			

### b. Market Pilots

*What information is needed, if any, to test out the proposed market intervention strategies? If the market strategies are proven, they do not need to be tested again.*

#### 1. Market Pilot Objectives

*If a market pilot is needed to test a proposed market strategy, determine what objectives the pilot needs to meet. How will conducting the pilot inform the MTI's business case?*

#### 2. Market Pilot plan

*If a market pilot is needed to prove one or more of the intervention strategies, how will the pilot demonstrate the feasibility of the proposed intervention strategy? How long will the pilot take? How do you measure and demonstrate the success of the pilot?*

**Table 4: Summary of pilot activities, budget, and estimated timeline**

Pilot activity	Schedule (estimated weeks)	Estimated budget	Deliverables Informed by this activity
(1)			
(2)			
(3)			
<b>Total Estimate:</b>			

**c. Environmental, Social Justice, Workforce Development, Education and Training Approach**

*Summarize the initiative’s intervention strategies and tactics to advance Equity, Environmental and Social Justice as well as Workforce Development, Education and Training. What are the targeted equity outcomes?*

**VII. Stakeholder Engagement**

*Identify key program stakeholders and market stakeholders to engage during the MTI plan development to ensure viability and appropriate MT design.*

*In the table below identify maximum 3- 4 key programs, groups, and organizations that we need to coordinate our efforts with to determine the program viability. Use the “external program review” document and previous coordination meetings to inform this section.*

**Table 5: Program coordination recommendations**

Program - Organization/ Stakeholder Segment	Coordination Approach
Ex.	

*In the table below identify maximum 3- 4 key market actors that we need to collaborate with to ensure this MT idea and conceptual intervention strategies are viable.*

**Table 6: Market actor coordination recommendations**

Market actors (manufacturers, supply chain actors, etc.)	Coordination Approach
Ex.	

## VIII. Risks and Mitigation

Identify initiative risks and assumptions that need to be tracked and mitigated to make the initiative successful.

**Table 7: MTI risk review**

Initiative Risk	Severity	Mitigation Approach
Ex.		

## IX. Budget, Timing, and Expected Results

Summarize the Phase 2 budget and schedule as well as a rough initial estimate of the budget, timing and expected results for Phase 3.

Summarize the budget provided in section IV and V of this document in the table below:

**Table 8: MTI Advancement Plan budget summary**

Section	Estimated Budget \$
<b>Market &amp; Technology Research</b>	
Research Project 1	
Research Project 2	
<b>Technology assessment</b>	
Tech Assessment 1	
Tech Assessment 2	
<b>Market Pilots</b>	
Pilot 1	
Pilot 2	
<b>Total:</b>	

Provide an overall timeline/schedule of activities listed in sections IV and V below:

Insert Gantt Chart Here

Summarize the estimated budget for MTI program development activities below:

**Table 9: Initiative market deployment budget & expected results**

<b>Initiative budget (\$):</b>	<10 million 10-25 million >25 million	<i>Example: 10-25 million. Window retrofits are expensive, but momentum of new ENERGY STAR specification is already in place and should drive innovation and price declines.</i>
<b>Initiative timeline (Years):</b>	<5 years 5-10 years >10 years	<i>Example: 5-10 years to reach next ENERGY STAR specification 8.0 and code levels set to E* 2.0</i>



<p><b>Expected Results:</b></p>	<p>i.e. Savings in kWh, GHG, Peak Demand/ Non-Energy Benefit, diversity metric, market progress</p>	<p><i>Example: Electric and gas savings, peak savings, climate resilience against extreme weather events/enhanced comfort, ubiquitous product with outsized benefits for Limited Income market and reduced long-term energy poverty if bundled with whole building retrofits. Enabler for reduced HVAC costs.</i></p>
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