**Appendix A. Interviewees, Interview Protocol, and Coding Structure**

**Distribution of Interviewees Across Regional Transmission Organizations**

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| --- | --- | --- | --- |
|  | **CALIFORNIA ISO** | **SOUTHWEST POWER POOL** | **ISO- NEW ENGLAND** |
| Generation and Transmission | 3 | 5 | 3 |
| Distribution and End-User | 4 | 4 | 5 |
| Alternative Resources | 4 | 2 | 5 |
| RTO, Policy, and Other Experts | 3 | 3 | 0 |
| TOTAL | 14 | 14 | 13 |

**Interview Protocol**

**Demographics/History**

1. How long have you been involved with \_\_\_\_\_ [RTO]?
   1. **Probe:** Do you participate as part of a particular sector or committee?
2. What are the three most important market design or governance initiatives for you now?
   1. **Probe:** As of now, has COVID-19 become a particular point of issue?

1. Have you been involved in developing the rules for Order 841 (the storage order) at \_\_\_\_\_ [RTO]?

**Understanding Alignment with Principles for Stakeholder Engagement**

1. What opportunities do you/did you have to participate in the\_\_\_\_\_ [identified market design] initiative?
   1. **Probe:** Were all stakeholders and/or relevant interests represented in the process?
   2. **Probe:** Do you have access to key decision makers?
   3. **Probe: What are the opportunities to learn about issues and the perspectives of other stakeholders?**
   4. **Probe:** Do you consider the rulemaking *PROCESS* to be responsive?

**Understanding the Governance Process**

1. How did the governance process for the storage order compare to the process for \_\_\_\_\_ [one of the top three market design initiatives]?
   1. **Probe:** How does a FERC Order differ from other market issues?
   2. **Probe:** What opportunities and challenges did you face in these processes?
2. Who is involved in deciding how issues gain attention and become rulemaking initiatives?
   1. **Probe:** Who drafts initial proposals?
   2. **Probe:** Who controls how quickly an initiative moves forward?
   3. **Probe:** Who provides information for the decision-making process?
   4. **Probe:** What role do RTO staff play in the process?
   5. **Probe: Do stakeholders deliberate with each other?**
3. How are public policy interests represented in the decision-making process?
   1. **Probe: How are state regulatory or policy interests represented in the process?**
   2. **Probe:** How do non-market stakeholders participate in the process?
   3. **Probe:** Are there interests that are underrepresented or are unable to influence the process?
   4. **Probe: What does it mean to be represented in the decision-making process?**

**Understanding the Outcomes**

1. How would you characterize the \_\_\_\_\_ [storage] rulemaking *OUTCOME*?
   1. **Probe:** How are interactions among stakeholders translated into decisions?
   2. **Probe:** Did you see cooperation or competition among stakeholders?
   3. **Probe:** Do you consider rulemaking *OUTCOMES* to be fair?
   4. **Probe:** What tradeoffs were central in the discussion of the \_\_\_\_\_ [storage] issue?
   5. **Probe:** Did existing rules or structures limit what was considered in the discussion (e.g., interconnection processes)?
   6. **Probe:** what specific *OUTPUTS* have been created, if any?

**Evolving Process Questions**

1. Can you describe how the RTO decision-making *PROCESS* has responded to new technologies, other changes, or new challenges?
   1. **Probe:** Have RTO governance structures or the stakeholder engagement process changed over time?
   2. **Probe:** Can you provide examples of governance reform?
2. Would changes to RTO governance structures or stakeholder participation processes improve outcomes?
   1. **Probe:** Can you provide examples?
   2. **Probe:** Are there certain kinds of issues that the \_\_\_\_\_ [RTO] governance structures work better for?

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| --- | --- |
| **Interview Data Analysis** | |
| **Themes** | **Coding Categories** |
| Self-Reinforcing Interests |  |
|  | Shared Identity |
| Position of Groups and Coalitions |  |
|  | Breadth of Involvement |
|  | Representation of Concerns |
| Influence Over Relevant Knowledge and Information |  |
|  | New Knowledge Shared |
|  | Capacity Building |
|  | Communication Practices |
| Control Over Agenda and Problem-Framing |  |
|  | Procedural Policy Design |