



**Susan Vercheak\***  
Associate General Counsel

August 28, 2017

Honorable Kathleen H. Burgess  
Secretary  
New York State  
Public Service Commission  
Three Empire State Plaza  
Albany, NY 12223-1350

Re: Case 14-M-0101 – Proceeding on Motion of the Commission in Regard to Reforming  
the Energy Vision, and

Case 16-M-0429 – In the Matter of Earnings Adjustment Mechanism and Scorecard  
Reforms Supporting the Commission’s Reforming the Energy Vision

Dear Secretary Burgess:

Enclosed please find for filing the Supplemental Interconnection Earning Adjustment  
Mechanism Survey Instrument of Central Hudson Gas & Electric Corporation, Consolidated  
Edison Company of New York, Inc., New York State Electric & Gas Corporation, Niagara  
Mohawk Power Corporation d/b/a National Grid, Orange and Rockland Utilities, Inc., and  
Rochester Gas and Electric Corporation (collectively the “Joint Utilities”).

If you have any questions, please contact me. Thank you.

Very truly yours,

Susan Vercheak

Enclosure

\*Admitted only in New Jersey

**STATE OF NEW YORK  
PUBLIC SERVICE COMMISSION**

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|--|------------------|-----------------------|
| Proceeding on Motion of the Commission in<br>Regard to Reforming the Energy Vision   | X<br>X<br>X      | <b>Case 14-M-0101</b> |
| In the Matter of Earnings Adjustment Mechanism<br>and Scorecard Reforms Supporting the<br>Commission's Reforming the Energy Vision | X<br>X<br>X<br>X | <b>Case 16-M-0429</b> |

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**JOINT UTILITIES' SUPPLEMENTAL INTERCONNECTION  
EARNING ADJUSTMENT MECHANISM SURVEY INSTRUMENT**

August 28, 2017

Central Hudson Gas & Electric Corporation, Consolidated Edison Company of New York, Inc., New York State Electric & Gas Corporation, Niagara Mohawk Power Corporation d/b/a National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric Corporation (collectively the “Joint Utilities”) provide these supplemental interconnection survey instruments (the “Supplemental Surveys”) in response to discussions with the Staff of the Department of Public Service (“Staff”) regarding the New York Public Service Commission’s (“Commission”) March 9, 2017 *Order Directing Modifications to the Joint Utilities’ Proposed Interconnection Earnings Adjustment Mechanism Framework*.<sup>1</sup>

## **I. Background**

The Commission in its May 19, 2016 Order in the *Proceeding on Motion of the Commission in Regard to Reforming the Energy Vision* (“REV”) directed the Joint Utilities to file an interconnection earnings adjustment mechanism (“IEAM”).<sup>2</sup> The Joint Utilities retained ICF Resources LLC (“ICF”), a consultant with survey expertise, to help develop the IEAM proposal (“Initial IEAM Proposal”), filed on September 2, 2016, that included a survey instrument (“Initial Survey”).<sup>3</sup>

After review of the Initial IEAM Proposal, the Commission rejected certain elements, required modifications in other areas including surveying distributed generation (“DG”) applicants at both the mid-point of the application process and at completion of their projects,

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<sup>1</sup> Case 14-M-0101, *Proceeding on Motion of the Commission in Regard to Reforming the Energy Vision* (“REV Proceeding”), and Case 16-M-0429, *In the Matter of Earnings Adjustment Mechanism and Scorecard Reforms Supporting the Commission’s Reforming the Energy Vision* (“IEAM Proceeding”), Order Directing Modifications to the Joint Utilities’ Proposed Interconnection Earnings Adjustment Mechanism Framework (issued March 9, 2017) (“IEAM Order”).

<sup>2</sup> REV Proceeding, Order Adopting a Ratemaking and Utility Revenue Model Policy Framework (issued May 19, 2016), p. 156.

<sup>3</sup> IEAM Proceeding, Interconnection Survey Process and Proposed Earnings Adjustment Mechanism Filing of the Joint Utilities (filed September 2, 2016).

and directed the Joint Utilities to file a revised proposal by May 8, 2017.<sup>4</sup> The Joint Utilities filed their Modified IEAM Proposal<sup>5</sup> with surveys (“Modified Surveys”) that responded to the modifications requested by the Commission. Notably, the questions in the mid-point and completion surveys of the Modified Surveys differ from those provided in the Initial Survey in several respects: three questions were added to the Initial Survey, one question was deleted, 23 questions received minor enhancements, and further changes were made to separate the Initial Survey into “mid-point” and “completion” versions. These changes were the result of the cognitive testing process that ICF conducted in October 2016 as well as stakeholder input at an engagement session the same month.

## **II. The Supplemental Survey Proposal**

Consistent with the Commission’s direction for utility and Staff coordination,<sup>6</sup> the Joint Utilities discussed the Modified Surveys with Staff on several occasions. Staff believes that the questions in the Modified Surveys require changes to simplify the surveys, shorten the administration time, and focus more on the most important matters. Specifically, Staff believes the survey questions should reflect more aspects of the developer/customer interconnection experience and not focus on matters related to timeliness. The Joint Utilities considered the foregoing and provided proposed revised survey language to Staff for further discussion. The Supplemental Surveys reflect the outcome of this collaborative process. Attachments 1-4, respectively, contain the Supplemental Mid-Point Survey, the Supplemental Completion Survey,

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<sup>4</sup> IEAM Proceeding, IEAM Order, pp. 16-17.

<sup>5</sup> IEAM Proceeding, Modified Interconnection Survey Process and Proposed Earning Adjustment Mechanism Filing of the Joint Utilities (filed May 8, 2017).

<sup>6</sup> IEAM Proceeding, IEAM Order, p. 16.

and red-lined comparisons of the Supplemental Mid-Point and Completion Surveys to the Modified Mid-Point and Completion Surveys.

Consistent with the Initial IEAM Proposal and the Modified IEAM Proposal, the Supplemental Surveys include core questions that are applicable to all utilities and are the basis for the IEAM earnings opportunity. Consistent with industry standards and survey best practices, the Joint Utilities are providing these core questions to Staff by a filing with the Records Access Officer.

Also, consistent with the Modified IEAM Proposal, the Supplemental Surveys will be implemented on a multi-modal basis, offering web- and telephone-based response options for respondents. Further, the Supplemental Surveys will be administered at a mid-point (when the applicants receive preliminary review from the utility) and at completion (upon conclusion of the interconnection application and energization of the associated DG project).

The implementation timing for the Supplemental Surveys has not been finalized. The Joint Utilities could begin implementation of the new instrument on eight-weeks' notice. The Joint Utilities support timely implementation of the Supplemental Surveys so that actionable data on customers' interconnection experiences and sufficient baselines of survey results are developed expeditiously.

Taken together, the Joint Utilities' work with Staff to implement the IEAM framework with the proposed modifications in this filing will advance the Commission's REV objectives and New York State's clean energy goals.<sup>7</sup>

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<sup>7</sup> Case 15-E-0302 *et al.*, *Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard*, Order Adopting a Clean Energy Standard (issued August 1, 2016).

### **III. Conclusion**

Based on the foregoing, the Joint Utilities respectfully request that the Commission approve the Joint Utilities Modified IEAM Proposal as updated by the Supplemental Surveys.

Dated: August 28, 2017

Respectfully submitted on behalf of the  
Joint Utilities in this Proceeding:

**CONSOLIDATED EDISON COMPANY OF  
NEW YORK, INC. and ORANGE AND  
ROCKLAND UTILITIES, INC.**

By: */s/ Susan Vercheak*

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**CENTRAL HUDSON GAS AND ELECTRIC  
CORPORATION**

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**NEW YORK STATE ELECTRIC &  
GAS CORPORATION and  
ROCHESTER GAS AND ELECTRIC  
CORPORATION**

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# Joint Utilities of New York (JU) Survey for Interconnection Earning Adjustment Mechanism (IEAM)

Questionnaire

## **Mid-Point Survey**

August 25, 2017

Submitted to:

Joint Utilities of New York

Submitted by:

ICF Resources, LLC  
9300 Lee Highway  
Fairfax, VA 22031



## Mid-Point Survey Questionnaire

### Screening

(If someone other than the respondent answers or someone does not answer by giving his/her name)  
Hello, this is (name) calling from ICF on behalf of (Utility). May I please speak with (Name from Sample File)? [INTERVIEWER NOTE: IF RESPONDENT IS UNAVAILABLE, ASK FOR A GOOD TIME TO REACH THE RESPONDENT AND RECORD IN CATI FOR A CALL-BACK.]

(If respondent answers, or when the respondent comes on the line after the call is transferred by a gatekeeper). Hello, this is (name) calling from ICF on behalf of (Utility). We are conducting a survey to obtain feedback about the interconnection process for (Project Name 1; if more than one project, insert up to three projects separated by “and”). You may have received a letter about this survey from (Utility), as this survey is very important in their interconnection process.

SC1. Are you the best person at your organization to answer questions about the interconnection process for (Project Name), or is there someone else?

01. Yes

02. No → [IF NO, ASK FOR NAME AND CONTACT INFORMATION FOR THAT PERSON, THANK THE PERSON, TERMINATE THIS CALL, AND THEN CALL THE NEW SUGGESTED RESPONDENT].

In answering these questions, please think ONLY about the interconnection process for (Project Name), regardless of other projects you may have managed in New York State. Also, you may not know the answers to all of my questions, so just say “don’t know” if that is the case. We realize that the interconnection process for this project is not yet complete, but we want to want to obtain your feedback about the process through the preliminary analysis portion of the interconnection process.

[IF ASKED] This interview will take approximately 5 to 7 minutes to complete, depending upon your answers.

### Overall Ratings

O1. Thinking about the interconnection process through the preliminary analysis portion for (Project Name), how satisfied were you with each of the following? Please use a scale of 0 to 10, where 0 means “very dissatisfied” and 10 means “very satisfied.” If you consider any of these items as inapplicable to your project or if you don’t know the answer, please let me know. [If multiple projects: Again, please think only about this project regardless of others you may have with this utility or other utilities in New York State.] (ROTATE THE ORDER OF ITEMS B TO E)

0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don’t know 99 Refused

A. (Always ask first in this series.) Your overall satisfaction with the interconnection process for this project?

B. Communications from the utility throughout the project, including both in response to what you requested and what the utility provided?

[INTERVIEWER NOTE, READ AS NECESSARY: Communications includes all information and communication from the utility, including both what you requested and what the utility representatives provided to you on their own. It includes the accuracy, timeliness, content, and delivery of communications.]

C. The accessibility of utility staff to your organization during the interconnection process for this project?

[INTERVIEWER NOTE, READ AS NECESSARY: Accessibility means to what degree was someone at the utility accessible when you reached out to them with questions and/or issues.]

D. The responsiveness of utility staff in addressing your questions and issues during the interconnection process for this project?

[INTERVIEWER NOTE, READ AS NECESSARY: Responsiveness means the caliber of the responses provided by the utility to questions and/or issues brought to their attention by the developer.]

E. Your ability to access the status of your application in the interconnection process for this project?

O2. (Ask if O1A = 0 to 6) What would have improved your overall satisfaction with the interconnection process for this project? Please be as specific as possible and think about all of the steps in your project to date.

O3. (Ask if O1B = 0 to 6) What would have improved your overall satisfaction with communications with the utility for this project? Please be as specific as possible and think about all of the steps in your project to date.

O4. Have you experienced any significant issues for this project during the course of the interconnection process?

01. Yes

02. No

97. Don't know

99. Refused

O4A. (Ask if O4 = Yes (01)) What significant issues have you experienced that were within the control of the utility?

O4B. (Ask if O4 = Yes (01)) How satisfied were you with the utility's response to addressing these issues, using a scale of 0 to 10, where 0 means "very dissatisfied" and 10 means "very satisfied."

0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused

O4C. (Ask if O4B = 0 to 6) What could the utility have done to better address the issues you encountered?

**Intention to Proceed with the Interconnection Process for this Project**

I1. Do you intend to proceed with the interconnection process for this project?

01. Yes

02. No

97. Don't know

99. Refused

I2. (Ask if I1 = No (02)) Why aren't you planning to proceed with the interconnection process for this project? (RECORD RESPONSE)

**Process Improvement**

P1. Do you have any suggestions to improve the New York Standardized Interconnection Requirements?

01. Gave response (RECORD) \_\_\_\_\_

02. No

97. Don't know

99. Refused

P2. Is there anything else that you would like to tell me about the interconnection process experience, either specifically about this project or more generally about the New York Standardized Interconnection Requirements?

01. Record Response \_\_\_\_\_

02. No

97. Don't know

99. Refused

## **Benchmarking**

[INTERVIEWER NOTE: The following benchmarking questions are intended to help the utility understand how the interconnection process in New York compares with that of other states. In answering these questions, please think only about your personal experience, and not about the more general activity of your company].

B1. Are you personally involved in the interconnection of any distributed generation projects of similar scale (50 to 5,000 kW) in states other than New York?

- 01. Yes
- 02. No
- 97. Don't know
- 99. Refused

B2. (Ask if B1 = Yes (01)) In how many other states are you personally involved in projects?

\_\_\_\_\_ (RANGE = 01 TO 49)

- 97. Don't know
- 99. Refused

B3. (Ask if B1 = Yes (01)) How would you rate the interconnection process in New York State overall compared with these other states? Would you say that the process in New York State is:

- 01. Better
- 02. Worse, or
- 03. About the same as the process in other states?
- 97. Don't know
- 99. Refused

Those are all the questions I have for you today. Thank you very much for your feedback.



# Joint Utilities of New York (JU) Survey for Interconnection Earning Adjustment Mechanism (IEAM)

## Questionnaire **Completion Survey**

August 25, 2017

Submitted to:

Joint Utilities of New York

Submitted by:

ICF Resources, LLC  
9300 Lee Highway  
Fairfax, VA 22031

# Completion Survey Questionnaire

## Screening

(If someone other than the respondent answers or someone does not answer by giving his/her name)  
Hello, this is (name) calling from ICF on behalf of (Utility). May I please speak with (Name from Sample File)? [INTERVIEWER NOTE: IF RESPONDENT IS UNAVAILABLE, ASK FOR A GOOD TIME TO REACH THE RESPONDENT AND RECORD IN CATI FOR A CALL-BACK.]

(If respondent answers, or when the respondent comes on the line after the call is transferred by a gatekeeper). Hello, this is (name) calling from ICF on behalf of (Utility). We are conducting a survey to obtain feedback about the interconnection process for (Project Name 1; if more than one project, insert up to three projects separated by “and”). You may have received a letter about this survey from (Utility), as this survey is very important in their interconnection process.

SC1. Are you the best person at your organization to answer questions about the interconnection process for (Project Name), or is there someone else?

01. Yes

02. No → [IF NO, ASK FOR NAME AND CONTACT INFORMATION FOR THAT PERSON, THANK THE PERSON, TERMINATE THIS CALL, AND THEN CALL THE NEW SUGGESTED RESPONDENT].

In answering these questions, please think ONLY about the interconnection process for (Project Name), regardless of other projects you may have managed in New York State. Also, you may not know the answers to all of my questions, so just say “don’t know” if that is the case. We realize that you may have completed an earlier survey about the interconnection process for this project, but we want to obtain your feedback about the overall process for this completed project.

[IF ASKED] This interview will take approximately 5 to 7 minutes to complete, depending upon your answers.

## Overall Ratings

O1. Thinking about the interconnection process for (Project Name), how satisfied were you with each of the following? Please use a scale of 0 to 10, where 0 means “very dissatisfied” and 10 means “very satisfied.” If you consider any of these items as inapplicable to your project or if you don’t know the answer, please let me know. [If multiple projects: Again, please think only about this project regardless of others you may have completed with this utility or other utilities in New York State.] (ROTATE THE ORDER OF ITEMS B TO F).

0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don’t know 99 Refused

A. (Always ask first in this series.) Your overall satisfaction with the interconnection process for this project?

B. Communications from the utility throughout the project, including both in response to what you requested and what the utility provided?

[INTERVIEWER NOTE, READ AS NECESSARY: Communications includes all information and communication from the utility, including both what you requested and what the utility representatives provided to you on their own. It includes the accuracy, timeliness, content, and delivery of communications.]

C. The accessibility of utility staff to your organization during the interconnection process for this project?

[INTERVIEWER NOTE, READ AS NECESSARY: Accessibility means to what degree was someone at the utility accessible when you reached out to them with questions and/or issues.]

D. The responsiveness of utility staff in addressing your questions and issues during the interconnection process for this project?

[INTERVIEWER NOTE, READ AS NECESSARY: Responsiveness means the caliber of the responses provided by the utility to questions and/or issues brought to their attention by the developer.]

E. Your ability to access the status of your application in the interconnection process for this project?

F. Your ability to obtain clear project cost information on details required by the New York Standardized Interconnection Requirements?

O2. (Ask if O1A = 0 to 6) What would have improved your overall satisfaction with the interconnection process for this project? Please be as specific as possible and think about all of the steps in your project to date.

O3. (Ask if O1B = 0 to 6) What would have improved your overall satisfaction with communications with the utility for this project? Please be as specific as possible and think about all of the steps in your project to date.

O4. Have you experienced any significant issues for this project during the course of the interconnection process?

01. Yes

02. No

97. Don't know

99. Refused

O4A. (Ask if O4 = Yes (01)) What significant issues have you experienced that were within the control of the utility?

O4B. (Ask if O4 = Yes (01)) How satisfied were you with the utility's response to addressing these issues, using a scale of 0 to 10, where 0 means "very dissatisfied" and 10 means "very satisfied."

0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused

O4C. (Ask if O4B = 0 to 6) What could the utility have done to better address the issues you encountered?

O5. Did your project require a full CESIR?

01. Yes

02. No

97. Don't know

99. Refused

**Process Improvement**

P1. Do you have any suggestions to improve the New York Standardized Interconnection Requirements?

01. Gave response (RECORD) \_\_\_\_\_

02. No

97. Don't know

99. Refused

P2. Is there anything else that you would like to tell me about the interconnection process experience, either specifically about this project or more generally about the New York Standardized Interconnection Requirements?

01. Gave response (RECORD) \_\_\_\_\_

02. No

97. Don't know

99. Refused



## **Benchmarking**

[INTERVIEWER NOTE: The following benchmarking questions are intended to help the utility understand how the interconnection process in New York compares with that of other states. In answering these questions, please think only about your personal experience, and not about the more general activity of your company].

B1. Are you personally involved in the interconnection of any distributed generation projects of similar scale (50 to 5,000 kW) in states other than New York?

- 01. Yes
- 02. No
- 97. Don't know
- 99. Refused

B2. (Ask if B1 = Yes (01)) In how many other states are you personally involved in projects?

\_\_\_\_\_ (RANGE = 01 TO 49)

- 97. Don't know
- 99. Refused

B3. (Ask if B1 = Yes (01)) How would you rate the interconnection process in New York State overall compared with these other states? Would you say that the process in New York State is:

- 01. Better
- 02. Worse, or
- 03. About the same as the process in other states?
- 97. Don't know
- 99. Refused

Those are all the questions I have for you today. Thank you very much for your feedback.



Joint Utilities of New  
York (JU) Survey for  
Interconnection Earning  
Adjustment Mechanism  
(IEAM)

Questionnaire

**Comparison of May 8 and  
August Mid-Point Surveys**

August 25, 2017

Submitted to:

Joint Utilities of New York

Submitted by:

ICF Resources, LLC  
9300 Lee Highway  
Fairfax, VA 22031

## Mid-Point Survey Questionnaire Comparison: Changes to the Version Attached to the May 8, 2017, Filing are Indicated in Red

### Screening

(If someone other than the respondent answers or someone does not answer by giving his/her name)  
Hello, this is (name) calling from ICF on behalf of (Utility). May I please speak with (Name from Sample File)? [INTERVIEWER NOTE: IF RESPONDENT IS UNAVAILABLE, ASK FOR A GOOD TIME TO REACH THE RESPONDENT AND RECORD IN CATI FOR A CALL-BACK.]

(If respondent answers, or when the respondent comes on the line after the call is transferred by a gatekeeper). Hello, this is (name) calling from ~~(Research Firm)~~ICF on behalf of (Utility). We are conducting a survey to obtain feedback about the interconnection process for (Project Name 1; if more than one project, insert up to three projects separated by “and”). You may have received a letter about this survey from (Utility), as this survey is very important in their interconnection process.

SC1. Are you the best person at your organization to answer questions about the interconnection process for (Project Name), or is there someone else?

01. Yes

02. No → [IF NO, ASK FOR NAME AND CONTACT INFORMATION FOR THAT PERSON, THANK THE PERSON, TERMINATE THIS CALL, AND THEN CALL THE NEW SUGGESTED RESPONDENT].

In answering these questions, please think only about the interconnection process for (Project Name), regardless of other projects you may have managed in New York State. Also, you may not know the answers to all of my questions, so just say “don’t know” if that is the case. We realize that the interconnection process for this project is not yet complete, but we want to ~~want to~~ obtain your feedback about the process through the preliminary analysis portion of the interconnection process.

[IF ASKED] This interview will take approximately ~~10-12~~5 to 7 minutes to complete, depending upon your answers.

~~SC2. Approximately how many interconnection applications of 50 to 5,000 kW have you personally managed with a New York State utility during the past 12 months, including this application?~~

~~[INTERVIEWER NOTE: IF RESPONDENT HESITATES, SAY “YOUR BEST ESTIMATE IS FINE”.]~~

~~01. Record response \_\_\_\_\_ (Range = 1 to 200)~~

~~95. More than 200~~

~~97. Don’t know~~

~~99. Refused~~

SC3. (If project is 50 to 300 kW in capacity) And just to confirm, did your project fall under the expedited application process or the standard application process for this project?

~~[INTERVIEWER NOTE: If respondents express confusion or uncertainty about either the expedited processes or the standard process, please read the either or both of the following definitions:~~

- ~~• Expedited Process: Fast paced and simplified application review process based on project size and equipment certification. Systems up to 50 kW are eligible for a simplified or expedited six-step process. Systems up to 300 kW may be eligible for this provided that the inverter based system is UL-1741 certified and tested~~
- ~~• Standard Process: Regular review process applies to all system larger than 50kW up to 5MW, and projects between 50kW and 300kW that have not been certified and tested according to UL-1741 standards. Applicants must use the basic 11 step process for interconnection as outlined in the NY SIR.]~~

~~01. Expedited process~~

~~02. Standard process~~

~~97. Don't know~~

~~99. Refused~~

### Overall Ratings

O1. Thinking about the interconnection process through the preliminary analysis portion [for](#) (PROJECT NAME), how satisfied were you with each of the following? Please use a scale of 0 to 10, where 0 means “very dissatisfied” and 10 means “very satisfied.” [If you consider any of these items as inapplicable to your project or if you don't know the answer, please let me know.](#) [If multiple projects: Again, please think only about this project regardless of others you may have completed with this utility or other utilities in New York State.] (ROTATE THE ORDER OF ITEMS B TO [GE](#).)

0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused

A. (Always ask first in this series.) Your overall satisfaction with the interconnection process for this project?

B. Communications from the utility throughout the project, including both in response to what you requested and what the utility provided?

[INTERVIEWER NOTE, READ AS NECESSARY: Communications includes all information and communication from the utility, including both what you requested and what the utility [representatives](#) provided to you on their own. [It includes the accuracy, timeliness, content, and delivery of communications.](#)]

C. The accessibility of utility staff to your organization during the interconnection process for this project?

[INTERVIEWER NOTE, READ AS NECESSARY: Accessibility means to what degree was someone at the utility accessible when you [reached](#) out to them with questions and/or issues.]

D. The responsiveness of utility staff in addressing your questions and issues during the interconnection process for this project?

[INTERVIEWER NOTE, READ AS NECESSARY: Responsiveness means the caliber of the responses provided by the utility to questions and/or issues brought to their attention by the developer.]

~~E. The overall timeliness of responses from the utility during the interconnection process for this project?~~

~~[INTERVIEWER NOTE, READ AS NECESSARY: Timeliness means the degree to which a utility provided responses according to the SIR requirements.]~~

~~F. The utility's compliance with the official standard interconnection process for this project?~~

GE. Your ability to access the status of your application in the interconnection process for this project?

O2. (Ask if O1A = 0 to 6) What would have improved your overall satisfaction with the interconnection process for this project? Please be as specific as possible and think about all of the steps in your project to date.

O3. (Ask if O1B = 0 to 6) What would have improved your overall satisfaction with communications with the utility for this project? Please be as specific as possible and think about all of the steps in your project to date.

O4. Have you experienced any significant issues for this project during the course of the interconnection process?

01. Yes

02. No

97. Don't know

99. Refused

O4A. (Ask if O4 = Yes (01)) What significant issues have you experienced that were within the control of the utility?

O4B. (Ask if O4 = Yes (01)) How satisfied were you with the utility's response to addressing these issues, using a scale of 0 to 10, where 0 means "very dissatisfied" and 10 means "very satisfied."

0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused

O4C. (Ask if O4B = 0 to 6) What could the utility have done to better address the issues you encountered?

~~Q2. Overall, how easy was it to understand the interconnection process through the preliminary analysis portion? Please use a scale of 0 to 10, where 0 means “not at all easy” and 10 means “very easy”:~~

~~\_\_\_\_\_ 0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused~~

~~Q3. (Ask if Q2= 0 to 6) What about the interconnection process was difficult to understand?~~

~~01. Record Response \_\_\_\_\_~~

~~97. Don't know~~

~~99. Refused~~

### **Pre-application Process**

~~Now I have some questions about the details of the interconnection process. Again, please think only about the application process through the preliminary analysis portion for (PROJECT NAME).~~

~~PA1. Did you request a pre-application report for this project from (Utility)?~~

~~01. Yes~~

~~02. No~~

~~97. Don't Know~~

~~99. Refused~~

~~PA2. (If PA1 = Yes (01)) Did you receive your pre-application report from (Utility) within 10 business days from receipt of payment?~~

~~01. Yes~~

~~02. No~~

~~97. Don't Know~~

~~99. Refused~~

~~PA3. (If PA1 = Yes (01)) How useful was the feedback you received from the utility on the Pre-application Report? Please use a scale of 0 to 10, where 0 means “Not very useful” and 10 means “Very useful”:~~

~~0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused~~

~~PA4. (Ask if PA3 = 0 to 6) What would have improved the usefulness of the feedback you received?~~

~~01. Record Response \_\_\_\_\_~~

~~97. Don't know~~

~~99. Refused~~

## **Application Process**

~~A1. Turning now from the pre-application process to the regular application process, how easy was it to complete the interconnection application for (PROJECT NAME)? Please use a scale of 0 to 10, where 0 means “Not at all easy” and 10 means “Very easy”.~~

~~0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused~~

~~A2. Did you receive a response to your application from (Utility) within 10 business days? This would have been in addition to an automated response to your submission.~~

~~01. Yes~~

~~02. No~~

~~97. Don't Know~~

~~99. Refused~~

~~A3. Was your application deemed complete and accepted by the utility or were you asked to provide additional information in support of your application?~~

~~01. Deemed complete~~

~~02. Asked to submit additional information~~

~~97. Don't know~~

~~99. Refused~~

~~A4. (Ask if A3 = Asked to submit additional information (02)) Did you provide the required information to the utility within 30 days?~~

~~01. Yes~~

~~02. No~~

~~97. Don't know~~

~~99. Refused~~

~~A5. How useful was the response you received from the utility about your application? Please use a scale of 0 to 10, where 0 means “Not at all useful” and 10 means “Very useful”.~~

~~0 1 2 3 4 5 6 7 8 9 10 11 No feedback received 97 Don't know 99 Refused~~

~~A6. (Ask if A5 = 0 to 6) What would have made the response more useful to you?~~

~~01. Record Response \_\_\_\_\_~~

~~97. Don't know~~

~~99. Refused~~

### ~~Preliminary Screening Analysis~~

~~[INTERVIEWER NOTE: If respondents express confusion or uncertainty about either the preliminary screening analysis, please read the following summary:~~

- ~~• Preliminary Screening Analysis: An initial review of the generator owners proposed system capacity, location on the utility system, system characteristics, and general system regulation to determine if the interconnection is viable.]~~

~~PS1. Did you receive the results from the preliminary screening analysis for (PROJECT NAME) within 15 business days of your completed application?~~

~~01. Yes~~

~~02. No~~

~~97. Don't know~~

~~99. Refused~~

~~PS2. Did your project pass all of the relevant technical screens in the preliminary screening analysis?~~

~~01. Yes → Skip to Question H.~~

~~02. No~~

~~97. Don't know~~

~~99. Refused~~

~~PS3. (If PS2 = No (02)) Did you initially decide to proceed to:~~

~~01. A preliminary analysis report meeting~~

~~02. A supplemental analysis, or → Skip to Question H~~

~~03. A Full Coordinated Electric System Interconnection Review (CESIR) → Skip to Question H~~

~~97. Don't know → Skip to Question H~~

~~99. Refused → Skip to Question H~~



### ~~Preliminary Analysis Results Meeting~~

~~PM1. (IF PS3 = Yes (01)) Did you request a preliminary analysis report meeting with the utility?~~

- ~~01. Yes~~
- ~~02. No → Skip to Question H~~
- ~~97. Don't know → Skip to Question H~~
- ~~99. Refused → Skip to Question H~~

~~PM2. (IF PM1 = Yes (01)) How helpful was the service provided during the preliminary analysis report meeting. Please use a scale of 0 to 10, where 0 means "not at all helpful" and 10 means "very helpful".~~

~~\_\_\_\_\_ 0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused~~

~~PM3. (IF PM1 = Yes (01)) Did the utility identify any upgrades that allowed your project to go directly to the construction process?~~

- ~~01. Yes~~
- ~~02. No → Skip to Question PM5~~
- ~~97. Don't know → Skip to Question PM5~~
- ~~99. Refused → Skip to Question PM5~~

~~PM4. (IF PM3 = Yes (01)) Did you receive a non-binding cost estimate for these upgrades?~~

~~[INTERVIEWER NOTE, READ AS NECESSARY: This cost estimate does not have to be included as part of results meeting. The utility has 15 business days to provide it after the results meeting if the upgrade is agreed to.]~~

- ~~01. Yes → Skip to Question H.~~
- ~~02. No → Skip to Question H.~~
- ~~97. Don't know~~
- ~~99. Refused~~

~~PM5. (IF PM3 = 2, 97, or 99) Did you request a supplemental analysis or did you go straight to the CESIR process?~~

- ~~01. Supplemental analysis~~
- ~~02. Straight to the CESIR process~~
- ~~97. Don't know~~
- ~~99. Refused~~

**Intention to Proceed with the Interconnection Process for this Project**

I1. (~~Ask ALL~~) Do you intend to proceed with the interconnection process for this project?

- 01. Yes
- 02. No
- 97. Don't know
- 99. Refused

I2. (Ask if I1 = No (02)) Why aren't you planning to proceed with the interconnection process for this project? (RECORD RESPONSE)

**Process Improvement**

P1. Do you have any suggestions to improve the New York Standardized Interconnection Requirements?

- 01. Gave response (RECORD) \_\_\_\_\_
- 02. No
- 97. Don't know
- 99. Refused

P2. Is there anything else that you would like to tell me about the interconnection process experience, either specifically about this project or more generally about the New York Standardized Interconnection Requirements?

- 01. Record Response \_\_\_\_\_
- 02. No
- 97. Don't know
- 99. Refused

## Benchmarking

[INTERVIEWER NOTE: The following benchmarking questions are intended to help the [utility Joint Utilities](#) understand how the interconnection process in New York compares with that of other states. In answering these questions, please think only about your personal experience, and not about the more general activity of your company].

B1. Are you personally involved in the interconnection of any distributed generation projects of similar scale (50 to 5,000 kW) in states other than New York?

- 01. Yes
- 02. No
- 97. Don't know
- 99. Refused

B2. (Ask if B1 = Yes (01)) In how many other states are you personally involved in projects?

\_\_\_\_\_ (RANGE = 01 TO 49)

- 97. Don't know
- 99. Refused

B3. (Ask if B1 = Yes (01)) How would you rate the interconnection process in New York State overall compared with these other states? Would you say that the process in New York State is:

- 01. Better
- 02. Worse, or
- 03. About the same as the process in other states?
- 97. Don't know
- 99. Refused

Those are all the questions I have for you today. Thank you very much for your feedback.



Joint Utilities of New  
York (JU) Survey for  
Interconnection Earning  
Adjustment Mechanism  
(IEAM)

Questionnaire –

**Comparison of May 8 and  
August Completion Surveys**

August 25, 2017

Submitted to:

Joint Utilities of New York

Submitted by:

ICF Resources, LLC  
9300 Lee Highway  
Fairfax, VA 22031

## Completion Survey Questionnaire: Changes to the Version Attached to the May 8, 2017, Filing are Indicated in Red

### Screening

(If someone other than the respondent answers or someone does not answer by giving his/her name)  
Hello, this is (name) calling from ICF on behalf of (Utility). May I please speak with (Name from Sample File)? [INTERVIEWER NOTE: IF RESPONDENT IS UNAVAILABLE, ASK FOR A GOOD TIME TO REACH THE RESPONDENT AND RECORD IN CATI FOR A CALL-BACK.]

(If respondent answers, or when the respondent comes on the line after the call is transferred by a gatekeeper). Hello, this is (name) calling from ~~(Research Firm)~~ICF on behalf of (Utility). We are conducting a survey to obtain feedback about the interconnection process for (Project Name 1; if more than one project, insert up to three projects separated by “and”). You may have received a letter about this survey from (Utility), as this survey is very important in their interconnection process.

SC1. Are you the best person at your organization to answer questions about the interconnection process for (Project Name), or is there someone else?

01. Yes

02. No → [IF NO, ASK FOR NAME AND CONTACT INFORMATION FOR THAT PERSON, THANK THE PERSON, TERMINATE THIS CALL, AND THEN CALL THE NEW SUGGESTED RESPONDENT].

In answering these questions, please think only about the interconnection process for (Project Name), regardless of other projects you may have managed in New York State. Also, you may not know the answers to all of my questions, so just say “don’t know” if that is the case. We realize that ~~may~~ you may have completed an earlier survey about the interconnection process for this project, but we want to obtain your feedback about the overall process ~~since that time~~ for this completed project.

[IF ASKED] This interview will take approximately ~~105~~ to ~~127~~ minutes to complete, depending upon your answers.

~~SC2. Approximately how many interconnection applications of 50 to 5,000 kW have you personally managed with a New York State utility during the past 12 months, including this application?~~

~~[INTERVIEWER NOTE: IF RESPONDENT HESITATES, SAY “YOUR BEST ESTIMATE IS FINE”.]~~

~~01. Record response \_\_\_\_\_ (Range = 1 to 200)~~

~~95. More than 200~~

~~97. Don’t know~~

~~99. Refused~~

~~SC3. (If project is 50 to 300 kW in capacity) And just to confirm, did your project fall under the expedited application process or the standard application process for this project?~~

~~[INTERVIEWER NOTE: If respondents express confusion or uncertainty about either the expedited processes or the standard process, please read the either or both of the following definitions:~~

- ~~● Expedited Process: Fast paced and simplified application review process based on project size and equipment certification. Systems up to 50 kW are eligible for a simplified or expedited six-step process. Systems up to 300 kW may be eligible for this provided that the inverter-based system is UL-1741 certified and tested~~
- ~~● Standard Process: Regular review process applies to all system larger than 50kW up to 5MW, and projects between 50kW and 300kW that have not been certified and tested according to UL-1741 standards. Applicants must use the basic 11 step process for interconnection as outlined in the NY SIR.]~~

~~01. Expedited process~~

~~02. Standard process~~

~~97. Don't know~~

~~99. Refused~~

## Overall Ratings

O1. Thinking about the ~~ENTIRE~~ interconnection process for (Project Name), how satisfied were you with each of the following? Please use a scale of 0 to 10, where 0 means “very dissatisfied” and 10 means “very satisfied.” [If you consider any of these items as inapplicable to your project or if you don't know the answer, please let me know.](#) [If multiple projects: Again, please think only about this project regardless of others you may have completed with this utility or other utilities in New York State.]

(ROTATE THE ORDER OF ITEMS B TO ~~GF~~)

0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused

A. (Always ask first in this series) Your overall satisfaction with the ~~ENTIRE~~ interconnection process for this project?

B. Communications from the utility throughout the ~~ENTIRE~~ project, including both in response to what you requested and what the utility provided?

[INTERVIEWER NOTE, READ AS NECESSARY: Communications includes all information and communication from the utility, including both what you requested and what the utility [representatives](#) provided to you on their own. [It includes the accuracy, timeliness, content, and delivery of communications.](#)]

C. The accessibility of utility staff to your organization during the ~~ENTIRE~~ interconnection process for this project?

[INTERVIEWER NOTE, READ AS NECESSARY: Accessibility means to what degree was someone at the utility accessible when you [reached](#) out to them with questions and/or issues.]

D. The responsiveness of utility staff in addressing your questions and issues during the ~~ENTIRE~~ interconnection process for this project?

[INTERVIEWER NOTE, READ AS NECESSARY: Responsiveness means the caliber of the responses provided by the utility to questions and/or issues brought to their attention by the developer.]

~~E. The overall timeliness of responses from the utility during the ENTIRE interconnection process for this project?~~

~~[INTERVIEWER NOTE, READ AS NECESSARY: Timeliness means the degree to which a utility provided responses according to the SIR requirements.]~~

~~F. The utility's compliance with the official standard interconnection process for this project?~~

~~GE.~~ Your ability to access the status of your application in the interconnection process for this project?

F. Your ability to obtain clear project cost information on details required by the New York Standardized Interconnection Requirements?

O2. (Ask if O1A = 0 to 6) What would have improved your overall satisfaction with the interconnection process for this project? Please be as specific as possible and think about all of the steps in your project to date.

O3. (Ask if O1B = 0 to 6) What would have improved your overall satisfaction with communications with the utility for this project? Please be as specific as possible and think about all of the steps in your project to date.

O4. Have you experienced any significant issues for this project during the course of the interconnection process?

01. Yes

02. No

97. Don't know

99. Refused

O4A. (Ask if O4 = Yes (01)) What significant issues have you experienced that were within the control of the utility?

O4B. (Ask if O4 = Yes (01)) How satisfied were you with the utility's response to addressing these issues, using a scale of 0 to 10, where 0 means "very dissatisfied" and 10 means "very satisfied."

0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused

O4C. (Ask if O4B = 0 to 6) What could the utility have done to better address the issues you encountered?

O5. Did your project require a full CESIR?

01. Yes

02. No

97. Don't know

99. Refused

~~O2. Overall, how easy was it to understand the interconnection process? Please use a scale of 0 to 10, where 0 means "not at all easy" and 10 means "very easy":~~

~~\_\_\_\_\_ 0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused~~

~~O3. (Ask if O2 = 0 to 6) What about the interconnection process was difficult to understand?~~

~~01. Record Response \_\_\_\_\_~~

~~97. Don't know~~

~~99. Refused~~

### **~~Preliminary Analysis Results Meeting~~**

~~PM1. (ASK ALL) Let's now turn to the specifics of the interconnection process. After the preliminary screening analysis, did you:~~

~~01. Request a preliminary analysis report meeting with the utility~~

~~02. Proceed to supplemental analysis → Skip to Question SA1~~

~~03. Proceed straight to the CESIR process → Skip to Question SIR1~~

~~97. Don't know → Skip to Question C1~~

~~99. Refused → Skip to Question C1~~



~~PM2. (IF PM1 = Yes (01)) How helpful was the service provided during the preliminary analysis report meeting. Please use a scale of 0 to 10, where 0 means “not at all helpful” and 10 means “very helpful”.~~

~~\_\_\_\_\_ 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused~~

~~PM3. (IF PM1 = Yes (01)) Did the utility identify any upgrades that allowed your project to go directly to the construction process?~~

~~01. Yes~~

~~02. No → Skip to Question PM5~~

~~97. Don't know → Skip to Question PM5~~

~~99. Refused → Skip to Question PM5~~

~~PM4. (If PM3 = Yes (01)) Did you receive a non-binding cost estimate for these upgrades?~~

~~[INTERVIEWER NOTE, READ AS NECESSARY: This cost estimate does not have to be included as part of results meeting. The utility has 15 business days to provide it after the results meeting if the upgrade is agreed to.]~~

~~01. Yes → Skip to Question C1.~~

~~02. No → Skip to Question C1.~~

~~97. Don't know~~

~~99. Refused~~

~~PM5. (IF PM3 = 02, 97, or 99) Did you request a supplemental analysis or did you go straight to the CESIR process?~~

~~01. Supplemental analysis~~

~~02. Straight to the CESIR process → Skip to Question SIR1~~

~~97. Don't know → Skip to Question C1~~

~~99. Refused → Skip to Question C1~~

### **Supplemental Analysis Results Meeting**

~~SA1. (If PM1 = 02 or PM5 = 01) Did the utility complete the supplemental review of your application within 20 business days after receiving your response with the \$2,500 fee?~~

~~01. Yes~~

~~02. No → Skip to Question C1~~

~~97. Don't know~~

~~99. Refused~~

~~SA2. (SA1 = Yes (01)) How helpful was the service provided during the supplemental analysis report meeting. Please use a scale of 0 to 10, where 0 means “not at all helpful” and 10 means “very helpful”.~~

~~\_\_\_\_\_ 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused~~

~~SA3. (SA1 = Yes (01)) Were any upgrades required by the utility as a result of the supplemental review of your application?~~

~~\_\_\_\_\_ 01. Yes~~

~~\_\_\_\_\_ 02. No~~

~~\_\_\_\_\_ 97. Don't know~~

~~\_\_\_\_\_ 99. Refused~~

~~SA4. (If SA3 = Yes (01)) Did you receive a non-binding cost estimate for these upgrades?~~

~~01. Yes~~

~~02. No~~

~~97. Don't know~~

~~99. Refused~~

~~SA5. (If SA4 = Yes (01)) Was the cost estimate:~~

~~01. About what you expected~~

~~02. Lower than you expected, or~~

~~03. Higher than you expected?~~

~~97. Don't know~~

~~99. Refused~~

~~SA6. (If SA1 = Yes (01)) As a result of the supplemental analysis report and/or meeting, did you decide to proceed to a full Coordinated Electric System Interconnection Review (CESIR)?”~~

~~01. Yes~~

~~02. No \_\_\_\_\_ → Skip to Question C1~~

~~97. Don't know \_\_\_\_\_ → Skip to Question C1~~

~~99. Refused \_\_\_\_\_ → Skip to Question C1~~

**Full CESIR**

~~SIR1. (If PM1 = 03 or PM5 = 02 or SA6 = 01) Did you receive an initial Coordinated Electric System Interconnection Review (CESIR) cost estimate within 5 business days of notifying the utility that you wanted to proceed to the CESIR process?~~

- ~~01. Yes~~
- ~~02. No → Skip to Question C1~~
- ~~97. Don't Know~~
- ~~99. Refused~~

~~SIR2. (If SIR1 = Yes (01)) How easy was it to complete the detailed interconnection package to allow your application to move forward in the full CESIR process? Please use a scale of 0 to 10, where 0 means "Not at all easy" and 10 means "Very easy".~~

- ~~0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused~~

~~SIR3. (If SIR1 = Yes (01)) Did you encounter any issues in obtaining approval for the design package required for CESIR review or for CESIR?~~

- ~~01. Yes~~
- ~~02. No~~
- ~~97. Don't know~~
- ~~99. Refused~~

~~SIR4. (If SIR3 = Yes (01)) What issues did you encounter?~~

- ~~01. Record Response \_\_\_\_\_~~
- ~~97. Don't know~~
- ~~99. Refused~~

~~SIR5. (If SIR1 = Yes (01)) Overall, how satisfied were you with the CESIR process? Please use a scale of 0 to 10, where 0 means "very dissatisfied" and 10 means "very satisfied":~~

- ~~0 1 2 3 4 5 6 7 8 9 10 11 NA 97 Don't know 99 Refused~~

~~SIR6. (IF SIR5 = 0 to 6) Why were you dissatisfied with the CESIR process?~~

~~01. Record Response \_\_\_\_\_~~

~~97. Don't know~~

~~99. Refused~~

### ~~Construction Approval/Executed Contract~~

~~C1. Did (Utility) require any system upgrades because of your projects?~~

~~01. Yes~~

~~02. No~~

~~97. Don't know~~

~~99. Refused~~

~~C2. Did you receive an executed contract for your project from the utility after completion of the review process, provided no upgrades were identified as a result of the review?~~

~~01. Yes~~

~~02. No~~

~~97. Don't know~~

~~99. Refused~~

### ~~Verification and Cost Reconciliation~~

~~VC1. Did the utility witness the verification test for the interconnection of your project?~~

~~01. Yes~~

~~02. No~~

~~97. Don't know~~

~~99. Refused~~

~~VC2. Were there any deficiencies that had to be corrected as a result of the verification testing?~~

~~01. Yes~~

~~02. No~~

~~97. Don't know~~

~~99. Refused~~

~~VC3. Within 30 days of the formal letter of acceptance for the interconnection, did you receive an invoice for the final reconciliation of project interconnection costs?~~

~~01. Yes~~

~~02. No~~

~~03. Not required~~

~~97. Don't know~~

~~99. Refused~~

~~VC4. Was the final cost to connect your project within the accuracy level of the estimate, that is, plus or minus 25 percent of the estimate provided within the CESIR results?~~

~~01. Yes~~

~~02. No~~

~~97. Don't know~~

~~99. Refused~~

## Process Improvement

~~Now I have some general questions about the ENTIRE interconnection process. Again, please think only about the application process for (PROJECT NAME):~~

~~P1. Were there any unexpected developments during the application process?~~

~~\_\_\_\_\_ 01. Yes (RECORD RESPONSE) \_\_\_\_\_~~

~~\_\_\_\_\_ 02. No~~

~~\_\_\_\_\_ 97. Don't know~~

~~\_\_\_\_\_ 99. Refused~~

~~P21. Do you have any suggestions to improve the [New York Standardized Interconnection process Requirements](#)?~~

~~01. Gave response (RECORD) \_\_\_\_\_~~

~~02. No~~

~~97. Don't know~~

~~99. Refused~~

P32. Is there anything else that you would like to tell me about the interconnection process [experience](#), either specifically about this project or more generally about the ~~(Utility)~~[New York Standardized Interconnection process Requirements](#)?

- 01. Gave response (RECORD) \_\_\_\_\_
- 02. No
- 97. Don't know
- 99. Refused

### **Benchmarking**

[INTERVIEWER NOTE: The following benchmarking questions are intended to help the [utility](#)~~Joint Utilities~~ understand how the interconnection process in New York compares with that of other states. In answering these questions, please think only about your personal experience, and not about the more general activity of your company].

B1. Are you personally involved in the interconnection of any distributed generation projects of similar scale (50 to 5,000 kW) in states other than New York?

- 01. Yes
- 02. No
- 97. Don't know
- 99. Refused

B2. (Ask if B1 = Yes (01)) In how many other states are you personally involved in projects?

\_\_\_\_\_ (RANGE = 01 TO 49)

- 97. Don't know
- 99. Refused

B3. (Ask if B1 = Yes (01)) How would you rate the interconnection process in New York State overall compared with these other states? Would you say that the process in New York State is:

- 01. Better
- 02. Worse, or
- 03. About the same as the process in other states?
- 97. Don't know
- 99. Refused

Those are all the questions I have for you today. Thank you very much for your feedback.