NYSERDA New York State Energy Research and Development Authority

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2010 APR -9 PH 2:3

Hon. Jaclyn A. Brilling Secretary New York State Department of Public Service New York State Department of Public Service Three Empire State Plaza Albany, New York 12223

RE: NYSERDA Supplemental Revision to SBC Operating Plan for the Benchmarking and Operations Efficiency Program

Dear Secretary Brilling,

Pursuant to the New York State Public Service Commission's January 4, 2009 Order Approving Certain Commercial and Industrial; Residential; and Low-Income Residential Customer Energy Efficiency Programs with Modifications in Cases 08-E-1132 (Petition of New York State Energy Research and Development Authority [NYSERDA] for Approval of an Energy Efficiency Portfolio Standard (EEPS) NYSERDA-Administered Electric Energy Efficiency Program), 07-M-0548 (Proceeding on Motion of the Commission Regarding and Energy Efficiency Portfolio Standard) et. al., enclosed please find NYSERDA's supplemental revision to its SBC Operating Plan for the Benchmarking and Operations Efficiency Program.

NYSERDA was granted an extension until April 9, 2010, for filing this Supplemental Revision by letter dated March 4, 2010. If you have any questions on this Supplemental Revision, please feel free to call Tom Barone (x3307), or myself (x3323).

Sincerely.

Bob Callender Vice President for Operations and Energy Services

Enclosure

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3.4. Benchmarking Operations and Efficiency Program (Electric)

3.4.1 Program Description

The Benchmarking and Operations Efficiency component of NYSERDA's FlexTech Program¹ provides support to participants who benchmark the energy performance of a facility through technical assistance, "SWAT" team visits², tools and resources, and marketing and outreach to help customers implement lowand no-cost operational improvements. New tools and methods of customer support (e.g. new software, design manuals, etc.), along with technical support help participants indentify and realize energyefficiency potential in the most cost-effective manner possible. This assistance includes the entry of data into benchmarking systems,³ verification of data quality and outputs, interpreting results, and assisting customers in decision-making based on the results. A web-based portal linked to national benchmarking systems (such as the U.S. EPA Portfolio Manager), will also support the Program.⁴

Energy Management "SWAT" Teams are also available to identify and implement energy savings opportunities from operations and maintenance improvements. Results of analysis show where major system upgrades or further technical examination is warranted. In order to assess the overall impact on energy use and utility bills attributable to the implemented measures, ongoing benchmarking is encouraged for each facility.

3.4.2 Metrics and Benefits

Anticipated electric savings are shown in the table below, and are based on financial commitments through 2011, the results of which will be fully realized through 2015. The fossil fuel, water and operations and maintenance savings that accrue as a result of this effort will also be considered. The savings below reflect NYSERDA's accounting for overlap of savings with direct incentive programs, such as FlexTech and the Existing Facilities Program. These estimated adjustments were based on past program experience. Additional evaluation efforts will be conducted to better attribute savings among programs offered by NYSERDA and other program administrators. Savings from measures paid for through FlexTech cost-shared energy studies or direct program incentives from other programs, will be attributed to the program providing the incentive, and not from the Benchmarking effort.

¹ Implementation of the Benchmarking effort is as a distinct component of NYSERDA's FlexTech Program in order to gain operational efficiencies in program outreach. The resulting projects will be tracked and evaluated separately from projects stemming from the previously approved FlexTech Program. This effort also increases participation in NYSERDA's incentive programs that offer comprehensive energy audits and capital intensive efficiency measures.

² "SWAT" team visits are performed by a certified engineer and take about a half day to 2 days to perform. The engineer will identify and summarize in a report, limited low cost/no cost energy improvements as well as overall operational improvements.

³ Benchmarking systems compare a facility's energy use performance against similar facilities. Information is then presented to help the facility owner or manager take action to improve its performance against peer facilities.

⁴ The web-based portal will serve as a tool for people to obtain an energy score of their building similar to that of the EPA Portfolio Manager Benchmarking Tool. The portal will help comply with the benchmarking requirements of New York City Greener, Greater Building Legislation.

	2010	2011	2012	2013	2014	2015
Annual Savings Installed in the Current Year	9,333	15,493	18,667	9,333	3,173	0
Annual Savings Installed in Prior Years	n/a	9,333	24,827	43,493	52,827	56,000
Cumulative Annual Savings	9,333	24,827	43,493	52,827	56,000	56,000

 Table 3-16. Benchmarking Operations and Efficiency Effort: Project Installed MWh for Benchmarking

 Operations and Efficiency Program (Electric)

3.4.3 Budget

The Benchmarking Operations and Efficiency effort electric expenditures are shown in the table below and reflect funding commitments through 2011. Table 3-18 shows the budget broken out by program tasks.

Table 3-17. Projected Annual Expenditures for the Benchmarking Operations and Efficiency Program – Electric [millions]⁵

	2010	2011	2012	2013	2014	2015	Total
Annual EEPS Spending	•						
	\$6.321	\$5.172	\$0	\$0	\$0	\$0	\$11.493
NOTE: Program start-up costs include a onetime expense in 2010 to develop a web-based portal.							

⁵ Although projected annual expenditures for the Benchmarking Operations and Efficiency Program are shown beyond 2011, all electric funding is expected to be encumbered by December 31, 2011. This accounts for Benchmarking Operations and Efficiency efforts that may begin in 2011 but may not be completed until a later date.

	2010	2011
General Administration	442,000	362,000
Program Planning		
Program Outreach, Education and Marketing	305,000	240,0000
Outreach Focus Contractors	\$275,000	\$225,000
Research	8,000	4,000
Marketing Support	19,000	9,000
Tool Kits/Literature	3,000	2,000
Trade Ally Training		
Incentives and Services	5,195,000	4,259,000
Web Based Benchmarking Tool	1,000,000	
Customer Services	4,195,000	4,259,000
Direct Program Implementation	0	0
Contractor QA/Reporting	0	0
Program Evaluation	316,000	259,000
NYS Cost Recovery Fee	63,000	52,000
TOTAL (Projected)	6,321,000	5,172,000

Table 3-18. Benchmarking Operations and Efficiency Effort – Electric Budget (2010-2011)

General Administration – Consistent with NYSERDA's SBC-funded efficiency programs, and is limited to not more than seven percent of total program funding, consisting of program staff salary (including staff who process contracts, invoices, provide information technology, and legal services), facilities, travel, and office supplies. Fixed costs are applied proportionally across all funding sources and therefore reflect economies of scale.

Program planning – No costs are included in the budget of this program.

Program Outreach, Education and Marketing - are the costs associated with additional marketing research and support and updating the tool kits, literature and templates to include natural gas incentives. These costs reflect the incremental cost to add natural gas to the existing electric outreach and marketing effort.

Trade Ally Training – No costs are included in the budget of this program.

The Incentives and Services – Services are provided by this program free of charge to the customer.

Direct Program Implementation – No costs are included in the budget of this program.

Program Evaluation - Costs associated with evaluation of the energy-efficiency program, and including evaluation planning, program logic models, process evaluation, impact and market evaluation, measurement and verification activities and evaluation reporting. Program evaluation costs are estimated at 5% of the annual budget; however, some planned evaluation activities are expected to occur beyond 2011. Evaluation expenditures may vary by year depending on overarching evaluation priorities and the need to adjust the timing of evaluation activities to coordinate with program impacts. NYSERDA will include any refinements to these evaluation expenditures in the detailed evaluation plan it submits for DPS Staff approval.

The Outreach, Education, and Marketing budget for the Benchmarking Operations and Efficiency Program is projected to be \$305,000 in 2010 and \$240,000 in 2011.

3.4.4 Total Resource Cost (TRC) Benefit/Cost Screening

The cost of benchmarking is estimated to be approximately \$1,200 per project and the cost for a SWAT team analysis is estimated to be approximately \$5,000 per project. Since the total resource cost ratio is highly dependent on the cost of measures, the inclusion of the benchmarking and "SWAT" team costs will not significantly affect project-level TRC ratios. This holds true for the program-level TRC ratio, in that even if a large portion of customers participate in another program, thereby reducing program savings, measure costs will also be reduced. The result is that the TRC ratio will not be significantly affected.

The measures that will be installed by customers, either on their own, or with assistance through other NYSERDA programs, are anticipated to be similar to those installed through Flex Tech and Existing Facilities Program. Thus, the Benchmarking Operations and Energy Efficiency Program will have a TRC ratio that is comparable to those programs. As part of the impact evaluation planned for this program, this assumption could be confirmed.

In addition to increasing the participation in other NYSERDA programs, all the elements of the Benchmarking Operations and Energy Efficiency Program (benchmarking, SWAT team analysis, and tools) are expected to result in projects that are better aligned with customer needs and therefore, more cost effective than usual.

3.4.5 Target Customer Market and Energy End Uses

The primary target audience for the Benchmarking Program includes large energy users within priority business sectors, specifically, commercial real estate, K - 12 schools, state facilities, hospitality, healthcare and colleges. Within these sectors, key decision makers (plant managers, facilities and process engineers) will be the focus of targeted messaging in order to drive interest in the Benchmarking effort, as well as with information about additional energy efficiency program opportunities.

In addition to Focus Contractor support, census research and other data sources will be used to identify and prioritize prospects looking for simple, low-cost technical assistance to make informed energy decisions that lead to the implementation of energy efficiency improvements. NYSERDA will also build on key partnerships with priority sectors to extend efforts among stakeholders and industry specific organizations whose interests and goals intersect with ours and can work to benefit both parties.

3.4.6 Eligible Energy Efficiency Measures and Associated Customer Incentives

The Benchmarking and Operations Efficiency effort allows for a more holistic approach to meeting participants' needs by increasing awareness and participation in other NYSERDA programs, including but not limited to FlexTech and Existing Facilities programs. The Benchmarking effort does not provide direct incentives and there are no charges to the customer for the services provided through this effort.

3.4.7 Customer Outreach, Education, and Marketing

a) Outreach, Education and Marketing Budget for Existing Facilities Gas and Electric Funding

The Outreach, Education, and Marketing budget for the Benchmarking Operations and Efficiency Program is projected to be \$305,000 in 2010 and \$240,000 in 2011.

OEM Activity	2010	2011
Outreach Focus Contractors	\$275,000	\$225,000
Research	\$8,000	\$4,000
Additional Marketing Support	\$19,000	\$9,000
Tool Kit/Collateral Items/Templates	\$3,000	\$2,000
Total	\$305,000	\$240,000

Table 3-19. OEM Budget for Benchmarking Operations and Efficiency Program

NYSERDA tracks all marketing related expenditures. A monthly budget summary maintained by the Marketing Economic Development group will recap "to date" marketing activities to keep abreast of monthly and "to date" expenditures incurred against total approved budgets by program.

b) Outreach, Education and Marketing Vehicles

For its Benchmarking efforts, NYSERDA continues to use sector-based Focus Contractors, supplemented with additional communications and support materials under development for use in meetings and at events. Additional elements of the marketing effort include direct mail, email, and targeted print materials developed in tandem with other NYSERDA programs to ensure message consistency and address opportunities for administrative efficiency by combining communications efforts for overlapping audiences.

c) Target Audience

The benchmarking effort will target NYSERDA's priority sectors such as commercial real estate, K-12 schools, State buildings, hospitality, healthcare, and colleges, based on experience that shows facility owners and managers in these sectors to be the most likely to participate in further energy-efficiency efforts. Although the EEPS funding for this effort supports tools, benchmarking and technical services to secure electric savings, the nature of the program activities results in additional benefits for fossil fuel, water and operational savings.

d) Timeline for development, implementation and evaluation of the Outreach, Education and Marketing

The following schedule details all tasks associated with the development and implementation of the Benchmarking program messaging and tactics.

This schedule reflects the launch by mid-July 2010, based on timing requirements for quantitative and qualitative research, messaging development, creative, web and media plan development, and creative templates for Focus contractor use across multiple programs that Benchmarking will support. Tasks will be closely monitored and updated as necessary to reflect our commitment to achieve this plan within the outlined timeframe.

With regard to evaluation of marketing efforts, NYSERDA tracks audience response by website activity and call volume as well as through an annual quantitative tracking study that measures program awareness against the benchmark survey, as well as other attitudinal shifts.

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Benchmarking Marketing Task	Timeframe
Year 1 Development Plan	
Marketing Plan Provided to DPS	Mid-April 2010
Approval from DPS and Begin Marketing Plan	
Implementation	Mid-May 2010
Message Development	
Initial Message Development	Mid- March
Finalize Messaging	Mid-May
Secure Qualitative Research contractor	Mid-May
Test Messaging	Mid-to-Late May
Finalize Communications Briefs	End of May
Media Planning	
Media Plan Development	Mid-May
Plan approval/Buy Media	Mid-June
Creative Development*	
Targeted Print	Mid-June
Targeted Online	Mid-June
Direct Mail	Mid-June
Website Pages	Mid-June
Contractor Creative Templates/Collateral Materials	Mid-June
Creative Approval	Mid-June
Production	Mid-June to Mid-July
Implementation	Mid-July Launch
*Media identified here are subject to change pending media pla	an and affordability based on budget.

Table 3-20. NYSERDA Benchmarking Marketing Program Integration Schedule

e) Relationship to General Education, Outreach and Marketing Efforts

NYSERDA continues to refine its overall messaging and communication strategy to increase the organization's value among customers, align business activities, maximize awareness of NYSERDA's mission and programs, and provide clear, consistent communications to target audiences. This refined marketing approach is being developed in a coordinated fashion to support the marketing efforts of NYSERDA's FlexTech, Industrial and Process Efficiency, Commercial New Buildings and Existing Facilities Programs.

f) Minimizing Marketplace Overlap

Where appropriate, NYSERDA's marketing efforts will be combined to improve the overall cost efficiency of outreach, education and marketing efforts, offer relevant solutions to customer energy challenges and eliminate customer confusion without sacrificing key program specific messaging.

3.4.8 Descriptions of Roles and Responsibilities of the Program Administrator and Program Contractors

In its role as Program Administrator, NYSERDA strives to achieve the energy reduction goals of the program within the allocated budget and timeframe by providing leadership, management, and oversight to the consultants and customers who participate in the Program. NYSERDA has selected the contractors to provide services and oversees the administration and deployment in each sector. The services to be

provided by contractors include benchmarking activities, SWAT team visits, development of tools and resources, and assisting customers interpret the results and plan energy-saving efforts.

3.4.9 Procedures for Customer Enrollment

Eligible participants apply for Benchmarking Operations and Efficiency services by:

- Contacting NYSERDA directly in person, by phone, or by email to request assistance;
- Submitting a referral form via online, email, U.S. mail, or fax;
- Applying directly; or
- Seeking application assistance from a Sector Focus Contractor.

3.4.10 Training for Appropriate Trade Allies

Outreach and training activities to inform equipment suppliers, trade associations, and installation contractors about Benchmarking Operations and Efficiency effort are coordinated with the **New York Energy \$mart**SM Business Partners, Workforce Development Programs and Focus Programs. Through the Business Partners and Programs, NYSERDA will assist in helping trade allies to develop an overall brand identity and message, raising awareness among end-users, and simplifying participation in Program Incentive opportunities.

3.4.11 Contractor Training and Program Orientation Plan

Orientation sessions are provided for NYSERDA Benchmarking Operations and Efficiency consultants, and include guidance for service providers to ensure the completion of successful projects. The sessions address program rules, eligible services, energy calculation, and benchmarking methodology. NYSERDA maintains ongoing communication with customers and service providers participating in the program. Once services are initiated, NYSERDA or its consultant, maintains frequent customer communication to discuss project progress and regular communication occurs throughout project management.

3.4.12 Quality Assurance Plan

Each sector receiving services under this program will deliver services slightly differently to best serve the customers. As a result, each sector will develop and implement a Quality Assurance Plan. QA will be conducted by NYSERDA project managers. Projects will be reviewed randomly to verify and evaluate the accuracy and technical viability of each benchmarking effort. NYSERDA or it's consultant, will ensure customers are educated on the various programs NYSERDA has to offer in order to make energy reduction goals obtainable. Each sector's plans will be coordinated to ensure equity.

3.4.13 Coordination with New York Energy Efficiency Programs and Program Administrators

NYSERDA continues to coordinate with other energy efficiency Program Administrators, particularly to minimize confusion where multiple opportunities for study cost-sharing assistance are available to customers. This Benchmarking effort provides objective and customized information to help customers make informed energy decisions. Previous SBC evaluation results have confirmed that most FlexTech resource acquisition occurs without use of programs that offer installation incentives.⁶ Based on current experience in Focus Programs, NYSERDA anticipates that approximately half of the savings that accrue after customers receive services from this program will lead to either a detailed energy audit or capital cost incentives from another program.

⁶ Supporting Documentation for the Estimate of Overlapping Savings for the Technical Assistance Program dated September 9, 2008 from Megdal & Associates to NYSERDA.

3.4.14 Program Evaluation Plan

The primary goal of the Benchmarking Program evaluation is to assess the energy and demand savings attributable to program activities. Secondary goals are to understand the market to tailor the program to the needs of the audience and foster creation of an efficient delivery mechanism.

NYSERDA has developed initial evaluation plans with the intention of providing the necessary rigor and reliability for metrics used by the NYISO and transmission and distribution system planners. NYSERDA will continue to work with DPS Staff and the EEPS Evaluation Advisory Group to devise final evaluation plans that meet established protocols and will strive to produce results that can be used as inputs for system planning and forecasting. In addition, NYSERDA will involve DPS Staff in discussions regarding any refinements to these plans as they are implemented.

The evaluation approach presented in this section was designed based on NYSERDA's current plans for the design and administration of the Program, in the absence of complete knowledge about potential funding set-asides for overarching evaluation projects that would serve the needs of all EEPS program administrators. As such, these plans have been prepared in order to allow NYSERDA and its independent contractors flexibility to adapt the evaluation approaches that best suit the program as implemented, once a greater understanding is in place regarding final evaluation protocols and funding. NYSERDA's estimated evaluation budget for this program includes a set-aside for developing a full evaluation plan, an effort that will involve DPS Staff.

Evaluation Budget

NYSERDA expects that the evaluation budget for the Program to be approximately equal to 5% of program funding, less funds set aside for statewide studies and other overarching costs borne by program administrators. Approximately 60% of the program evaluation budget will be allocated to impact evaluation and the remainder will be approximately equally split between process and market evaluation efforts.

Evaluation Schedule

Evaluation studies included as part of the Benchmarking Program evaluation plan are shown in Table 3-21 below along with the time frame for their anticipated completion. Initially, in 2010, process and market evaluation efforts will inform program start up and help ensure early effectiveness. Then, in 2012, the major impact evaluation will be undertaken and process evaluation will be revisited.

Table 3-21. Evaluation Schedule for Deneminarking and Operations (1921a)	Table 3-21.	Evaluation Schedule for	Benchmarking and O	perations Program
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Evaluation Element	Expected Completion					
	2010	2011	2012	2013		
Impact - M&V			X			
Impact - Net-to-Gross			X			
Process Evaluation	X	-	X			
Market Evaluation	X					

Impact Evaluation

Measurement and Verification

The Program will track numbers of participants that enter into core NYSERDA and utility incentive programs. The program includes components for which indirect estimates of energy savings will be made as well as components for which direct estimates will be made. The specific approaches for each component are discussed below.

- **Benchmarking:** The Benchmarking effort encourages the independent adoption of energy efficiency measures by customers without additional financial incentive. However, the entire FlexTech Program, and the Benchmarking Operations and Efficiency component in particular, are also expected to function as a significant referral (or "feeder" effort) to other NYSERDA and utility programs. For measures recommended by the Benchmarking effort that ultimately receive incentives from another NYSERDA or utility program, the program under which the incentive was provided will report all savings achieved by those measures. For customers who independently adopt energy efficiency measures recommended by the Benchmarking component, NYSERDA will develop protocols with its independent evaluation contractors to quantify the savings that result from Benchmarking. The primary evaluation focus will be on electricity savings; however, the evaluation will also include impacts on heating fuels, water, and other non-energy benefits such as avoided/reduced operations and maintenance costs. The evaluation may also involve reviewing, early in the program roll out, the assumptions and algorithms built into the tools and software provided by the program.
- Energy Manager "SWAT" team: This program component will generate recommendations for energy improvements that the customer can implement on their own or with NYSERDA assistance, so savings will likely be estimated using a direct verification method. NYSERDA will perform site visits and net-to-gross surveys for those facilities that implement recommendations without NYSERDA incentives. The approach will follow the model of past evaluations of FlexTech and assess the rate of adoption and the accuracy of savings estimates. Participants will be surveyed on whether any recommended measures or actions were implemented. Depending on population size and budget considerations, the survey could be stratified by utility service territory and then the magnitude of potential (recommended) electricity savings within that stratum, targeting sampling to achieve 90/10 confidence/precision by utility service territory.⁷ Then, potential projects will be chosen for site visits based upon the results of the telephone surveys. A census of large energy saving sites and a sample (targeting 90/10 confidence/precision levels) of remaining sites in each utility stratum will be selected for verification site visits. The smallest energy savers may be eliminated for site visits, but may be included in a telephone verification survey. Savings will be estimated, using simple engineering models at a minimum,8 based on reported baseline conditions (or code assumptions) and as-built conditions. Results will be weighted by utility and for the program as a whole. To allow adequate time for recommendations to be implemented, experience has shown that a minimum of one-year should transpire following completion of energy audits. Given this, NYSERDA plans to conduct the impact evaluation in 2012. Participants that receive incentives through other implementation programs may be evaluated through those programs, and a strategy for attributing energy savings to each program will be developed as part of the detailed evaluation plan.

⁷ If based on population sizes and evaluation budget it is not feasible to achieve 90/10 sampling precision by utility service territory, NYSERDA's evaluation contractors will attempt to achieve this level of precision for the upstate and downstate regions.

⁸ More sophisticated methods may be selected for the largest savings' sites and the method selected will depend upon an assessment of the most reliable, and cost-efficient method for the application being examined. For example, a large industrial process measure might best be measured through IPMVP Option B and calibrated DOE-2 modeling (IPMVP Option D) might be most appropriate for a comprehensive large office building application.

• Tools/Resources and Market Research: Impact from these program components can only be assessed using indirect means. The evaluation will likely consist of self-report measurement using surveys to assess any actions taken as a result of receiving the tools. The surveys will only include actions for which energy savings can be estimated. NYSERDA recognizes that overlap with other EEPS programs is an issue that will need to be considered in evaluating energy savings from this program component.

Net-to-Gross

Following up on the Measurement and Verification work, participants who adopted measure recommendations will be surveyed for the amount of energy savings attributable to NYSERDA's efforts. NYSERDA will perform enhanced self-report surveys with customers, contractors and vendors to assess freeridership and spillover. A representative sample will be developed, targeting 90% confidence and 10% precision at the statewide and upstate/downstate regional levels, with the results applied to the savings for the entire program. Freeridership quantifies savings from those participants that would have installed the energy efficiency measure without an incentive, yet received an incentive. Spillover accounts for customer savings that occurred due to their interaction with NYSERDA or market actor allies, yet in the absence of an incentive. Spillover savings will be estimated relative to the savings experienced on participating projects. Attribution studies will be conducted concurrently with the Measurement and Verification in 2012.

Process Evaluation

Process evaluation activities will focus on the participation and decision making process in each of the program elements. Participant samples will be drawn from the program tracking system. The implementation team will also track end users who are contacted or who request information about the program services. Those who do not participate in the program will form the non-participant population. Areas of inquiry expected for the process evaluation work include:

- Attrition analysis focusing on the reasons for non-participation and drop-out at different stages
- Barriers to program participation
- Barriers to full-scale implementation of recommended measures
- Value of services provided to business (non-energy and monetary)
- Overall customer satisfaction with the program services
- Examination of customer decision making, including roles of individuals involved and factors influencing the decision⁹

The process evaluation work will generate actionable recommendations for improvements to the program. It is expected that process evaluation will be conducted at two points in time: first, approximately a year after the program start date so as to provide early feedback regarding the program processes and participation rates; and second, in approximately the third year to further expand on and explore reasons for attrition.

Because the process evaluation will be in the field a year before the impact evaluation starts, the process evaluation contractor will be responsible for conducting an "evaluability assessment" and data review for the program. This exercise will help ensure that data that will ultimately be needed for impact evaluation are being collected and stored appropriately. The evaluability assessment will be undertaken as part of the first process evaluation activity. Recommendations for data collection, validation and organization will be included as part of the first process evaluation report and feedback to NYSERDA will be transmitted as findings and recommendations are available.

⁹ Process evaluation inquiries in this area will be considered as a possible resource or additional information point for conducting later attribution or net-to-gross analysis.

Market Evaluation

An important part of any program evaluation is a thorough understanding of the market environment in which the program is operating. As part of that effort, a program theory and logic model will be developed as early as possible in the first year of implementation to clarify connections between NYSERDA, customers, contractors and vendors. The program theory and logic model will provide the following information relevant to the Program and the evaluation:

- A high level summary of the market context within which the program operates as well as the other energy efficiency programs it works with to accomplish the overarching EEPS goals
- Key program-specific elements, including the ultimate goals of the program, market barriers, targeted market actors, program activities, inputs, anticipated outputs/outcomes, and potential external influences
- Key programmatic outputs and outcomes, including identification of relevant measurement indicators and potential data collection approaches
- Potential researchable issues for evaluation

The program theory and logic model will guide NYSERDA's program-specific evaluation activities and assist in the development of a comprehensive research agenda geared toward overcoming any existing gaps in program staff's knowledge of current market conditions and opportunities. The final prioritized lists of measurement indicators and researchable issues will be translated into discrete research tasks that generate findings that can be clearly related back to the outputs and outcomes anticipated by the program theory and logic model. Measurement of these program-specific indicators and researchable issues (not included as part of these plans, but could be considered after the completion of the program logic model), will likely include metrics related to market awareness and interest in benchmarking activities as well as the size and influence of key market actor groups and the relationships and dynamics among those groups and will enable baseline values to be established to support subsequent longitudinal analyses. Other possible areas of research could include market awareness and interest in benchmarking.

Evaluation Plan Variations

Given the level of uncertainty regarding final evaluation protocols, statewide studies to be conducted by all program administrators, and funding levels needed to support overarching evaluation studies and activities, the evaluation plan presented in this section should be viewed as scalable and flexible. Specifically, if the total evaluation budget for this program needs to be reduced, impact evaluation may be less rigorous and the process evaluation would likely eliminate the non-participant sample and other potential participant groups in an attempt to focus on only the most relevant samples for achieving the highest priority goals of the evaluation. Conversely, if more of NYSERDA's total evaluation funding could be allocated to this program, the additional funds would allow for more site-specific data collection as part of the impact evaluation.

3.4.15 NYSERDA Contact Information

Program participants can contact Matt Brown, NYSERDA using the following contact information:

Phone: 1 (866) NYSERDA, extension 3336 Email: <u>mcb@nyserda.org</u>

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