

New York Department of Public Service Energy Efficiency Program Information Reporting Manual

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Prepared for

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Introduction

In its June 23, 2008 order establishing an Energy Efficiency Portfolio Standard (EEPS), the New York State Public Service Commission recognized the importance of developing a uniform data tracking system to measure and evaluate progress toward the State's energy efficiency goals. Elsewhere the Commission directed each program administrator (PA) to file monthly, quarterly, and annual progress reports. These reports will be used by the Department of Public Service (DPS) to make basic program information and status updates available to the public.

DPS engaged the Evaluation Advisory Group (EAG) in the effort to help determine the most effective data collection and reporting protocols. This data reporting manual is the result of a months-long collaboration among the PAs, the EAG and Staff and should be used by PAs to guide their efforts to track and report program progress. The manual also provides guidance about collecting data to serve program evaluation needs and to aid DPS oversight.

This data reporting manual is divided into four sections.

- Section I contains a list of basic program information that should be reported for each program on a regular basis.
- Section II addresses a variety of evaluation support information. The *participant-level* data necessary for evaluation purposes for downstream incentive programs are described in Section II.A, including a proposed data template. These data elements must be routinely collected at the *participant-level* and stored in an electronic database by program administrators to facilitate program evaluation and DPS staff oversight. *Midstream* program data requirements are presented in Section II.B; *upstream* program data requirements are presented in Section II.C. Finally, public awareness program data are presented in Section II.D¹.
- PAs should use the template provided in Section III for reporting monthly and quarterly downstream incentive program results *at the aggregate level* (based on the more detailed program-tracking databases). This template includes key data elements in an Excel spreadsheet to support program reporting, management oversight, and planning.

¹ *Upstream* programs provide any combination of incentives, technical assistance, and market development assistance directly to those involved in manufacturing energy efficiency products. The primary objectives of upstream programs are to reduce the price barriers that may inhibit product adoption and eliminate other barriers that slow adoption by the end-user (i.e., the consumer) or by midstream market actors.

Midstream programs provide any combination of incentives, technical assistance, or market development assistance directly to distributors, vendors, and trade allies (e.g., wholesaler, equipment suppliers, trade professionals, etc.). The primary objective of midstream programs is to stimulate consumer demand and speed the adoption of energy efficiency products and services to end-users. In some cases, a portion of the incentives provided to the midstream market actors can be passed through to the end user.

Downstream programs provide any combination of financial incentives, technical assistance, or market development assistance and other services (e.g., energy audits), directly to the end-user. The primary objective of downstream programs is to speed the adoption process by reducing adoption barriers for the end-user.

These templates (the *participant-level* and the *aggregate-level*) are the first steps in developing a comprehensive data base system. The goal is to identify clearly the data to be collected by the PAs and to provide a standardized spreadsheet for collecting the basic data to support the Commission's reporting and program evaluation requirements.

- In Section IV, we present a draft form to allow PAs to submit information about their programs that may not be captured in the spreadsheet. For example, PAs should report significant variance from program goals/results, potential problems, and progress in critical areas not covered in the spreadsheet such as marketing activity and progress with evaluations.

Those using this manual should note that the energy and demand impacts reported monthly, quarterly, and annually will not be adjusted (trued-up) based on ex post evaluations of each PA's programs. Rather, the results of ex post evaluations will be used for future program and electric and gas system planning.

Section I. Basic Program Information

Basic information about each program must be provided for each program with the first monthly report and again whenever the program changes so that the current program information is up-to-date. Such basic information is separate from the data collected in the participant-level program-tracking database. The list of basic program information is as follows:

- a) Full program descriptions, including operation and procedures manuals, activities descriptions, and a description of program service territory;
- b) Detailed descriptions of tracking system and tracking system operations, including data dictionaries;
- c) A detailed description or map of how data in the tracking system contributes to the monthly report. DPS should be able to take the program-tracking databases and relevant accounting information for a given utility or NYSERDA and reproduce the monthly report.
- d) Program management and staff names, titles, work locations, phone numbers, fax numbers, and e-mail addresses;
- e) Program savings objectives;
- f) Program theory and logic models for each program. The program theory should characterize the relevant market(s) and how program activities are expected to change the behavior of the market(s)' actors to expand the adoption of energy efficient technologies and practices. The characterization of the market should include a description of baseline conditions (e.g., levels of awareness, attitudes, behavior, saturation, market share etc.) and an estimate of the technical energy and demand potential within that market and identify the portion of that potential that the program is expected to achieve at the conclusion of the current funding cycle.

- g) A listing and description of, and contact information for the market actors, trade allies, and other stakeholders on which the program will rely for program delivery and support.
- h) Name of firms under contract to PAs and formally participating in the delivery of the program or program component(s) (e.g., vendors, installers, specifiers etc.). Though of interest to evaluators, PAs need not report contact information to the DPS of non-utility vendors involved with the installation of efficient equipment. A list of participating firms should be provided to DPS in the narrative report and updated only when it becomes *substantially* out of date (Note: It is left to each PA to define *substantially*). However, when requested by the DPS Staff, PAs should provide the most current listing within 30 days.
- i) Inter-organizational relationships (e.g., New York Power Authority (NYPA) and utilities) should also be reported in narrative format.

When reporting information on each program, be aware that a description of the program will be made available to interested readers. The basic information, in brief summary format, should be included in each of the three reports (monthly, quarterly, and annual) that are submitted to the Director of OEEE. It is recommended that the reports also be filed with the Secretary of the Commission to encourage further transparency. At a minimum individual basic program information should be available to DPS staff upon request. The DPS believes that the data to be reported does not pose any confidentiality concerns. However, if such concerns arise, they will be considered on a case by case basis.

Section II. Evaluation Support Information

The participant-level data necessary for evaluation purposes for downstream incentive programs are described in Section II.A. Midstream program data are presented in Section II.B. Upstream program data are presented in Section II.C. Finally, public awareness program data are presented in Section II.D.

While many of these proposed reporting requirements have been asked for elsewhere by evaluation contractors and regulators, there is some information detailed below that may not be maintained routinely for each program, may not be updated regularly, and may be difficult to present in a straightforward format (e.g., incremental costs or load shapes). In these instances, PAs are expected to explain their strategy for reporting these data types.

Section II.A. Downstream Incentive Program Information

This section contains a list of *program-participant level* data elements to be routinely collected and maintained in electronic form by PAs to measure the progress of their energy efficiency programs (e.g., program costs, estimated energy impacts).² The program-tracking database must be maintained at the measure level. Measures that are similar (e.g., CFLs, linear fluorescents) and have the same rebate and savings per unit can be grouped and reported in a single row. If, on a given application, a customer applies for rebates for three different measures,

² Staff believes the IPAs will also have to report, but the details need to be further explored. To date, no IPAs have been designated program administrators.

the application will be reported in the program-tracking database in three rows. A consistent measure naming convention must be developed as soon as possible. The participant-level data will serve as the foundation for the monthly, quarterly, and annual reports required by the DPS. There are a number of variables that must be included in any program-tracking database. These should be available to the DPS staff and evaluation contractors within 30 days following a data request. The variables and their definitions are listed in Table 1.

Table 1. Variables Required for Participant-Level Program-Tracking Databases for Downstream Incentive Programs

Program-Tracking Database Terms	Definition of Terms
Program Administrator	Utility or NYSERDA
Program ID¹	Unique Program identification number assigned by DPS
Program Name	Program name
Account number (affected by measure installation)²	Utility account number affected by the installation of the efficient measures
Meter number (affected by installation)	The meter number associated with the affected account number
Service turn-on date	The date of service turn for the program participant
Rate classification	Rate classification
Site-Specific Primary NAIC³	The two-digit NAIC for the affected dwelling/building
Building type/dwelling type⁴	Description of the dwelling or building type
Measure-Project name	Name of measure
Measure description	Description of the measure
Measure quantity	Quantity of the measure
Unit description	Description of the unit (e.g., tons, square feet, lamp)
Participant first name⁵	Participant first name
Participant last name	Participant last name
Service Street Address	Street address at which measure was installed
Service City	City in which measure was installed
Service ZIP code	ZIP code associated with the service street address and city
Participant telephone number	Participant telephone number
Participant Fax number	Participant Fax number
Participant E-Mail address	Participant E-Mail address
Rebate amount per unit⁶	Rebate amount per unit
Financing amount per unit	Financing amount per unit
Program application date	Program application date
Application approval date⁷	Date on which application was approved

Program-Tracking Database Terms	Definition of Terms
Post-installation inspection date	Date on which measure installation was inspected on site by program administrator. <i>Note that post-installation inspection dates may not be available or they might only be available for a sample of program participants.</i>
Rebate payment date⁸	Date on which rebate check was issued.
Estimated gross kWh savings per unit⁹	Estimated gross kWh savings per unit (unit energy savings)
Estimated gross on-peak kW savings per unit (utility-specific)	Each utility is required to report the estimated gross on-peak kW savings per unit according to each utility's peak definition. NYSERDA is also required to report demand reductions for program participants in each given utility's service territory based on each utility's definition of peak.
Estimated gross on-peak kW savings per unit (NYISO)	Estimated gross on-peak kW savings per unit according to NYISO peak, the definition of which is forthcoming from the DPS.
Estimated gross therm (natural gas) savings per unit	Estimated gross therm savings per unit
Net-to-gross ratio¹⁰	Net-to-gross ratio
Estimated net kWh savings per unit¹¹	Estimated net kWh savings per unit
Estimated net on-peak kW savings per unit (utility-specific)	Each utility is required to report the estimated net on-peak kW savings per unit according to each utility's peak definition. NYSERDA is also required to report net demand reductions for program participants in each given utility's service territory based on each utility's definition of peak.
Estimated net on-peak kW savings per unit (NYISO)	Estimated gross on-peak kW savings per unit according to NYISO peak, the definition of which is forthcoming from the DPS.
Estimated net therm savings per unit	Estimated net therm savings per unit
Gross coal savings per unit	Gross coal savings per unit
Gross kerosene savings per unit	Gross kerosene savings per unit
Gross oil savings per unit	Gross oil savings per unit
Gross propane savings per unit	Gross propane savings per unit
Net coal savings per unit	Net coal savings per unit
Net kerosene savings per unit	Net kerosene savings per unit
Net oil savings per unit	Net oil savings per unit
Net propane savings per unit	Net propane savings per unit
Effective useful life	Effective useful life (median number of years that measure is expected to last)
Full incremental cost per unit¹²	Full incremental cost per unit
Full costs per unit	Full costs per unit
Weather station assignment number	The weather station ID assigned to the participant service address

Notes:

¹DPS Staff needs to work with utilities and NYSERDA to develop a Program ID naming convention. However, a Program ID number is not required for the first report. Note that when developing program ID naming conventions, utilities would like to minimize computer programming/reporting costs that they might incur if the proposed naming conventions are complex or the utility's current naming conventions require modification to Staff's proposed format.

²While not part of the program-tracking database, utilities are expected, upon request by DPS or evaluators, to provide consumption histories from utility bills associated with all relevant meters (meters affected by the installation of the efficient equipment) for at least twelve months prior to program enrollment date and through current period. Note: The evaluation contractor will work with the IOUs to understand what metered data is available for which types of customers and the formats and time intervals associated with the metered data. A customer release form will be required to use the participant data. Non-participant data could be available, but will be heavily redacted to avoid customer identification. If a customer is part of a small class and could be easily identified by their billing data, that customer will need to sign a fuel release form prior to the customer data being included in the evaluation process. The *Customer Data Guidelines* are contained in Appendix A of the *New York Department of Public Service Energy Efficiency Program Information Reporting Manual* (June 25, 2009)

Also note that weather data (heating and cooling degree days) will be obtained from NOAA weather stations and mapped to customer sites based on ZIP codes.

³The North American Industry Classification System (NAICS, pronounced Nakes) was developed as the standard for use by Federal statistical agencies in classifying business establishments for the collection, analysis, and publication of statistical data related to the business economy of the U.S. NAICS replaces the Standard Industrial Classification (SIC) system.

⁴A list of common facility or building types or codes (e.g., DOE 2 Model Types; NYSERDA list of facility types) is currently being investigated.

⁵Usually, the participant is the end user (i.e., the person on whose premises the measure was installed and who received the rebate). In some case, the participant could be a building owner (commercial property owner who is renting to tenants (either residential or nonresidential) and who receives the rebate for installing measures in apartments or offices.

⁶PAs could design rebates on various bases (e.g., per bulb, per refrigerator, per pool pump, per ton in the case of chillers or per cubic feet for insulation). If incentives are based on performance (whole building or custom project), the unit would be "1" and the rebate per unit would be the total rebate received.

⁷The application date is the date on the application, or if that is missing, the date on which the administrator received the application.

⁸Note that all three dates (program application date, application approval date, and the rebate payment date) must be provided. These dates must be provided even when an application is received, approved, and a rebate paid to the participant all in the same day. In such cases, the date would be the same for all three variables.

Notes:

⁹Gross savings are defined as the change in energy consumption and/or demand that results directly from program-related actions taken by participants in the DSM program. The gross savings reported by the PAs are referred to as *ex ante* values since they have not been adjusted by *ex post (after measure installation)* evaluation efforts. If the project is a custom measure then all savings can be at the project level rather than per unit.

¹⁰Utilities should use NTGR values in the current Technical Manual until it is revised. Specifically, DPS is asking for gross savings, the net to gross ratio, and net savings. So that there is a consistent starting point for all PAs, NYSERDA programs must also use NTGR values in the Technical Manual even though there is evidence that the NTGRs estimated by NYSERDA might be superior.

¹¹Net savings are the total change in load that is attributable to the utility DSM program. This change in load may include, implicitly or explicitly, the effects of free drivers, free riders, state or federal energy efficiency standards, changes in the level of energy service, and natural change effects. The net savings reported by the PAs are referred to as *ex ante* values since they have not been adjusted by *ex post (after measure installation)* evaluation efforts.

¹²If PAs can track incremental costs by measure or project in their program tracking databases, they should do so. However, this might not always be possible. In some cases, incremental costs for measures may be obtained from another source (e.g., the NYSERDA Measure-Level Database) and assigned to individual measures. Because it is assumed that PAs have reviewed the incremental costs of measures they promote as part of the technology screening process, the identification of incremental costs is expected to be relatively straightforward. When cost data are available in the program tracking databases but labor has been included, a set of rules regarding the percentage of total projects costs attributed to labor must be proposed by the PAs. The labor costs should be removed from the incremental costs before benefit-cost analyses are conducted. The formula for estimating incremental costs should be documented.

Section II.B. Midstream Program Information

For mid-stream programs, there should always be an end user who participates in the program (typically the customer receiving the equipment). It is the participant-level information listed above in Section II.C that should be entered into the program-tracking database. Other information about the activities of upstream actors involved in the implementation of the program should be tracked elsewhere.

Section II.C. Upstream Program Information

Depending on the design and implementation of the upstream program, some information, such as end user-related information, might be unavailable. However PAs should collect and provide:

- a. Name of program(s) or program component(s);
- b. Name of firms participating in program or program component (e.g., manufacturers or participating retailers);
- c. Contact information for each firm

- First and last name;
 - Address;
 - Phone number;
 - Fax number (if collected); and
 - E-mail address (if collected).
- d. Measure descriptions
 - e. Quantity of each measure shipped by manufacturer
 - f. Buy-down amounts for each shipment
 - g. Dates associated with each buy-down payment to participating firms.
 - h. Sales by retailers of subsidized measures

Section II.D. Public Awareness (Marketing Outreach and Education) Program Information

Such performance-related information would not be included in a database but reported quarterly in a report. The report should include at a minimum:

- a. Name of program(s) or program component(s);
- b. Target population description including, size, source of identifying information, and lists of population members used in outreach activities. The target population is the total number in the population targeted by the program (e.g., all multi-family dwellings with occupants who qualify as low income, all small office buildings, all large, chain grocery stores, etc.).
- c. Marketing and outreach (M&O) activities carried out;
- d. Marketing materials by numbers, types, and means of distribution;
- e. Education and media plan;
- f. Documentation of any training including location of training, program participation agreements, commitments or other similar agreements, post-buy analysis, and other documentation of output (e.g., courses, curricula, list of participants, etc);

Other information could be reported such as records for dates, number, location, target audience, and attendance of events held, Web site hits, call-in numbers and rates, reach, frequency, Gross Rating Points, impressions, click through rate, composition, coverage, earned media, value of public service announcements, and other tracking and monitoring information the PA maintains, as appropriate to the effort and for each wave, campaign, and targeted effort. Include definitions and calculation methods for statistics used for monitoring. Each PA should propose metrics. Note that the DPS may require the PAs to use certain metrics.

Section III. Draft Reporting Templates for Monthly and Quarterly Reports by Program

Section III contains a draft monthly reporting template for an individual program. This template should be used each month for each of the programs in a PA's portfolio. At the conclusion of each quarter, a quarterly report must be produced based on the participant-level

program-tracking database covering the three-month period for the program. At the conclusion of a year, PAs must submit an annual report based on the participant-level program-tracking database covering the 12-month period for the program. Portfolio results (summing across all programs) for each utility and NYSERDA should also be produced and included in each monthly, quarterly, and annual report. PAs should follow the reporting timetable and procedures articulated in the Commission Order (s) covering the programs that are the subject of the report. It is recommended for further transparency that all reports be filed with Secretary to the Commission.

For the most part, each report is a summary or aggregation of the more detailed participant-level program-tracking data described above. However, some data (e.g., program administrative costs, evaluation costs, etc.) in a given report are not based on the participant-level program-tracking databases but are based on other specialized databases such as financial databases maintained by the PAs.

Table 2 presents a list of variables and their definitions that should be included in the monthly, quarterly, and annual reports for each program and portfolio.

Table 2. Variables Reported on Monthly and Quarterly Basis for Each Program

Monthly & Quarterly Program Reporting Terms	Definition of Terms
Program Administrator (PA) and Program ID¹	Name of utility offering the program and ID number of program (e.g., National Grid 002)
Program Name	Official name of the program as reported in filing
Program Type²	Type of program. IOU assigned (e.g., Residential Rebate, Non-Res-Custom, etc)
Total Acquired First-Year Impacts This Month³	
Net first-year annual kWh acquired this month ⁴	The net first-year annual kWh savings acquired this month by program administrator as reported in program tracking databases and for which a rebate check has been sent to the participant on a specific date.
Monthly Net kWh Goal (based on net first-year <i>annual</i> ⁵ kWh Goal)	Monthly net first-year annual kWh Goal
Percent of Monthly Net kWh Goal Acquired	Percent of Monthly kWh Goal Acquired
Net Peak ⁶ kW acquired this month	The net utility peak kW acquired this month by program administrator as reported in program-tracking databases
Monthly Utility Net Peak kW Goal	Monthly Utility Net Peak kW Goal
Percent of Monthly Peak kW Goal Acquired	Percent of Monthly Peak kW Goal Acquired
Net First-year annual therms acquired this month	The net first-year annual Therm savings acquired this month by program administrator as reported in program tracking databases
Monthly Net Therm Goal	Monthly Net Therm Goal
Percent of Monthly Therm Goal Acquired	Percent of Monthly Therm Goal Acquired
Net Lifecycle kWh acquired this month	Net kWh savings expected over the effective useful life of the savings acquired this month by program administrators as reported in program-tracking databases.

Monthly & Quarterly Program Reporting Terms	Definition of Terms
Net Lifecycle therms acquired this month	Net Therm savings expected over the effective useful life of the savings acquired this month by program administrators as reported in program-tracking databases.
Net Other Quarterly Savings (MMBTUs)	Note: Only need to report other savings on a quarterly basis.
Coal	Net MMTUs from coal
Kerosene	Net MMTUs from kerosene
Oil	Net MMTUs from oil
Propane	Net MMTUs from propane
Total Acquired Net First-Year Impacts To Date	
Net first-year annual kWh acquired to date	Net first-year annual kWh acquired to date (cumulative net first-year annual kWh acquired - See Definition #1 in the <i>Savings Definitions</i> Tab.)
Net first-year annual kWh acquired to date as a percent of annual goal	Net first-year annual kWh acquired to date as a percent of utility annual goal
Net first-year annual kWh acquired to date as a percent of 8-year goal	Net first-year annual kWh acquired to date as a percent of 8-year goal
Net cumulative kWh acquired to date	Total net cumulative kWh acquired to date - See Definition #2 in the <i>Savings Definitions</i> Tab
Net utility peak kW reductions acquired to date	Net peak kW reductions acquired to date for specific utility
Net utility peak kW reductions acquired to date as a percent of utility annual goal	Net utility peak kW reductions acquired to date as a percent of utility annual goal
Net utility peak kW reductions acquired to date as a percent of 8-year goal	Net utility peak kW reductions acquired to date as a percent of 8-year goal
Net NYISO peak kW reductions acquired to date	Net Peak kW reductions acquired to date according to NYISO peak, the definition of which is forthcoming from the DPS.
Net first-year annual therms acquired to date	Net first-year annual therms acquired to date

Monthly & Quarterly Program Reporting Terms	Definition of Terms
Net first-year annual therms acquired to date as a percent of annual goal	Net first-year annual therms acquired to date as a percent of annual goal
Net first-year annual therms acquired to date as a percent of 8-year goal	Net first-year annual therms acquired to date as a percent of 8-year goal
Net cumulative therms acquired to date	Total net cumulative therms acquired to date
Total Acquired Lifecycle Impacts To Date⁷	
Net Lifecycle kWh acquired to date	Net kWh savings expected to be achieved over the effective useful life of the savings acquired to date
Net Lifecycle therms acquired to date	Net therm savings expected to be achieved over the effective useful life of the savings acquired to date
Committed⁸ Impacts (not yet acquired) This Month	
Net First-year annual kWh committed this month	The net first-year annual kWh savings associated with funds committed (encumbered) this month.
Net Lifecycle kWh committed this month	Net kWh savings associated with funds committed (encumbered) over the effective useful life of the measures.
Net Utility Peak kW committed this month	The net first-year utility peak kW reductions associated with funds committed (encumbered) this month.
Net first-year annual therms committed this month	The net first-year annual therm savings associated with funds committed (encumbered) this month.
Net Lifecycle therms committed this month	Net therm savings associated with funds committed (encumbered) over the effective useful life of the measures.
Funds committed at this point in time	Total funds committed (encumbered) to date
Overall Impacts (Acquired & Committed)	
Net first-year annual kWh acquired & committed this month	Both achieved and committed as defined above
Net utility peak kW acquired & committed this month	Both achieved and committed as defined above

Monthly & Quarterly Program Reporting Terms	Definition of Terms
Net First-year annual therms acquired & committed this month	Both achieved and committed as defined above
Costs⁹	
Total program budget	Total approved budget for program
General Administration	Costs to administer energy efficiency programs that include but are not limited to: 1) staff salaries (e.g., management personnel, program managers, accounting personnel, regulatory staff, and administrative support staff), 2) company overhead (e.g., office space, supplies, computer and communication equipment, staff training, industry-related sponsorships and memberships), and 3) other costs that do not include program planning, marketing, trade ally training, direct program implementation, incentives and services, and program evaluation.
Program Planning	Costs for energy efficiency programs that include but are not limited to: general market research (not related to evaluation), energy efficiency potential studies, benefit/cost analysis, program design and screening.
Program Marketing	Costs for promotion of energy efficiency programs that include but are not limited to: production of all energy efficiency program literature, advertising, displays, events, promotional items, bill inserts, internal and external communications. Advertising encompasses all forms of media such as direct mail, print, radio, television, and internet.
Trade Ally Training	Costs for all activities associated with energy efficiency training/education of the trade ally community regarding the company's current energy efficiency programs. These include but are not limited to: equipment vendors, heating contractors, weatherization contractors, equipment installers, residential and C&I auditors, residential and C&I builders and developers.

Monthly & Quarterly Program Reporting Terms	Definition of Terms
Incentives and Services	The include costs for incentives paid to customers. These also include costs associated with payments to contractors for services provided to customers (such as energy audits, technical assessments, engineering studies, plan reviews, blower door tests, infrared scans and free measures) and costs for incentives paid to contractors for providing energy efficiency services to customers (for example, incentives paid to BPI-certified contractors for proper equipment sizing using Manual J calculations).
Direct Program Implementation	Costs associated with utility personnel or contractors implementing programs on the Company's behalf. Tasks associated with this budget category include but are not limited to: lead intake, customer service, rebate application processing and payment, rebate application problem resolution, quality assurance, and program reporting to the utility.
Program Evaluation	All activities associated with the evaluation of the energy efficiency program. These are costs for activities that include but are not limited to: 1) evaluation planning, 2) program logic models, 3) process evaluation, 4) impact evaluation, 5) evaluation-related market research, 6) measurement and verification activities, and 7) evaluation reporting.
Total expenditures to date	Total amount spent to date for this program
Percent of total budget spent to date	Percent of the program budget spent to date
Participation	
Number of program applications received to date	Count of program applications received to date
Number of program applications <i>processed</i> to date ¹⁰	Total number of program applications that have been processed to date. An application is processed one the PA has reviewed the application and made a decision whether to approve the incentive payment to the customer.

Monthly & Quarterly Program Reporting Terms	Definition of Terms
Number of processed applications <i>approved</i> to date ¹¹	Total number of processed applications that have been approved. Once the decision has been made to pay the incentive to the customer, these funds and their associated energy and demand impacts become "Committed."
Percent of applications received to date that have been processed	Percent of applications received to date that have been processed to date
Quarterly Carbon Emission Reductions (in tons)	Note: Only need to report carbon emissions on a quarterly basis.
Total Acquired Net First-Year Carbon Emission Reductions To Date ¹²	Tons of carbon emissions reduced as a result of acquired net <i>first-year</i> energy (kWh & therms) impacts to date.
Total Acquired Cumulative Net Carbon Emission Reductions To Date	Tons of carbon emissions reduced as a result of acquired net <i>cumulative</i> energy (kWh & therms) impacts to date.

NOTES:

¹DPS Staff needs to work with utilities and NYSERDA to develop a Program ID naming convention. However, a Program ID number is not required for the first report. Note that when developing program ID naming conventions, utilities would like to minimize computer programming/reporting costs that they might incur if the proposed naming conventions are complex or the utility’s current naming conventions require modification to Staff’s proposed format.

²There is not currently a consistent list of program type but individual categories for common use by administrators could be developed.

³First-year savings are defined as the annual savings expected from a given measure in the first year after installation. The annual savings are sometimes the result of annualizing estimated savings that are based on data that cover less than one year. *Acquired* kWh savings are defined as those savings that reported by the program administrator in program tracking databases and for which a rebate check has been sent to the participant on a specific date.

⁴Regardless of the month in which a measure is installed within a given calendar year, the program is credited with the associated savings for the entire year.

⁵Program Administrators should make a best estimate of the annual goal even though the goal might in some cases cover two calendar years. Also, Staff wants administrators to be as accurate as possible in determining the monthly goals but does not want to mandate monthly goals, at least initially.

⁶ Peak is defined uniquely for each utility.

NOTES:

⁷The lifecycle savings are tracked beginning in the *year* in which a given measure was installed. Over the period 2008-2015, PAs must take into account the fact that savings from measures installed early in the period will vanish at the end of their useful life before the end of 2015. Thus, the lifecycle impacts acquired to date will differ for each month as a function of adding savings from measures installed in a given month and savings from measures installed earlier in the funding cycle that have reached the end of their useful life are no longer accumulated.

⁸ Committed savings are defined as those for which funds have been encumbered but not yet spent. When the funds are spent (i.e., a rebate check has been sent to the participant on a specific date), the savings are considered "acquired." Staff would like to see the program administrator's best *estimate* of what they have committed. Program administrators should forecast as accurately as possible and forecasts should get more precise with program experience, that is, the difference between achieved and committed should narrow over time.

⁹These are the budget categories to be used by companies when submitting the required energy efficiency program implementation plans. In its January 16, 2009 Order, the Commission directed Staff to provide definitions for the budget categories to be used in the preparation of these plans (See Order Approving "Fast Track" Utility-Administered Electric Energy Efficiency Program With Modification, at page 11). These categories are provided to promote consistency in budget construction and reporting among the utility plans.

Companies should identify whether each cost item is to be recovered through the SBC surcharge, base rates, or other recovery mechanism (e.g., monthly adjustment charges).

¹⁰An application is *processed* once the PA has reviewed the application and made a decision whether to approve the incentive payment to the customer. Once the decision has been made to pay the incentive to the customer, these funds and their associated energy and demand impacts become "committed."

¹¹The application is *approved* once the decision has been made to pay the incentive to the customer. Note that these funds and their associated energy and demand impacts become "committed" once this decision is made. Also note that for programs in which there are cases in which an application could be received, processed, and approved all in one day, then a "1" would be counted for each step in the tracking lifecycle.

¹² See *CO₂ Reduction Values* tab in *Data Reporting Template 6-26-09.Xls*.

Section IV. Sample Narrative Report to be included with spreadsheet

Program Administrator:
Program/Project:
Reporting period:
Report Contact person:

1. Program Status

Program Performance Goals

(a) Describe and discuss circumstances that may have an impact on the achievement of project performance goals (positive or negative).

(b) Describe and discuss other key aspects of program performance goals that were not discussed in (a).

(c) Provide updates to the forecast of net energy and demand impacts. The forecast should be updated at least annually. Note and explain any discrepancies between the filed program goal and the latest forecast.

2. Program Implementation Activities

This section is designed to quantify major activities not captured in the progress spreadsheet.

(a) Marketing Activities

List and describe major marketing accomplishments. Describe activities in quantitative and qualitative terms. Provide copies of key marketing materials.

(b) Evaluation Activities

List and describe evaluation activities. Compare them with goals and objectives established for the report period. Describe activities in quantitative and qualitative terms.

(c) Other Activities

List and describe major accomplishments not captured in either the spreadsheet or this report. Describe work activities in quantitative and qualitative terms.

3. Customer Complaints and/or Disputes

Describe any customer disputes or complaints and how they have been resolved.

4. Changes to Subcontractors or Staffing

Describe any staff or subcontractor/consultant changes.

5. Additional Issues

Appendix A

Customer Data Guidelines

STATE OF NEW YORK DEPARTMENT OF PUBLIC SERVICE

THREE EMPIRE STATE PLAZA, ALBANY, NY 12223-1350

Internet Address: <http://www.dps.state.ny.us>

PUBLIC SERVICE COMMISSION

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Secretary

June 12, 2009

Via E-Mail

Evaluation Advisory Group

Dear Sir/Madam:

Utility customer energy consumption data is often used as a component of statistical analysis designed to estimate energy savings when evaluating energy efficiency programs. Simply stated, customer energy consumption data is collected and statistically analyzed (e.g., adjusted for variables such as weather) before and after energy actions are implemented to produce estimates of energy savings. This approach, commonly called "billing analysis," is a lower cost data-gathering alternative to site visits and end use metering. It is important to note that program evaluators do not typically have an interest in information such as payment history or in selling products and services to the customer. Such concerns generated controversy in the past when ESCOs requested similar data for marketing purposes.

Several EEPS program administrators have proposed using billing analysis to evaluate their EEPS and SBC programs. Staff's goal is to provide the program administrators and their contractors with guidance on how to properly collect and handle customer billing data. The expectation is that program administrators will work closely with their contractors to ensure compliance with the guidelines. We also recommend language requiring program participants to agree to cooperate with other evaluation related activities, such as responding to evaluation surveys.

The guidelines are attached. If you have any comments or questions, please contact Bill Saxonis at William_saxonis@dps.state.ny.us or 518-486-1610.

Sincerely,

Floyd E. Barwig

Director

Office of Energy Efficiency and the Environment

Customer Data Guidelines

Analyzing utility customer energy consumption data is often a cost effective approach for documenting energy savings from System Benefits Charge (SBC), Energy Efficiency Portfolio Standard (EEPS), and other Commission-approved energy efficiency programs. Simply stated, customer energy consumption data is collected before and after energy actions are implemented and statistically analyzed (e.g., adjusted for variables such as weather) to produce estimates of energy savings. This approach can provide valuable data at a lower cost than site visits or end use metering. However, while customer data may facilitate rigorous and cost effective evaluation, priority must be given to protecting the consumer's privacy and data.

Staff has developed guidelines for securing customer consent and maintaining confidentiality of customer data. These guidelines should be followed by program administrators and their evaluation contractors seeking access to customer energy consumption data.

Customer Consent Form

To ensure that the customer knowingly agrees to disclose his/her confidential data, the program administrator should furnish to program participants a form authorizing the release of certain specifically enumerated customer data to the program administrator and, if applicable, the evaluation contractor. The availability of customer data must be limited to the minimum data necessary to conduct the evaluation, consistent with evaluation guidelines approved by DPS evaluation staff. This data could include consumption data, but not payment histories. A customer signature or the equivalent (*i.e.*, a digital signature) is required. The consent form should explain that the data will be used only for program evaluation purposes, confidentiality will be strictly protected, and results will only be reported in the aggregate. The customer consent language should be displayed prominently, directly above the customer's acceptance signature, if possible. The consent form should be included as part of the program application material.

To further facilitate the evaluation process, the consent form should also include language requiring program participants to agree to cooperate with activities designed to evaluate program effectiveness, such as responding to questionnaires and allowing on-site inspection and measurement of installed program supported measures.

Utility-Evaluator Confidentiality Agreement

Program evaluators contracted by an EEPS program administrator must sign an agreement with the utility providing the data that states that they will keep customer information, including energy consumption data, confidential at all times. The agreement would specify how the data would be used and reported and explain the process for disposing of the data at the conclusion of the evaluation project. Key components of the agreement must include:

- 1) The contractor will maintain the confidentiality of all customer data;
- 2) All customer information provided to the contractor will be used solely to evaluate energy efficiency programs consistent with the agreement;
- 3) Customer information will be safeguarded from unauthorized disclosure with all reasonable care;
- 4) At the conclusion of the evaluation project, or if the program administrator and evaluator end their business relationship, the evaluator will return to the utility all customer information and/or provide proof to the utility that the data was destroyed; and
- 5) If the program evaluator and/or the program administrator is affiliated with or doing work for any retail energy business interest, then the program evaluator must provide specific details on the program evaluator's internal security arrangements that will keep the customer data secure from employees involved in unregulated retail energy business related activities in the service territory from which the data was extracted.

Non-Participant Customer Information

Analysis of program non-participant energy consumption data can play a key role as a control against which to measure the participant group results, including helping to identify naturally occurring energy efficiency. The evaluator would need to clearly articulate and justify the need and uses for the data to the customer's utility and Staff.

We recognize that obtaining consent forms from non-participants may be a burden on the program administrators. Non-participant utility customer information should be made available to program administrators and their contractors

without a consent form provided that the data is used exclusively for evaluation purposes and is redacted by the customer's utility to remove all customer-identifying data and to only provide consumption information identified by generalized category such as service class, customer type (e.g., single family) or location (e.g., Manhattan). In instances when after the redacting process, a customer might still be identifiable (e.g., the customer is the single large industrial customer in a small service territory), the utility should seek customer consent for inclusion of the information in the evaluation process through a signed customer consent form or exclude the information from the evaluation process.