

<b>EE-03: Process for Amending Implementation Plans</b>	
<b>New York State Department of Public Service Office of Energy Efficiency &amp; the Environment Energy Efficiency Guidance</b>	
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## I. Purpose:

Within the Energy Efficiency Portfolio Standard (EEPS) program, implementation plans / operating plans must be filed by Program Administrators for each EEPS program. These implementation plans must be maintained to include an accurate description of the program. When authorized program changes are made, the implementation plan must be amended to reflect the changes. This guidance document describes a standard process that should be used to record and submit revisions to implementation plans. Unless otherwise specified by a Commission Order, implementation plan revisions should be submitted in accordance with the schedule described in this document.

The guidance in this document regarding the process for amending implementation plans applies to all Program Administrators.

## II. Guidance

### A. Record of Revision Page

A Record of Revision page(s) should accompany each revision of an implementation plan / operating plan. The Record of Revision page (see attached template) should be used to record all changes to implementation plans that occur between major re-issuances of the plan. Directions for creating and using the Record of Revision page are provided below.

#### 1. Header - Document Title Table

The Header on the Record of Revision page should include the "Document Title" table as shown in the attached template. The second row of the table should include the Program Administrator name in the first line and the second line should include the title of the implementation/operating plan that is being revised.

## **2. Body - Record of Revision Table**

The main body of the Record of Revision page is the Record of Revision table which includes four columns of information, as described below.

All revisions should be recorded in the Record of Revision table in reverse chronological order; i.e., the most recent revisions should appear in the top rows of the table and the oldest revisions should appear at the bottom of the table with the original plan issuance date appearing in the final row of the table.

- *Revision Date* - The revision date should be the date that the implementation plan is being revised or the original issuance date.
- *Name of Affected Program* – Some implementation plans include multiple program plans in one document. To clearly identify the program that is affected by the revisions, the name of the program should be provided.
- *Effective Date* - The effective date should be the date that the modification became effective or the date when the modification was approved to take effect by the Director of the Office of Energy Efficiency and the Environment.
- *Description of Changes* - The description of changes section should include a brief description of the reason for the revision (e.g., in accordance with Commission Order, dated xx/xx/xxxx; in accordance with Staff letter dated xx/xx/xxxx; in accordance with letter to Staff dated xx/xx/xxxx; correction of an error, etc.) followed by the brief descriptions of the revisions (e.g., revised Table X to incorporate revised annual targets; revised Table Y to incorporate new measures and rebate levels; revised paragraph 1 in section A to correct the description of ..., etc.)
- *Revision of Page(s) of Original Issue* – The page number in the original issue of the plan on which the table or paragraph that is being revised should be provided.

## **B. Addendum Pages**

The revised implementation plan content that is intended to replace the plan content in the Original Issue or current version of the document should be provided on addendum pages (see attached template). All addendum pages associated with new and previous revisions described on the Record of Revision page should be submitted as part of each new implementation plan revision until such time as a new major revision is issued at which time the content of all addendum pages would be incorporated into the implementation plan and will become a new “original issue” document on the Record of Revision” page.

### **1. Header - Document Title Table**

The Header on the Addendum Pages should be identical to the Record of Revision page header and should include the “Document Title” table as shown in the attached Record of Revision page. The second row of the table should include the Program Administrator name in the first line and the second line should include the title of the implementation/operating plan that is being revised.

### **2. Plan Addendum Date**

The plan addendum date should be included as a title below the document title date.

### **3. Revised Content**

The revised implementation plan content, e.g. revised tables, revised paragraphs, etc. should be provided

on addendum pages. The addendum pages should clearly delineate what plan content is being replaced with the new content. Each content change should clearly identify the content that is being replaced by including information such as program name, table number, table title, section title and paragraph number etc. Each content change should correspond to a specific description of revision on the Record of Revision page.

#### **4. Footer – Revision Date**

Each addendum page should include a footer containing the “Revision Date” corresponding with the “Revision Date” located on the “Record of Revision” page.

### **C. Schedule for Implementation Plan Addendums:**

Unless otherwise, specified by a Commission Order, Program Administrators should submit addendums to their implementation plans on a quarterly basis. Quarterly addendums may include program changes directed by the Commission or the Director of the Office of Energy Efficiency & the Environment as well as errors or corrections identified by Staff or the Program Administrator. The implementation plan addendums are due on February 15<sup>th</sup>, May 15<sup>th</sup>, August 15<sup>th</sup>, and November 15<sup>th</sup>, and should be filed with the Secretary’s office. The Program Administrators should file the addendums into DMM on those dates. If there have been no changes to a program that necessitate a change to an implementation plan since the last original issue or addendum filed, no addendum needs to be filed on the quarterly filing date.

Implementation plans that have been revised repeatedly and include multiple addendums (e.g. 4-6) should undergo a major revision and incorporate all previously issued addendums. Staff will advise Program Administrators when a new implementation/operating plan incorporating all previously issued addendums is necessary and on what quarterly filing date such a Plan should be filed.

<b>Document Title</b>
[ <i>Insert Program Administrator Name</i> ] [ <i>Insert name of the Implementation Plan or Operating Plan</i> ]

<b>RECORD OR REVISION</b>
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Revision Date	Name of Affected Program	Effective Date	Description of Changes	Revision on Page(s) of Original Issue
07/08/09	Y		Revised to incorporate changes authorized by ... [insert reference to Order, Letter, or other authorizing document].	
			Revised Table ? to incorporate changes to ...	Page ?
			Revised Paragraph ? to ....	Page ?
			Revised Table ? to ...	Page ?
	Z		Revised to incorporate changes authorized by ... [insert reference to Order, Letter, or other authorizing document].	Page ?
			Revised Table ? to ....	
04/05/06	X		Revised to incorporate changes authorized by ... [insert reference to Order, Letter, or other authorizing document].	
			Revised Table ? to ....	Page ?
01/02/03	ALL		Original Issue	Original Issue

<b>Document Title</b>
<p>[ <i>Insert Program Administrator Name</i> ]</p> <p>[ <i>Insert name of the Implementation Plan or Operating Plan</i> ]</p>

			<p>This was a complete revision and supersedes all previously issued versions of this implementation plan. In addition, this revision incorporates changes authorized by ... [insert reference to Order, Letter, or other authorizing document].</p>	
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<b>Document Title</b>
[ <i>Insert Program Administrator Name</i> ] [ <i>Insert name of the Implementation Plan or Operating Plan</i> ]

**PLAN ADDENDUMS**  
**07/08/09**

**Table [insert # and Table name or description, include program name]**

[Insert Replacement table ....]

**Paragraph [insert # and Heading name or description, include program name]**

[Insert Replacement paragraph ....]

**Table [insert # and Table name or description, include program name]**

[Insert Replacement table ....]

<b>Document Title</b>
[ <i>Insert Program Administrator Name</i> ] [ <i>Insert name of the Implementation Plan or Operating Plan</i> ]

**PLAN REVISIONS**

**04/05/06**

**Table [insert # and Table name or description, include program name]**

[Insert Replacement table ....]

**Paragraph [insert # and Heading name or description, include program name]**

[Insert Replacement paragraph ....]

**Table [insert # and Table name or description, include program name]**

[Insert Replacement table ....]