

*NEW YORK STATE DEPARTMENT OF PUBLIC SERVICE
OFFICE OF MARKETS AND INNOVATION
CLEAN ENERGY GUIDANCE*

SEEP Annual Report Guidance

Version History Log

Version	Date Issued	Approval	Changes
1.0	2017-05-11	Marco Padula, Deputy Director, Market Structure, Office of Markets and Innovation	N/A
2.0	2021-04-22	Marco Padula, Director, Office of Markets and Innovation	Revised SEEP Annual Report requirements.

Purpose

This Clean Energy Guidance document establishes common reporting standards that each New York State (NYS) electric and gas utility must include in their System Energy Efficiency Plan (SEEP) Annual Report detailing performance through the previous calendar year, any substantive findings, and planned areas for improvement. The common reporting standards will allow annual reports across all utility program administrators to be presented in a consistent and comprehensive manner. This guidance document is applicable to the non-low-to-moderate income (non-LMI) and non-Statewide Heat Pump Program: NYS Clean Heat Program (non-NYS Clean Heat) portions of the utilities' energy efficiency portfolios.

This guidance is issued pursuant to the New York State Public Service Commission's (Commission) March 15, 2018 Order, "Order Authorizing Utility Administered Energy Efficiency Portfolio Budgets and Targets for 2019-2020" (March 2018 EE Order).¹ In the March 2018 EE Order, the Commission required the incorporation and adoption of common reporting requirements by the New York State Energy Research and Development Authority (NYSERDA) and the utilities, including a common reporting schedule, definitions² and template(s), required the development of an online Clean Energy Dashboard (Dashboard)³ and directed Staff of the New York State Department of Public Service (Staff) to develop and issue Energy Efficiency Transition Implementation Plan (ETIP)/SEEP Reporting Guidance that includes both ETIP and non-ETIP energy efficiency programs, including Reforming the Energy Vision (REV) demonstration projects, non-wire alternatives (NWAs) and other energy efficiency activities.

¹ Case 15-M-0252, In the Matter of Utility Energy Efficiency Programs, Order Authorizing Utility-Administered Energy Efficiency Portfolio Budgets and Targets for 2019-2020 (issued March 15, 2018).

² Staff of the New York State Department of Public Service (NYS DPS), in consultation with NYSEERDA and the utilities is developing a Data Dictionary to satisfy the requirement for common definitions.

³ NYSEERDA was directed to develop an online dashboard for tracking performance metrics of clean energy activities in Case 14-M-0094, Proceeding on Motion of the Commission to Consider a Clean Energy Fund, Order Authorizing the Clean Energy Fund (issued January 21, 2016). This dashboard later became known as the Clean Energy Dashboard.

This SEEP Annual Report Guidance complements existing Clean Energy Guidance documents. All Clean Energy Guidance documents are in effect until revised, rescinded, or superseded.⁴

Background

On February 26, 2015 the Commission issued the “Order Adopting Regulatory Policy Framework and Implementation Plan” (REV Framework Order),⁵ which required each utility to submit an annual Distributed System Implementation Plan (DSIP). The REV Framework Order also established explicit energy efficiency budgets and targets for 2016 and set forth an annual process whereby utilities will propose post-2016 energy efficiency budgets and targets for approval, directed the filing of ETIPs and directed Staff, in consultation with the E2 Working Group, to develop and submit guidance specifying the elements that should be included in utility ETIPs.

Pursuant to the March 2018 Utility EE Order, the Commission directed utilities to evolve their ETIP into a SEEP that describes the entirety of expanded reliance on and use of cost-effective energy efficiency to support their distribution system and customer needs. The March 2018 Utility EE Order also identified the expanded energy efficiency content to be included in the SEEP, established energy efficiency budgets and targets for 2019 and 2020 and directed each utility to fully integrate energy efficiency planning into forecasted system plans.⁶

In April 2018, Staff and NYSERDA issued the New Efficiency: New York (NE:NY) White Paper that recommended a comprehensive mix of strategies to support efficiency improvements to enable the State to meet the statewide 185 TBtu (trillion British thermal units) energy efficiency savings target by 2025, as set forth in the NE:NY White Paper. The Commission’s December 18, 2018 “Order Adopting Accelerated Energy Efficiency Targets” (December 2018 Energy Efficiency Order)⁷ authorized increases for some utility energy efficiency targets and budgets for 2019-2020 and established a process for further consideration of the role and level of energy efficiency to come from utility efforts in support of the goals presented in the NE:NY White Paper.

The Commission’s January 16, 2020 “Order Authorizing Utility Energy Efficiency and Building Electrification Portfolios Through 2025 (January 2020 Energy Efficiency Order)⁸ further authorized energy efficiency targets and budgets for New York State’s investor-owned electric and gas utilities, including twenty percent of incremental energy efficiency funding to low-to-moderate (LMI) programs and separate heat pump budgets and targets for the electric utilities for 2021-2025. The January 2020 Energy Efficiency Order also directed the utilities to reflect the authorized efficiency and heat pump targets and budgets in an updated SEEP filing.

⁴ All Clean Energy Guidance documents are posted on the NYS DPS website.

⁵ Case 14-M-0101, Proceeding on Motion of the Commission in Regard to Reforming the Energy Vision, Order Adopting Regulatory Policy Framework and Implementation Plan (issued February 26, 2015).

⁶ The March 2018 Utility EE Order reinstated a strict program-level reporting requirement for this description, in contrast to previous ETIP descriptions that allowed summarization or aggregation by sector.

⁷ Case 18-M-0084, In the Matter of Utility Energy Efficiency Programs, Order Adopting Accelerated Energy Efficiency Targets (issued December 18, 2018).

⁸ Case 18-M-0084, In the Matter of Utility Energy Efficiency Programs, Order Authorizing Utility Energy Efficiency and Building Electrification Portfolios Through 2025 (issued January 16, 2020).

Due to the statewide nature of the heat pump program and LMI portfolio of programs, the January 2020 Energy Efficiency Order also required the utilities and NYSERDA to jointly file a Statewide Heat Pump Program: NYS Clean Heat Program (NYS Clean Heat) Implementation Plan and Statewide LMI Portfolio Implementation Plan, which respectively serve as the primary filing requirements for those efforts. Therefore, this guidance document is applicable to the non-LMI, non-NYS Clean Heat portions of the utilities' portfolios, as both the LMI Portfolio and the NYS Clean Heat Program are subject to their own annual reporting requirements.⁹

SEEP Annual Report Filings

The SEEP Annual Report shall be filed annually to describe and quantify each utility's investment in energy efficiency through the previous year and associated benefits.

Relatedly, in the January 2020 Energy Efficiency Order, the Commission required Staff to initiate a Performance Management and Improvement Process to maximize performance of the energy efficiency and building electrification portfolios. This process was commenced with Staff's May 29, 2020 filing of the Energy Efficiency & Building Electrification Performance Management and Improvement Process (PM&IP) Plan. It is anticipated that refinements to the SEEP Annual Report to improve its usefulness may emerge from the PM&IP.

The SEEP Annual Report shall be filed by March 31 of each year, reflecting performance through December 31 of the prior year.

SEEP Annual Report

The CE-02: SEEP Content Guidance¹⁰ outlines the information requirements each utility must include in the SEEP for utility-administered energy efficiency activities planned for their service territory, including both ETIP and non-ETIP energy efficiency activities and identifies such activities as NE:NY EE and Supplemental EE,¹¹ respectively.

The SEEP Annual Report shall provide a summary of utility portfolio performance for the non-LMI, non-NYS Clean Heat energy efficiency activities each year. In an effort to provide a clear distinction between the NE:NY EE activities and Supplemental EE activities included in the utility's SEEP, the main body of the SEEP Annual Report shall be dedicated to NE:NY EE activities and all Supplemental EE activities shall be included as an appendix, as a recognition of these activities.

SEEP Annual Report Content

The SEEP Annual Report is intended to provide stakeholders and Staff the information necessary to sufficiently track and monitor SEEP performance and to reflect a utility's progress toward

⁹ The LMI Portfolio and NYS Clean Heat budgets and targets are components of the overall NE:NY budgets and targets.

¹⁰ CE-02: SEEP Content Guidance is posted on the NYS DPS website.

¹¹ As reflected in the SEEP, Supplemental EE activities include demand reduction programs, non-wire and non-pipe alternative efforts, REV demonstration projects, pilots, and any other REV initiatives that include an energy efficiency or building electrification component.

meeting the program performance metrics as stated in the effective year SEEP.¹² The SEEP Annual Report shall include information at the portfolio, sector and program level and contain the following descriptions and graphical representations of performance metrics and associated information in the format set forth below.

NE:NY EE PORTFOLIO¹³ PERFORMANCE

Utilities should provide a succinct narrative summarizing the overall portfolio for the effective calendar year, including 1) a high-level description of the portfolio components; 2) notable changes in overall portfolio delivery and target markets; 3) an update on progress toward portfolio budgets and targets; 4) any significant¹⁴ factors that may have impacted portfolio performance and the actions taken or planned in response; and 5) an update on Portfolio Administration and Evaluation, Measurement and Verification (EM&V) activities.¹⁵

The utility should also include a reference to Appendix A, which describes each EM&V Report filed in the Document and Matter Management (DMM) system in the effective year.

The performance should be reported separately for electric and gas in the portfolio- and sector-level charts and tables but may be combined for the program-level tables. The required charts and tables are shown below. As closely as possible, the charts and tables should match the format and appearance of the examples provided.

The savings for the portfolio-level charts may reflect both evaluated and unevaluated savings. For those programs that have calculated a verified gross savings realization rate (VGS RR) or alternative prospective realization rate (AP RR,) the savings reflected in the charts should consist of evaluated savings. For those programs that have not calculated a VGS RR or AP RR, the savings reflected in the charts should consist of gross savings. The savings should not reflect any estimated realization rates. All savings charts should include a footnote that describes the percentages of evaluated versus unevaluated savings.

¹² For example, the 2020 SEEP Annual Report should reflect a utility's progress toward meeting the program performance metrics set forth in the utilities' last SEEP filed in 2019.

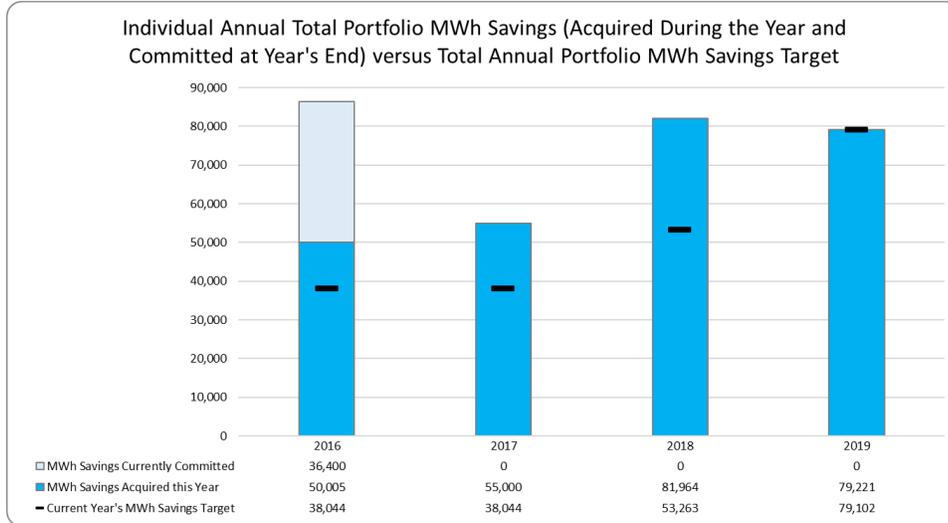
¹³ For purposes of this guidance document, "portfolio-level" refers to the activity of each of the programs in the portfolio as well as portfolio activity that is not program-specific (such as budgets and spending for EM&V and Portfolio Administration).

¹⁴ Significant is defined here as a variance of +/- 25% or greater.

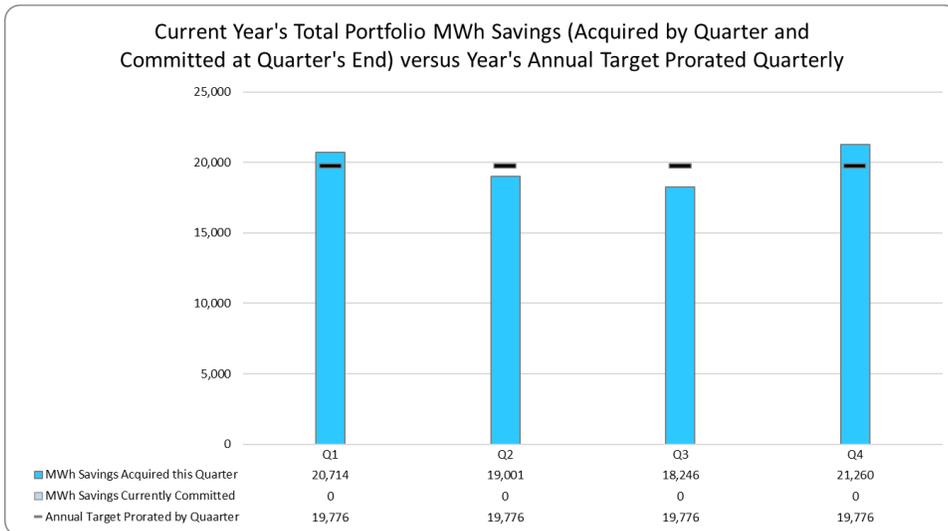
¹⁵ Include a description of any significant differences between the planned annual Portfolio Administration and EM&V budgets and the actual expended and encumbered, respectively. Include a description of what costs are included in the Portfolio Administration budget category and EM&V budget category.

Portfolio-Level Charts

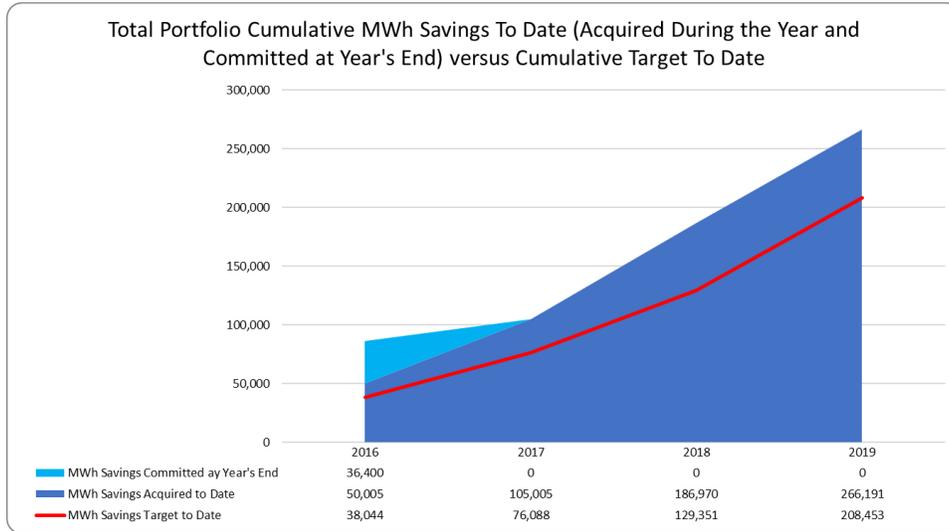
1. The total savings of the portfolio acquired in each year from 2016 through the year for which the report is being filed, the total savings of the portfolio committed at the end of each of those years, and the total annual savings targets for the portfolio for those years:



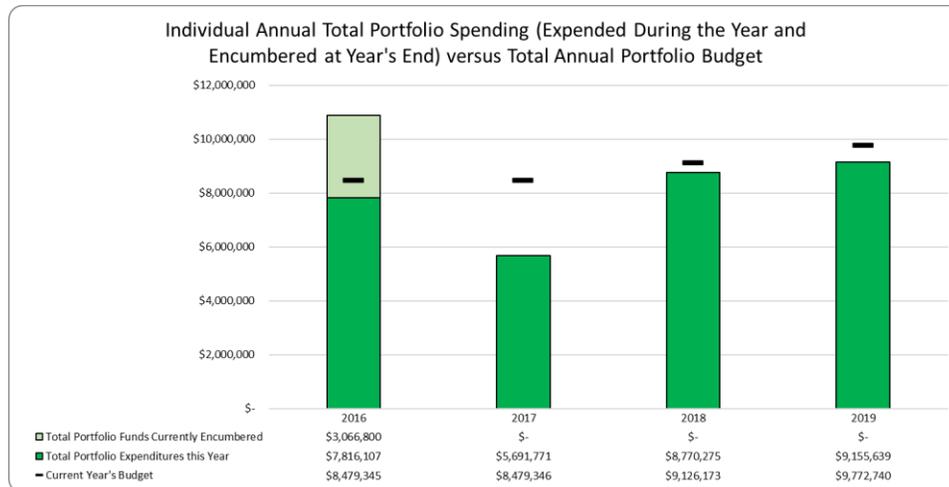
2. The total savings of the portfolio acquired, by individual quarter, during the year for which the report is being filed, the total savings of the portfolio committed at the end of each quarter of that year, and the total annual savings target for the portfolio for that year, by quarter:



- For the period of 2016 through the year for which the report is being filed, the total cumulative acquired savings of the portfolio, the total savings of the portfolio committed at the end of each year, and the total cumulative annual savings target for the portfolio:

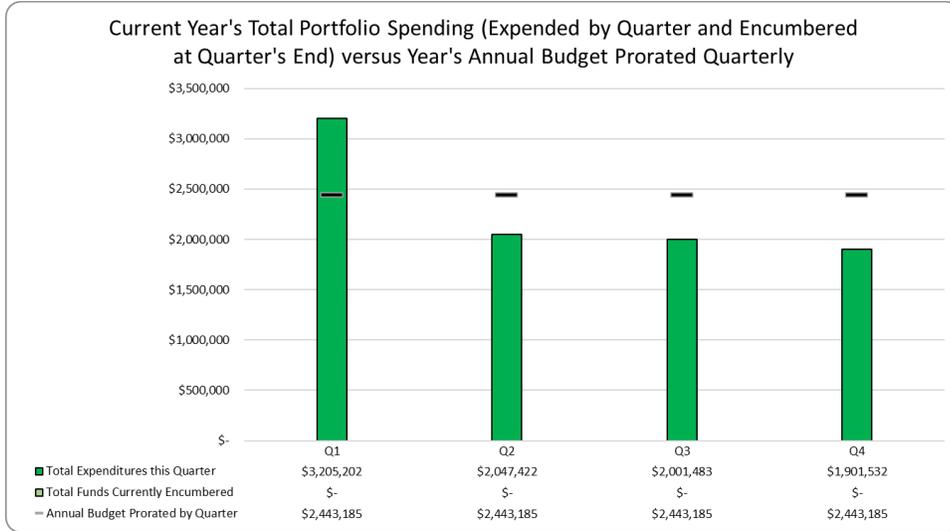


- The total amount expended by the portfolio¹⁶ in each year from 2016 through the year for which the report is being filed, the total amount encumbered by the portfolio at the end of those years, and the total annual portfolio budget for those years:

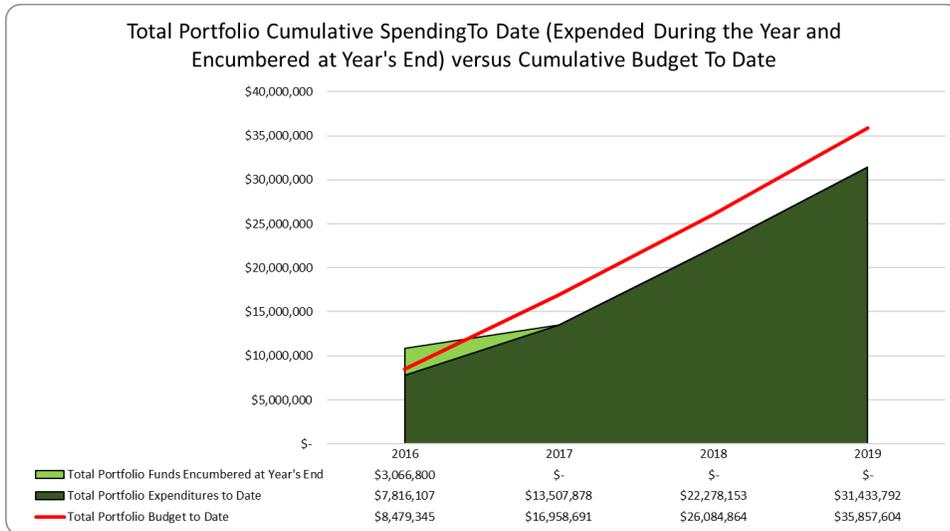


¹⁶ For purposes of this guidance document, “by the portfolio” refers to the individual programs of the portfolio as well as that which is not program-specific (such as budgets and spending for EM&V and Portfolio Administration).

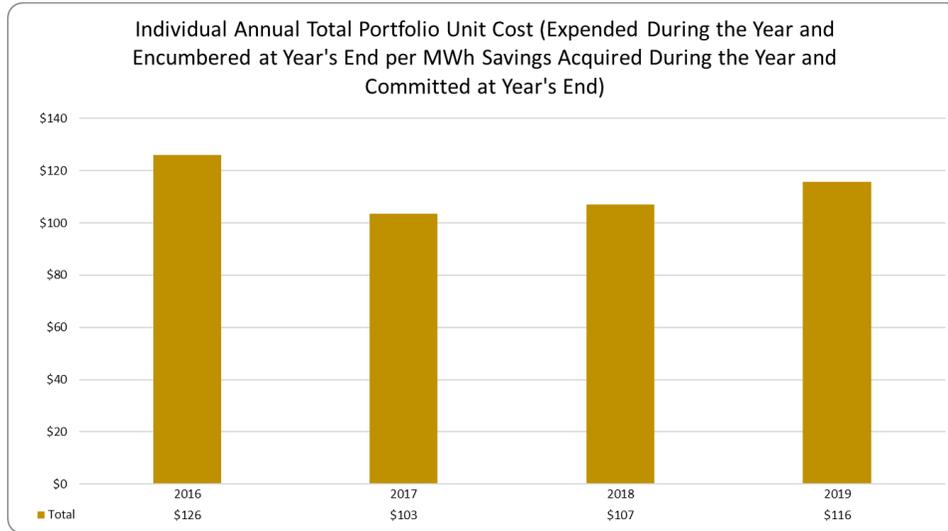
- The total amount expended by the portfolio, by individual quarter, during the year for which the report is being filed, the total amount encumbered by the portfolio at the end of each quarter of that year, and the total annual portfolio budget for that year, prorated by quarter:



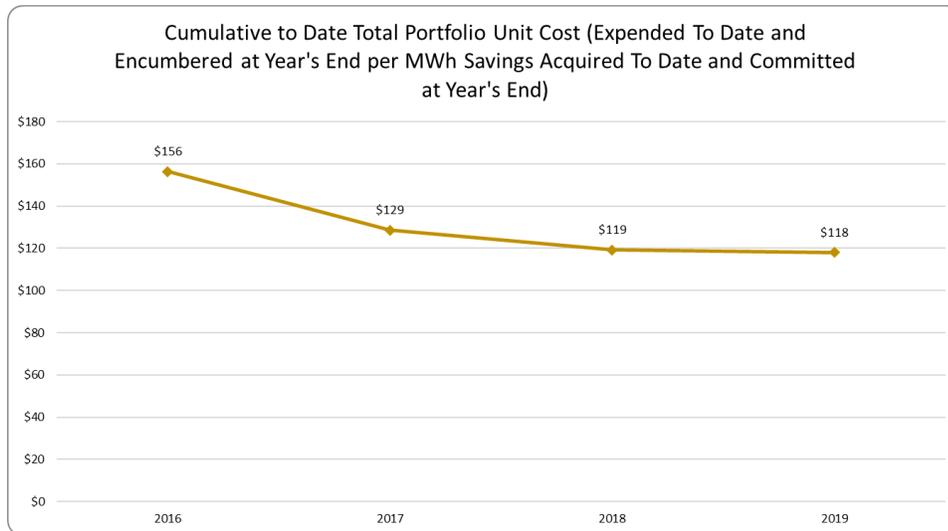
- For the period of 2016 through the year for which the report is being filed, the total cumulative amount expended by the portfolio, the amount encumbered by the portfolio at the end of each year, and the total cumulative budget for the portfolio:



- The unit cost¹⁷ of the total portfolio in each year from 2016 through the year for which the report is being filed. For the total portfolio unit cost, both portfolio- and program-level spending should be included in the calculation:

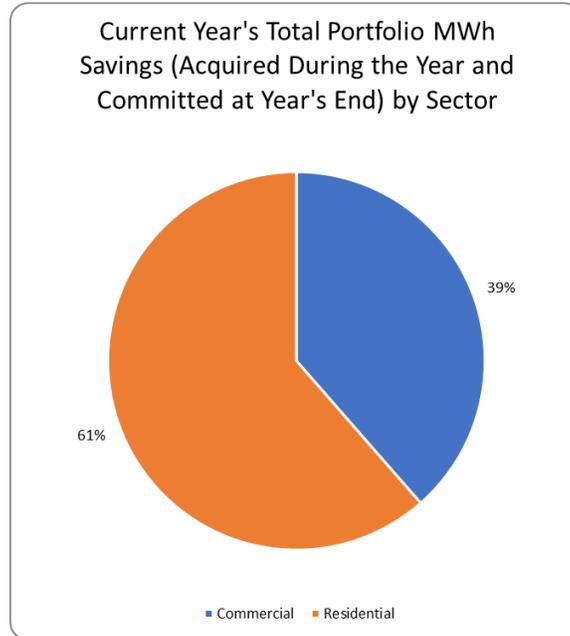


- For the period of 2016 through the year for which the report is being filed, the cumulative to-date unit cost of the portfolio:

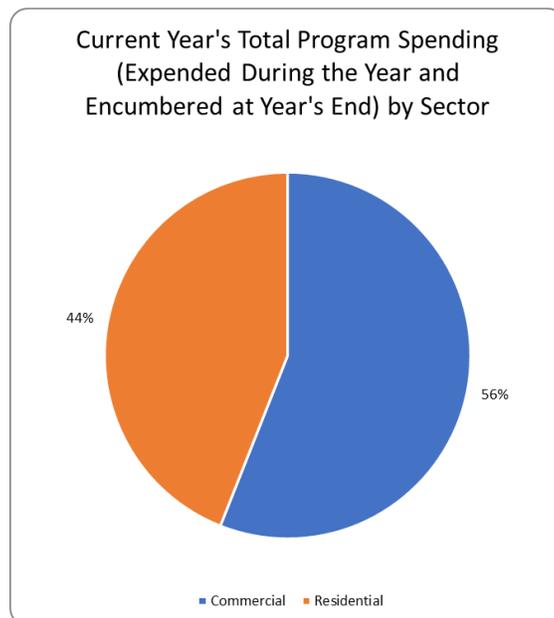


¹⁷ For purposes of this guidance document, “unit cost” is defined as the subtotal of the expenditures in the period and the amount encumbered at the end of the period divided by the subtotal of the savings acquired in the period and the savings committed at the end of the period.

9. A breakdown by sector¹⁸ of the total savings in the year for which the report is being filed, including savings acquired during the year and savings committed at the end of the year:



10. A breakdown by sector of all program-level spending¹⁹ by the portfolio in the year for which the report is being filed, including expenditures during the year and funds encumbered at the end of the year.

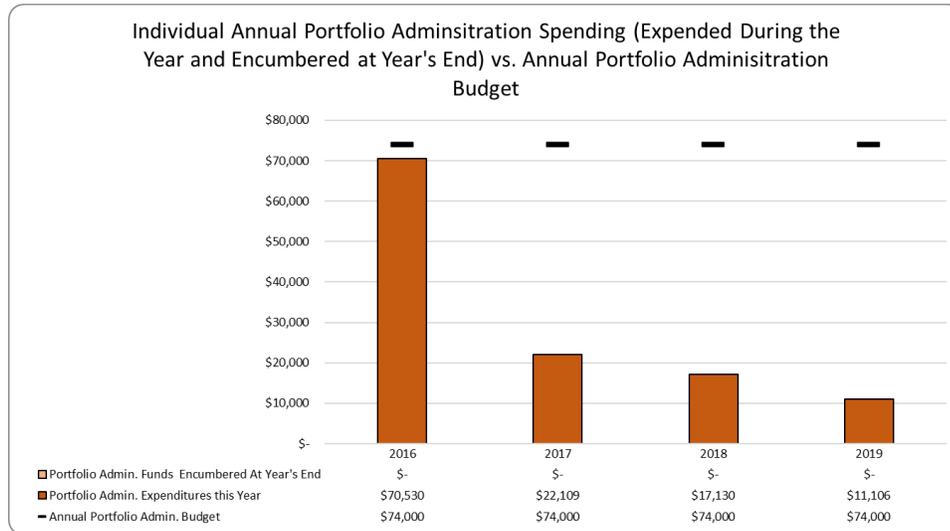


¹⁸ For purposes of this guidance document, the sectors are categorized as Residential (1-4 units), Multifamily, Commercial, Industrial, Multisector and Transportation, as designated in the scorecard. Only sectors relevant to the portfolio need to be as illustrated in the sample graphic.

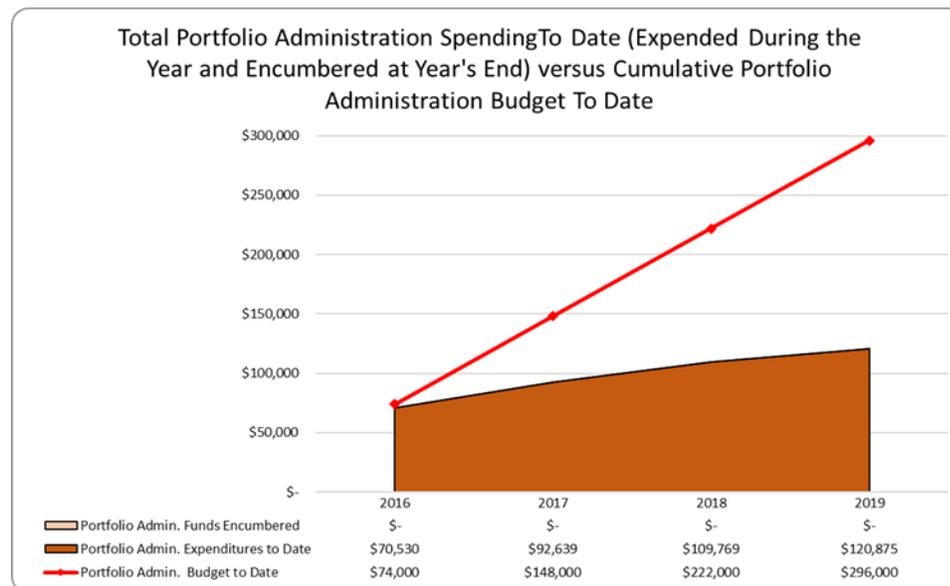
¹⁹ For this chart, “program-level spending” is exclusive of Portfolio Administration and EM&V spending.

Portfolio Administration & Portfolio EM&V Charts²⁰

11. The total amount expended from the utility’s Portfolio Administration²¹ budget in each year from 2016 through the year for which the report is being filed, the total amount of the Portfolio Administration budget encumbered at the end of each of those years, and the total annual Portfolio Administration budget for each of those years:



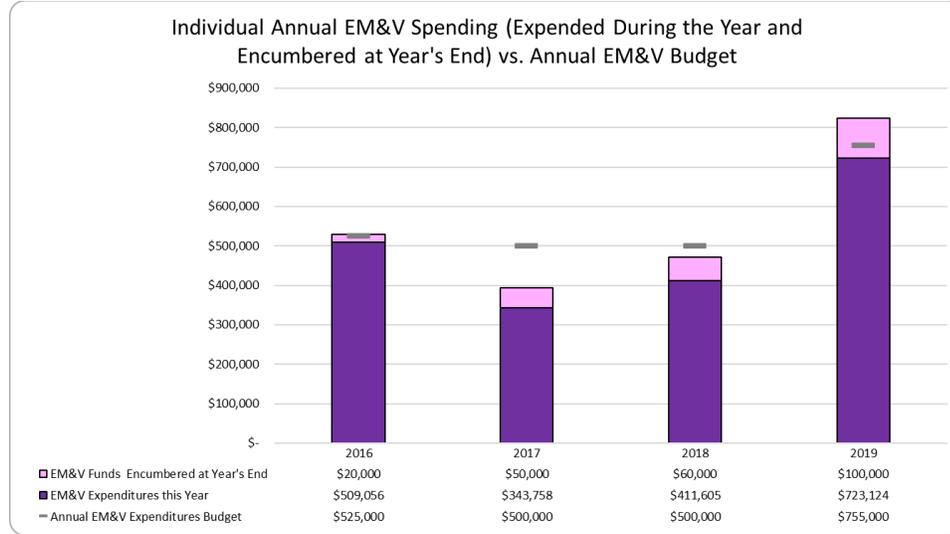
12. For the period of 2016 through the year for which the report is being filed, the total cumulative amount expended by the portfolio on Portfolio Administration, the amount encumbered by the portfolio for Portfolio Administration at the end of each year, and the total cumulative Portfolio Administration budget for the portfolio:



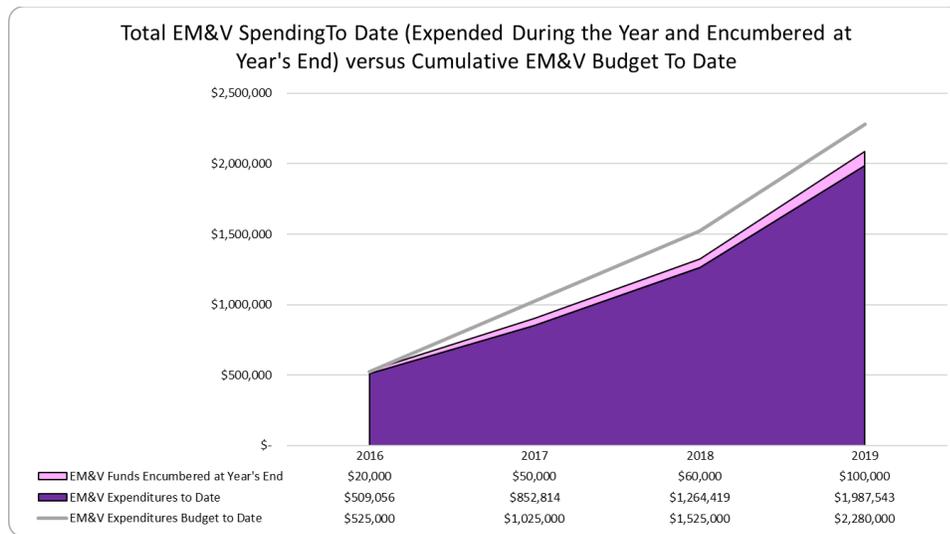
²⁰ Portfolio Administration and Portfolio EM&V budgets and spending are associated with the portfolio as a whole and are not specific to any individual program within the portfolio. Portfolio Administration and Portfolio EM&V budgets and spending are included in the portfolio-level expenditure charts (Charts 1 through 8 above).

²¹ “Portfolio Administration” refers to non-program specific activities associated with the administration of the overall portfolio, excluding Portfolio EM&V activities or labor costs recovered through a utility’s base rates.

13. The total amount expended from the utility’s EM&V²² budget in each year from 2016 through the year for which the report is being filed, the total amount of the EM&V budget encumbered at the end of each of those years, and the total annual EM&V budgets for each of those years:



14. For the period of 2016 through the year for which the report is being filed, the total cumulative amount expended by the portfolio on EM&V, the amount encumbered by the portfolio for EM&V at the end of each year, and the total cumulative EM&V budget for the portfolio:



²² EM&V costs are funds spent on all activities associated with the evaluation, measurement and verification of the energy efficiency program including evaluation planning, program logic models, process evaluation, impact evaluation, evaluation–related market research, measurement and verification activities, and evaluation reporting.

15. Provide a summary of the EM&V activities and expenditures completed in the effective calendar year:

TABLE 1: COMPLETED EM&V ACTIVITY SCHEDULE AND EXPENDITURES²³

PORTFOLIO (NE:NY Electric EE or NE:NY Gas EE)²⁴	Date EM&V Plan Filed in DMM	Date EM&V Report Filed in DMM	Planned EM&V Activity Expenditure²⁵	Actual EM&V Activity Expenditure²⁶
Activity 1				
Activity 2				
Activity 3				

NE:NY EE SECTOR PERFORMANCE^{27,28}

Utilities should provide sector-level information individually by sector, inclusive of the applicable program-level information for each program in that sector, utilizing the sector-level tables and charts illustrated below.

The sector-level tables provide a consistent framework for each utility to highlight sector-level information and performance that provides context for the sector-level charts that follow.

The complete set of tables and charts should be provided separately for the electric and gas portfolio.

The savings for the sector-level charts below may reflect both evaluated and unevaluated savings. For those programs that have calculated a VGS RR or AP RR, the savings reflected in the charts should consist of evaluated savings. For those programs that have not calculated a VGS RR or AP RR, the savings reflected in the charts should consist of gross savings. The savings should not reflect any estimated realization rates. All savings charts should include a footnote that describes the percentages of evaluated versus unevaluated savings.

²³ For the 2020 SEEP Annual Report, Table 1 should include those activities where the EM&V activity was completed between August 2019 and December 31, 2020. Beginning with the 2021 SEEP Annual Report, Table 1 should include only those activities completed during the effective calendar year.

²⁴ Activities identified in Table 1 should be bifurcated between electric or gas. If the activity is being conducted for each fuel, two separate lines should be used to identify the expenditure amount for each fuel budget, tying to program budgets for each fuel type.

²⁵ Include the Planned Expenditure amount for each activity in total, not just prior calendar year, from the previous year's SEEP.

²⁶ Include the Actual amount spent on the completed EM&V activity in total, not just the prior calendar year.

²⁷ Sector-level charts and data are exclusive of Portfolio Administration or EM&V costs which are, by definition, not specific to any one program or group of programs.

²⁸ The title of this section should reflect the specific sector, for instance NE:NY EE Residential Sector Performance.

Residential Sector Summary Table ²⁹				
	Expenditures (\$)	Gross Energy Savings (MMBtu)	Verified Gross Energy Savings (MMBtu)	Average Effective Useful Life (EUL) ³⁰
Effective Calendar Year ³¹ Planned				
Effective Calendar Year ³¹ Actual				
Residential NE:NY EE Programs ³²	<ul style="list-style-type: none"> • Program Name 1 • Program Name 2 • Program Name 3 			
Measure Categories Included ³³	<ul style="list-style-type: none"> • Measure Category 1 (60%) • Measure Category 2 (31%) • Measure Category 3 and Measure Category 4 (9%) 			
Sector Highlights ³⁴	<ul style="list-style-type: none"> • Highlight 1 • Highlight 2 • Highlight 3 			
Challenges ³⁴	<ul style="list-style-type: none"> • Challenge 1 • Challenge 2 • Challenge 3 			
Lessons Learned ³⁴	<ul style="list-style-type: none"> • Lesson Learned 1 • Lesson Learned 2 • Lesson Learned 3 			
Changes from Planned Budget ³⁵	<ul style="list-style-type: none"> • Change 1 • Change 2 • Change 3 			
Additional Information ³⁶	<ul style="list-style-type: none"> • Additional Information 1 • Additional Information 2 • Additional Information 3 			

²⁹ For each Sector Summary Table, the Planned and Actual Expenditures, Gross Energy Savings, Verified Gross Energy Savings and Average EUL should be the total of the Planned and Actual Expenditures, Gross Energy Savings, Verified Gross Energy Savings and Average EUL, respectively for each applicable program in the sector.

³⁰ This refers to the average weighted useful life of measures installed during the effective year.

³¹ For each Sector Summary Table, where “effective calendar year” is noted, indicate the actual effective year, i.e., 2020 Planned and 2020 Actual.

³² For each Sector Summary Table, list the actual program names.

³³ Provide the measure categories as listed in Appendix C and the percentage that each measure category accounts for within the sector, based on acquired savings. Measure categories may be combined for the portion of the acquired savings percentage that makes up less than 10 percent of the total. The total percentage should equal 100 percent.

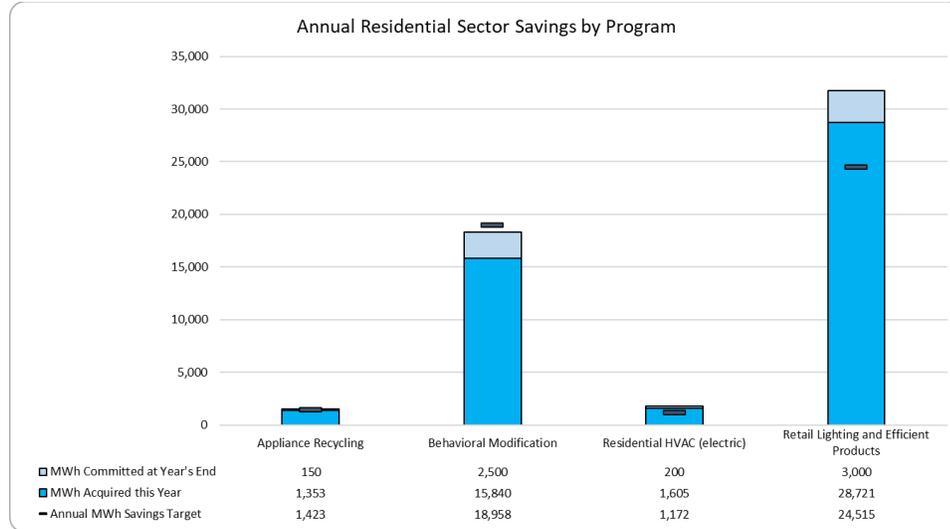
³⁴ For each Sector Summary Table, include as many sector highlights, sector challenges and lessons learned as necessary.

³⁵ For each Sector Summary Table, include as many changes from planned budget as necessary. Any shifting of program budgets should be identified.

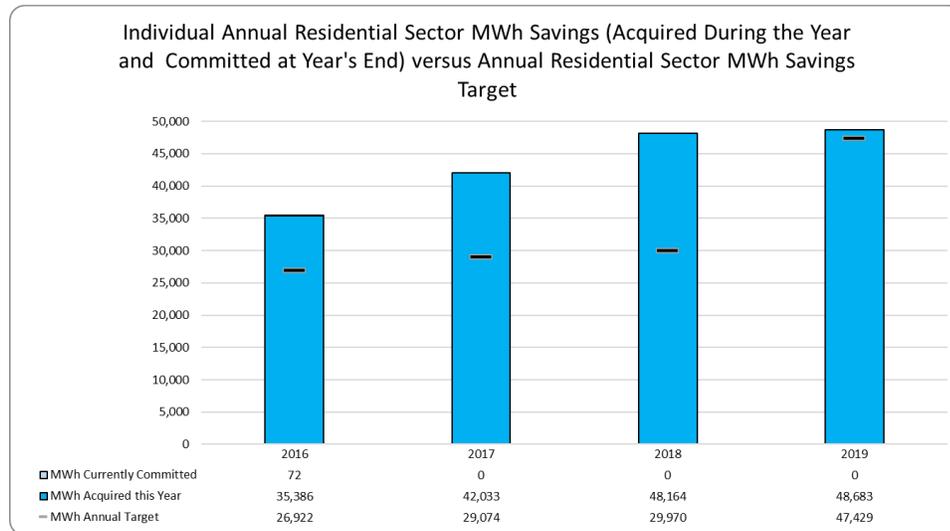
³⁶ Include any additional information necessary to highlight sector-level information and performance that provides context for the sector-level charts that follow.

Sector-Level Charts

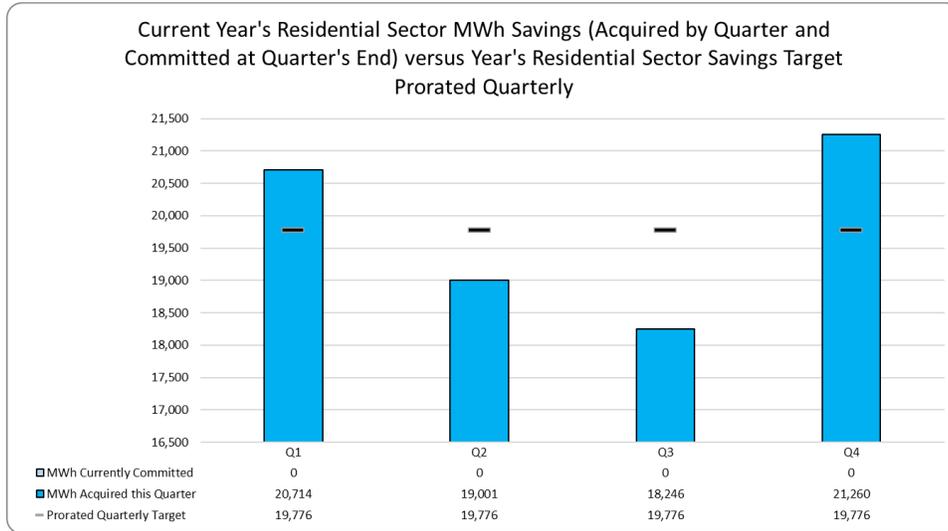
1. By program, for each individual sector, the total savings acquired in the year for which the report is being filed, the total savings committed at the end of that year, and the annual savings target for the year.



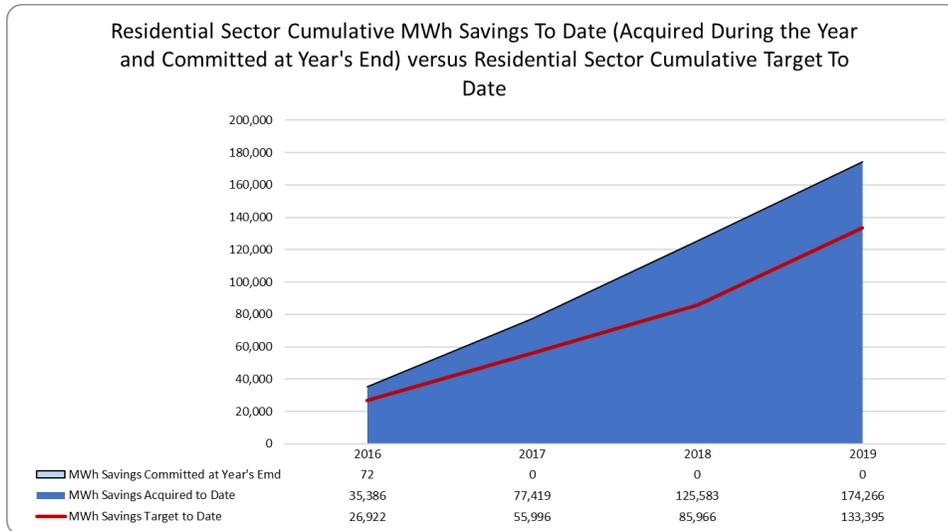
2. By sector, the total savings acquired in each year from 2016 through the year for which the report is being filed, the total savings committed at the end of each of those years, and the total annual savings planned for the sector for each of those years:



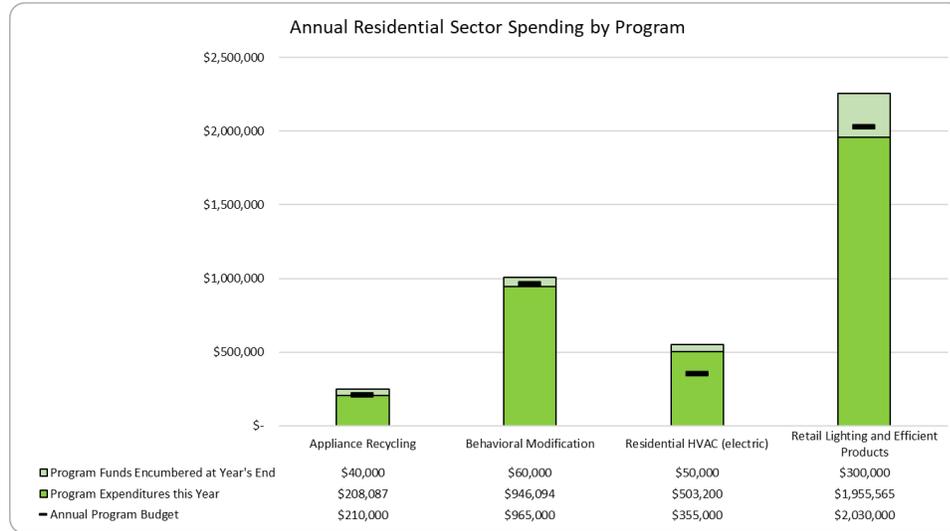
- By sector, the total savings by quarter that were acquired during the year for which the report is being filed, the total savings committed at the end of each quarter of that year, and the total annual savings planned for the sector for that year:



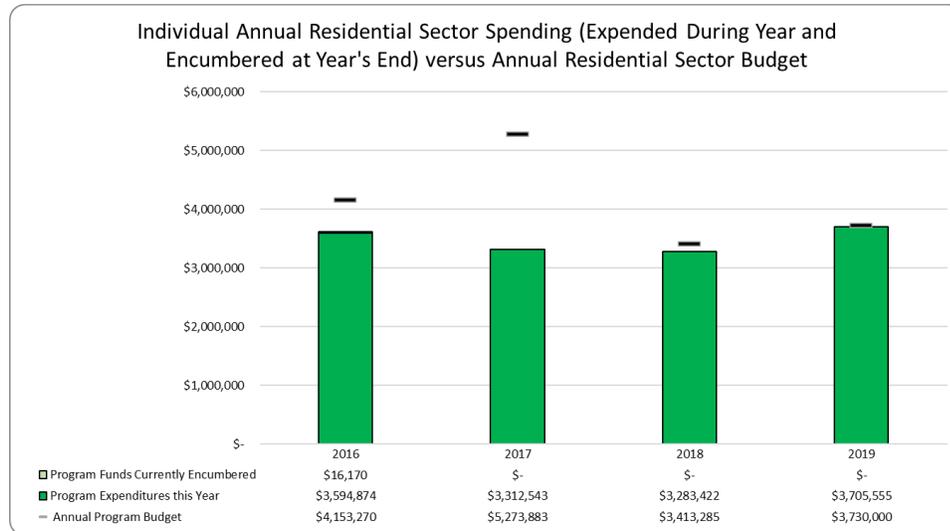
- By sector and for the period of 2016 through the year for which the report is being filed, the total cumulative acquired savings for the sector, the total savings committed at the end of each year, and the total cumulative annual savings planned for the sector:



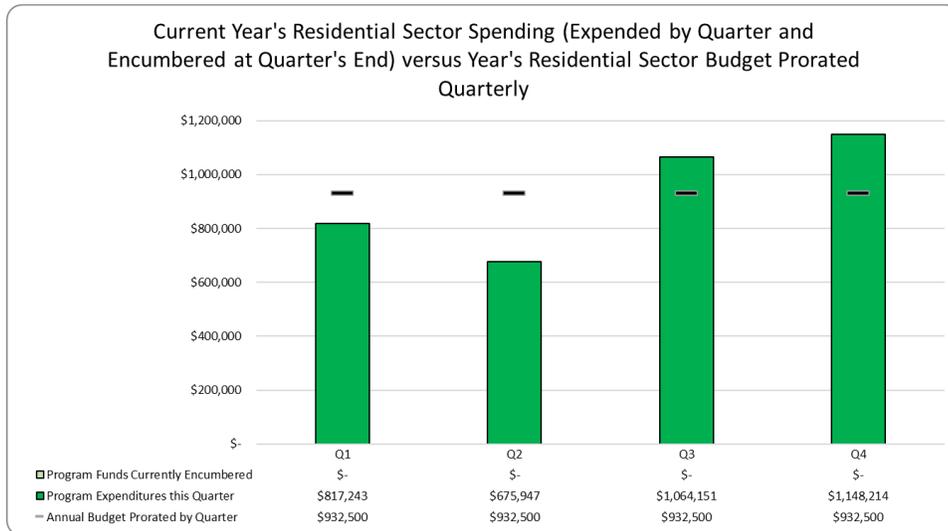
- By program, for each individual sector, the total expended in the year for which the report is being filed, the total amount encumbered at the end of that year, and the program spending budget for the year.



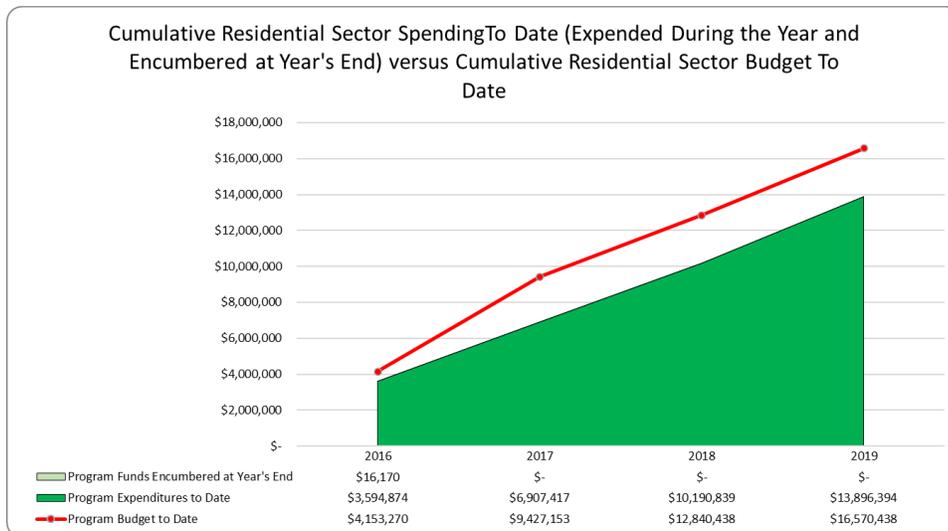
- By sector, the total amount expended in the sector in each year from 2016 through the year for which the report is being filed, the total amount encumbered at the end of each of those years, and the total annual sector budget for each of those years:



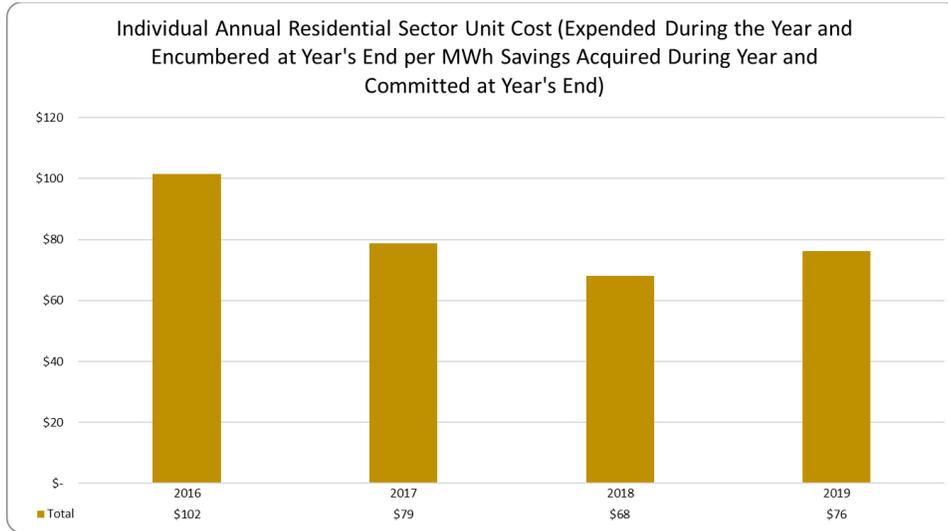
- By sector, the total amount expended in the sector, by individual quarter, during the year for which the report is being filed, the total amount encumbered at the end of each quarter of that year, and the total annual sector budget for that year, prorated by quarter:



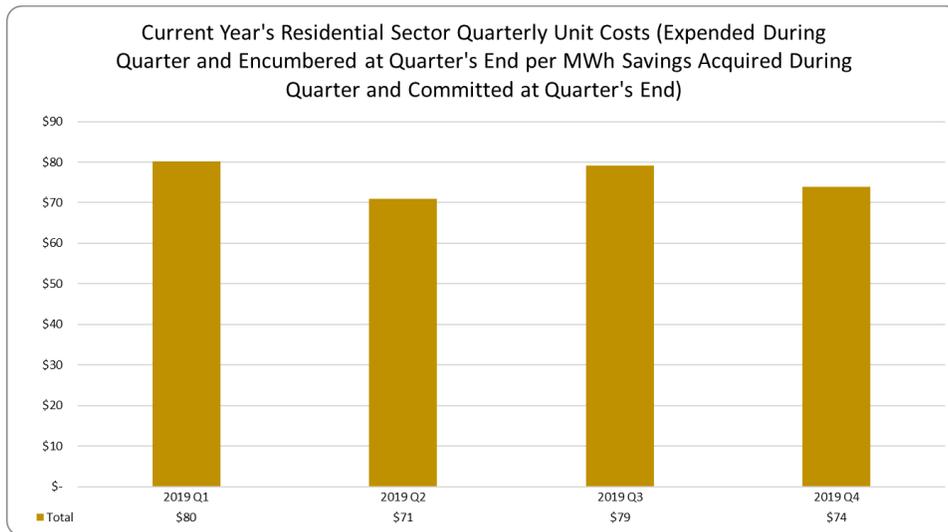
- By sector and for the period of 2016 through the year for which the report is being filed, the total cumulative amount expended in the sector, the amount encumbered at the end of each year, and the total cumulative budget for the sector:



9. By sector, the unit cost (\$/MWh or \$/MMBtu) of the sector for each year from 2016 through the year for which the report is being filed:³⁷

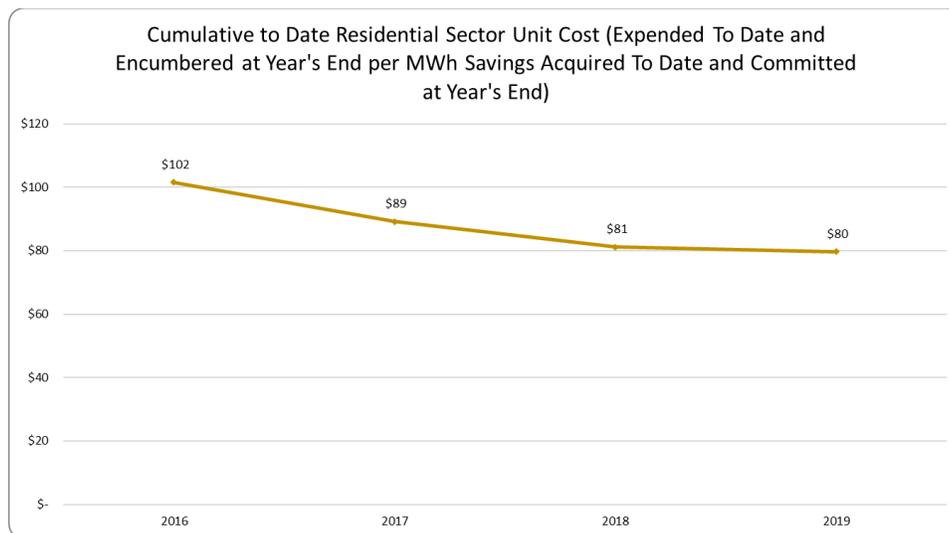


10. The unit cost of the sector, by sector and by quarter, for the year for which the report is being filed:



³⁷ For sector-level unit costs provided in the report, a footnote should be included which indicates whether both portfolio- and program-level spending are included in the calculations.

11. By sector and for the period of 2016 through the year for which the report is being filed, the cumulative to-date unit cost of the sector:



NE:NY EE PROGRAM³⁸ PERFORMANCE

Utilities should provide the following program-level tables for each program in the portfolio. The program-level tables provide a consistent framework for each utility to highlight program-level information and performance.

The program-level information in the tables may be combined for programs that are both electric and gas except for the Effective Calendar Year Planned, Effective Calendar Year Actual and Significant Budget and Target Variance Explanation information included in the tables. This information should be provided separately for electric and gas programs.

As noted in the portfolio- and sector-level descriptions, the savings for the program-level charts may reflect both evaluated and unevaluated savings. For those programs that have calculated a VGS RR or AP RR, the savings reflected in the charts should consist of evaluated savings. For those programs that have not calculated a VGS RR or AP RR, the savings reflected in the charts should consist of gross savings. The savings should not reflect any estimated realization rates. All savings charts should include a footnote that describes the percentages of evaluated versus unevaluated savings.

³⁸ Program names should align with the program names used in the Scorecard, SEEP and associated Verified Gross Savings (VGS) Specification. It is also recommended that program names align with the program names used in EM&V Plans and EM&V Reports.

NE:NY EE Program 1 Summary Table ³⁹		Residential	Commercial	Multisector
		Multifamily	Industrial	Transportation
	Expenditures (\$)	Gross Energy Savings (MMBtu)	Verified Gross Energy Savings (MMBtu)	Average Effective Useful Life ⁴⁰
Effective Calendar Year ⁴¹ Planned ⁴²				
Effective Calendar Year ⁴¹ Actual ⁴²				
Program Description ⁴³				
Measure Categories Included ⁴⁴	<ul style="list-style-type: none"> • Measure Category 1 (60%) • Measure Category 2 (31%) • Measure Category 3 and Measure Category 4 (9%) 			
Program Highlights ⁴⁵	<ul style="list-style-type: none"> • Highlight 1 • Highlight 2 			
Program Challenges ⁴⁵	<ul style="list-style-type: none"> • Challenge 1 • Challenge 2 			
Lessons Learned ⁴⁵	<ul style="list-style-type: none"> • Lesson Learned 1 • Lesson Learned 2 			
Changes from Planned Budget ⁴⁶	<ul style="list-style-type: none"> • Change 1 • Change 2 			
Significant Budget and Target Variance Explanations ⁴⁷	<ul style="list-style-type: none"> • Significant Variance Explanation 1 • Significant Variance Explanation 2 			
Additional Information ⁴⁸	<ul style="list-style-type: none"> • Additional Information 1 • Additional Information 2 			

³⁹ A Program Summary Table should be provided for each program in the portfolio.

⁴⁰ This refers to the average weighted useful life of measures installed during the effective year.

⁴¹ For each Sector Summary Table, where “effective calendar year” is noted, indicate the actual effective year, i.e., 2020 Planned and 2020 Actual.

⁴² Indicate whether the information provided is for the gas or electric portion of the program. If the information for the electric and gas program components are in one table, add two rows for the planned and actual budgets and savings.

⁴³ For each Program Summary Table, use the actual program name. Program names should align with the program names used in the Scorecard, SEEP and associated VGS Specification. It is also recommended that program names align with the program names used in EM&V Plans and EM&V Reports.

⁴⁴ Provide the measure categories as listed in Appendix C and the percentage that each measure category accounts for within the program, based on acquired savings. Measure categories may be combined for the portion of the acquired savings percentage that makes up less than 10 percent of the total. The total percentage should equal 100 percent.

⁴⁵ For each Program Summary Table, include as many program highlights, program challenges and lessons learned as necessary.

⁴⁶ For each Program Summary Table, include as many changes from planned budget as necessary. Identify any shifting of program budgets.

⁴⁷ Describe any differences between planned annual program-level budgets and the amounts expended and encumbered for each program with a variance of +/- 25% or greater. Describe any differences between the planned annual program-level targets and the savings acquired and committed, for each program with a variance of +/- 25% or greater. Indicate whether the information provided is for the gas or electric portion of the portfolio.

⁴⁸ Include any additional information necessary to highlight program information and performance.

Appendix A: EM&V Report Summaries

The utility should include a narrative description of each EM&V Report filed in DMM in the prior calendar year.⁴⁹ The description should include the following information.

- program name
- period of study
- summary of report findings and recommendations outlined in the study
- how the study results will be used to inform program design and implementation, highlighting any program changes to be implemented as a result of the findings

This EM&V Report summaries represent an annual compilation of the descriptions of filed EM&V Reports that have been included in the quarterly revision letters. CE-02: SEEP Content Guidance requires a description of filed EM&V Reports, as described above, be included in the SEEP quarterly revision letter for the quarter in which they are completed.

⁴⁹ CE-02: SEEP Content Guidance outlines similar reporting requirements for EM&V Report summaries. These summaries shall be included in the SEEP Annual Report beginning with the issuance of this guidance and thereafter.

Appendix B: Supplemental EE Activities

Provide information on the Supplemental EE Activities (those occurring outside of NE:NY) identified in the utility's SEEP, including:

- A description including the program name, program category (i.e., demand reduction programs, non-wire and non-pipe alternative efforts, REV demonstration projects, pilots, expanded rate case program, etc.) and fuel type.
- A reference to the Commission proceeding from which the program was approved.
- Identification of the existing filing requirements and filing schedule (e.g., implementation plans, quarterly and/or annual reports, etc.)
- If applicable, include a description of the way in which Supplemental EE activities are coordinated with NE:NY EE program(s) activities; ensuring to identify the NE:NY EE program(s).

Appendix C: Measure Categories⁵⁰

Single and Multifamily Residential Measure Categories

APPLIANCES – includes the following measures: Air Purifier, Clothes Dryer, Clothes Washer, Dehumidifier, Dishwasher, Refrigerator and Freezer, Soundbar

APPLIANCE – CONTROLS – includes the following measure: Advanced Power Strip (APS)

APPLIANCE RECYCLING – includes the following measures: Air Conditioner - Room (RAC) Recycling, Refrigerator and Freezer Recycling

BEHAVIORAL⁵¹

BUILDING SHELL – includes the following measures: Air Conditioner - Room (RAC) Cover and Gap Sealer, Air Leakage Sealing, Insulation - Hot Water and Steam Pipe, Insulation - Opaque Shell, Window

DOMESTIC HOT WATER – includes the following measures: Heat Pump Water Heater (HPWH), Indirect Water Heater, Storage Tank, and Instantaneous Domestic Water Heater

DOMESTIC HOT WATER – CONTROL – includes the following measures: Drain Water Heat Recovery (DWHR), Low-Flow - Faucet Aerator, Low-Flow - Showerhead, Thermostatic Shower Restriction Valve

HEATING, VENTILATION AND AIR CONDITIONING (HVAC) includes the following measures: Air Conditioner - Central (CAC), Air Conditioner - Room (RAC), Boiler and Furnace, Boiler and Furnace - Combination (“Combi”) Boiler and Furnace, Duct Sealing and Insulation, Electronically Commutated (EC) Motor - HVAC Blower Fan, Electronically Commutated (EC) Motor - Hydronic Circulator Pump, Heat Pump - Air Source (ASHP), Heat Pump - Ground Source (GSHP), Refrigerant Charge Correction & Tune Up - Air Conditioner and Heat Pump, Tune-Up – Boiler, Tune-Up - Furnace

HEATING, VENTILATION AND AIR CONDITIONING (HVAC) – CONTROL – includes the following measures: Energy Management System (EMS), Outdoor Temperature Setback Control for Hydronic Boiler, Steam Trap - Low Pressure Space Heating, Submetering, Thermostat – Learning, Thermostat - Programmable Setback, Thermostat - Wi-Fi (Communicating), Thermostatic Radiator Valve (TRV) - One Pipe Steam Radiator

LIGHTING – includes Interior and Exterior Lighting

LIGHTING - CONTROL

⁵⁰ Measure categories and the associated measures are based on the most recent version of the NYS Technical Resource Manual as filed in Matter 15-01319. Utilities’ should use the measure categories identified in Appendix C where applicable however, if a measure category or measure is not listed the utility should identify the measure itself and indicate accordingly. A utility may choose to provide measure-level detail in addition to measure category to provide more granularity to the acquired savings, although it is not required.

⁵¹ Behavioral Programs may not always be able to attribute savings to a particular measure category or measure. In such instances, utilities should indicate the measure category as behavioral and indicate the percentage of acquired savings behavioral accounts for within the sector or program.

MOTORS AND DRIVES – includes the following measure: Pool Pump

POOL HEATERS

Commercial and Industrial Measure Categories

AGRICULTURAL EQUIPMENT

AGRICULTURAL EQUIPMENT – CONTROL - includes the following measure: Engine Block Heater Timer

APPLIANCE - includes the following measures: Clothes Dryer, Combination Oven, Dishwasher, Ice Maker, Insulated Holding Cabinet, Oven, Steamer, Fryer and Griddle, Refrigerator and Freezer

APPLIANCE – CONTROL – includes the following measures: Advanced Power Strip (APS), Vending Machine and Novelty Cooler Control

APPLIANCE RECYCLING – includes the following measures: Air Conditioner – Room (RAC) Recycling

BEHAVIORAL

BUILDING SHELL - includes the following measures: Cool Roof, Insulation - Hot Water and Steam Pipe, Window – Film, Window - Glazing

COMPRESSED AIR – includes the following measures: Air Compressor, Engineered Air Nozzle, No Air Loss Water Drain, Refrigerated Air Dryer

DOMESTIC HOT WATER – includes the following measures: Indirect Water Heater, Instantaneous Water Heater, Storage Tank Water Heater

DOMESTIC HOT WATER (DHW) – CONTROL – includes the following measures: Low-Flow - Faucet Aerator, Low-Flow - Pre-Rinse Spray Valve (PRSV), Low-Flow - Salon Valve, Low-Flow - Showerhead

HEATING, VENTILATION AND AIR CONDITIONING (HVAC) – includes the following measures: Air Conditioner and Heat Pump – Packaged Terminal, Air Conditioner and Heat Pump - Unitary & Applied, Boiler and Furnace, Boiler and Furnace - Combination (“Combi”) Boiler and Furnace, Chiller - Air and Water Cooled, Chiller - Cooling Tower, Duct Sealing and Insulation, Economizer - Dual Enthalpy Air Side, Electronically Commutated (EC) Motor - HVAC Blower Fan, Heat Pump - Water Source (WSHP), Infrared Heater, Refrigerant Charge Correction & Tune Up - Air Conditioner and Heat Pump, Tune-Up – Boiler, Tune-Up - Chiller System, Variable Refrigerant Flow (VRF) System

HEATING, VENTILATION AND AIR CONDITIONING (HVAC) – CONTROL - includes the following measures: Demand Control Ventilation (DCV) Energy Management System (EMS) - Guest Room, Outdoor Temperature Setback Control for Hydronic Boiler, Steam Trap - Low Pressure Space Heating, Thermostat - Wi-Fi (Communicating), Thermostatic Radiator Valve (TRV)

LIGHTING – includes the following measures: Interior and Exterior Lighting, Refrigerated Case LED

LIGHTING – CONTROL - includes the following measures: Bi-Level Lighting, Interior Lighting Control

MOTORS AND DRIVES – includes the following measures: Motor, Variable Frequency Drive (VFD) - Fan and Pump

POOL HEATERS

PROCESS EQUIPMENT - includes the following measures: Steam Trap - Other Application

REFRIGERATION – includes the following measures: Air-Cooled Refrigeration Condenser, Cooler and Freezer Door Gasket, Cooler and Freezer Door Strip, Electronically Commutated (EC) Motor - Refrigerated Case or Walk-In Cooler/Freezer Evaporator Fan, Refrigerated Case Door, Refrigerated Case Night Cover

REFRIGERATION – CONTROL – includes the following measures: Anti-Condensation Heater Control, Evaporator Fan Control