ECONOMIC DEVELOPMENT GROWTH EXTENSION (EDGE) PROGRAM

Final Initiative Level Logic Model Report

Prepared for

**The New York State
Energy Research and Development Authority**

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NOTICE

The New York State
Energy Research and Development Authority

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(December 2013)

The System Benefits Charge (SBC) Plan funds public policy initiatives not expected to be adequately addressed by New York's competitive electricity markets. These public policy initiatives include offering programs that target: efficiency measures; research and development; and the low-income sector. The New York Public Service Commission (PSC) issued the Order Continuing the System Benefits Charge and Approving the Operating Plan for A Technology and Market Development (T&MD) Portfolio of System Benefits Charge Funded Programs (The Order) on October 24, 2011. The Order approved the T&MD program portfolio proposed by the New York State Energy Research and Development Authority (NYSERDA) for the five-year period from January 1, 2012 through December 31, 2016, and allocated a total budget in excess of $70 million to the Clean Energy Market Development Initiative for that period. Market Development is comprised of three components:

- Market Research ($4.6 M)

- Market Pathways ($55.7M), and

- Education to Change Behavior and Influence Choices ($10.0M).

Additionally, the Regional Greenhouse Gas Initiative (RGGI) support strategies to advance innovative energy solutions to improve New York State's economy and environment and achieve CO_2 emission reduction goals. RGGI funds are provided communities with resources to encourage the use of cleaner and efficient technologies.[1]

The purpose of this document is to present the overarching logic model for the Economic Development Growth Extension (EDGE) Program offered under Education to Change Behavior and Influence Choices Initiative. The goal of this program is to "address the long-term and permanent changes in energy consumption patterns possible from a deeper understanding of energy choices and changes in attitude and behavior."[2] EDGE supports this initiative by providing region-specific outreach, information, and education on NYSERDA's programs to nonresidential and residential customers, focusing on priority and regionally significant projects as defined by the Regional Economic Development Councils.[3]

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[1]   *New York's RGGI-Funded Programs Status Report, Quarter Ending March 31, 2013.* September, 2013.

[2]   *Technology and Market Development Program Operating Plan for 2012-2016.* Second Revision February 15, 2013. (Case 10-M-0457)

[3]   The Regional Economic Development Councils are appointed by the governor and oversee the regional growth and development strategies they have defined to meet the goals and objectives for regional growth. They are comprised of businesses, not-for-profit and governmental agencies, and academic organizations.

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PROGRAM DESIGN TEMPLATE

The Purpose of this document is to present the overarching logic model for the EDGE Program. This document's organization is as follows:

1. **Program Context, Stakeholders, Intent and Design:** Describes the problem(s) the program is attempting to solve, or issues it will address, and the regulatory and stakeholder environments (context) within which the program is working.

2. **Program Objectives**: Describes, at a high level, the program's ultimate purpose and targets.

3. **Program Resources**: Identifies the funding, workforce, partnership, and other resources the program is providing.

4. **Program Activities**: Describes the program's various infrastructure development, outreach, training, and reporting activities.

5. **Program Outputs**: Describes the anticipated immediate results associated with program activities.

6. **Program Outcomes**: Describes expected achievements in the near, intermediate and longer term.

7. **Assumptions about Program**: Describes assumptions about how program activities and outputs will lead to the desired near, intermediate and longer-term outcomes.

8. **Non-Program Influences**: Describes factors outside the program that may drive or constrain the achievement of outcomes.

Figure T- 1 details the relationship between these eight items.

Figure T- 1: Program Design Template

Section 1:
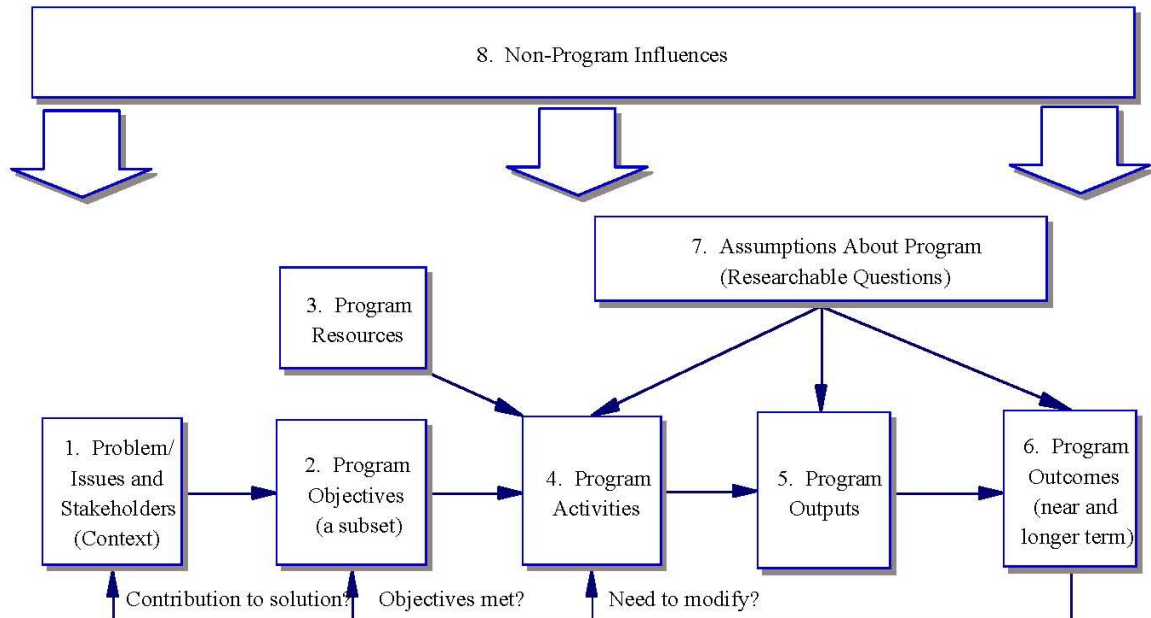
PROGRAM CONTEXT, STAKEHOLDERS, INTENT, AND DESIGN

The Economic Development Growth Extension (EDGE) program, implemented on February 15, 2013, is intended to promote permanent changes in consumer energy use, attitudes, and behaviors. A component of the newly organized Economic Development and Community Outreach Program, which in turn is part of NYSERDA's Market Development Initiative, EDGE provides outreach and assistance to individuals and business customers to increase awareness of and participation in NYSERDA program, and to promote NYSERDA's market development funding for innovations and new technologies.

Prior to EDGE, NYSERDA offered the Energy $mart Communities (E$C) Program under the Clean Energy Market Development Initiative.[4] E$C sought to bring together local resources and community based organizations to develop model projects to demonstrate the benefits of energy efficiency and renewable energy for communities (economic, social, environmental, etc.).[5] Creating partnerships with local organizations, the program educated residents and businesses about, and connected them to, NYSERDA programs and resources. The program provided services to customers and market actors across ten New York State regions: Central New York, Finger Lakes, Southern Tier, Western New York, North Country, Capital/Saratoga, Mid-Hudson, and New York City North, South, and East.

The remainder of this section discusses the target market, including the importance of the community-based focus for this program, and the roles and responsibilities of EDGE program staff and contractors. .

1.1   EDGE TARGET MARKET AND PROJECTS

EDGE represents a fundamental shift from the E$C in how it defines target markets. While the E$C focused primarily on residential end-use customers and mid-stream market actors, EDGE broadens its target market to include the business sector, while maintaining its focus on community development and meeting each region's specific economic and energy efficiency needs.

In particular, EDGE seeks to support regional priorities as defined by the Regional Economic Development Councils (REDCs) by aligning NYSERDA's resources with their activities. The governor of New York established the REDCs in 2011 to empower regions to develop their own strategies for economic development. Consistent with this mission, the REDCs developed strategic plans that serve as five-year road maps, guiding their regions' efforts to stimulate economic growth. REDCs are comprised of businesses, not-for-profit groups, governmental agencies, and academic organizations. State agencies, including NYSERDA, are actively involved in this continuing initiative.

EDGE operates within New York State's 10 regions, grouped into three territories. These regions closely map to those defined by the REDCs.[6]

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[4]   Energy $mart Communities discontinued December 31, 2012

[5]   Jane S. Peters and Sharon A. Baggett, *Process Evaluation Energy $mart Communities Program Final Report*. April, 2009.

[6]   The 10 regions are similar geographically to those served by the E$C program. However, Mohawk Valley was added as its own REDC, while the Downstate area including NYC was consolidated to include both the five boroughs as well as Long Island and Westchester counties.

- **Territory 1 (Upstate West)**: Central New York, Finger Lakes, Southern Tier, and Western New York

- **Territory 2 (Upstate East)**: North Country, Mohawk Valley, Capital Region, and Mid-Hudson (minus Westchester County)

- **Territory 3 (Downstate):** New York City(plus Westchester County) and Long Island

Each REDC identifies and supports the development of region-specific projects that align with its strategic plan and the governor's vision of regional economic growth. A single project may be identified as priority by the REDCs and/or regionally significant by program partners.

Priority projects are designed to meet regional goals for economic development. REDCs recommend priority projects to the governor for funding based on job creation, level of investment in the private sector, and potential for stimulating economic development within each region. An example of a priority project is the redevelopment of the Hunts Point Terminal Produce Market within the New York City REDC region. This project initiated the development of a food industry with the goal of creating jobs as well as agricultural, retail, and food processing activity across the state.

Regionally significant projects are highly visible and serve as model projects within the community, demonstrating the benefits of economic investment in areas such as community development and revitalization, workforce development, energy efficiency, water quality and efficiency, renewable energy and technologies, and sector-specific development (e.g., agriculture).

1.2   ROLES AND RESPONSIBILITIES OF EDGE PROGRAM STAFF AND CONTRACTORS

As described below, NYSERDA delivers EDGE through a cooperative effort between the four EDGE program staff and program contractors. Program contractors include:

- Regional Outreach Contractors (ROCs), of which there are about 25

- Three Territory Contractors

- A Statewide Program Support Services (PSS) Contractor

Table 1-2 at the end of this section summarizes these roles.

1.2.1   Regional Outreach Contractors (ROCs)

Approximately two dozen Regional Outreach Contractors (ROCs) provide the "feet on the ground" and local representation for the EDGE program. As described in more detail below, ROCs:

- Build private/public partnerships at the local level,

- Learn of opportunities where NYSERDA programs might benefit the local community, focusing outreach efforts on REDCs' priority projects and regionally significant projects,

- Inform local market actors (demand-side, supply-side, governments/agencies) of NYSERDA's energy efficiency, renewable, and R&D programs,

- Facilitate NYSERDA program involvement.

ROCS are responsible for identifying and developing working relationships with program partners. These partnerships serve as an outreach mechanism for EDGE. Program partners, through their relationships within the communities, learn of project opportunities that may benefit from NYSERDA funding and refer their points of contact to EDGE program staff, and/or directly communicate these opportunities to EDGE

program staff. Program partners can be businesses, constituency groups, other community-based organizations, etc. Examples include economic development agencies, chambers of commerce, business associations, business leaders, utilities, and non-profit agencies.

Through their partnerships and participation in REDC meetings and workgroups, ROCs learn of priority and regionally significant projects, as well as other customer project needs, to identify projects that might benefit from NYSERDA program support. In this capacity, ROCs engage organizations and end-users in NYSERDA program offerings.

While interacting with the community through their outreach activities and participation in REDC meetings, ROCs identify potential energy efficiency/renewable projects that NYSERDA might support and connects these customers to the appropriate NYSERDA resource. ROCs help their contacts understand funding availability and program requirements. They assist when their contacts lack knowledge of, or the technical expertise to apply for, NYSERDA programs directly through the Consolidated Funding Application (CFA).[7] ROCs help their contacts navigate the CFA form and process, as well as potentially identify other funding opportunities not related to NYSERDA's programs.

EDGE requires that the organizations or individuals serving as ROCs reside in the region they serve. EDGE staff screened ROC candidates based on their expertise in economic development and involvement in their local communities. The number of ROCs operating within a given region is proportionate to the population size, where regions with higher populations staff greater number of ROCs.

The table below summarizes the ROC responsibilities, activities, and outcomes of their activities.

Table 1-1: ROC's Roles and Responsibilities

Responsibilities	Activities	Resulting Outcomes for EDGE Program Staff and Customers
Keep abreast of region-specific issues to identify opportunities where NYSERDA programs might benefit the local community	- Attend public REDC meetings - Participate in REDC working groups - Attend community events - Build private/public partner relationships (discussed below) - Follow the progress of regional priority projects identified by the REDCs, identify how NYSERDA programs may be leveraged in those projects, and report the opportunities and/or progress to EDGE program staff. - Meet with regional priority project stakeholders (e.g., customers, project designers, architects, etc.) to understand the project needs	The ROCs are the "feet on the ground" for the program, adding capacity to the EDGE program staffing. By serving as the EDGE program's local representation time and resources are more efficiently distributed throughout the regions to recruit priority and regionally significant projects to NYSERDA offerings.

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[7] The Consolidated Funding Application (CFA) is single application enabling customers to apply for a variety of funding opportunities available through a number of state agencies.

Responsibilities	Activities	Resulting Outcomes for EDGE Program Staff and Customers
Provide outreach to customers and facilitate involvement in NYSERDA programs	• Serve as a point of contact for local organizations, program partners, and the REDCs informing them about NYSERDA's energy efficiency and Research and Development (R&D) program offerings[8] • Respond to customers' telephone calls, emails, and other inquiries regarding NYSERDA programs and how they may be leveraged for customers' projects • Assist customers with the CFA process • Follow up with customers previously contacted on their current and forthcoming project needs and to reinforce the availability of NYSERDA program offerings	The ROCs are familiar with customers' capital improvement, new construction, and research and development needs, and identify NYSERDA programs that can support those projects. They also help navigate customers through funding opportunities at the local, state, and federal level, and assist customers in filling out the CFA. These ROC activities allow EDGE program staff to focus on high level program implementation needs as well as higher priority projects.
Responsibilities	**Activities**	**Resulting Outcomes for EDGE Program Staff and Customers**
Cultivate strategic public-private partnerships within the communities	• Identify and develop partnerships with public and private organizations to expand the outreach of NYSERDA programs to these partners' customer contacts • Educate partners about NYSERDA programs • Meet regularly with partners to identify customers who might be potential NYSERDA program participants and explore opportunities to reach out to those customers	These partnerships expand the marketing potential for the EDGE program and NYSERDA programs in general. Partners have more in-depth knowledge of their customer needs and activities which they can impart to EDGE staff for referral potential. Through interactions with the ROCS, partners increase their awareness of NYSERDA programs and identify customers for ROCs that might benefit from NYSERDA programs, and/or refer their customers to NYSERDA programs.

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[8] Programs include FlexTech, Existing Facilities, New Construction, Industrial and Process Efficiency, Cleaner Greener Communities, Workforce Development, Innovation and Business Development, Multifamily, Residential, and R&D.

Responsibilities	Activities	Resulting Outcomes for EDGE Program Staff and Customers
Communicate and document activities with EDGE program staff	• Meet regularly with the EDGE program staff to discuss potential leads and customer needs • Enter customer contact details within the Customer Relationship Management (CRM) system	Regular reporting and discussions ensure EDGE program staff awareness of critical regional issues and identify ROC training and support needs

1.2.2   Territory Contractors

Three Territory Contractors– one for each of the three territories (Upstate West, Upstate East, and Downstate) – are responsible for contracting with ROCs to provide program services, administering the ROCs' contracts, and reporting on the ROCs' activities.[9] In their proposals to NYSERDA to be selected as Territory Contractors, the bidders included the local organizations/ individuals they proposed to contract with as ROCs. These proposed organizations demonstrated their understanding of, and existing relationship with, relevant local market actors.

The use of the Territory Contractors relieves the EDGE project managers of the task of managing contracts with numerous ROCs and frees them to focus on the bigger-picture task of ensuring EDGE success across the state.[10] Territory Contractors also enable EDGE to have numerous local coordinators (about two dozen ROCs), thus EDGE can have a significant local presence. With this pyramid organization, EDGE has a large base, enabling a deep reach into the state's communities.

The program design intends for the use of Territory Contractors to lead to greater EDGE involvement in the market than would otherwise be possible. The Territory Contractors are able to provide a greater degree of oversight, monitoring, and directing of the ROCs' activities and relationships than would be feasible for EDGE staff.

1.2.3   Statewide Program Support Services Contractor

The PSS provides the program infrastructure, the key elements of which include:

• Developing and managing the customer relationship management (CRM) system (Salesforce®)

• Reporting program progress to EDGE Program staff

• Developing program metrics (e.g., number of contacts resulting in completed applications) and providing EDGE staff with progress against these metrics on an ongoing basis, and

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[9]   One organization serves as Territory Contractor in both Territory 1 and Territory 2, and one organization serves as Territory Contractor in in Territory 3. The Territory 3 Contractor also functions as a ROC within that territory.

[10]   In contrast, E$C employed ten E$C coordinators (similar to ROCs), who reported directly to E$C program managers.

- Working with EDGE program staff to develop and provide training to ROCs on NYSERDA programs and Salesforce.[11]

A program support contractor was also included in the E$C program. EDGE expands the PSS role from E$C to include a more formalized statewide reporting structure by integrating the CRM system and using that system to track the progress against program metrics. The EDGE program requires that one of the Territory Contractors also serve as the PSS and allocate a minimum of one full-time staff position.

1.2.4   NYSERDA EDGE Staff

Four dedicated NYSERDA staff work with the EDGE program: one program manager and three project managers.[12] The program manager oversees and administers program operations. The three project managers are each responsible for one of the three territories. They provide direction to the EDGE representatives (Territory Contractors and ROCs) that operate within their respective territories. In particular, they support ROCs, ensuring identified projects that may benefit from NYSERDA funding transition smoothly to the appropriate NYSERDA program. Last, they coordinate with the program manager to direct the PSS contractor activities.

1.2.5   Summary of EDGE Staff and Responsibilities

Table 1-2 (next page) summarizes each EDGE role and their responsibilities.

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[11]   Salesforce® is CRM software that NYSERDA will use to track all contacts within and across program regions. NYSERDA is in the process of deploying Salesforce with the intent of tracking contacts related to all NYSERDA programs.

[12]   The three project managers are located in NYSERDA offices within their assigned territories: Albany, Buffalo, and New York City. The program manager works out of the Buffalo office, which is also the administrative hub for the program.

Table 1-2: EDGE Roles and Responsibilities

Role	Reporting Relationship	Responsibilities
NYSERDA EDGE Program Staff (1 Program Manager and 3 Project Managers)	Project Managers report to Program Manager; Program Manager reports to the Director of External Affairs.	• Oversee overall performance of EDGE program • Report progress to the Commission and other stakeholder • Manage the contracts of the Territory Contractors and Statewide Program Support Services (PSS) Contractor • Oversee the Regional Outreach Contractors (ROCs), Territory Contractor, and PSS Contractors' activities in administering the program • Educate and train the EDGE contractors on NYSERDA programs as well as EDGE program design and implementation • Provide oversight on a territory level (one Project Manager oversees a territory)
Role	**Reporting Relationship**	**Responsibilities**
Statewide Program Support Services (PSS) Contractor (1)	Reports to EDGE Program Manager; contracts with NYSERDA central office	• Develop and communicate metrics to measure program outcomes Develop and deliver program-related reports, including progress against established metrics • Oversee the development and management of the Customer Relationship Management (CRM) system, Salesforce • Work with EDGE program managers to develop and provide training to ROCs on the EDGE program, the portfolio of NYSERDA programs, marketing strategies to provide outreach to customers, and using Salesforce
Role	**Reporting Relationship**	**Responsibilities**
Territory Contractors (3, 1 per territory)	Reports to assigned EDGE Project Manager; contracts with NYSERDA central office	• Identify and contract with ROCs • Manage the ROC contracts • Direct ROC work and oversee their activities • Provide fiscal oversight, including invoicing of the program within their assigned territory,
Role	**Reporting Relationship**	**Responsibilities**
Regional Outreach Contractors (ROCs) (about 25)	Contract with, and report to, assigned Territory Contractor to inform of activities, points of contact, and outcomes of contacts. Also report to PSS and NYSERDA EDGE staff as needed.	• Provide information about NYSERDA program opportunities to organizations and consumers • Be aware of local initiatives, including the REDC's priorities and strategic plans, and as a representative of NYSERDA direct customers to NYSERDA program offerings that can support those local initiatives. • Build strategic private/public partnerships within the communities

The table below details the barriers EDGE is attempting to address. The barriers are organized as 1) technical, 2) economic, 3) informational, and 4) institutional.

Table 1-3: Problems to be addressed by NYSERDA's EDGE Program

Problem Area and Barrier Details	Stakeholders Impacted and/or Involved
1. Technical Barriers	
• Customers and contractors have limited experience with technologies promoted through NYSERDA's programs and renewable energy products. • There is lack of coordination amongst other NYSERDA program staff, ROCs, and contractors in the field; thus, few contractors propose comprehensive solutions for customers.	PSS, Territory Contractors, ROCs, NYSERDA EDGE program staff, building owners/operators, local businesses and partners, equipment contractors
2. Economic Barriers	
• Uncertainty regarding funding available and provided for projects due to projected and calculated versus final savings	Building owner/operator, residential customers, equipment contractors
• Lack of funding capital to invest in R&D and/or technology development and move those projects forward	Entrepreneurs looking to invest in the research and development of energy efficiency and/or renewable technologies
3. Informational Barriers	
• Lack of understanding about the benefits of energy efficiency, renewable, and other advanced technologies (e.g., monetary, economic, and environmental) for individual projects as well as well as communities as a whole.	Building owners/operators, residential customers, local businesses and Partners, equipment contractors, program contractors
• Customers' and contractors' lack knowledge about NYSERDA programs and their benefits	Building owners/operators, residential customers, local businesses and Partners, equipment contractors, ROCs
• Projects are developed and/or begin prior to receiving information about NYSERDA's program offerings, resulting in inefficient technologies being installed or NYSERDA programs not receiving credit for helping to influence project design.	Building owners/operators, residential customers, ROCs
• NYSERDA staff insufficiently knowledgeable of the differences in regional markets and needs	ROCS, Territory Contractors, PSS, EDGE program staff, REDCs
• Customers not aware of the implications of their decisions and behaviors on their energy consumption	Building owners/operators, residential customers
• Customer and other market actors' confusion on eligibility requirements of NYSERDA's programs and in which programs they should participate	Building owners/operators, residential customers, equipment contractors

Problem Area and Barrier Details	Stakeholders Impacted and/or Involved
4. Institutional Barriers	
• Organizations do not have sufficient resources (time/personnel) to investigate and/or participate in NYSERDA programs	Building owners/operators
• Without alignment of program resources, customers receive limited support for energy efficiency	Building owners/operators
• Weak current demand limits the development of business that support energy efficiency, renewable, and advanced technologies	Entrepreneurs, customers, equipment contractors
• Inadequate time and resources for NYSERDA staff to attend all local meetings to provide outreach and marketing of NYSERDA programs	ROCS, NYSERDA EDGE staff
• Number of requests for NYSERDA to be on-site with, available to, and coordinate with REDCs and other regional organizations to support Priority and Regionally Significant Projects	ROCS, NYSERDA EDGE staff, REDCs, building owners/operators, program partners
• Varying levels of engagement among local and program partners with NYSERDA's programs	Program partners, ROCS, EDGE program staff

Section 2:

OBJECTIVES (HIGH LEVEL)

This section describes at a high level, the initiative ultimate purpose and targets, including a table of the goals. The EDGE Initiative has the following objectives.

Table 2-1: EDGE Program Objectives

EDGE Program Objectives
Increase implementation of sound energy practices to help New York State reach its goals for energy efficiency, renewable energy, and economic stewardship.
Promote permanent, long-term reductions in energy use by educating customers on their choices and promoting changes in attitude and behavior
Support R&D and technology development through NYSERDA opportunities
Help meet the goals established by the REDCs in their strategic plans.
Ensure that energy efficiency, renewable opportunities, clean energy, and technology development are being discussed and considered as part of the priority and regionally significant projects and other opportunities identified by the REDCs.
Increase participation of large community-based projects identified by REDCs, with emphasis on those that are regionally significant and meet regional priorities as identified in the Regional Economic Development Strategic Plans
Increase participation of REDC priority or regionally significant projects in NYSERDA programs
Create a local NYSERDA presence within each of the ten regions.
Ensure local NYSERDA representation at community and outreach events and quick response to requests for in-person meetings.
Educate local communities about the availability of NYSERDA programs through promotion, education, and engagement with program partners and businesses
Increase Partner awareness of engagement with NYSERDA programs as a result of outreach efforts by the ROCs
Increase the impact of outreach and education by targeting the right decision-makers, including those individuals at the higher levels within organizations (e.g., Chief Financial Officers, Chief Executive Officers, high-level managers).
Increase participation in NYSERDA programs, including core programs such as Existing Facilities, New Construction/Major Rehab, Industrial Process Efficiency, and Flex Tech, as well as NYSERDA R&D funding opportunities.

Section 3:

RESOURCES

This section identifies the dollar, workforce, and partnership, etc., resources programs are providing under this initiative. This section includes table of resources or inputs including funding sources, staff resources, external and intangible resources.

Table 3-1: Program Resources

SBC-4 and RGGI Funding
• $10.823.137

NYSERDA Staff Resources
• 4 FTE
• 1 Statewide Program Support Services contractor
• 3 Territory Contractors
• Approximately 25 Regional Outreach Contractors across the 10 regions, contracted by the Territory Contractors
• NYSERDA marketing department
• CSEM (events management)

External Resources
• Regional Economic Development Councils
• Workgroups developed through the REDCs
• Program Partners (groups, organizations, and/or individuals representing constituency groups such as economic development agencies, business associations, chambers of commerce, trade groups, technology development organizations, industrial development agencies, municipal governments, business leaders, incubators, regional planning boards, not-for-profits, civic groups, utilities, residential associations, municipalities, college and university centers of excellence)
• GJGNY community based organizations
• NYSERDA implementation contractors
• Vertical outreach contractors
• Midstream contractors
• State Agency Resource Teams (SART) for the ROCs
• Consolidated Funding Application for customers to submit for funding from NYSERDA programs
• Customer Relationship Management (CRM) tool developed under contract with the PSS

Intangible Resources
• Customers' and trade allies' experiences based on relationships developed through the Energy $mart Communities Program and NYSERDA's other programs
• Perception of NYSERDA and its programs resulting from ROCs activities and relationship building
• Increased awareness and building of momentum resulting from education and outreach initiatives
• Mass media (e.g., newsletters and television commercials)
• Community meetings that promote environmental and energy efficiency awareness

Section 4:

EDGE PROGRAM ACTIVITIES

The EDGE activities fall within six categories:

1.   Contract with and train ROCs, PSS, and Territory Contractors

2.   Establish a local NYSERDA presence within each region

3.   Conduct outreach of NYSERDA program offerings and educate key market actors on the benefits of incorporating energy efficient and/or renewable technologies within project plans

4.   Engage customers and stakeholders in NYSERDA offerings

5.   Track and report program activities, progress, and associated impacts

These categories and activities are documented and discussed below.

1.   **Contract with the ROCs, PSS, and Territory Contractors and provide training on NYSERDA's programs and EDGE program requirements.** NYSERDA directly contracts with the PSS and Territory Contractors, and the Territory Contractors directly contract with the ROCs. The PSS and NYSERDA EDGE staff are responsible for providing training to the ROCs to ensure full knowledge and understanding of NYSERDA program offerings as well as EDGE program mission, structure (such as the role of the PSS and project managers), and operations. The PSS will also provide training on the Customer Relationship Management (CRM) tool. Trainings are provided in-person as well as via webinars.

2.   **Establish a local NYSERDA presence within the each region.** Having a local presence is a foundational element of the EDGE program. The local presence ensures knowledge of regional needs, priorities, and the REDC specific strategies. Local presence also allows for cost-effective representation of NYSERDA and its programs and education and outreach opportunities. EDGE contracts with ROCs through the Territory Contractor to establish a local presence. The program also assigns NYSERDA project managers by region to work with and train ROCs within their regions.

The EDGE program is designed to support and promote the regional REDC initiatives by connecting program partners, customers, contractors, and other stakeholders to NYSERDA programs and research and development opportunities. EDGE program staff and ROCs attend REDC meetings; EDGE program staff members are invited as Regional Council members to attend private meetings, and ROCs attend public meetings. EDGE program staff and ROCs may also participate in working groups developed through the REDCs.

3a.   **Provide outreach for NYSERDA program offerings to key stakeholder groups**. Educating the community on NYSERDA program opportunities is one of the primary components of the EDGE program. Key stakeholder groups targeted include the REDCs, Program Partners, and customers. Specific activities related to marketing and outreach are as follows:

   - **Develop EDGE-specific marketing materials.** NYSERDA has developed a one-page document describing EDGE that includes contact information for the ROCs. Additional region-specific resources may also be developed as needed. NYSERDA's marketing team will provide support as needed. NYSERDA's corporate communications group will

also develop press release(s) to announce the program and other major program-specific news to the public.

- **Distribute NYSERDA program information and updates to customers and Partners' constituency base via various communication channels:** ROCs communicate with program partners and customers within their network via newsletters, email communications, flyers, websites, and other resources, as well as through in-person visits and other networking opportunities. ROCs develop region-specific resources, receive approval from NYSERDA's corporate communications and marketing groups, and distribute.

- **Develop outreach plans:** ROCs will develop outreach plans. ROCs will use the PSS and NYSERDA project managers as a resource when developing these plans. The plans become a component of the ROCs contract with the Territory Contractors.

- **Highlight key projects through case studies:** A component of the program marketing is case studies. These case studies may highlight, for example, significant projects, NYSERDA's role in projects, and the project's contribution to meeting the goals established by the REDCs. EDGE program staff works with ROCs to identify potential case studies based on projects highlighted by ROCs through their monthly reports. ROCs develop the case studies with support from EDGE Project Managers.

- **Enlist and coordinate with territory-specific Program Partners.** Program Partners provide outreach to NYSERDA's residential, commercial, institutional, municipal, and industrial customers (and contractors). ROCs and the PSS identify and cultivate these strategic business relationships. The ROCs and PSS will build on partnerships previously established through the Energy $mart Communities; the ROCS are, in part, selected due to their prior experiences with the program partners and other organizations within the communities in which they reside.

- **Regularly meet and coordinate with the REDCs and working groups.** An objective of the program to fund Priority Projects and Regionally Significant Projects. NYSERDA EDGE staff will attend private REDC meetings, and the ROCs will attend public REDC meetings to better understand the region-specific needs and provide targeted outreach regarding NYSERDA programs. EDGE program staff and ROCs will also participate in workgroups established within their respective REDCs. These workgroups are another opportunity to learn about regional needs and inform council members, program partners, and others that participate in the workgroups about NYSERDA program offerings.

3b. **Educate customers, program partners, and market actors on the benefits of incorporating energy efficiency and renewable technologies within project plans.** Another primary component of the EDGE program is educating communities on the benefits of incorporating energy efficiency within capital improvement and new construction projects. Education and training is provided to a variety of target audiences, from the larger community level to the individual customer level. Education is provided in conjunction with outreach and marketing, but also includes more targeted offerings through workshops, community events, and one-on-one direct customer support. The "on-the-ground" role of the ROCs is also an integral input to education of communities and customers, as well as to the collaboration with REDCs to profile energy efficiency, clean energy technologies, and sustainable growth practices to the community as a whole. Staff provide other types of direct customer support, which can take a variety of different forms depending on the situation, and may include:

- Assisting customers with all aspects of NYSERDA program application and submission process

- Responding to consumer questions on NYSERDA programs, energy efficiency opportunities, etc.

- Educating customers one-on-one through mediums such as conferences, workshops, and community meetings

- Assisting customers with the Consolidated Funding Application process when they are applying for NYSERDA program funds.

4. **Engage stakeholders and customers in NYSERDA offerings.**

ROCs engage partner organizations and reach out to their members. ROCs staff NYSERDA requested events, by tabling or speaking. They work with other NYSERDA outreach contractors to bring a holistic opportunity approach to the customers.

Outreach and education are integral to increasing market actors' awareness of NYSERDA offerings, energy efficiency, renewable and advanced technology, and research and development opportunities. However, it is equally as important to have information and communication coming up to EDGE staff to ensure that opportunities are not lost or missed. Additionally, EDGE program staff and ROCs engage partners to build networks capable of bringing customers associated with significant and priority projects to NYSERDA programs. Customers are referred to the most appropriate NYSERDA offerings and may receive application assistance if needed.

5. **Track activities and provide reports to NYSERDA**. Program contractors (the PSS, Territory Contractors, and ROCs) are required to report regularly to NYSERDA on activities completed within the period, including progress toward program metrics, as well as tracking prospects that may be eligible for NYSERDA program funding. The reports may require data to be pulled from multiple tracking systems and sources (including ROC specific tracking systems); accurate and consistent tracking of program activities is important for reporting to NYSERDA and attributing program activities to resulting savings. Metrics and activities that may be tracked include, but are not limited to: customer meetings; customer referrals to NYSERDA programs; community events and public education presentations; and partnership building. Although each of the contractors (PSS, Territory Contractors, and ROCs) may maintain their own tracking system, the Salesforce system will be instrumental in capturing, tracking, and reporting this type of information.

Section 5:

OUTPUTS

This section describes the anticipated program outputs associated with EDGE program activities. Outputs are immediate outcomes resulting from the activities. Oftentimes, they represent deliverables or tangible results that are easily verified via program records and documentation, although some outputs are also verified via feedback from key stakeholders.

The following table documents the outputs related to each EDGE program activity. The table also documents indicator and data sources that may be leveraged to identify program progress against those indicators.

The primary function of the EDGE program is outreach to enact change and drive regionally significant and priority projects to NYSERDA programs; therefore, the program outputs are highly concentrated on collaboration with REDCs and partners, customer relationship development, and coordination of EDGE program contractors with EDGE staff and other NYSERDA programs. As such, the indicators and data sources tend to be similarly focused on materials, documentation, meeting summaries, as well as feedback from stakeholders including customers. Another source of information mentioned for many of the outputs is Salesforce, which is to be used to document all customer and partner contacts and marketing initiatives.

Table 5-1: Outputs, Indicators, and Potential Data Sources

Outputs	Indicators	Data Sources and Potential Collection Approaches
Outputs from Contracting and Staff Training Activities		
EDGE contractors understand the program, CRM, and data submission requirements	Training materials on the EDGE program, Salesforce, and submission requirements Established processes and procedures followed Data entered into Salesforce regularly and accurately Reports provided by contractors to EDGE Program staff as directed Number of questions from contractors to EDGE staff	Salesforce data review compared with ROCs documentation PSS, Territory Contractor, and ROC reports to EDGE staff EDGE staff feedback Training materials and/or documentation on EDGE-related information provided to contactors
EDGE contractors understand NYSERDA program offerings and application referral process	Referrals to NYSERDA programs Customer assistance with CFA application process Training or other materials providing an overview of NYSERDA programs, offerings, and benefits to customers Training or other materials providing an overview of the CFA and application process	NYSERDA program staff, contractor, and customer feedback CFA applications Training materials and/or documentation on NYSERDA- and CFA-related information provided to contractors

Outputs	Indicators	Data Sources and Potential Collection Approaches
Outputs from Establishing Regional EDGE Presence and Conduct Outreach and Education		
Partnerships (other than REDCs) identified and developed	Number of meetings with existing and new partners Increased number of partnerships each year	ROC documentation on partnerships, meetings, and outcomes List of partnerships maintained by region or ROC Interviews with program partners Salesforce records
Attendance and involvement in REDC meetings, community events, workshops, and other public venues	Number of work group and REDC meetings attended Number of events held, venue, and target audience Number of participants at events	Announcements, media events, and reports of progress REDC meeting notes (if public) Event listings Interviews with event coordinators Salesforce records
Meetings with customers, partners, and market actors	Frequency of meetings with partners Number of meetings with customers related to new, potential, and existing projects	Partner and customer feedback Meeting notes and other documentation from ROCs Monthly reports from ROCS to NYSERDA Salesforce records
Outreach documents developed and deployed	Email blasts, newsletters, websites, and/or other materials Number of customers, partners, and other market actors sent outreach materials via various sources Number of events outreach documents distributed	Feedback from Community Based Organizations (CBOs), NYSERDA program staff, and other NYSERDA program contractors Customer feedback to NYSERDA and program staff CFA applications ROC documentation Interviews with customers Salesforce records

Outputs	Indicators	Data Sources and Potential Collection Approaches
Outputs from Engage Customers, Partners, and other Stakeholders in NYSERDA Offerings		
ROCS alert EDGE staff of opportunities to initiate and deploy NYSERDA program involvement	Number of referrals provided to EDGE staff related to project opportunities Increased contact with customers by EDGE staff resulting from ROC referrals	NYSERDA program project documentation ROCs and EDGE staff documentation EDGE staff feedback Salesforce records
ROCS refer customers to appropriate NYSERDA offerings	Increased applications to NYSERDA offerings Number of NYSERDA projects completed by customers engaged by the ROCs Priority projects participate in NYSERDA programs	NYSERDA program data tracking system Customer reports and CFA Salesforce records
Outputs	**Indicators**	**Data Sources and Potential Collection Approaches**
Outputs from Track and Report		
Reports to NYSERDA and New York State Department of Public Service	Case studies Formal and informal reports provided to EDGE staff Number of data points in Salesforce Accurate representation of EDGE program activities	ROCS tracking documentation and monthly reports EDGE staff documentation Salesforce records
Identification of EDGE programs in NYSERDA offerings	Customers participate in other NYSERDA programs after ROCS, program partner, and/or EDGE program staff contacts and meetings Customers' operating and improvement plans identify NYSERDA as source of project support	ROCS reports Referral reports and CFA applications submitted Customer interviews NYSERDA program project files Salesforce Records

Section 6:

OUTCOMES AND LOGIC DIAGRAM

This section presents the EDGE program table of outcomes (Table 6-1). Outcomes are organized as short-term (1-3 years), intermediate-term (3-5 years), and long-term (6+ years). In addition to the outcomes, the table documents the indicators that the outcomes exist and data sources and data collection approaches that may be leveraged to determine the presence of the indicators and subsequent achievement of the outcomes.

The logic model is represented in Figure 6-1, following the Outcomes, Indicators, and Potential Data Sources table. The logic model visually represents the EDGE program inputs, activities, outputs, and outcomes documented throughout this report. Additionally, the logic model recognizes external influences that may affect program activities and performance.

Table 6-1: Outcomes, Indicators, and Potential Data Sources

Outcomes	Indicators	Data Sources and Potential Collection Approaches
Short-Term Outcomes (1-3 years)		
Customers supported in the identification of and application for NYSERDA and other funding	Customers that worked with ROCS and/or EDGE staff identified as also participating in NYSERDA programs Customers report ROCS/EDGE staff as referral/support sources for NYSERDA programs	Customer survey; ROC and EDGE staff documentation; feedback from other NYSERDA program staff and contractors; Salesforce records
EDGE program represented in regional project development activities	EDGE staff and/or ROCs meet with customers involved in regionally significant projects NYSERDA programs contribute to regionally significant energy efficiency, R&D, or renewable project funding	Interviews with key decision-makers engaged in regionally significant projects; NYSERDA program tracking data compared with Salesforce/EDGE activity data; customer project files; other customer outreach documentation housed by ROCs and EDGE staff
Increased awareness of NYSERDA offerings through the market	Participation in NYSERDA programs by customers contacted through EDGE Increased awareness of NYSERDA program offerings among the general customer population and trade ally market Increased number of program partners directing their customers and constituents to NYSERDA program offerings	Longitudinal general population surveys; surveys with NYSERDA program participants; program partner interviews; customer contacts into NYSERDA via websites and call center; Salesforce records; NYSERDA program records

Outcomes	Indicators	Data Sources and Potential Collection Approaches
Short-Term Outcomes (1-3 years) (continued)		
REDCs, program partners, and customers seek out and apply for NYSERDA funding; increased number of applications submitted overall and for regionally significant projects	Increased number of applications for NYSERDA programs submitted by REDCs and customers Increased number of customers program partners refer their constituents/customers to NYSERDA programs Increased number of customers calling into the NYSERDA call center requesting information on programs Increased number of customers directly contacting NYSERDA program managers or their contractors as a result of EDGE referral	Interviews with program partners, REDCs, and customers; customer contacts into NYSERDA via websites and call center; longitudinal analysis of NYSERDA program tracking data; Salesforce records; call center data; NYSERDA program manager interviews
Increased pool of case studies	Case studies published by ROCs for public distribution	ROC monthly reports; EDGE staff interviews; case studies
Opportunities for program improvements addressed and documented	Programmatic changes made due to information obtained through internal or external process assessments and progress	Document reviews; interviews with EDGE staff
Progress against metrics and goals documented and tracked	Program goals and metrics established Reporting functions to track goals and metrics based on Salesforce or other program tracking mechanism developed Reports linking activities to goals and metrics created	Program documentation and reports; Salesforce and program tracking data maintained by EDGE staff or contractors
NYSERDA program referrals related to EDGE initiatives identified	Overlap of NYSERDA program participants and Salesforce contacts	Salesforce and program tracking data analysis; NYSERDA program staff and program contractor interviews; customer interviews

Outcomes	Indicators	Data Sources and Potential Collection Approaches
Intermediate-term Outcomes (3-5 years)		
Reduced knowledge and financial barriers for energy efficiency, renewable, and research and development projects	Inclusion of high-efficiency, renewable, and advanced technologies in standard business practices and decision-making processes; consideration of R&D opportunities	Longitudinal customer surveys using cross-sectional comparison group of those not exposed to EDGE
Increased participation in NYSERDA programs	Increased number of customers participating in NYSERDA programs	NYSERDA program tracking data analysis; customer surveys
Increased customer understanding and investment in energy efficiency, renewable technologies, advanced technologies, and R&D opportunities	Customers consider energy efficiency, renewable, and R&D options as standard practice in decision-making processes Customers inform others of the benefits of energy efficiency, R&D, and renewable technologies	Longitudinal customer surveys using cross-sectional comparison group of those not exposed to EDGE
Increased NYSERDA involvement in regional strategic planning and energy issues and customers' capital improvement, new construction, and R&D needs	ROC and EDGE staff attendance at REDC meetings NYSERDA contribution to REDC strategic plan Involvement in project development stage for priority projects	Interviews with REDCs; review of REDC strategic plans; customer interviews; notes from REDC meetings
Attributed and reported direct and indirect energy and non-energy impacts to EDGE (including spillover)	EDGE contacts linked with NYSERDA program participation Actions taken by customers without program incentives Energy and non-energy impacts reported and verified for customers reached by EDGE	Salesforce and program tracking data analysis; energy, economic, and other non-energy benefit analysis; customer interviews
Outcomes	**Indicators**	**Data Sources and Potential Collection Approaches**
Long-term Outcomes (6+ years)		
Permanent change in customers' decision-making regarding energy use, attitudes and behaviors, including construction, renovations, and purchasing practices	Energy efficiency and renewable technologies always considered when making capital improvements and designing renovations/new construction Change in awareness and attitudes	Market assessment studies; customer surveys; secondary and primary research on building practices; sales and market share data analysis of high efficiency equipment
Increased market share of energy efficient and renewable technologies, and increased research and development spending on these technologies	Increased product availability and market share of energy efficient and renewable technologies Continued or increased funds directed to R&D and advanced technologies	Customer surveys, market actor interviews, sales data analysis
Economic and market development in New York State	Job growth and key performance indicators for New York State	Secondary data and economic reports

Figure 6-1: EDGE Logic Diagram
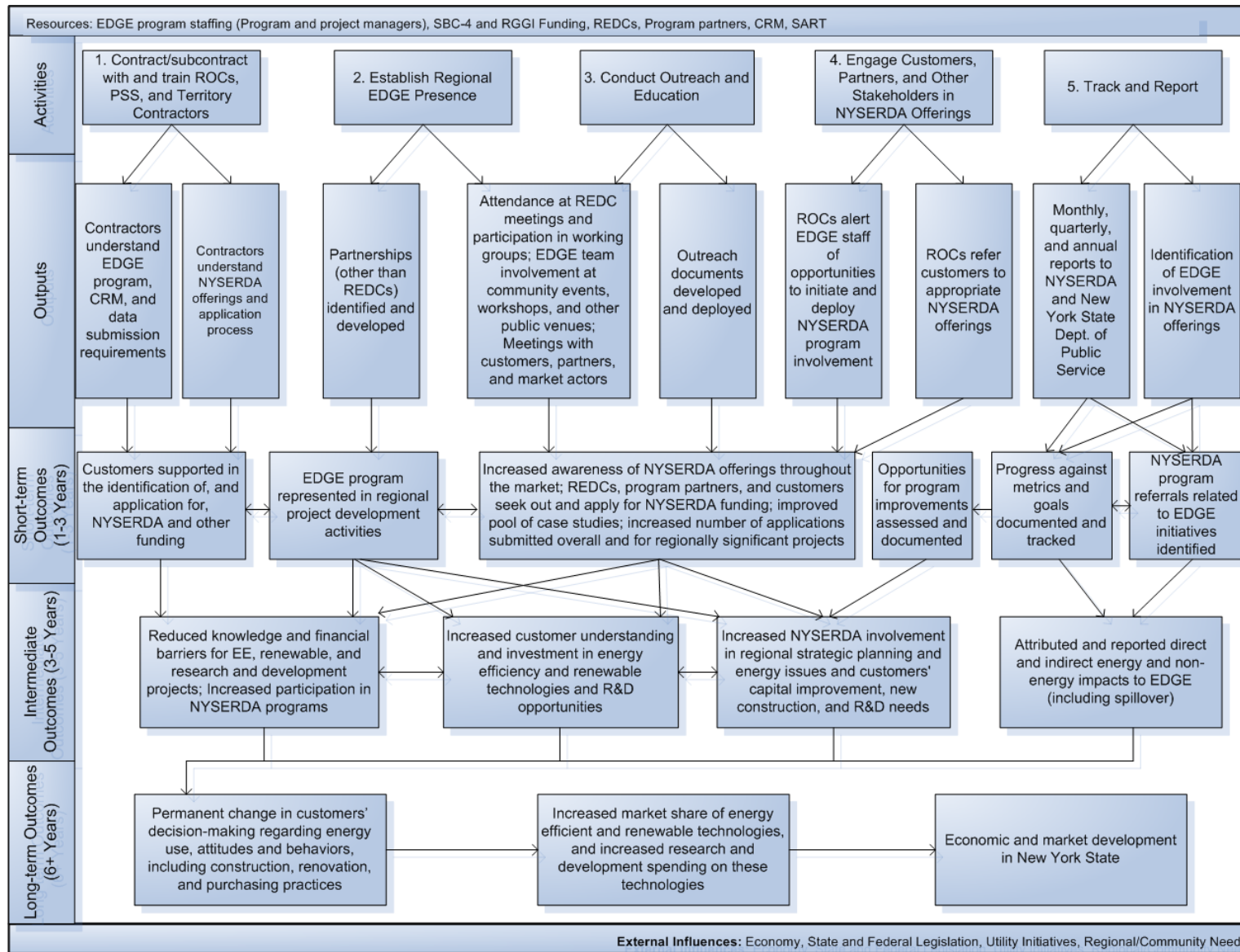
Section 7:

ASSUMPTIONS ABOUT STRATEGIES

This section describes the testable hypotheses or testable assumptions about the Program to be explored in the evaluations. These are key evaluation questions about how program activities and outputs under this initiative will lead to desired near, intermediate, and longer-term outcomes.

1.   Is the EDGE program structure and its use of regional contractors effectively informing customers of NYSERDA programs, particularly those customers engaged in regionally significant projects?

2.   To what extent is the EDGE Program's collaboration with the REDCs, attendance at REDC meetings, and participation in work groups providing NYSERDA with greater access, information, and insight regarding the community's needs? Furthermore, to what extent does this collaboration identify opportunities for NYSERDA to influence customers' capital improvement and economic decisions?

3.   Is the program sufficiently engaging with program partners to expand its outreach of NYSERDA programs?

   a.   How effectively are the ROCS in leveraging existing and engaging new partnerships? How often are they meeting with program partners? Are there additional partnership opportunities that would be advantageous to facilitate?

   b.   To what extent are program partners referring customers to NYERDA's programs?

   c.   Do program partners have sufficient information to discuss NYSERDA programs with their customers?

4.   What role does the program play in addressing knowledge, attitudinal, funding, and other barriers to energy efficiency?

5.   Are the regional outreach initiatives to customers, program partners, and trade ally contractors effective and sufficient?

   a.   How effective is the program use of ROCs, program partners, and EDGE program staff in reaching customers and providing those customers with information regarding NYSERDA's programs and funding opportunities?

   b.   What type and source of outreach is most effective at reaching customers? Does this effectiveness vary by region, customer type, or other factors? Specifically, are there best outreach sources and/or methods for customers that are engaging in regional priority/significant projects?

   c.   Do ROCs have the training and tools they need for effective outreach to key market actors? What additional resources and tools would be valuable to ROCs to facilitate outreach efforts?

   d.   Are ROCs sufficiently knowledgeable about NYSERDA program offerings, and any program-related updates?

   e.   What types of customers is the program reaching out to; what are the characteristics of these targeted customers? Are there targeted customers the EDGE program is not reaching and, if so, what are the barriers of reaching those customers?

    f.   What are the characteristics of customers that implement a project as a result of the EDGE program outreach?   What is the likelihood that these customers would have participated in a NYSERDA program without EDGE intervention?

6.   What are the direct and indirect impacts resulting from EDGE?

    a.   Is customer awareness and attitudes of energy efficiency, renewable technologies, and R&D opportunities changing as a result of the program?

    b.   At what stage of their projects are customers becoming knowledgeable about and considering NYSERDA program options? Are NYSERDA offerings considered in their decision-making process? What role did ROCs and EDGE staff play in customers' knowledge of NYSERDA offerings and project-related decisions?

    c.   How accurately and confidently can NYSERDA link EDGE initiatives to NYSRDA program participation?

    d.   Are customers making energy efficient improvements that are not being funded by NYSERDA offerings as a result of EDGE efforts?

7.   How is Salesforce being used throughout program processes?

    a.   Are ROCs consistently and accurately tracking outreach activities and contacts with customers and partners?

    b.   Is the tool being referenced by EDGE and/or other NYSERDA staff; and if so, for what, and how often?

    c.   Are there functionalities of the Salesforce tool that are not being used but may be beneficial for EDGE purposes (e.g., link EDGE program to NYSESRDA participation, provide follow-up reminders)?

8.   Is EDGE engaging a larger or different group of projects that would not be if the community-based program were not available?

Section 8:

NON-PROGRAM INFLUENCE ON OUTCOMES

This section describes the influences that are external to the program that may affect the outcomes such as the economy and other influences over which NYSERDA programs have no direct influence.

8.1 AVAILABILITY OF LOCAL RESOURCES

The EDGE Program depends on ROCS and program partners to provide outreach and information related to NYSERDA program offerings the benefits of energy efficiency within projects. The program design relies heavily on the availability of these local resources. Each region varies considerably in the availability of these resources particularly as the economy shifts in these various markets.

8.2 REGIONAL PRIORITIES AND PROJECT COMPLETION

While EDGE provides outreach to the general market, a particular emphasis of the program is on regionally significant and priority projects established by the REDCs. These projects tend to be larger in scope with potentially considerable public visibility. As such, there are many factors that may affect whether regionally significant / priority projects are executed as planned, such as: clarity of REDC goals and specific projects to meet those goals; availability of funding sources considered as part of project planning (outside of NYSERDA funding); economic conditions which may result in increases or decreases in project scope, and; project approval.

Section 9:

REFERENCES

This section documents the materials used to develop the report

Economic Development Growth Extension (EDGE) Program – Regional Outreach Contractors (ROCs) draft list of responsibilities provided by NYSERDA 11/13/2013

Exhibit A Statement of Work for Agreement # 30426 for NYSERDA Economic Development Growth Extension (EDGE) Program, Territory 3 (Downstate) Contractor – Solar One, Inc.

Operating Plan for Technology and Market Development Programs (2012 – 2016) System Benefits Charge Originally Submitted December 22, 2011, First Revision November 13, 2012, Second Revision February 15, 2013

Regional Economic Development Outreach Request for Proposal (RFP) 2570

RFP 2570 Economic Development and Growth Extension (EDGE) Program Question & Answer Sheet

Solicitations for Regional Outreach Coordinator positions posted online such as the Bronx Regional Outreach Coordinator position (posted 1/11/2013)

Interviews with Program Manager and Project Managers in March and April 2013

Jane S. Peters and Sharon A. Baggett, *Process Evaluation Energy $mart Communities Program Final Report.* April, 2009.