

PROCESS EVALUATION
Energy Smart Communities Program
Final Report

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ABSTRACT

This report presents the results of an assessment of the **New York Energy \$martSM** Communities Program (Energy \$mart Communities). Energy \$mart Communities brings together community organizations and agencies to work with NYSERDA to develop model projects demonstrating how energy efficiency and renewable energy activities create economic, social, and environmental benefits for communities. Currently ten Energy \$mart Communities coordinators throughout the state represent NYSERDA, providing energy efficiency education, developing partnerships to implement local projects, and connecting community businesses and residents with NYSERDA programs. In this, they are supported by NYSERDA staff, as well as by Lockheed Martin, the services and support contractor.

The process evaluation team conducted the evaluation in three phases, covering three time periods: fall 2007, which was early in the transition to the new services and support contractor; spring 2008; and fall 2008. In each of the three periods, evaluators conducted in-depth telephone interviews with NYSERDA staff, regional coordinators, and Lockheed Martin representatives, completing 38 interviews across the three phases.

The evaluation team found that over the three phases, program communication, coordination, and services have improved. Evidence includes: improved training by Lockheed Martin, especially for new coordinators; Lockheed Martin's development of a program implementation handbook; increased value and usefulness of monthly organizational calls to the coordinators; improved communication between program contractors; availability of long-anticipated local project data; and more consistent monthly feedback by the coordinators on program metrics to NYSERDA. The program also continued to redefine the coordinators' scope of work, improve the flow of marketing materials, and provide support for events. Lockheed Martin staff has become more familiar with regional differences and needs, and thus is better able to support the regionally-specific aspects of each coordinator's efforts.

Some unresolved issues remain and these generally are related to the effect of organizational changes on the program. Issues remaining include: the lack of consistent messaging and branding of the program; the continued lack of clearly defined goals and expected outcomes tied to effective measurement of program success; issues of coordination with NYSERDA staffs to support core program processes, such as fulfillment of materials for events or marketing efforts; and the need for improved coordination between the coordinators and other NYSERDA program contractors. The evaluation recommendations focus on addressing these concerns to provide support for the coordinators and to integrate them more fully into the NYSERDA program structure.

ACKNOWLEDGEMENTS

Many people contributed to this evaluation effort, especially NYSERDA's Energy Analysis staff. Patricia Gonzales was the Project Manager, supported by Victoria Engel when Ms. Gonzales was on leave at the end of 2008. Both worked with the Energy Analysis staff and management to address the appropriate issues, help schedule interviews and meetings, procure documents, and provide other important services. Program managers and project managers contributed their time and candid assessment of the process, and reviewed interview guides and report drafts. Lockheed Martin staff also participated in each phase of the evaluation, providing insights into their responsibilities and those of the coordinators. Finally, the Energy Smart Communities coordinators remained actively engaged throughout the evaluation, participating in multiple rounds of interviews and sending updates on their activities between interview phases to enhance the evaluation team's understanding of their work and provide "real world" examples of items the evaluation team had discussed in the interviews. The team is grateful to all of these people for sharing their experiences throughout this year-long evaluation process.

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EXECUTIVE SUMMARY

The **New York Energy \$martSM** programs are funded by an electric distribution System Benefits Charge (SBC) paid by customers of Central Hudson Gas and Electric Corporation; Consolidated Edison Company of New York, Inc.; New York State Electric and Gas Corporation; National Grid; Orange and Rockland Utilities; and Rochester Gas and Electric Corporation. Programs are available to all electric distribution customers that pay into the SBC. The New York State Energy Research and Development Authority (NYSERDA), a public benefit corporation established in 1975, administers the SBC funds.

In 2003, NYSERDA expanded its evaluation of the **New York Energy \$martSM** Program, launching a large-scale assessment using specialized contractor teams to provide evaluation services. Research Into Action, Inc. has conducted process evaluations of the **New York Energy \$martSM** programs since May 2003. This report, developed by the Process Evaluation team from work conducted from October 2007 through December 2008, presents a review of the **New York Energy \$martSM** Communities Program (Energy \$mart Communities).

Energy \$mart Communities originally came to NYSERDA under the U.S. Department of Energy's *Rebuild America* program, and brings together community organizations and agencies. Together they develop model projects demonstrating how energy efficiency and renewable energy activities create economic, social, and environmental benefits for communities. These efforts are guided by the Energy \$mart Communities coordinators (coordinators) in each of ten designated regions: Central New York; Finger Lakes; North Country; Western New York; Southern Tier; Capital/Saratoga; Mid-Hudson; and New York City North, South, and East.

In 2006, Lockheed Martin was competitively selected by NYSERDA as the Services and Support Contractor for the program. NYSERDA envisioned that this contractor would reduce its project managers' workloads and provide additional support to the coordinators. In late 2007, the NYSERDA program management structure changed to consolidate responsibility for the coordinators under one project manager rather than two.

These changes framed the initial research issues for this evaluation, which was designed to assess the effects of these transitions on the coordinators. The evaluation occurred in three phases, covering three time periods: fall 2007, which was early in the transition to Lockheed Martin as the Services and Support Contractor; spring 2008; and, finally, fall 2008. In each of the three periods, evaluators conducted in-depth telephone interviews with NYSERDA staff, coordinators, and Lockheed Martin representatives. Evaluators completed 38 interviews across the three phases. Contacts included five NYSERDA staff members, four Lockheed Martin staff members, and eight coordinators. Most contacts were interviewed three times, some twice, and a few just once.

Phase three of the process evaluation was completed in December 2008, and rounded out the year-long process evaluation effort. The focus in the third phase was: to reflect on all changes in the program and to assess their impacts on program structure, management, support, and implementation; and to explore responses to the reorganization late in 2008 that placed Energy \$mart Communities in the newly restructured Marketing and Economic Development Unit at NYSERDA.

During phase three, program staff, Lockheed Martin staff, and the coordinators reported a variety of successful activities in the Energy \$mart Communities program. These included: improved training provided by Lockheed Martin, especially for new coordinators; Lockheed Martin's development of a program implementation handbook; increased value and usefulness to the coordinators of monthly organizational calls; improved communication between the coordinators and other NYSERDA program contractors; availability of some local project data; and more consistent monthly reporting on program metrics. The program also continued to redefine the coordinators' scope of work, improve the flow of marketing materials, and provide support for outreach events. Lockheed Martin staff has become more

familiar with regional differences and needs, and thus is better able to support the regionally-specific aspects of each coordinator's efforts.

In addition, NYSERDA program staff, Lockheed Martin, and the coordinators reported many accomplishments in the program regions. These included: developing and maintaining community partnerships, producing and attending many community events, beginning target projects, and disseminating program information through varied outreach activities.

The transition process will continue in 2009. Most of the contacts are hopeful that the most recent reorganization will provide better support and that the location within NYSERDA will serve the program well. NYSERDA staff, coordinators, and contractors agreed that, at this time in 2009, there is more potential for the program to provide value because the communities are now actively asking for assistance due to increased interest in energy efficiency, and they are looking for support for energy efficiency improvements.

Now that many administrative functions have been addressed and are operating more effectively, program staff expects that Lockheed Martin will be able to focus more of its efforts on coaching and providing additional support for regional projects. Lockheed Martin also will continue current tasks, such as training and reporting, identifying and sharing best practices, and identifying and assisting with the marketing of high-visibility projects.

The main unresolved issues that emerged in the phase three process evaluation are related to the effect of organizational changes on the program, including: the lack of clear goals and effective measurement of success; issues with services and support for coordinators; and issues with coordination by NYSERDA staffs to support core program processes.

The many organizational changes at NYSERDA affected the program in several ways. The evaluators found that a clear vision for Energy Smart Communities and its relationship to other NYSERDA programs has yet to be developed. For instance, the program does not have a program brand and there is no statement as to how Energy Smart Communities differs from other NYSERDA outreach efforts. The coordinators noted they remain confused about expectations and priorities for their roles and activities, as well as how their regional efforts relate to statewide program goals. Establishing clear goals and objectives could help in developing more satisfactory performance metrics, as the coordinators and program staff all noted that current program indicators only capture some elements of performance and are not the best measures of what actually occurs in the regions.

Issues with services and support also emerged at each phase of the evaluation. In the first phase, program staff and the coordinators reported high expectations for the support to be provided by Lockheed Martin. During the next two phases, program staff and coordinators said they felt these expectations had not been met. Contractual issues delayed program start-up and during the evaluation period priorities for Lockheed Martin's work frequently shifted. For example, unforeseen problems, such as turnover among the coordinators, increased the demand for training and coaching, and emphasis on the development of the reporting system limited Lockheed Martin staff's availability to work with the coordinators to develop their regional-specific offerings.

Despite these issues, throughout the three phases of the evaluation, the process evaluation team found that Lockheed Martin became both an advocate for the coordinators and the conduit for communications with NYSERDA staff. When Lockheed Martin staff was viewed as not effective in these roles, the coordinators noted that it could have been because NYSERDA staff did not get back to the Lockheed Martin staff with a response. In addition, when materials were not available or local project data were needed from NYSERDA, Lockheed Martin staff was limited in its ability to assist the coordinators. Results in phase three indicate that program staff believed Lockheed Martin should take a more proactive role (*e.g.*, in reviewing requests more carefully before sending them to NYSERDA staff).

Coordinators and Lockheed Martin staff said they have not yet received the tools they need to support core program components. In particular, they indicated that marketing materials and local project data were difficult to obtain or were unavailable. In addition, the coordinators and Lockheed Martin reported that it was hard to determine who was responsible for the fulfillment of marketing collateral and that the flow of program information to the coordinators was inconsistent. The coordinators said they would like a variety of tools – such as templates, presentations, and other collateral – that could be used statewide (with the ability to customize them for local needs). The coordinators also reported that although they appreciated the consistent web-based reporting format, some could not access the website and post reports. Finally, most of the program contacts said they would like program indicators that fully and accurately reflect what they believe the program has accomplished.

Each of the three evaluation phases has provided program staff with information to help them improve the program. Program staffs' responses at the close of the evaluation indicate that the evaluation and the reorganization have led to a detailed internal evaluation of the program. Some actions have been taken to address problems identified through this evaluation, through process evaluations conducted for other NYSERDA marketing activities, and through NYSERDA's other information sources. While some of the actions that have already been taken or are under consideration by NYSERDA may address some of the recommendations, the evaluators offer the following conclusions and recommendations to assist staff to focus ongoing efforts at program improvement.

CONCLUSIONS AND RECOMMENDATIONS

1. *Conclusion:* The evaluation found no consistent, shared understanding of and messaging for the Energy Smart Communities program among the coordinators. Lacking clearly defined expectations, the coordinators have developed priorities based on their experience and understanding of their communities. While NYSERDA program staff is working with the coordinators to develop plans to integrate their efforts with the Marketing and Economic Development Unit, coordinators still do not have a clear vision of their roles and the program's role in NYSERDA's marketing and outreach efforts.

Recommendation: The roles, responsibilities, message, and “brand” for Energy Smart Communities should be clarified and coordinated with other NYSERDA outreach efforts. NYSERDA Energy Smart Communities program staff should develop program guidelines and expected outcomes, and identify the roles and responsibilities of the coordinators in operating within the guidelines. These would include clear expectations for:

- The coordinators' host organization
- The coordinators' roles and their relation to each of NYSERDA's program contractors
- Branding of the coordinators – *i.e.*, how the public will “know” the coordinators and distinguish them from other NYSERDA actors

2. *Conclusion:* Core program processes, including information flows, collateral material fulfillment, and simple access to and use of the *GetEnergySmart.org* and *Share Point* sites, are not working successfully for the coordinators.

Recommendation: Support for essential program processes should be improved. First, program staff should ensure that marketing materials include the most recent program information and guidelines for participation. Staff also should develop an order-tracking process for marketing materials and specify guidelines for the speed and fulfillment of materials requested. Staff should direct Lockheed Martin to work with NYSERDA's Marketing and Economic Development unit to quickly develop templates, *PowerPoint* presentations, and other tools the coordinators need. It will be especially helpful to combine access to all program functions through one website.

3. *Conclusion:* Marketing materials do not address regional and cultural differences, and sometimes do not contain current program information.
Recommendation: With input from the coordinators, NYSERDA program staff should develop marketing materials that contain current program information, reflect regional differences, and are culturally appropriate.
4. *Conclusion:* Reporting does not adequately measure the program's performance. Contacts reported that this was due to the lack of clear program goals and objectives, and clear definitions of the activities being measured and how they relate to the goals and objectives.
Recommendation: Clear program goals and objectives should be developed. These should include goals common to all regions, as well as some regionally-specific goals and objectives. New indicators may be needed to address the full range of goals and objectives, including indicators that document coordination with contractors, completed projects, evidence of new and ongoing partnerships, and other characterizations that reflect the depth and breadth of the program's activities and outcomes. Clear definitions of the program metrics should be communicated to the coordinators to ensure consistent reporting.
5. *Conclusion:* Collaboration between the coordinators and contractors for other NYSERDA programs is not working as well as it could. For instance, two coordinators reported that some NYSERDA program staffs do not allow their implementation contractors to attend events with the coordinators. Some implementation contractors consistently participate in the monthly coordination calls, while others do not. Increased activity by the implementation contractors in NYSERDA's Focus Program sectors,¹ while having great potential for improving outreach, also presented a challenge, as coordinators did not have guidance on how to work with the Focus contractors to conduct outreach in their regions.
Recommendation: NYSERDA should establish guidelines for coordination and collaboration between the program implementation contractors and the Energy Smart Communities coordinators. Where program processes make this difficult, guidelines should be reviewed and revised. Program staff needs to communicate more frequently and effectively with the coordinators, particularly about expectations of their work with the Focus sector contractors. To support this, Lockheed Martin could prepare and disseminate best practice case studies of successful coordination efforts.
6. *Conclusion:* The evaluation found that the coordinators still perceive that NYSERDA program staffs generally are unaware of or do not value the coordinators' knowledge of and experience at the local community level. Coordinators said that, as a result, NYSERDA program staffs have not responded quickly to their requests for information, including determinations of a proposed project's program eligibility. Nor have coordinators been notified of program changes in a timely manner or provided with information that regularly is shared with implementation contractors.
Recommendation: Once the roles, scope of work, and priorities for the coordinators have been fully and clearly defined by NYSERDA Energy Smart Community program managers, these should be distributed to other NYSERDA program staff members. The Marketing and Economic Development Director should convene a meeting of NYSERDA program and project managers and coordinators to support a facilitated discussion about how to improve collaboration and support between program staff and the coordinators. Such a meeting was held in the fall of 2008 with the Marketing and Economic Development staff, including a discussion of how to integrate

¹ The Focus Program has end-user specific services in four end-user sectors: K-12 schools, commercial real estate, the hospitality industry, and water/wastewater treatment

marketing efforts. NYSERDA program staff also should ensure that they inform coordinators, constituents, and contractors about all program changes and updates.

7. *Conclusion:* Conducting the process evaluation in phases, which allowed for contact with program staff, Lockheed Martin, and the coordinators every six months, was very successful. These frequent contacts effectively engaged the coordinators in the evaluation process, as evidenced by the many coordinators who sent the evaluation team unsolicited press releases, newsletters, and other examples of their work between interviews. Many noted the relevance of the information to topics discussed during the evaluation interviews. During phase three, several of the coordinators asked if the evaluation would continue, as they found the process helpful in reflecting on their progress, as well as that of the program.

Recommendation: Continue the process evaluation of the Energy Smart Communities program, using the phased approach, including an assessment of the impact of moving the program to the Marketing and Economic Development Unit. The evaluation should continue to engage the coordinators in dialogue about program processes and improvements. It also should provide the Marketing and Economic Development staff with timely input about the new organizational structure and progress toward addressing the issues identified in this report.

SECTION 1:

INTRODUCTION

The **New York Energy \$martSM** programs are funded by an electric distribution System Benefits Charge (SBC) paid by customers of Central Hudson Gas and Electric Corporation; Consolidated Edison Company of New York, Inc.; New York State Electric and Gas Corporation; National Grid; Orange and Rockland Utilities; and Rochester Gas and Electric Corporation. Programs are available to all electric distribution customers that pay into the SBC. The New York State Energy Research and Development Authority (NYSERDA), a public benefit corporation established in 1975, administers the SBC funds.

In 2003, NYSERDA expanded its evaluation of the **New York Energy \$martSM** Program, launching a large-scale assessment using specialized contractor teams to provide evaluation services. In May 2003, Research Into Action, Inc. began conducting process evaluations of the **New York Energy \$martSM** programs.

This is the final report for a process evaluation of the 2007-2008 implementation of the **New York Energy \$martSM** Communities Program (Energy \$mart Communities).

The focus of the process evaluation is to assess the effects of changes to the program's structure, management, support, and implementation, and to gain early views of the program's move in late 2008 to the Economic Development Unit within the new Marketing and Economic Development Department.

The process evaluation was conducted in three phases. Interviews in phase one focused on the transition to Lockheed Martin as the Services and Support Contractor, which occurred just prior to the investigation. Interviews in phase two focused on assessment of services and support, community progress, and any challenges to realizing the program's outreach goals. Interviews in phase three focused on reviewing progress during 2008, envisioning how the transition to the Marketing and Economic Development Department might affect the program's future, and examining remaining opportunities and challenges for the program.

Table 1-1 shows the sample disposition for each phase of the evaluation.

Table 1-1. Sample Disposition

Interviewees	Completed Interviews		
	Phase One	Phase Two	Phase Three
NYSERDA program staff	2 project managers	—	1 program manager 4 project managers
Lockheed Martin	1 project manager 2 senior program support representatives 1 program support representative	2 senior program support representatives	1 project manager 2 senior program support representatives 1 senior program representative
Energy \$mart Communities coordinators	7 coordinators (6 interviews; one region has two staff)	8 coordinators	7 coordinators
Total Interviews	12	10	16

1.1 BRIEF PROJECT HISTORY AND CONTEXT

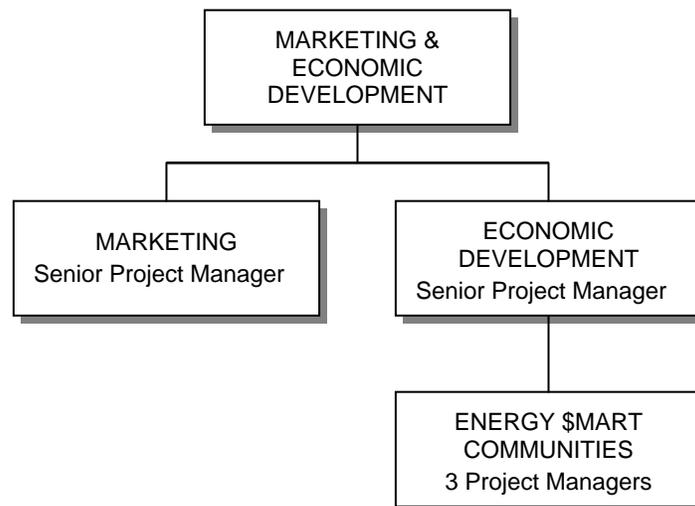
Energy Smart Communities was brought to NYSERDA under the U.S. Department of Energy's *Rebuild America* program. The program's goal is to bring together community organizations and agencies to develop model projects demonstrating how energy efficiency and renewable energy activities create economic, social, and environmental benefits for communities. Marketing success stories from these projects and other community energy efficiency efforts – as well as NYSERDA's programs and their contribution to these successes – is a key focus of the program.

In addition to marketing, Energy Smart Communities identifies *Energy Target Zones*, including specific neighborhoods within a geographic region of the state, that can benefit from energy efficiency projects. The program also works to empower local groups to spread the energy efficiency word to neighbors, and provides one-on-one assistance to building owners by matching them with financial and technical assistance from NYSERDA and other organizations. All of these efforts are guided by the Energy Smart Communities coordinators (coordinators) in each of 10 designated regions: Central New York; Finger Lakes; North Country; Western New York; Southern Tier; Capital/Saratoga; Mid-Hudson; and New York City North, South, and East. One region was added in 2008 (by dividing two regions into three) to allow for better coverage of the Consolidated Edison Company (Con Edison) service territory.

In 2006, a new contract was executed for Lockheed Martin to provide program services and support to the Energy Smart Communities staff and program coordinators, including: training of the coordinators; technical assistance as needed; supporting local events; acting as a liaison between the coordinators and NYSERDA program staff; and developing an enhanced reporting system. NYSERDA envisioned that this would reduce the project managers' workloads and increase support to the regional coordinators. Work with Lockheed Martin began in January 2007; a final contract was in place by July 2007. Changes in the program management structure at NYSERDA also occurred in late 2007, which consolidated responsibility for the coordinators under one project manager, rather than two.

In the fall of 2008, another structural change at NYSERDA moved the program from Residential Energy Efficiency Programs (REAP) to a newly restructured Marketing and Economic Development Department. The project manager and program were moved to the Economic Development Unit, and now report to the new director of the Marketing and Economic Development Department. Figure 1-1 shows the organizational structure for the program within NYSERDA.

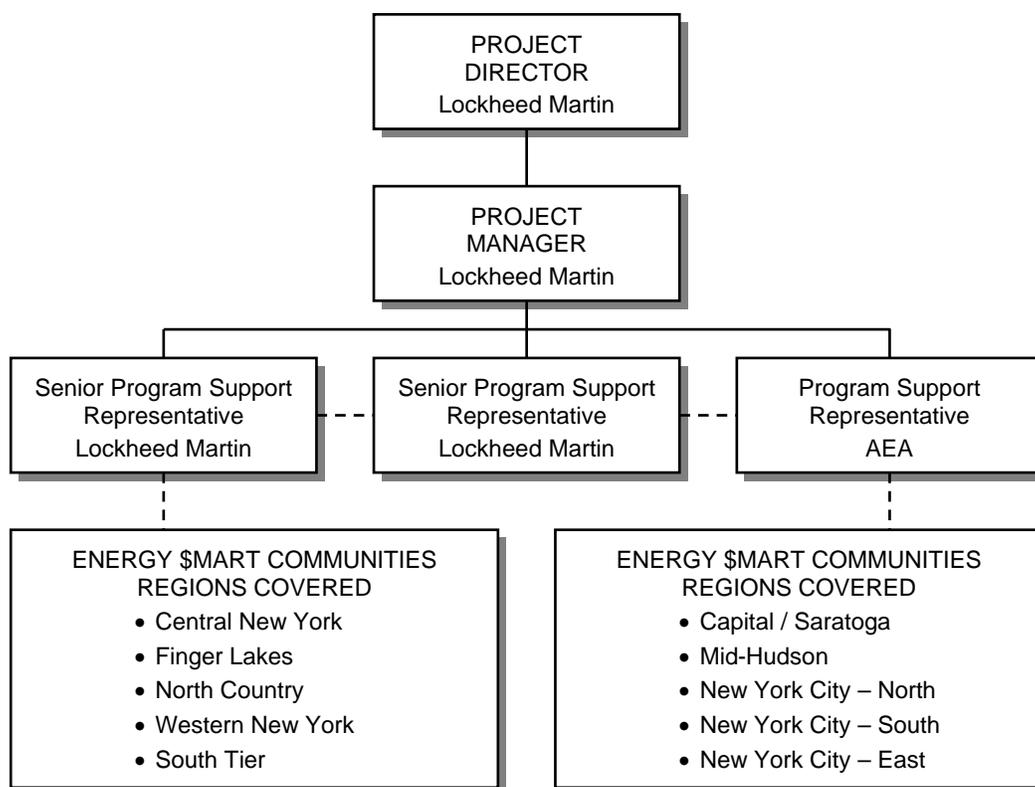
Figure 1-1. Organization of NYSERDA Marketing and Economic Development Department



Three economic development staff and the former project manager now divide management responsibility for the 10 regions. This move is intended to facilitate the coordinators' role in representing all of NYSERDA's programs, rather than primarily the residential sector, and to enhance coordination with other NYSERDA marketing and economic development efforts. Additionally, a new NYSERDA department, the Consumer Services and Event Management Team, will handle conference planning and event coordination through requests that come to them directly.

Figure 1-2 shows the organizational structure for the services and support function performed by Lockheed Martin as of September 2008. Lockheed Martin staff includes a Project Director, Program Manager, and three support representatives. The regions are divided between two of these support representatives, who provide day-to-day assistance, training, and technical assistance.

Figure 1-2. Organizational Chart of Lockheed Martin Energy Smart Communities Services and Support



The primary impetus for the process evaluation was to explore the effects of program and organizational changes on the coordinators' work at three points in time: early in the transition to Lockheed Martin as Services and Support Contractor in fall 2007; in the spring of 2008; and in the fall of 2008. In spring 2008, the evaluation focused on assessing the views of program staff, Lockheed Martin, and the coordinators after Lockheed Martin's staff had been in place for several months. The third and final set of interviews occurred in December 2008, allowing a review of a year of program implementation.

1.2 REPORT ORGANIZATION

Section 2 of this report presents the evaluation results from the year-long phase three investigation. Section 3 includes conclusions and recommendations of the evaluation team.

SECTION 2:

EVALUATION RESULTS

2.1 LANDSCAPE OF CHANGE

In 2008, Energy Smart Communities functioned in a landscape of continual transformation; some changes improved program implementation, while others presented unexpected barriers to effectively achieving program goals. These changes included:

- **Changes in program administration.** When the evaluation began, the program was being consolidated under a single Program Manager (from two) within REAP. In the fall of 2008, the program was moved to the Economic Development (ED) Unit under the Director of Marketing and Economic Development and a Senior Project Manager; two existing ED staff began overseeing regional assignments. Concurrently, the former REAP Project Manager moved over with the program. Lockheed Martin took a more active role in assisting the coordinators, through training, event support, and addressing requests for materials. Their staff was also expected to provide the first link in a chain of communications to answer questions and resolve issues with NYSERDA.
- **Restructuring of program regions.** To better serve the densely populated and diverse areas downstate, two New York regions were divided into three – Downstate North, South, and East – and Westchester was added to the five counties of New York City. All six counties are in the Con Edison electric service area.
- **Turnover among coordinators.** Since fall 2007, the individuals in seven coordinator positions have changed; four positions have been created, as additions in existing regions or to fill openings in those newly formed. This increase in new staff required Lockheed Martin to provide ongoing training and support, including orientation and support as staff learned new jobs or new regions.
- **Shifts in program priorities.** In fall 2007, under REAP, the coordinators were instructed to focus their attention on mid-stream recruitment, primarily with contractors serving residential markets. They also were to develop community partners with whom to work on projects and identify opportunities for community outreach. These partnerships could be formal or informal. Additionally, the coordinators were to establish Energy Target Zones (ETZs), and develop visible anchor projects. This focus reflected the program's funding stream through REAP and its associated priorities. In late 2008, with the program's move to Economic Development, the coordinators were asked to expand their efforts and focus on aspects of the goals of the state's 2002 Energy Plan, including coordination with the REAP Products Program to hold large, visible community events (*e.g.*, compact fluorescent light distributions at major retailers). The coordinators were also to broaden their scope, from focusing on residential programs to representing all of NYSERDA's commercial and industrial, and research and development programs.

In addition to these program changes, rising fuel prices spurred consumers' and communities' awareness of, and need and demand for energy efficiency assistance. Within this context, the coordinators continued to face challenges to provide more information and assistance to consumers, and achieved significant successes. The following sections look more closely at key aspects of the program and the impacts of changes throughout the year.

2.2 KEY PROGRAM ACCOMPLISHMENTS

The contractual Statements of Work for the coordinators included several key tasks. Descriptive examples of accomplishments for each are included. (For a full discussion of accomplishments used in the program's performance assessment in preparation for 2009-2010 contracting, see Appendix A).

- **Partnership development.** This includes working to increase the number of partnerships in the region, encouraging potential partners to engage in Energy Smart Communities projects, and sharing resources (*e.g.*, knowledge, funding, speakers, and materials) at the local level. Partnerships have included other energy or environmental organizations, non-profits, business associations, city and county governments, commercial businesses, and others.
 - In the Mid-Hudson region, the coordinators assisted Lockheed Martin, Rural Ulster Preservation Company, Sustainable Hudson Valley, and Save Them Now – a non-profit providing transitional housing to formerly incarcerated men – to offer workforce development training to ex-offenders.
 - The coordinator in the Capital/Saratoga region worked with the Schenectady County Planning Department to design energy efficiency policies to be adopted by the County Legislature. Similarly, the coordinator in the New York City North region met with the Yonkers Green Policy Task Force, advising on potential legislation to codify energy efficiency measures for new construction.
 - The City of Rochester entered into a partnership with the Finger Lakes Energy Smart Communities program to conduct energy-related outreach and education to neighborhood groups.
 - In the Southern Tier region, the coordinators entered into a partnership with the Municipal Electric and Gas Association, arranging for grants to Schuyler, Chemung, Tompkins, Chenango, and Tioga counties to support local energy efficiency initiatives.
- **Program recruiting.** Targeted recruitment sought to get mid-stream actors (*i.e.*, contractors, builders, designers, engineers, installers, teachers, trade organizations, and others) into the appropriate **New York Energy SmartSM** programs. Recruitment efforts included seminars, cold calls, presentations, and other methods. Over the past year, the program also focused on recruiting residential program partners, including renewable energy system installers. Coordinators also were instructed to encourage mid-stream partners to attend scheduled trainings, distribute materials, and assist in recruiting other potential partners.
 - The Mid-Hudson coordinator worked with Cornell Cooperative Extension and Hudson Valley Community College to establish a Building Analyst training course, which attracted 19 attendees, three of whom planned to go into business after completing the course.
 - In the North Country region, the coordinator helped organize an Energy Efficient Building Operator Training session to educate apartment managers on ways to improve energy efficiency in their buildings.
 - In New York City East, the coordinator entered into a partnership with Neighborhood Housing Services of New York City (NHSNYC) to support train-the-trainer events in NHSNYC's field office, participate in the Building Analyst education programs, and develop a training program for loan offices – all to support Home Performance with ENERGY STAR[®].
 - In the Central New York Region, the coordinator has partnered with the NYSERDA Energy Smart Students program to create the *Go Green Initiative*. Thirty-eight schools signed on to participate in energy-related activities.

- **Defining and managing the Energy Target Zones (ETZ).** Coordinators were tasked to find geographic areas with a significant residential sector – particularly low-income neighborhoods – and engage businesses, community leaders, building owners, and community organizations. The goal was to gain buy-in on energy efficiency improvements, develop projects, and involve these partners in spreading the energy efficiency message. Coordinators also were to provide one-on-one assistance to help ETZ actors complete NYSERDA program applications, and then to track these projects, once approved, and report accomplishments to NYSERDA.
 - The Capital/Saratoga region coordinator continues to work with commercially-focused ETZs in Albany, Glens Falls, and Troy.
 - In the Western New York region, the coordinator worked with community organizers in Buffalo to plan an ETZ around the Elmwood Village area, a neighborhood with older housing stock and a distinct business district.
- **Identifying and managing anchor projects.** Anchor projects are highly visible, with public appeal and the potential to attract media coverage. They usually involve individual building projects, but these individual projects may include several organizations. Anchor projects are not located within an ETZ. NYSERDA encourages projects that can be replicated throughout the region. Coordinators were tasked with identifying projects that best meet these criteria, especially projects that contribute to sustainability, economic development, community growth, and environmental stewardship. Coordinators were to connect these projects with **New York Energy SmartSM** programs and monitor their progress.
 - The Energy Smart Park Initiative in Adirondack State Park, with a strong supportive role played by the North Country region coordinator, continues to pursue energy efficiency projects and follow a detailed action plan for reaching energy and environmental goals.
- **Marketing and education.** The coordinators also market all targeted **New York Energy SmartSM** programs, solicitations, and events within their regions. In the past year, while coordinators focused on the residential sector, they also marketed commercial, industrial, and research programs. Marketing options included events – such as home shows, workshops, seminars, meetings, and other efforts – that provided take-home information on energy topics. NYSERDA expected the coordinators to use NYSERDA materials when possible, but also allowed them to work with the Services and Support Contractor to develop templates, ads, *PowerPoint* presentations, and other tools as needed.
 - In New York City North, the coordinator participated in an energy exposition in the Bronx and held a series of meetings and forums with construction contractors and developers (the latter to promote EmPower, Home Performance with ENERGY STAR[®], and the Energy Smart Loan Fund).
 - In New York City East, the coordinators used the Internet extensively through their field office – *i.e.*, hosted organizations, an *Energy Matters* e-mail alert, and a web resource page.
 - Similarly, the coordinator in the Finger Lakes Region collaborated with two local newspapers in launching a new website and a feature called *ROC Green*.
 - In the Southern Tier, coordinators participated in the *Gorges Go Green* festival in Ithaca to educate the public on energy efficiency in and around the home.
 - In Western New York, the coordinator helped host *Western New York Recycles!*, an event produced in partnership with NYSERDA and Lockheed Martin. The coordinator also presented a home energy workshop at the Buffalo Niagara Expo.

- **Training and development.** The coordinators also were expected to participate in training provided by NYSERDA, share information with the other regions, and become familiar with the websites and other resources available to them.
 - In 2008, the coordinators participated in quarterly training opportunities, hosted by Lockheed Martin, with NYSERDA staff assisting with presentations on programs, policies, and technologies. Some individual coordinators also reported attending the Building Analyst course, the Building Operators program, and conferences, as well as using other opportunities to enhance their understanding of programs and technologies.
- **Reporting.** The coordinators also were responsible for completing reports as requested by the Services and Support Contractor and NYSERDA. These included reporting on key monthly metrics, and completing and submitting narrative reports. The narrative portion was lengthened in 2008 to allow for more description of activities and accomplishments.
 - The metrics focused on activities. As noted, a narrative portion of the coordinator’s monthly reports allowed them to provide more detail on tasks, such as partnership development, recruitment, ETZs, and other projects. Table 2-1 displays program results from November 2007 to December 2008 on several metrics. As shown, the coordinators’ performance varied seasonally, with a spike in outreach attendance during the spring and summer due to events like Earth Day, home shows, energy fairs, *etc.* These numbers do not fully represent activities, such as partnership development, progress toward ETZs, anchor projects, and other multifaceted efforts. The narrative sections of the monthly reports describe these more fully. As discussed later in this report, program staff and Lockheed Martin are revisiting the metrics, with the aim of clarifying their definitions and ensuring that the metrics reported best reflect program outcomes.

Table 2-1. Program Metrics for Period of Process Evaluation

Program Metrics	Reporting Phase					Total
	November to December 2007	January to March 2008	April to June 2008	July to September 2008	October to December 2008	
Meetings	105	197	203	396	255	1,156
Meeting attendance	1,170	1,829	2,159	4,076	2,701	11,935
Outreach	53	77	284	451	154	1,019
Outreach attendance	8,735	8,985	15,045	24,626	8,224	65,615
Media	27	34	35	370	49	515
Project referrals	116	329	464	650	285	1,844
Mid-stream recruitment	124	60	353	172	113	2,666

Accomplishments varied over time and by region. In areas with new staff, results reflected both staffs’ need to learn about the program and also to develop strategies for effective implementation. Coordinators newer to their positions also reported that they first focused on one or two geographic areas in their region and now feel ready to work more broadly. Some said their key accomplishment for the year was having a program that provided a local face and connection to NYSERDA programs; one coordinator said it was having a program that helped homeowners, businesses, and community leaders “learn how they can deliver energy efficiency measures in whatever form is appropriate.” As one coordinator explained, “It is a huge challenge to present sometimes technical information and competing offers to such diverse populations. You not only have to present the information, but the call to action.”

With just a few exceptions, NYSERDA and Lockheed Martin staffs said that coordinators were performing well on housing, job development, and environmental issues, and that many more people were participating in or were aware of the programs because of the coordinators' activities.

Despite all of these accomplishments, NYSERDA and Lockheed Martin staff and coordinators found that some program processes continue to present challenges for effective implementation. The following sections present staffs', coordinators', and contractors' perspectives on these components.

2.3 COORDINATORS' ROLES AND PRIORITIES

The regional coordinators are the keys to the program's success. Some of the coordinators are very experienced, including those who have been with Energy Smart Communities or other NYSERDA contracts for more than five years. Other coordinators are new and inexperienced in the energy field, NYSERDA, or both. This year the program experienced high turnover among coordinators, especially among those with less experience. Six existing regions had new coordinators or coordinators reassigned from another region; one new region was added in the Con Edison territory downstate. This offered a challenge for program implementation and required Lockheed Martin to provide additional orientation and training. More training for coordinators meant that Lockheed Martin staff had less time available to provide other types of field support.

While the essential role of the coordinators did not change over the past year, their activities did change or expand and, in some cases, so did their focus. Across the regions, the coordinators described their function in a variety of ways and noted multiple aspects of their role. Some said they represent all NYSERDA programs, serve as outreach agents to everyone in the community, establish networks, do mid-stream contractor recruitment, or focus on ETZs. Others said they just follow the Statement of Work, focus on low-income (especially multifamily) dwellings, and do general outreach and education.

It is evident from the three phases of the evaluation that the coordinators do not have a clear vision of their role relative to NYSERDA's priorities in each region, and that each coordinator develops his or her own priorities. This is not surprising, given that the initial Statements of Work for the contractors included the following:

"The Contractor shall work with NYSERDA Project Managers and the E\$C S&S Contractor to define the term 'Energy Smart Communities' and how it will be used in the targeted region."

While coordinators have specific contractual tasks, priorities in each region are influenced strongly by each coordinator's background and their home organization's priorities, existing relationships, and historical ways of doing business. However, NYSERDA staff expressed concern about this variability, even though the Statement of Work acknowledges it, and NYSERDA recognizes that each region is different and each coordinator has different strengths and connections.

This variability by region has been reported at each phase of the evaluation. In phase one, program staff reported that coordinator activities varied greatly by region. In phase two, the coordinators reported the differences in their roles and activities were due largely to increased activities to address new demands – *i.e.*, the need to do more community events as fuel costs increased or to shift their focus as they became more familiar with the job. In phase three, NYSERDA staff expressed concern about the variability in perception of roles in the different regions and the resulting activities. Yet, NYSERDA staff also acknowledged the need to adapt to different regional needs.

It is a delicate balance for coordinators to be both the public face of NYSERDA, while also drawing on individual and organizational strengths, as well as their history in the community and their local networks. Now, additional contractors are entering these communities through the **New York Energy SmartSM** Focus Program sectors (*e.g.*, hospitality, schools, and hospitals). Some coordinators said they were working with these sector contractors to identify how best to serve their communities and some said the

sector contractors complemented their own efforts. Other coordinators saw these contractors as potentially confusing for businesses and consumers, in that it might appear that two different contractors are representing the same program.

With the recent reorganization and move to Economic Development, NYSERDA staff members said they would like to see a change in the role of the coordinators in community projects. In some regions, the coordinators are expected not only to develop projects, but also to work with the customers through project completion. NYSERDA staff would like the coordinators to focus on development. Once project applications are completed, the coordinators would give the projects to appropriate NYSERDA program representatives (Focus Program sector contractors and others), who would monitor the projects through completion. This would focus the coordinators on marketing and economic development.

While the transition of Energy Smart Communities within NYSERDA to Economic Development is in an early stage and this change has not been fully defined, several coordinators expressed concerns about its impact on their work. Some said the proposed change indicates that NYSERDA staff does not understand their work at the community level: that handing off projects after developing the ideas with customers goes against everything they do to gain trust and build relationships. Coordinators also help customers solve problems with NYSERDA as projects go forward and build on success to engage these customers in further activities. Several coordinators said emphatically that they are not marketers, but actors in local host organizations and work hard to build community relationships. Coordinators also said they can share local information with NYSERDA to improve programs and processes, but they believe NYSERDA staff does not understand the coordinators' community-building activities or effectively draw on their experiences and insights.

Marketing and Economic Development (M&ED) staff members indicated that they are in the process of redefining the scope of work for Energy Smart Communities. Under the new scope, coordinators will create contact plans and strategies for coordinating with Economic Development. In developing these plans, NYSERDA staff also envisions clarifying the coordinators' roles and the expectations for their activities. Some NYSERDA staff members also acknowledged that the coordinators' roles always might vary by region, as the coordinators adapt to local needs and also try to address the overall program priorities.

2.4 SUPPORT FROM NYSERDA

The coordinators, contractors, and NYSERDA staff varied in their assessment of the amount and quality of support provided by NYSERDA. Throughout the three phases of the process evaluation, some coordinators consistently have characterized the support NYSERDA provides them as nonexistent or barely adequate, while others have described it as good or improving. Among the most useful types of support the coordinators said they had received from NYSERDA were event sponsorships, marketing materials, program updates, and information on local projects. However, even when these supports were provided, the coordinators and Lockheed Martin staff reported that it took a long time for them to materialize, and some still were not adequate to ensure efficient and effective program implementation. More detail on the types of support and assessment of them follows.

2.4.1 Support from NYSERDA Staff

By phase two of the process evaluation, the coordinators reported they did not get sufficient support from NYSERDA staff to accomplish their tasks, particularly for event participation, presentations, and information dissemination. Two variables account for much of the increased demand for efficiency services and information. The first was the rise in energy costs in 2008; the second was the outcome of the coordinators' earlier outreach efforts, which were beginning to bear fruit. The impact of this increased demand on the coordinators' time and efforts was compounded by the slower than anticipated integration of Lockheed Martin into the program.

NYSERDA responded with some additional resources, allowing two of the regions to add staff. NYSERDA also divided the New York City area into three regions, which dispersed the duties for the city among more offices. One region, however, which had had two coordinators sharing the position, now has only one. Coordinators continued to express concerns about whether resources were adequate. They said they are waiting to see the impact of the recent reorganizations on NYSERDA's expectations of them before determining what more they might need. NYSERDA staff members mentioned that they might need to add more coordinators across the state and are considering hiring additional people.

Both the coordinators and Lockheed Martin staff said they relied on various NYSERDA program staff to provide information, answer program questions, and be available to discuss customer proposals or issues. The coordinators and Lockheed Martin staff agreed that responsiveness by program staff varied greatly by program. In phase two, for example, one of the coordinators reported that he had recently had an issue that required a program response and that the program staff he approached agreed to review it. In the past, he noted, it was not always easy to find someone at NYSERDA, or if he did, to get their attention. So, he was pleased with this recent outcome. Having many new staff members at NYSERDA was considered both positive and negative. Coordinators characterized new staff members as "young in the NYSERDA culture" and very open and responsive; coordinators said other program staff members were intimidating and discouraged questions about their programs or specific customer requests. Even having Lockheed Martin to pass through and follow up on requests to program staff did not always improve the program staff's responsiveness.

Some coordinators felt that program-related requests – especially customer suggestions or proposals for projects that fall outside of the normal program approach – received such slow response that it discouraged program participation. Coordinators also reported that follow-through and feedback on submitted proposals was slow, causing some customers to give up or proceed with their projects without NYSERDA support.

In phase three, however, some coordinators said they sensed that general communication was improving and that a more responsive atmosphere was emerging at NYSERDA. Even though responsibilities, communication, and other aspects of the new reorganization still are being worked out, there was some sense that the questions or issues were getting to the "right person" at NYSERDA more quickly. Others felt that all of the changes – outsourcing of events, not having a president, moving from REAP to formally representing all of the **New York Energy SmartSM** programs – made it more challenging to navigate NYSERDA. However, most of the coordinators were hopeful that Economic Development is the right place for the program and that things will improve with time. A few coordinators mentioned that their Economic Development contact already was providing useful support in getting a response from NYSERDA program staff when needed.

2.4.2 Event Assistance

Event sponsorship and support comprised a large part of the coordinators' activities in the past year. As energy costs rose during the spring and summer of 2008, coordinators did almost nothing but organize and attend events (such as Earth Day, spring home shows, and energy fairs). Often, Lockheed Martin staff provided significant support. Coordinators sent requests for speakers and event assistance (financial, materials, or staff) to Lockheed Martin, who would present this request to program staff. In each phase of the process evaluation, the coordinators reported that Lockheed Martin staff made themselves as available as possible to attend events. Both Lockheed Martin staff and the coordinators reported that they worked many weekends. They participated in so many events that it was challenging for the coordinators, in particular, to meet other program needs.

In October 2008, coordination for event activities moved to the new Consumer Services and Events Management Unit (CSEMU). As a result, new protocols for event applications, financial support, materials fulfillment, and other aspects of this part of the coordinators' role are being redesigned.

In the interim, the coordinators and Lockheed Martin staff expressed confusion about event proposals. Some coordinators thought there was a complete moratorium on events until CSEMU could provide protocols; others said they just did not know what to do, such as whether or when to submit an application, or the levels of support they could request. Still, given the demands of event participation, the coordinators were hopeful that CSEMU's involvement would relieve them of having to attend weekend activities and would provide better overall support.

2.4.3 Materials Development and Distribution

As with event assistance, coordinator requests for materials go through Lockheed Martin staff, who then requests the materials from NYSERDA. In every phase of the process evaluation, coordinators and Lockheed Martin staff have reported that obtaining materials, getting them in a timely fashion, having materials that are up-to-date and culturally and regionally appropriate, and getting templates to assist with marketing, have posed challenges. In phase one, the coordinators, while recognizing that Lockheed Martin was new to their function, expressed the need for more templates for marketing, outreach materials, and other collateral. The coordinators recognized that having templates they could customize – including *PowerPoint* presentations, newsletters, and ad copy – would save a great deal of time. Even if Lockheed Martin did not develop these tools, but coordinators did, Lockheed Martin could take the responsibility for sharing the new materials with all coordinators.

In phase two of the evaluation, coordinators reported that it was still very difficult to get marketing materials (including items such as table banners for events) and that there still was a need for scripted *PowerPoint* presentations, press releases, and materials that reflect current program requirements. Other comments focused on the need for higher quality materials (e.g., those that reflect the latest knowledge in social marketing) and materials which are cultural- and language-appropriate.

These concerns remain. In interviews during phase three of the evaluation, the coordinators again said there was a need for consistent fulfillment of marketing collateral and for materials that reflect the communities where they are used. They also said that basic tools for events – table banners, light meters, and others, as appropriate – must be available to every region. NYSERDA staff also noted that, since the process for requesting support for an event and materials had not yet been updated to reflect the reorganization, there could be additional fulfillment delays.

The coordinators and Lockheed Martin staff recommended that NYSERDA: develop an electronic system to track orders and shipping; improve timely revisions of materials to ensure that program requirements are accurate; and localize images, program calculations, slides, and photos. Lockheed Martin recently opened a fully staffed office in Saratoga, where they may store materials. This may help improve access to materials and fulfillment, but it does not address the larger issues of accurate and regionally- and culturally-appropriate marketing collateral.

NYSERDA program staff think that some of the issues with fulfillment arose from the fact that Lockheed Martin has two separate contracts – one for the services and support function for the Energy Smart Communities program and one for fulfillment. In spring 2009, program staff intends to combine these functions to reduce the need for two separate materials inventories. The hope is that this will speed the process of getting materials to contractors.

NYSERDA program staff also reported that the REAP unit had spent considerable effort in 2008 conducting focus groups to gain feedback on their marketing materials. This information will be used to revise the materials to better reflect regional differences.

2.4.4 Local Project Information

Coordinators and contractors said that gaining information on local projects was another issue that took a very long time to resolve. The coordinators consistently have noted the need for information about NYSERDA-funded projects in their community. Being able to share with community leaders and

consumers the amount of support that has come back to their communities for energy efficiency improvements – including the number of projects, types of projects, dollars spent, and energy saved – would be a powerful tool for marketing NYSERDA programs.

In phase one, the coordinators and Lockheed Martin staff said it was hard to get this information. Some coordinators noted that they went to meetings with organizations without knowing that their projects had been supported by NYSERDA programs. It is important for coordinators to have this information to present a credible image to customers and to help overcome barriers to participation by highlighting successful projects in the region and community.

In phase two of the evaluation, the lack of local project information continued to frustrate the coordinators. Several noted that this led to embarrassing situations in communities in which they are increasingly visible and need to be seen as knowledgeable and credible spokespersons for NYSERDA. Lockheed Martin staff reported that they too had continued to lobby for this information, knowing its importance to the local coordinators.

By the end of 2008, some progress was made on this issue. Coordinators recently received two years of Energy Efficiency Services (EES) program data on projects across the state and Lockheed Martin is working with NYSERDA to get the same type of information for other programs. All were glad finally to receive some information. In the future, the coordinators would like to have this information from more programs, sorted by county, and to obtain it more consistently and quickly.

2.4.5 Program Updates and Training

The coordinators reported that timely program updates and information on how the programs work are useful. As one contact noted, the most successful coordinators are self-starters. However, it is NYSERDA's responsibility to give the coordinators a clear description of their role at NYSERDA, guidance on how best to achieve their goals, and accurate and up-to-date technical and program information to help them build partnerships and develop initiatives. Some coordinators said program staff did not see the coordinators as "being on the front line" and so they were not informed of key program changes, even though it would have been easy to include the coordinators on mailing lists, such as those used for the program's implementation contractors. Lockheed Martin staff noted that the monthly calls provided useful program updates, but that with the new Energy Efficiency Portfolio Standards (which may result in significant changes in some program offerings), timely and accurate information, and training on fast-track programs, will be even more critical.

2.4.6 Electronic Supports

Energy Smart Communities coordinators use three web-based sources. These include: the *GetEnergySmart* partner portal and general public website; the Energy Smart Communities *SharePoint* site, developed by Lockheed Martin for reporting and sharing of information; and an events survey the coordinators complete each month. Throughout the evaluation, the coordinators and Lockheed Martin staff reported that the web-based resources need improvement.

The *SharePoint* system was launched in fall 2007. Some coordinators said they had been able to upload a monthly report, and one had successfully posted questions and received responses from other coordinators. Program staff is optimistic that the system will improve reporting and interaction among the coordinators. The *GetEnergySmart* website was redesigned and launched in January 2008, with new resources for coordinators, consumers, and other contacts. The coordinators, however, thought the site still presented challenges for consumers, due to its complexity and volume of content.

By phase two, the coordinators reported a lot of difficulty accessing the *SharePoint* site to post reports. The problem was linked to Lockheed Martin's security protocols requiring users to change their passwords frequently. Most of the coordinators said they were unable to log on, found it too time consuming to try, and decided to send monthly reports to Lockheed Martin staff, who would then post

them on the site. While the site could foster information sharing, none of the coordinators consistently used it for networking. Lockheed Martin staff was aware of the access problems, but viewed the system as an improvement over e-mail and felt that with the planned changes, the site will be most useful as a tool for archiving reports.

In the phase three interviews, while NYSERDA program staff noted that the Lockheed Martin system had enhanced reporting (a key process improvement), the coordinators and Lockheed Martin staff agreed that the *GetEnergySmart* and Energy Smart Communities *SharePoint* websites still need improvement. While Lockheed Martin staff members viewed the *SharePoint* site as a key accomplishment of the past year and felt it had enhanced centralized reporting, they acknowledged the password/access issue. They also saw the potential for using both sites for other program support: to identify best practices in outreach; collaboration; working with strategic partners; developing unique anchor projects; and as a tool for providing training, *etc.* Foremost, the coordinators and Lockheed Martin staff agreed that website integration and improved functionality are needed. Concerns that were voiced throughout the year, and which remain, represent organizational, marketing, and administrative perspectives:

- Coordinators said that the *GetEnergySmart* website is so comprehensive and complicated that consumers, even the more Internet-savvy ones, will not search for information at the site. Additionally, NYSERDA's focus on sending consumers to the website and then providing follow-up does not work in remote regions where Internet service is spotty and residents usually do not use the web as an information source.

Given the difficulty of navigating the site, the coordinators send consumers a direct link to the information they're requesting and tell them what to expect when they get to the site. Others have developed and posted information on energy efficiency programs and other pertinent subjects on their own organization's website. The latter approach is especially useful when trying to give targeted consumers, such as contractors, all of the energy-saving resources available to them, not just those provided by NYSERDA.

Additionally, coordinators said that sending consumers to the website is not "how it works" at the local level. Rather, someone like the coordinator usually identifies and makes the right contacts, creates relationships, and then "feeds them and leads them (the consumers) down the road. This requires concise, very pointed informational tools – not a complex, generic website which they have to maneuver."

- Once a consumer logs on, the website is not user-friendly. It is complex and confusing, and uses language that may not be meaningful to consumers. For example, in the Energy Smart Communities area of the site, terms such as *NYC North*, *East*, *West*, and *Mid-Hudson* may work for internal administrators, but are confusing to customers. In addition, a consumer in the downstate area would have to click on three separate regions to find an event.
- It is inefficient to access multiple websites to post reports, view other activities, or clarify a web path for a consumer. Both the coordinators and the Lockheed Martin staff said this information must be integrated. Program information should be able to be accessed, reports filed, event requests completed, and other tasks accomplished through one, easy-to-access entry point.
- Security issues with the Energy Smart Communities electronic reporting and data-sharing system continue to present challenges for logging on and posting reports. Some coordinators still send their reports to Lockheed Martin for posting; one coordinator reported only one successful login in 11 months.
- In addition to the *SharePoint* reporting process and posting through the portal, the coordinators reported that they also have to complete a third monthly report (an events survey), even though they included this information in their monthly reports. Users of the events information should be

able to access it or request it from the coordinators' reporting system. Having to access a third system for reporting is again time consuming and adds to the complexity of the process.

NYSERDA program staff reported that some of the difficulties the coordinators experience with both the *GetEnergySmart* and Energy Smart Communities *SharePoint* sites are a function of the computers used by the coordinators. While these issues are known to program staff and are on the Management Information System (MIS) unit's list of tasks, they are a low priority, given that MIS's attention is currently focused on NYSERDA's system-wide database project.

2.5 SUPPORT FROM LOCKHEED MARTIN

The coordinators' assessment of the support they receive from Lockheed Martin has varied at each phase of the evaluation. Some coordinators said that good support was being provided or expected from Lockheed Martin. Some noted that individual Lockheed Martin staff members were very helpful, collaborative, knowledgeable about the programs, and available as a resource. At each stage, however, almost half reported that, while they did get some help (*e.g.*, with events or questions), they felt the support provided was not what they expected or needed. In general, the new coordinators were more positive in their assessments, although some more experienced staff also held positive views. This is not particularly surprising, given that Lockheed Martin staff trained most of the new staff, prepared an operations manual defining the program, had closer contact with the new hires, and that the new hires had no other prior experience for comparison.

It is difficult to separate the assessment of the Services and Support Contractor from that of NYSERDA's support. From the coordinators' viewpoint, many of the services and support that Lockheed Martin provides depend on Lockheed Martin staff getting support from NYSERDA. For example, while Lockheed Martin might receive requests for assistance in obtaining marketing materials, NYSERDA staffs may not respond promptly or the materials may not be available from NYSERDA. The coordinators often provided this caveat in their assessment of Lockheed Martin's performance.

2.5.1 Planning and General Support

Lockheed Martin's Statement of Work outlined a broad range of activities under the general category of support. Support for the coordinators could include, but was not limited to, assisting with the development of regional and recruitment plans, helping coordinators leverage relationships with their business and strategic partners, and providing general technical assistance (*i.e.*, answering day-to-day questions) and marketing support. Lockheed Martin's tasks also included helping identify and improve indicators for measuring program performance.

In phase one, coordinators said they had received limited support from Lockheed Martin, in part due to changes in Lockheed Martin's program role. While a few coordinators were dissatisfied with the choice of Lockheed Martin as the contractor, most were optimistic that once some of the planning and administration tasks were achieved, Lockheed Martin would give them more support. A few coordinators said Lockheed Martin staff was available to answer questions, help coordinators address shared issues, and assist with events and marketing. In addition, NYSERDA staff reported that contracting issues significantly lengthened program-planning time and delayed Lockheed Martin's start-up.

By phase two, in the spring of 2008, some coordinators considered Lockheed Martin staff members to be useful allies. They noted that after a steep learning curve, Lockheed Martin staff had become more familiar with the communities and the coordinators' interests and assets, and Lockheed Martin had begun recommending actions based on their staffs' experience and regional perspective. They also were able to help coordinators with events.

Many of the coordinators who felt that Lockheed Martin was not providing what they needed suggested that Lockheed Martin was not receiving enough direction or support from NYSERDA. A few

coordinators, however, thought that Lockheed Martin staff did not have the appropriate skills to meet program requirements. These coordinators said they repeatedly asked Lockheed Martin to advocate for and secure important tools, such as marketing materials, local project data, and templates.

In phase two interviews, Lockheed Martin staff reported that they better understood NYSERDA, and the support and resources the coordinators needed. Lockheed Martin staff said they also were working with regional representatives to articulate approaches to statewide goals.

In phase three, several of the coordinators reported that Lockheed Martin staff had helped them focus their efforts through on-site visits, dialogues regarding the communities the coordinators serve, and strategic discussions. Other coordinators said Lockheed Martin staff returned calls and e-mails quickly, provided event support, assisted with mid-stream recruitment, and helped find the appropriate NYSERDA contacts. Some respondents also reported that Lockheed Martin had provided ideas for local projects and strategies for approaching specific market sectors or organizations. Although around half of the coordinators consistently said at each phase of the evaluation that Lockheed Martin had provided little, sporadic, or no effective support, they did say that they had received help with an event, materials, or a presentation.

Lockheed Martin staff members, in comparison, consistently have expressed that they provided a high level of support to the coordinators, although they admitted that it was less than they had envisioned. Lockheed Martin staff and some of the coordinators felt that NYSERDA had not provided Lockheed Martin with consistent and clear direction by asking them to focus on meeting administrative and reporting needs (*e.g.*, development of the *SharePoint* reporting system), rather than on supporting the day-to-day needs of coordinators (*e.g.*, assisting with projects, events, and problem-solving with NYSERDA). Lockheed Martin also had to move more of their resources toward training and coaching (*e.g.*, helping to establish priorities, get projects off the ground) to deal with a high turnover of the coordinators.

In the phase three interviews, some program staff reported that Lockheed Martin has become more involved in day-to-day activities, responds to requests more quickly, and is more available for presentations to community organizations and/or potential partners. These program staff also said Lockheed Martin is providing good administrative support, such as assisting them with reporting.

However, program staff wants Lockheed Martin to take a more proactive role, in particular by screening requests before submitting them to NYSERDA. In addition, program staff said that, since Lockheed Martin has implemented many of the critical administrative functions, it can now emphasize the support function, including coaching coordinators and providing up-to-date project data, program information, and marketing assistance. Program staff also would like Lockheed Martin to help evaluate the coordinators' performance and to work with the coordinators to develop plans identifying how they will integrate the Focus Program's goals and activities with those of Energy Smart Communities.

2.5.2 Communication

Lockheed Martin staff was expected to do the following communication tasks: attend all regional, quarterly, and bi-annual meetings conducted by NYSERDA and the coordinators; coordinate and hold monthly conference calls between NYSERDA and the coordinators; and document and disseminate minutes of these calls. NYSERDA staff believes that Lockheed Martin should take the lead in facilitating these calls.

However, in phase one and phase two of this evaluation, the coordinators considered the calls and the quarterly meetings as primarily "information dumps" by Lockheed Martin and NYSERDA, with little or no opportunity for the coordinators to share information among themselves. That is, most of the time taken by the calls consisted of NYSERDA or Lockheed Martin staff talking to the coordinators about NYSERDA programs, with little opportunity for the coordinators to respond, ask questions, or share information on local projects or issues.

In phase three, a few of the coordinators said communication between NYSERDA, Lockheed Martin, and the coordinators during the monthly calls had improved. For example, the last half-hour of each call was dedicated to the exchange of information between coordinators. One recent discussion, which occurred as winter approached, focused on home heating resources. Other discussions covered micro-lending, the Home Performance recruitment process, and expanding the coordinators' relationships with other NYSERDA program contractors. A section at the end of these discussions usually covered questions coordinators might anticipate from customers. Some of the coordinators considered the discussions and question-and-answer periods very useful, and an improvement over the past, when little time was allotted to this type of exchange.

2.5.3 Training

Training was a key part of Lockheed Martin's work in 2008. Their tasks included developing a training schedule and implementing general and ongoing customized instruction to ensure that the coordinators were adequately trained. Training primarily focused on NYSERDA programs and policy updates, reporting procedures, and other administrative tasks. In the first two phases of the evaluation, the coordinators, program staff, and Lockheed Martin all thought that additional training was needed.

Training remains important, especially with the high turnover among the coordinators. According to NYSERDA program staff, Lockheed Martin held more face-to-face meetings with the coordinators in 2008 than in 2007, and provided more information on energy efficiency topics at meetings and during monthly calls than in the past. In fact, program staff said Lockheed Martin had held more meetings than required by their scope of work. Lockheed Martin also developed and maintained the program operations manual, which is essential for new coordinators and also a useful tool for more experienced staff.

Coordinators' views of the training have varied at each phase of the evaluation. In phase one and phase two, they expressed some dissatisfaction with the training, primarily with the lack of networking time for the coordinators during the quarterly training events. This time is valuable for sharing best practices, identifying common problems and solutions, and hearing about various approaches in each region. The coordinators also perceived a lack of flexibility in the format to address critical topics raised by the coordinators – *e.g.*, customer questions or concerns with specific NYSERDA program requirements – versus just receiving program updates. The coordinators also felt that NYSERDA and Lockheed Martin tried to cover too much material during the training events. In phases one and two of the evaluation, some of the more experienced coordinators reported attending only a portion of the two-day sessions or missing them altogether. If the material on the agenda was not seen as useful or their schedule did not permit, they would not attend the sessions.

When asked how training had changed, if at all, over the past year, the coordinators reported little change, although a few cited that NYSERDA program staff had made more presentations and that these had been very useful. One coordinator said these presentations “help us to see what they want to achieve in their programs and how we can help.” These presentations also provide an opportunity for the coordinators to discuss questions about the programs and issues their customers raise. The coordinators found the session held in fall 2008, in which they presented their regional efforts to the new Marketing and Economic Development Department, to be a very useful event that was both an opportunity to share their own day-to-day projects and accomplishments, and to hear from other coordinators.

The less experienced coordinators considered the two-day sessions among the most useful training opportunities offered by Lockheed Martin. New coordinators need orientation, skills training, and the opportunity to learn from those more experienced, so it is not surprising that they found the training sessions very useful, and considered the trainings and ongoing support from Lockheed Martin more valuable than did the experienced coordinators.

Several of the coordinators said that what is called *training* – *i.e.*, mostly the provision of program updates and dissemination of information – is not the type of developmental process they need. They

would prefer a developmental approach to training that outlines clear goals, policies and procedures, priorities, and what is required to implement them consistently in the regions. Leadership training also could be a part of this process. While the training now largely consists of information on NYSERDA programs, including changes and technical information, other topics could include how to: gain entrée into a community; build collaborative relationships; and work with strategic partners to achieve outcomes. Training also could include how to move customers toward taking energy efficiency actions after an audit.

Lockheed Martin staff reported that more training time was needed than anticipated in 2008. In particular, unexpected turnover among coordinators increased the demand for training and coaching of new coordinators. The operations manual was an important training component for both new and existing coordinators. Yet, the time Lockheed Martin spent on training and on developing the manual reduced its ability to serve the coordinators on a day-to-day basis. Lockheed Martin and NYSERDA program staff were hopeful that better recruitment of coordinators, better communication with the host organizations, and more emphasis on coaching and daily support could reduce turnover among the coordinators and the time required for training.

Both the coordinators and Lockheed Martin staff agreed that more training still is needed. Suggested training topics include: technical aspects of some of the programs; programs the coordinators had not represented fully in the past (EES, R&D); complex programs (such as the Enhanced Commercial Industrial Performance Program); programs with many changes (Loan Fund); rapidly changing technologies; NYSERDA's views of and policies on specific technologies and issues (*e.g.*, geothermal, wood stoves, and air quality); and changes in environmental laws and policies and their effects on local decision-makers. Some coordinators said that, given the time constraints, more innovative ways to deliver training might be needed, but did not have specific ideas for alternative delivery mechanisms.

2.5.4 Coordination and Reporting

Lockheed Martin was tasked with maintaining consistent coordination across the regions. This included providing the resources the coordinators needed to stay informed of all regional activities, and tracking and reporting on program activities. They also were to identify best practices, develop strategies to coordinate the goals of Energy Smart Communities with other NYSERDA programs and contractors, track referrals, and provide feedback on information sharing. Lockheed Martin was also required to report on program metrics using a standardized reporting format and to provide these data to NYSERDA on a consistent basis, along with *ad hoc* reports as requested.

Coordination

It is understandably challenging to coordinate communication among NYSERDA's many program contractors. To address this, NYSERDA and Lockheed Martin required coordinators to schedule and facilitate quarterly contractor meetings in their regions. In phase two of the evaluation, some coordinators reported that they were reluctant to hold these meetings, as they were not clear about the purpose. Lockheed Martin and NYSERDA responded with more information about the need, not only to coordinate with the contractors for existing REAP programs, but with all of NYSERDA's implementation contractors, current and future. By phase three, all of the coordinators reported that they were holding the meetings, even though some were sparsely attended by other NYSERDA program contractors. For those who attended regularly, some said they also worked together to improve local information or share ideas on how to navigate NYSERDA more successfully. NYSERDA program staff indicated that in the future, if additional funding is available, the coordinators would meet separately with contractors for both REAP and EES.

NYSERDA staff reported that a template for the call agenda was shared with the coordinators in 2008, and the goals of the calls are to have the contractors share their activities in the region and to look for

possible opportunities to collaborate. Still, a few of the coordinators reported that these meetings were difficult in the beginning, since no one was completely clear on exactly what the calls were to accomplish. Over time, however, these calls helped participants find some common ground. However, it remained challenging to find a common purpose for these meetings because of the differences between the NYSERDA programs represented by the contractors.

Some coordinators felt, however, that working one-on-one with contractors who want to meet with them has been more effective in enhancing communication between the contractors than the quarterly meetings. A few coordinators also noted that communication among the contractors is not always open, due to NYSERDA's competitive bidding process. That is, the contractors represent companies that hold program contracts today; in the future, these companies may bid on and win a contract now held by another contractor in the group; they therefore seem to be cautious about sharing marketing and customer information. Despite this limitation, both the coordinators and Lockheed Martin said they continue to support use of the quarterly meetings, since they consider any level of information-sharing positive. Lockheed Martin staff noted that coordinators had improved their facilitation of these meetings and expected this improvement to continue. Some coordinators, however, said they would like more guidance about the goals of the meetings and more feedback on their facilitation approach.

In phase three, coordinators said that working with the Focus Program sector contractors has been their greatest challenge, while it also represents the most potential for expanding program outreach. In some communities, none of the Focus Program sector contractors had yet begun work, while in others, one or two of the sector contractors – *e.g.*, Hospitality or Local Government – already had been actively engaged in outreach to customers. These active Focus Program sector contractors and Energy Smart Communities coordinators appeared to be natural collaborators. In fact, most of the coordinators interviewed in phase three believed that the two programs' activities were complementary.

A few of the coordinators reported some success coordinating with the Focus Program contractors. One coordinator said that while the big contractors, such as Siemens and Honeywell, have their own marketing divisions and meet with local governments more frequently than the coordinators do, the coordinators may find unique niches with local government. One example is the referral systems some of the coordinators have established with local government agencies for the EmPower Program. In another case, a coordinator has worked with the Focus Program's Hospitality sector contractor, coordinating marketing to small, downtown firms and restaurants in a business improvement district. Another coordinator visited some large hotels with the Focus Program contractor and noted that the contractor sent follow-up letters to each of the hotels and a thank-you letter to their corporate headquarters. He said these contractors were very effective and the contacts appreciated their work and professionalism. In another example, a coordinator reported that, although NYSERDA had not given him any commercial and industrial program marketing materials, he had borrowed a *PowerPoint* presentation from a Focus Program contractor and modified it for the local community.

While some questions remain about potential conflicts or overlaps, some coordinators understood that working with the Focus Program contractors might provide additional resources for local projects, such as those with schools and farms. Yet, a significant number of the coordinators, including those who said they had not yet met the Focus Program contractors in their region, said they had not received enough guidance from NYSERDA on how the coordinators could effectively work with the Focus Program and were uncertain about how coordination with the Focus Program contractors will actually work. One coordinator noted that he wanted to "grease the skids" in a few sectors for the contractor, "But nobody has asked us specifically to do this. Why is this? So far I only have one Focus Program contractor who has set foot in my region." In a few cases, the coordinators said the Focus Program sectors were not "on the radar screen," but they were curious about how collaboration with the contractors in their communities will evolve.

Program staff also noted that the possibility of duplication of contractors' and coordinators' efforts remains. Since the coordinators have a lot of contacts, they may serve as the project lead and bring in the Focus Program as appropriate. To prevent duplication, the coordinators should notify the Focus Program contractors that they already are talking with a particular person or organization in their communities; Focus contractors should keep the coordinators informed of their activities with customers as well. There also should be opportunities to make joint presentations to targeted groups about the technologies offered by the Focus Program sectors and other complementary NYSERDA offerings.

NYSERDA program staff reported that in the September 2008 coordinator meeting/trainings, a detailed presentation on the Focus Program was included. The Focus Program Manager instructed the coordinators to work through the specific Focus Program sector project managers and contact information for these managers was provided. By late 2008, many of the sectors had not yet finalized contracts with their contractors. Where Focus Program contracts have been completed, some of the contractors independently contacted the coordinators. Recently, Economic Development staff developed a list of all Focus Program contractors, but chose to delay distribution of the list to the coordinators until the program manager and each sector project manager determines how collaboration between the coordinators and each of the sector contractors should proceed.

Beyond the challenges of coordinating with the Focus Program, Energy Smart Communities program staff reported communication challenges between the coordinators and the Home Performance program and its contractor, CSG. Currently, if the coordinators have an issue with a customer, they ask CSG to contact the customer. Home Performance program staff, however, want this communication to come through Energy Smart Communities program staff. Home Performance program staff also instructed CSG not to attend local recruitment seminars, even though the CSG staff and the coordinators feel it would be productive. In particular, they feel it would be beneficial for them to be on-site to answer questions after the coordinators' presentations. Such barriers to greater collaboration among the program contractors continue to present a challenge.

Reporting

The coordinators and NYSERDA program staff agreed that much of Lockheed Martin's focus in 2008 was the development of the electronic system for monthly reporting of program metrics and for sharing other information. Indeed, Lockheed Martin staff acknowledged that they had committed more time to the electronic reporting system than they had anticipated.

In phase one of the evaluation, the *SharePoint* system had just been launched. The coordinators expressed the hope that the system would facilitate peer interaction. One or two of the coordinators reported they had posted a couple of monthly reports successfully.

By phase two, the coordinators' optimism was tempered by the difficulties they were having accessing the site because of password security issues. Some coordinators said they did not have time to use the site to share other information or post questions. Most of the coordinators said they used it only to post reports, and some could not successfully do this so they sent their reports to Lockheed Martin staff, who instead posted them. Lockheed Martin staff was aware of these difficulties, but felt that once the access issues could be addressed, the system would be very useful for the coordinators and NYSERDA.

By phase three of the evaluation, some coordinators still had problems accessing the site (*e.g.*, passwords must be changed regularly and some said they could not get on the site) and several still were sending monthly reports to Lockheed Martin staff for posting.

Lockheed Martin and NYSERDA program staff noted that the regular and consistent reporting of metrics was a key program success. Such reporting is critical for measuring program outcomes. Lockheed Martin and NYSERDA program staff said that, while the electronic reporting system and the metrics can be improved, the system is a useful administrative tool. The coordinators and Lockheed Martin staff, as

noted above, would like to see the reporting function and other on-line tasks streamlined, with one-point access to a single website for gathering information, sharing with others, and preparing reports.

While a variety of program metrics are reported, it is difficult to tie these metrics to expected outcomes and goals. Outreach is an important component of the program, but the level of outreach expected is not clearly articulated. Thus, it is difficult to interpret the reported level of outreach – *i.e.*, to determine whether the outreach activities reported do not meet, meet, or exceed expectations. Lockheed Martin and program staff reported that they will review the program metrics and revise them as needed to ensure that the information best reflects key program activities and outcomes. However, without clear articulation of goals and expected effort or outcomes, it will remain difficult to determine whether program goals have been achieved.

All of the contacts reported variation among the coordinators in how they define what is included in the current metrics. In response to this variation, in February 2009, Lockheed Martin staff provided the coordinators with a well-defined description of each reporting field to help standardize the reporting across the regions.

Early in the evaluation process, the coordinators expressed concern that the metrics were not sensitive to regional differences and did not fully capture the magnitude and quality of the program activities. This was addressed to some degree with a limited expansion of the narrative portion of the monthly reports, which allowed the coordinators to provide greater detail about their activities. Yet, other questions about the metrics remain, such as: How should the program measure the linkage between the strategies and actual customer activity? How do the coordinators know if specific activities are the best use of their time? Do events or other outreach activities result in customers' undertaking projects? NYSERDA program staff, Lockheed Martin, and the coordinators are exploring whether the existing metrics are the right ones and if they are clearly defined, with the goal of ensuring the metrics fully reflect program outcomes.

2.5.5 Statewide Partnership Recruitment

Lockheed Martin's role (in partnership recruitment) was to identify state-level organizations they could approach about the program. The aim was to involve these professional, trade, government, or non-profit organizations so that the organizations would, in turn, help link their local affiliates with the Energy Smart Communities program. Lockheed Martin's role in assisting NYSERDA and the coordinators in the recruitment of statewide partners was, like the initial contract, clarified and developed slowly. In phase one of the evaluation, the coordinators said they had not seen any activity in this area at the local level. Program staff, however, noted that this was to be expected, as they had asked Lockheed Martin staff to review an initial list of possible partners. Thus, program staff and Lockheed Martin continued to discuss how best to proceed with this task. Lockheed Martin developed a list of over 100 possible partner organizations and then worked with program staff to shorten this list. Three organizations were chosen for a pilot approach, but in the fall of 2007, no action had yet been taken to implement the pilot projects.

By phase two, while some of the coordinators reported partnership recruitment activity or had received a list of the organizations identified, none was sure implementation with new statewide partners had reached the level the coordinators expected. That is, the coordinators had not been given any information on local organizations or individuals to contact. Others said they already were working with organizations – such as the local homebuilders association, engineering society, Cooperative Extension, and the state comptroller and governor's offices – and, therefore, were unsure of the value of Lockheed Martin's effort. Lockheed Martin staff, however, said they had made progress identifying key organizations and believed NYSERDA staff felt that Lockheed Martin could successfully engage with these state-level organizations to encourage statewide partnerships. That is, while individual coordinators in some regions might be engaging with local representatives of these organizations, it might not be occurring in every region of the state.

In phase three, the coordinators again said that they were on their own working with local affiliates of corporations (e.g., Lowe's, and Home Depot), national entities such as Fannie Mae, the local homebuilders association, and others. More than half of the coordinators said they did not know the status of Lockheed Martin's efforts in assisting with statewide partnerships. One coordinator noted that, "I'm not sure what more needs to happen on a statewide level; I'm too busy doing what I do at the local level." Other coordinators mentioned that their work with local entities was more useful than trying to develop a statewide approach. Lockheed Martin staff also acknowledged that they were not sure which statewide partnerships had been developed and that, while work with the New York State Builders Association had created a strong partnership in one region and they had made a connection with Habitat for Humanity, they believed that some really fruitful partnerships did not make sense on a statewide basis. They cited the example of the New York City area, where it may make more sense to focus efforts on local partners, rather than statewide associations and their local affiliates.

As noted above, Lockheed Martin's contractual deliverable for this task was a list of strategic partnerships that would help link their affiliates with the Energy Smart Communities program. From the perspective of developing the initial list, they accomplished the task. The next steps will be determined in the next contract period, if NYSERDA and Lockheed Martin continue to see this approach as a valuable program component.

2.6 THE FUTURE

While challenges remain, the Energy Smart Communities program made a good deal of progress in 2008, particularly in the areas of outreach, partnership development, and reporting. All contacts agreed that the program can achieve much more, especially given the continuing and growing needs throughout New York for information and assistance around energy-related issues. The public and businesses are interested. Collaboration and projects involving multiple partners to achieve success (leveraging) are key. Still, many people have not heard of NYSERDA and what it offers. It is time for NYSERDA to extend its reach, be more responsive to the market, and focus on projects where its support really can add value.

What is needed to reach this potential? Suggestions from the coordinators, program staff, and Lockheed Martin staff include:

- **Make it easier for people to learn about and use the resources available.** While there are ongoing efforts to make the programs more accessible and understandable, much remains to be done to simplify and streamline program access. Home Performance was mentioned as an example of an unwieldy program, whose complexity served as a disincentive to customers. Other suggestions focused on simplifying the website, providing better access to updated materials, and providing program materials in several languages. Some coordinators also have successfully engaged customers by providing printed and online versions of information about all regional resources for given topics, such as for commercial buildings.
- **Not only must programs be simpler, but assistance and approvals must be provided more quickly.** For example, a one-month response to a proposal is considered too long, especially in the commercial sector. One coordinator mentioned working with an architect on a project where the NYSERDA Technical Assistance contractor did not contact the customer and the firm until the project almost was completed. In another example, the coordinator noted a similar delayed response to a 30-page application for a multifamily project. Addressing these turnaround issues may require a willingness to implement different response practices. Coordinators noted that NYSERDA needs to understand that they must be more "nimble" in order to work with coalitions and customers with creative ideas, unique needs, or short project completion timelines.
- **The coordinators' Statement of Work should be less dependent on the *Rebuild America* model and more relevant to the coordinators' actual activities, and should present**

NYSERDA's goals more clearly. *Rebuild America* was a network of hundreds of community-based partnerships formed to save energy, improve building performance, and ease air pollution by reducing the demand for energy. Created by the U.S. Department of Energy in 1994, *Rebuild America* served as a mechanism for revitalization and job creation in many U.S. communities. The State Energy Program of *Rebuild America* supported state energy offices to increase the energy efficiency of residential buildings through activities such as demonstrating new energy efficiency technologies and construction techniques (such as whole building design), and providing homeowners access to financing for energy efficiency projects. Many states combined their own money with funding from DOE's State Energy Program and the private sector to support their energy projects.

While the idea of partnerships in *Rebuild America* was similar to that envisioned for the Energy Smart Communities program, the coordinators differ from *Rebuild America* staff in that their primary role is as representatives of NYSERDA's programs, not as a conduit to all energy programs and supports. While they may serve on many community boards or be active in partnerships such as local sustainability efforts, their key role in these efforts is as a NYSERDA contractor. Thus, their Statements of Work should clearly define expectations (and restrictions) of this role.

- **More coordinators are needed.** For example, there could be two coordinators in each region – one for residential and one for commercial and other programs. NYSERDA program staff report that having two coordinators in each region is their goal and hope to have these in place in all renewed contracts by July 1, 2009.
- **To address potential, as well as current demand, an internal examination of resource allocation to Energy Smart Communities and the Focus Program is needed.** The Focus Program budget is many times that of Energy Smart Communities for similar tasks. NYSERDA needs to recognize Energy Smart Communities' achievements and advocate for adequate and equitable resources. Program staff report that increased funding for the program is among their goals for 2009.
- **As the demand for coordinators to attend events and presentations continues to grow, they will need greater assistance.** The program needs to continue to streamline processes for event requests and materials fulfillment. In February 2009, NYSERDA program staff reported that a new "events form" had been developed and was distributed to the coordinators. The form should be available on-line within a few months. The Marketing and Economic Development Unit is also designing a fulfillment inventory list, with a completed list expected by the end of March 2009.
- **NYSERDA staffs need to improve their understanding of community-based work at the local level.** This includes understanding the time and processes involved in building relationships with individuals and organizations in the communities the coordinators serve, as well as valuing the view of the coordinators in developing and refining programs.
- **From the administrative standpoint, NYSERDA needs to enhance communication with the coordinators' host organizations.** A single and consistent point of contact in these organizations is necessary to ensure that the coordinator is supported and focused on NYSERDA's mission. NYSERDA program staff reported that both they and Lockheed Martin staff have met with all of the presidents and directors of the host organizations, and have discussed the coordinators' mission and performance. Still, a few contacts reported that some coordinators are pulled off by their host organization to work on non-NYSERDA activities.

- **NYSERDA needs to continue to improve access to local project data.** While data has begun to be delivered from EES, it should be done across more programs. Information on local projects should also be provided to the coordinators regularly and closer to real-time project completions.
- **NYSERDA will need to continue to provide training in technologies and its programs' technical aspects.**
- **It will be very helpful for NYSERDA to identify best practices and continue to help coordinators and other contractors better integrate and coordinate their efforts.**

SECTION 3:

CONCLUSIONS AND RECOMMENDATIONS

Over three phases of the process evaluation of the **New York Energy \$martSM** Communities Program, Lockheed Martin staff, the coordinators, and NYSERDA program staff reported a variety of successful activities. Improvements were reported in training for the coordinators and in communications between the coordinators and Lockheed Martin staff, and the coordinators and program contractors. Coordinators received some local project data from REAP. Efforts are still underway to improve the delivery of materials and support needed for events and outreach. All contacts agreed that there have been many accomplishments in the regions. Among the coordinators' accomplishments were developing partnerships, identifying target projects, producing and attending community events, and disseminating program information through any means possible. Many administrative functions have also been enhanced, including a consistent reporting format and clarification of communication channels between the coordinators, Lockheed Martin, and NYSERDA.

All of the contacts acknowledged that the program has also been impacted through change over the evaluation periods. Changes included the hiring of a new Services and Support Contractor, and moving from two project managers at the start of the evaluation to one by early 2008. Most recently, the program was moved from REAP to the newly-formed Marketing and Economic Development Unit. Most contacts felt that the move to the Marketing and Economic Development Unit provides the opportunity for increased support for the coordinators and for greater efficiency in implementing the program.

Unresolved issues remain, however, including: the lack of clear goals and effective measurement of success; issues with services and support for the coordinators; and issues with NYSERDA's coordination of support for core program processes. A clear vision of Energy \$mart Communities and its relationships to other NYSERDA programs has yet to be developed. Without this vision, the coordinators are left to determine how to best represent other programs and how to most effectively work with other NYSERDA program contractors. Establishing clear goals and objectives could also be used to develop more satisfactory program metrics. Both program staff and the coordinators agree that the current metrics do not fully capture what actually occurs in the regions.

3.1 CONCLUSIONS AND RECOMMENDATIONS

The following recommendations are offered to assist in moving the program toward the success stakeholders see possible in the future.

1. *Conclusion:* The evaluation found no consistent, shared understanding of and messaging for the Energy \$mart Communities program among the coordinators. Lacking clearly defined expectations, the coordinators have developed priorities based on their individual experience and understanding of their communities. While NYSERDA program staff is working with the coordinators to develop plans to integrate their efforts with the Marketing and Economic Development Unit, coordinators still do not have a clear vision of their roles, and the program's role in NYSERDA's marketing and outreach efforts.

Recommendation: The roles, responsibilities, message, and "brand" for Energy \$mart Communities should be clarified and coordinated with other NYSERDA outreach efforts. NYSERDA Energy \$mart Communities program staff should develop program guidelines and expected outcomes, and identify the roles and responsibilities of the coordinators in operating within the guidelines. These would include clear expectations for:

- The coordinators' host organization

- The coordinators' roles and their relation to each of NYSERDA's program contractors
 - Branding of the coordinators – *i.e.*, how the public will “know” the coordinators and distinguish them from other NYSERDA actors
2. *Conclusion:* Core program processes, including information flows, collateral material fulfillment, and simple access to and use of the *GetEnergySmart.org* and *Share Point* sites, are not working successfully for the coordinators.
- Recommendation:* Support for essential program processes should be improved. First, program staff should ensure that marketing materials include the most recent program information and guidelines for participation. Staff also should develop an order-tracking process for marketing materials and specify guidelines for the speed and fulfillment of materials requested. Staff should direct Lockheed Martin to work with NYSERDA's Marketing and Economic Development unit to quickly develop templates, *PowerPoint* presentations, and other tools the coordinators need. It will be especially helpful to combine access to all program functions through one website.
3. *Conclusion:* Marketing materials do not address regional and cultural differences, and sometimes do not contain current program information.
- Recommendation:* With input from the coordinators, NYSERDA program staff should develop marketing materials that contain current program information, reflect regional differences, and are culturally appropriate.
4. *Conclusion:* Reporting does not adequately measure the program's performance. Contacts reported that this was due to the lack of clear program goals and objectives, and clear definitions of the activities being measured and how they relate to the goals and objectives.
- Recommendation:* Clear program goals and objectives should be developed. These should include goals common to all regions, as well as some regionally-specific goals and objectives. New indicators may be needed to address the full range of goals and objectives, including indicators that document coordination with contractors, completed projects, evidence of new and ongoing partnerships, and other characterizations that reflect the depth and breadth of the program's activities and outcomes. Clear definitions of the program metrics should be communicated to the coordinators to ensure consistent reporting.
5. *Conclusion:* Collaboration between the coordinators and contractors for other NYSERDA programs is not working as well as it could. For instance, two coordinators reported that some NYSERDA program staffs do not allow their implementation contractors to attend events with the coordinators. Some implementation contractors consistently participate in the monthly coordination calls, while others do not. Increased activity by the implementation contractors in NYSERDA's Focus Program sectors,² while having great potential for improving outreach, also presented a challenge, as coordinators did not have guidance on how to work with the Focus contractors to conduct outreach in their regions.
- Recommendation:* NYSERDA should establish guidelines for coordination and collaboration between the program implementation contractors and the Energy Smart Communities coordinators. Where program processes make this difficult, guidelines should be reviewed and revised. Program staff needs to communicate more frequently and effectively with the coordinators, particularly about expectations of their work with the Focus sector contractors. To support this, Lockheed Martin could prepare and disseminate best practice case studies of successful coordination efforts.

² The Focus Program has end user-specific services in four end user sectors: K-12 schools, commercial real estate, the hospitality industry, and water/wastewater treatment

6. *Conclusion:* The evaluation found that the coordinators still perceive that NYSERDA program staffs generally are unaware of or do not value the coordinators' knowledge of and experience at the local community level. Coordinators said that, as a result, NYSERDA program staffs have not responded quickly to their requests for information, including determinations of a proposed project's program eligibility. Nor have coordinators been notified of program changes in a timely manner or provided with information that regularly is shared with implementation contractors.

Recommendation: Once the roles, scope of work, and priorities for the coordinators have been fully and clearly defined by NYSERDA Energy Smart Community program managers, these should be distributed to other NYSERDA program staff members. The Marketing and Economic Development Director should convene a meeting of NYSERDA program and project managers and coordinators to support a facilitated discussion about how to improve collaboration and support between program staff and the coordinators. Such a meeting was held in the fall of 2008 with the Marketing and Economic Development staff, including a discussion on how to integrate marketing efforts. NYSERDA program staff also should ensure that they inform coordinators, constituents, and contractors about all program changes and updates.

7. *Conclusion:* Conducting the process evaluation in phases, which allowed for contact with program staff, Lockheed Martin, and the coordinators every six months, was very successful. These frequent contacts effectively engaged the coordinators in the evaluation process, as evidenced by the many coordinators who sent the evaluation team unsolicited press releases, newsletters, and other examples of their work between interviews. Many noted the relevance of the information to topics discussed during the evaluation interviews. During phase three, several of the coordinators asked if the evaluation would continue, as they found the process helpful in reflecting on their progress, as well as that of the program.

Recommendation: Continue the process evaluation of the Energy Smart Communities program, using the phased approach, including an assessment of the impact of moving the program to the Marketing and Economic Development Unit. The evaluation should continue to engage the coordinators in dialogue about program processes and improvements. It also should provide the Marketing and Economic Development staff with timely input about the new organizational structure and progress toward addressing the issues identified in this report.

APPENDIX A:

ENERGY \$SMART COMMUNITIES PERFORMANCE ASSESSMENT

*Throughout the State, New York Energy \$smart Communities Program Coordinators have taken active roles in initiatives designed to **educate** homeowners, business owners, and municipal and county government officials on what NYSERDA has to offer; **enable** these individuals to take advantage of NYSERDA’s programs; and **expand** the economic opportunities intrinsic to the renewable energy and energy efficiency industries.*

REGION

PERFORMANCE ASSESSMENT FOR TERMS OF CONTRACT

Mid-Hudson Region

Courtney Strong, Inc.

Contract: 10116

3/4/09 – 3/3/10

The Mid-Hudson Region Energy \$smart Communities Program Coordinators spoke on NYSERDA’s municipal and residential programs at a seminar hosted by Westchester County Global Warming Committee at Manhattanville College and to groups of residents in Olivebridge, Delhi, and Arkville, and also spoke before the Middletown City Council and the Kingston Consolidated School District Facilities Committee on the “green” renovation of public buildings. In addition, the coordinator collaborated with the Cornell Cooperative Extension of Sullivan County and Hudson Valley Community College to establish a Building Analyst training course in Sullivan County that attracted 19 attendees, three of whom plan to go into business after meeting in the class.

In an effort to enable ex-offenders to effectively enter the workforce and positively contribute to society, the Coordinators assisted Lockheed Martin, Rural Ulster Preservation Company, Sustainable Hudson Valley, and Save Them Now – a non-profit that provides transitional housing to formerly incarcerated men – to offer workforce development training to ex-offenders. A grant application written by the Coordinator on behalf of Save Them Now was approved by the NYS Department of Environmental Conservation, designating \$41,500 to cover the expenses of providing BPI Home Performance training to 10 ex-offenders.

REGION

PERFORMANCE ASSESSMENT FOR TERMS OF CONTRACT

Capital/Saratoga Region

Courtney Strong, Inc.

Contract: 10117

3/29/09 – 3/28/10

The Capital/ Saratoga Region Energy Smart Communities Program Coordinator continued efforts from its previous contract term that involved working with three commercially-focused Energy Target Zones in Albany, Glens Falls, and Troy to promote energy efficiency. The Coordinator also worked with the Schenectady County Planning Department to design a energy efficiency policies to be adopted by the County Legislature, which included County procurement of ENERGY STAR[®] products, promotion of residential energy audits, incorporation of LEED standards into county buildings and an audit of the county's transportation fleet.

Those dropping off unwanted electronics, air conditioners, and dehumidifiers at a Capital/Saratoga Region recycling event received information from NYSERDA on ENERGY STAR[®] products and discount coupons for air conditioning units. Also, 72 building code officials from around the region attended a workshop co-hosted by NYPA and the Coordinator. Attendees learned about new building codes, building science philosophy, and the impacts of improperly constructed buildings.

Johnstone Supply of Albany hosted an event featuring manufacturers of ENERGY STAR[®] Equipment. Along with a Lockheed Martin ENERGY STAR[®] Products Representative, the Coordinator trained consumers and contractors on energy efficiency options in the market place and training incentives offered by NYSERDA for becoming a Home Performance with ENERGY STAR[®] Contractor. In addition, the Coordinator worked with Rensselaer County Department of Social Services and Department for the Aging to initiate an Empower Referral System, following suit with Albany and Schenectady Counties.

North Country Region

Community Energy Services, Inc.

Contract: 10118

4/4/09 – 4/3/10

The North Country Region Energy Smart Communities Program Coordinator reported that the Johnson Hall of Science at St. Lawrence University was awarded LEED 'Gold' certification; in August 2002, the Coordinator referred this project to the NYSERDA New Construction Program.

The Coordinator continued work on the St. Lawrence Country Energy Efficiency Demonstration project, hosting a workshop symposium in Potsdam in March, and in conjunction with SUNY-Canton, the Coordinator helped organize and present at the North Country Sustainable Energy Fair in April, which featured 54 workshops, 60 exhibitors, and roughly 1,800 participants. The Coordinator also helped organize an Energy Efficient Building Operator Training session to educate apartment managers on ways to improve energy efficiency at their facilities. In June at the Adirondack Energy Forum, Energy SmartSM Park Initiative organizers reviewed its accomplishments, presented its action plan and was solidly endorsed by all parties present. Also, the Coordinator attended the 2008 Multifamily Buildings Conference and networked with colleagues.

REGION

PERFORMANCE ASSESSMENT FOR TERMS OF CONTRACT

Central New York Region

*Central New York Regional
Planning & Development
Board*

Contract: 10161

4/14/09 – 4/15/10

The Central New York Region Energy Smart Communities Program Coordinator reported that the Syracuse City School District has partnered with the NYSERDA Energy SmartSM Students program to create the "Go Green Initiative," signing on 38 schools, whereby "Green Teams" of students participate in energy-related activities at their school that involve recycling, tracking energy use, energy education, and composting.

In the Town of Fabius, the Coordinator worked with community members to develop a comprehensive energy plan for individuals and organizations to implement green initiatives that reduce energy costs and foster energy business opportunities. Coordinator activities also included participation in meetings with the Onondaga County Citizens Advisory Committee, the Onondaga County Resource Recovery Agency, and the Green House Gas Committee Meeting. In addition, the Coordinator worked with Christopher Communities, a non-profit developer and management firm, to pursue efficiency measure on their portfolio of 87 properties in the Syracuse area.

The Coordinator assisted the Marcy Town Supervisor with a "Change a Bulb, Change the World" event that distributed six CFL bulbs and related energy savings literature at no cost to every household in the Town of Marcy. Material was distributed door-to-door by youth groups and members of the Town's Fire Department. The Coordinator also delivered a presentation on NYSERDA incentives to over 30 small business owners at the Mohawk Valley Chamber of Commerce Energy Workshop in November, and was subsequently interviewed by WKTV (the NBC affiliate in Utica).

REGION

PERFORMANCE ASSESSMENT FOR TERMS OF CONTRACT

Finger Lakes Region

Center for Environmental Information

Contract: 10162

4/14/09 – 4/15/10

The Finger Lakes Region Energy Smart Communities Program Coordinator continued previous efforts to encourage faith-based organizations, public entities, private businesses, and homeowners to participate in NYSERDA program opportunities. The Coordinator signed up new home construction contractors for Heritage Christian Homes projects in Chili (2) and Webster (1) and met with a multifamily facility construction company official per the Lakeview Mental Health Services facility project to review procedures for participation in NYSERDA's Low-Rise Pilot Program. In addition, NYSERDA consultants met with local officials in the Town of Irondequoit to advise on steps for implementing recent local "green" legislation for Town facilities; and in the Town of Brighton, the Coordinator met with the "Color Brighton Green" citizens group, as well as the Town Code & Public Education Committees, speaking on the topic of residential energy efficiency. A presentation was also given by the Coordinator on energy efficient lighting and Home Performance with ENERGY STAR® was given to residents and municipal officials from Brighton and Rochester.

In Rochester, the Coordinator participated in the activities of the Rochester Green Business Network as part of their bi-monthly series on energy efficiency and alternate energy, hosted an exhibit at the Sustainable Business & Green Building Conference & Expo, and took part in the spring 2008 Regional Local Government Workshop. Also, the City of Rochester entered into partnership with Finger Lakes Energy Smart Communities Program to conduct energy-related outreach and education to neighborhood groups.

The Coordinator collaborated with the Democrat & Chronicle newspaper on the launch of a new website and feature called "ROC GREEN." Subsequently, the Finger Lakes Energy Smart Communities Program has been identified as a regional resource for energy and environmental information. And, in adopting a regional economic focus, the Coordinator initiated discussions with Rochester Gas & Electric's Director of Economic Development on potential opportunities to jointly attract/retain green businesses by promoting access to NYSERDA's programs.

REGION

PERFORMANCE ASSESSMENT FOR TERMS OF CONTRACT

Western New York Region

Buffalo Niagara Builders Association, Inc.

Contract: 10163

4/29/09 – 4/30/10

The Western New York Region Energy Smart Communities Program Coordinator worked with representatives from Alfred State College and the Allegany County Community Opportunities and Rural Development Corporation to establish the first annual “Go Green Festival” to foster interaction, cooperation, and raise community awareness about climate change, opportunities in the green economy, residential energy efficiency, and agricultural opportunities in Cattaraugus and Allegheny Counties. The Coordinator also helped host “Western New York Recycles!” a recycling event produced in partnership with NYSERDA and Lockheed Martin, and presented a “How to Make Your Home more Energy Efficient” workshop for residential homes as part of the Buffalo Niagara Fall Expo.

The Coordinator attended the 2008 Solutions for Success Conference in Saratoga Springs, obtaining knowledge and information on the Home Performance and the New Homes programs at the State level, and later worked with community organizers in Buffalo to plot an Energy Target Zone around the Elmwood Village to provide outreach to a neighborhood that has older housing stock and a distinct business district. In addition, the Coordinator met with officials at Nichols School, a private middle school and high school in the City of Buffalo, per an initiative to construct a new LEED Certified Science and Math Building and making other green capital improvements to other buildings on campus; information was also provided on how they may “green” their curricula by participating in the Energy Smart Students program.

REGION

PERFORMANCE ASSESSMENT FOR TERMS OF CONTRACT

Southern Tier Region

*Cornell Cooperative
Extension of Tompkins
County*

Contract: 10323

7/1/09 – 6/30/10

The Southern Tier Region Energy Smart Communities Program Coordinators met with Oneonta and Corning municipal officials to discuss NYSERDA and its program offerings. The Coordinators also met with the Municipal Electric and Gas Alliance to review the year's activities and help secure grant funding through the Tompkins County Chamber of Commerce and NYS Department of Labor for 1-4 and multifamily training and BPI certification for interested participants. In addition, the Coordinators participated in the "Gorges Go Green" festival in Ithaca to educate locals on energy efficiency in and around the home.

Plans were made for collaboration with Corning Community College, the City of Corning, Corning Area Chamber of Commerce, Corning Inc., and the Museum of Glass to facilitate access to energy educational programming and technical/financial assistance per NYSERDA's programs. A contractor recruitment seminar was hosted in Corning, attracting numerous contractors and local television coverage. The Coordinators also entered into a partnership with the Municipal Electric and Gas Association, arranging for grants of \$1,000 to \$1,500 for municipalities in Schuyler, Chemung, Tompkins, Chenango, and Tioga Counties to support local energy efficiency initiatives.

The Coordinators worked with a professor from Cornell University to design a graduate seminar course dedicated to evaluating the employment potential of the renewable energy and energy efficiency industries in New York State, especially in the Southern Tier Region. Students enrolled in the course presented two well-attended seminars (one designed for elected officials and business owners; the other open to the public) on their work.

The Coordinators developed a comprehensive set of NYSERDA program outreach priorities for each county in the Southern Tier Region, to include coordination with hospitals, campus, local government, and manufacturing, creating or joining multi-sector collaboratives to work on energy and other economic sustainability measures, and outreach to economic development groups to identify key businesses with the interest and resources for engaging in energy improvements.

REGION

PERFORMANCE ASSESSMENT FOR TERMS OF CONTRACT

Downstate East Region

Neighborhood Housing Services of New York City, and

Pratt Center for Community Development

Contract: 10863

7/1/09 – 6/30/10

The Downstate East Region Energy Smart Communities Program Coordinator gave presentations at several events for multifamily buildings and homeowner programs. The Coordinators partnered with Bedford Stuyvesant Restoration Corporation to develop a Central Brooklyn Energy Target Zone, and significant progress was made on contractor recruitment. They also entered into a partnership with Neighborhood Housing Services of New York City (NHSNYC) to support train-the-trainer events in NHSNYC's field offices, participate in the Building Analyst education programs, and devise a separate training program for loan officers, all of which is to promote Home Performance with ENERGY STAR® in the Downstate market. Additionally, Bedford Stuyvesant Restoration Corporation and the Coordinator intend to enter into a partnership to offer homeowners free or very low-cost audits.

The Coordinators have expanded the visibility of the Energy Smart Communities Program in the Region by utilizing resources available through the field offices of their host organizations and via an "Energy Matters" email alert and web resource page. The internet resources led to an invitation to appear on television, which generated an influx of calls from home and building owners. Television coverage was coordinated through the local public access station, BCAT/Brooklyn Independent TV Networks, to produce a feature on NYSERDA's Small Commercial Audit Program.

Downstate South Region

Solar One

Contract: 10864

7/1/09 – 6/30/10

The Downstate South Region Energy Smart Communities Program Coordinator met with Neighborhood Housing Services in Staten Island to plan a series of four homeowner training sessions on energy efficiency improvements. The Coordinator also worked with the Asian-Americans for Equality, Battery Park City Authority, and Cooper Square Mutual Housing Authority to refer numerous building owners to the Multifamily Performance Program.

REGION

PERFORMANCE ASSESSMENT FOR TERMS OF CONTRACT

Downstate North Region

Courtney Strong, Inc.

Contract: 10865

6/10/09 – 6/9/10

The Downstate North Region Energy Smart Communities Program Coordinator worked jointly with the Downstate East Coordinator to recruit for the Energy Efficient Builder Operator Course held in March and April 2008, and the Coordinator partnered with NYSERDA to promote CFL recycling programs in the Region.

The Coordinator participated in an energy exposition in the Riverdale section of the Bronx that was attended by local government officials and community leaders. The Coordinator also met with the Yonkers Green Policy Task Force, advising on potential legislation to codify energy efficiency measures for new construction, and also, a series of meetings and forums with construction contractors and developers were organized in the Region to promote EmPower, Home Performance with ENERGY STAR[®], and the Energy Smart Loan Fund.

The Coordinator is working with “Green Yorktown,” a community group, and several towns to draft legislation for green building practices and to encourage green construction by cutting building permit fees in half for construction involving renewable energy sources. In addition, the Coordinator met with a new potential partner called “Rocking the Boat,” an organization located in the South Bronx that works with kids on environmental education and wood boat building.

APPENDIX B:

INTERVIEW GUIDES

**NEW YORK ENERGY \$MART COMMUNITIES: OUTREACH PROCESS EVALUATION
INTERVIEW GUIDE: PHASE 1 – PROGRAM AND CONTRACTOR STAFFS**

**Interviews to be conducted with Program Staff (2),
Services and Support Contractor management (2)**

Introduction

Hello, I'm _____ calling on behalf of Research Into Action, the process evaluation contractor for NYSERDA (describe process evaluation). We are conducting a study of the outreach efforts in the **New York Energy \$martSM** Communities Program and would like to talk with you about your role and about your views on these outreach efforts. The interview will take about 20-30 minutes and will assist NYSERDA in their program design and implementation.

Is this a good time to speak? [SCHEDULE CALL BACK IF NECESSARY]

This first set of interviews – we'll be checking in with you again in 2009 – are intended to provide program management with some insight into the transition to a new services and support contractor and into any immediate issues in the program. Let's start by discussing the Communities' Coordinators.

1. What is the role of the Coordinators?
2. How are the Coordinators supported by NYSERDA staff?
3. How are they supported by the services and support contractor?
4. What changes in general, for the program were envisioned in bringing in a new services and support contractor?
 - 4a. How has bringing in a new contractor worked in practice in the transition this year?
5. What changes, if any, were seen for the outreach function and support with the new contractor?
 - 5a. What activities were envisioned as support for the recruiting function?
6. With the transition to a new contractor, what changes, if any, have been seen in the roles for NYSERDA program staff, the contractor, and the Coordinators?

7. What impact, if any, has this transition had on communication between NYSERDA and the Coordinators?
8. Do you think that the Coordinators know who to go to – whether NYSERDA or Lockheed Martin staff – with specific questions or concerns? What evidence do you have for this view?
9. Do think that the Coordinators feel confident expressing the mission of Energy Smart Communities to program partners? Why do you think this is so?
 - 9a. If they are not confident, what would help them feel more confident in this role?
10. What support are the Coordinators getting to identify statewide partners? Do you think the Coordinators view this support as adequate? What evidence do you have for this view?
11. What immediate concerns do you have, if any, regarding the transition and current support? What might be done to address these concerns?

For Contractor Staff Only

12. Do you and your staff think that you have the tools and experience needed to support the Coordinators? Is there anything else that you or your staff need from NYSERDA?

Ask of All

13. Are there any other concerns or issues you would like to discuss?

Thank you for sharing your thoughts on these issues. I'll be contacting you again in the spring to check in on your outreach work and on program progress.

**NEW YORK ENERGY SMART COMMUNITIES: OUTREACH PROCESS EVALUATION
INTERVIEW GUIDE: PHASE 1 – ES COMMUNITIES COORDINATORS****Interviews to be conducted with Coordinators (8)****Introduction**

Hello, I'm _____ calling on behalf of Research Into Action, the process evaluation contractor for NYSERDA (describe process evaluation). We are conducting a study of the outreach efforts in the **New York Energy SmartSM** Communities Program and would like to talk with you about your role and about your views on these outreach efforts. The interview will take about 20-30 minutes and will assist NYSERDA in their Program design and implementation. Is this a good time to speak? [SCHEDULE CALL BACK IF NECESSARY]

This first set of interviews – we'll be checking in with you again in 2009 – are intended to provide program management with some insight into the transition to a new services and support contractor and into any immediate issues in the program. All of your responses will remain confidential to the extent possible. Let's start by discussing your role in outreach.

1. What is your role as a Coordinator in outreach/recruitment to your communities? Has this changed in the past year? If so, how? [Probe new requirement for recruitment efforts]

2. How would you characterize the current general support you are receiving from the services and support contractor to accomplish these outreach efforts?
 - 2a. From NYSERDA program staff?

 - 2b. NYSERDA recently consolidated coordination contracts under one staff person. Do you have any concerns about this change?

3. How does this support differ, if at all, from support you received prior to the change to a new services and support contractor?

4. With the transition to a new services and support contractor, what changes, if any, have you seen in the roles for NYSERDA program staff, the contractor, and the Coordinators?

5. How, if at all, has this transition to a new contractor affected your communication with NYSERDA staff? Had you expected it do so?
 - 5a. Do you feel confident that you know who to contact, whether NYSERDA staff or Lockheed Martin staff, when you have questions, *i.e.*, who to go to with which concerns? If not, what about this is challenging?

6. How would you characterize any training you've received this year (from Lockheed Martin staff)?
 - 6a. Specifically, what training have you attended?
 - 6b. Would you say it has been adequate? If not, what more is needed?
7. Do you feel confident expressing the mission of Energy Smart Communities to program partners? If not, what would help you feel more confident?
8. Are you getting the support you need specifically to identify statewide partners? If not, what more is needed?
9. What immediate concerns, if any, do you have regarding the transition and current support? What might be done to address these concerns?
10. Are there any other concerns or issues you would like to discuss?

Thank you for sharing your thoughts on these issues. I'll be contacting you again in the spring to check in on your outreach work.

**NEW YORK ENERGY SMART COMMUNITIES: OUTREACH PROCESS EVALUATION
INTERVIEW GUIDE: PHASE 2 – CONTRACTOR STAFFS****Interviews to be conducted with Services and Support Contractor field staff (2)****Introduction**

Hello, I'm _____ calling on behalf of Research Into Action, the process evaluation contractor for NYSERDA (describe process evaluation). As part of our study of the outreach efforts in the **New York Energy SmartSM** Communities Program, we spoke last fall about your role and your views on these outreach efforts. At that time, Lockheed Martin was somewhat new to the role of the services and support contractor. This is a follow-up to that initial interview to discuss how the program and outreach efforts are going at this time and to provide program management with some insight into how the transition has gone to date, as well as any current issues in the program. The interview will take about 20-30 minutes, and, as always, no responses will be attributed to you in our report.

Is this still a good time to speak? [SCHEDULE CALL BACK IF NECESSARY]

Let's start by discussing your current role.

1. Has anything about your role in supporting the Coordinators in their outreach and recruitment efforts changed since we spoke last fall? If so, how has your role changed?
2. Has anything about the role of the Coordinators changed during this same time period? If so, how have their roles changed?
3. How are the Coordinators currently supported by NYSERDA staff? Is this level of support less than you expected, about what you expected, or more than expected? Is it less than sufficient, sufficient, or more than sufficient?
4. How are the Coordinators currently supported by Lockheed Martin staff? What feedback have you received about this support? [Probe: is it more than sufficient, less than sufficient, or just enough to help the Coordinators reach their goals]?
5. Last fall, you were still somewhat new in the services and support role, but you and the Coordinators have now gone through a fall campaign and another six months or so of working together.
 - 5a. How did the new structure (having Lockheed as the services and support contractor) function during the fall 2007 *Little Steps, Big Savings* campaign?
 - 5b. What was your role in the campaign and what impact, if any, did the campaign have on how you work with the Coordinators?

- 5c. How has the new support structure worked in 2008? Are there any outstanding issues?
6. Last fall, we spoke about the effect the transition to a new contractor had on the Coordinators' communication with NYSERDA staff. I want to follow-up on that discussion. [Refresh with recap of Phase 1 response by that contact.] Can you describe how that has been going since that time?
7. One of the concerns we discussed last fall was a perceived lack of clarity about who the Coordinators should go to with specific questions or concerns (*i.e.*, to Lockheed Martin or to NYSERDA Program Staff).
- 7a. Do you feel confident that the Coordinators now know who to contact, whether NYSERDA staff or Lockheed Martin staff, when they have questions (*i.e.*, who to go to with which concerns)?
- 7b. Specifically, for what kinds of questions or issues do Coordinators contact LM staff? Are these the kinds of things they should contact LM for assistance?
- 7b. Has this area of program process – knowing who to go to for given concerns – improved since last fall or are there remaining issues? [Probe: would you provide an example (s) of these issues?]
8. I'd like to talk about training that you or other Lockheed Martin staffs have provided for the Coordinators in 2008.
- 8a. What training has been provided so far this year, if any?
- 8b. What has been the Coordinators' response to the training this year?
- 8c. Has the training differed from that provided last year? If so, in what ways has it differed?
- 8d. Do you think the training provided for the Coordinators has been useful and adequate? If not, what more is needed?
9. Last fall, most of the Coordinators had only recently completed development of their regional characterizations and implementation plans. To what extent has the development of these plans affected the outreach efforts? Have the plans been useful, and if so, in what ways?

10. Last fall, Lockheed Martin staff members were just beginning to work in the area of identifying statewide partners and assisting with outreach to them. What type of support has LM staff provided? Do you think the Coordinators view this support as adequate? What evidence do you have for this view?
 - 10a. If not adequate, what more is needed?

11. Also last fall, the Coordinators were just beginning to have access to and use of the electronic system for sharing information. How would you characterize the system now – very useful, somewhat useful, not really useful?
 - 11a. How do you use it? How do the Coordinators use it?
 - 11b. To what extent has it increased networking and communication in the program – a great deal, somewhat, not at all? Can you provide some examples?

12. Currently, what is the biggest challenge you see for the program's outreach efforts?

13. Is there anything else about your Services and Support contractor role and/or the Coordinators' roles and activities that you would like to discuss or make sure that we include in our report?
[Remind that all responses are confidential]

Thank you for sharing your thoughts on these issues. I'll be contacting you again in the fall for the final set of interviews about your work with the ES Communities program.

**NEW YORK ENERGY SMART COMMUNITIES: OUTREACH PROCESS EVALUATION
INTERVIEW GUIDE: PHASE 2 – ES COMMUNITIES COORDINATORS**

Interviews to be conducted with Coordinators

Introduction

Hello, I'm _____ calling on behalf of Research Into Action, the process evaluation contractor for NYSERDA (describe process evaluation). As part of our study of the outreach efforts in the **New York Energy SmartSM** Communities Program, we spoke last fall about your role, outreach, and some of the changes in the program, including the transition to Lockheed Martin as the new services and support contractor. This is a follow-up to that initial interview to discuss how the program and outreach efforts are going at this time and to provide program management with some insight into how the transition has gone to date, as well as any current issues in the program. The interview will take about 20-30 minutes, and, as always, no responses will be attributed to you in our report.

Is this still a good time to speak? [SCHEDULE CALL BACK IF NECESSARY]

Let's start by talking about your role and any changes.

1. Has anything about your role as a Coordinator in outreach/recruitment to your communities changed since we spoke last fall? If so, how has your role changed?
2. How would you characterize the current level of support you are receiving from Lockheed Martin to accomplish these outreach efforts? Is it less than you expected, about what you expected, or more than expected? Is it less than sufficient, sufficient, or more than sufficient?
 - 2a. From NYSERDA program staff (less than you expect, about what you expect, or more than expect)? Is it less than sufficient, sufficient, or more than sufficient?
 - 2b. When we spoke last fall, NYSERDA had recently consolidated coordination contracts under one staff person. How has this been working for you? (Probe: how has it affected your communication or work with NYSERDA?)
3. Last fall, the services and support contractor was still somewhat new, but you have now gone through a fall campaign and another six months or so of working together.
 - 3a. How did the new structure function during the fall 2007 *Little Steps, Big Savings* campaign? What was the impact on your role, if any, of working with a new contractor on this campaign?
 - 3a. How has the new support structure worked in 2008? Are there any outstanding issues?

4. Last fall, we spoke about the effect the transition to a new contractor might have on coordinators' communication with NYSERDA staff. [Refresh with recap of Phase 1 response.] Can you describe how that has been going? How has this affected your role and your outreach efforts?
5. Do you feel confident that you know who to contact, whether NYSERDA staff or Lockheed Martin staff, when you have questions (*i.e.*, who to go to with which concerns)?
 - 5a. Specifically, for what kinds of questions or issues do you contact LM staff?
 - 5b. Has this area of program process – knowing who to go to for given concerns – improved since last fall or are there remaining issues? [Probe: would you provide an example(s) of these issues?]
6. I want to know more about the training you've received this year – 2008 – from Lockheed Martin staff?
 - 6a. What training have you attended this year, if any?
 - 6b. Has the training differed from that provided last year? If so, in what ways has it differed?
 - 6c. Would you say it has been useful and adequate? If not, what more is needed?
7. To what extent has the development of the regional characterizations and implementation plans affected your outreach efforts?
8. What have you been doing since last fall to develop community partnerships?
 - 8a. To what degree have goals for developing community partnerships been achieved?
 - 8b. How would you characterize these partnerships in terms of how well they work with each other (*e.g.*, loose coalitions with some activity versus very active, closed coordinated groups with proven projects)? Are the right organizations/agencies involved? If not, what is being done to address this?
 - 8c. What more could be done to enhance the development and maintenance of community partnerships?
9. Last fall, Lockheed Martin staff was just beginning to work in the area of identifying statewide partners and assisting with outreach to them. Are you getting the support you need now specifically to identify statewide partners? If not, what more is needed?

10. Also last fall, you were just beginning to have access to and use of the electronic system for sharing information with other Coordinators. How would you characterize the system now – very useful, somewhat useful, not really useful?
 - 10a. How do you use it?
 - 10b. To what extent has it increased networking and communication in the program – a great deal, somewhat, not at all? Can you provide some examples?
11. Currently, what is the biggest challenge you see for the program's outreach efforts?
12. What is your assessment of the support you are receiving as you work to achieve your outreach goals? [Probe: Is it not sufficient, sufficient, or more than sufficient?] If not sufficient, what additional support is needed?
13. Is there anything else about your role as a community coordinator that you would like to discuss or make sure that we include in our report?

Thank you for sharing your thoughts again on these issues. I'll be contacting you again in the fall for the final set of interviews about your outreach work.

**NEW YORK ENERGY \$MART COMMUNITIES: OUTREACH PROCESS EVALUATION
INTERVIEW GUIDE: PHASE 3 – NYSERDA STAFF**

Introduction

Hello, I'm _____ calling on behalf of Research Into Action, the process evaluation contractor for NYSERDA (describe process evaluation). As part of our study of the outreach efforts in the New **New York Energy \$mart**SM Communities Program, we spoke either last fall [If director or manager] or last spring [if support staff] about your role, outreach, and some of the changes in the program. This is the third and final follow-up in this evaluation to discuss how the program and outreach efforts are going at this time and to provide program management with some insight into accomplishments over the last year, as well as any ongoing and/or current issues in the program. The interview will take about an hour, and as always, no responses will be attributed to you in our report.

Is this still a good time to speak? [SCHEDULE CALL BACK IF NECESSARY]

Organization

Before we begin, I want to note that we last spoke about the program in the fall of 2008. So, I'd like for you, in the questions to come, to think back over the year. Let's start by discussing your current role.

1. Has anything about your role in supporting the Coordinators in their outreach and recruitment efforts over the past year? If so, how has your role changed?
 - 1a. Have there been any other changes in your organization, contract services and support contractors, or other administrative functions that have impacted your role and that of any other staff working on the E\$ Communities effort?
2. Has anything about the role of the Coordinators changed over the past year? If so, how have their roles changed?
 - 2a. What changes have you seen in the roles and activities of the Coordinators over the past year?
 - 2b. How do you think this has impacted the program overall?
3. How are the Coordinators currently supported by NYSERDA staff?
 - 3a. What would you say have been the biggest changes in the supports the Coordinators received from program staff over the past year?

- 3b. What has been the most useful support(s) provided?
- 3c. What has been the least useful support(s) provided?
- 3d. Are there any outstanding issues with the support(s) the Coordinators receive from program staff?
- 4. How are the Coordinators currently supported by Lockheed Martin staff? What feedback have you received about this support? [Probe: is it more than sufficient, less than sufficient, or just enough to help the Coordinators reach their goals at this time]
 - 4a. What would you say has been the biggest change in the support Lockheed Martin has provided the Coordinators over the past year?
 - 4b. What has been the most useful support(s) Lockheed Martin staff have provided?
 - 4c. What have been the least useful support(s) provided?
 - 4d. Are there any outstanding issues with the services and support Lockheed Martin staff are providing?
- 5. Throughout the project, there has been changing staff and new lines of communication developed for working the NYSERDA staff.
 - 5a. How would describe these changes over the past year?
 - 5b. How would you describe how this is working now?
- 6. When we last spoke, some greater clarity had been gained, but there was still some degree of confusion about communication with NYSERDA staff and with the Lockheed Martin staff.
 - 6a. How confident do you feel now that the Coordinators know who to contact, whether NYSERDA staff or Lockheed Martin staff, when they have questions (*i.e.*, who to go to with which concerns)?
 - 6b. Specifically, for what kinds of questions or issues do they currently contact LM staff?

- 6c. Has this area of program process – knowing who to go to for given concerns – continued to improve? Are there remaining issues? [Probe: would you provide an example(s) of these issues?

- 7. I'd like to talk about training that you or other Lockheed Martin staff has provided for the Coordinators since the spring of 2008.
 - 7a. What additional training has been provided, if any?

 - 7b. What has been the Coordinators' response to the training since spring of this year?

 - 7c. What do you think have been the biggest changes in training over the past year?

 - 7d. What training challenges, if any, remain?

Implementation

- 8. What further efforts have you seen among the Coordinators since we last spoke in developing and maintaining community partnerships? To what degree do you think their goals have been met over this past year?
 - 8a. What challenges remain in developing partnerships?

 - 8b. What challenges remain in maintaining partnerships?

- 9. Last spring, there were some challenges reported by the Coordinators in working with program contractors and implementing regional meetings to enhance knowledge and coordination among them. How would you currently characterize this aspect of the program?

- 10. Through the past year, a slow but continuous effort has been made by Lockheed Martin staff and NYSERDA to develop statewide partners and assist the Coordinators in utilizing these resources. How would you currently characterize this effort?
 - 10a. How do you think Lockheed Martin's efforts in this area are currently viewed by the Coordinators?

 - 10b. What remains to be accomplished?

11. In our last interviews, Lockheed Martin field staff noted that there was an increased effort, now that many of the infrastructure pieces of support were in place, to provide more “on the ground” assistance to the Coordinators.
 - 11a. To what extent (extremely, somewhat, very little) has this occurred? What more is planned? What barriers, if any exist to providing this type of assistance?
12. Last spring, the Coordinators were beginning to use the electronic reporting system, but there were some challenges with the system. How would you characterize the system now – very useful, somewhat useful, not really useful?
 - 12a. How do you and the Coordinators use it? Is it working effectively? [Probe: Is everyone able to log on consistently? Are they posting all of their own information regularly?]
 - 12b. What challenges remain with the program’s electronic reporting and communication systems?
13. Overall, compared to your expectations for this past year, under the new services and support system and with NYSERDA reorganization, how *effective* are the Coordinators in implementing the program and accomplishing the mission?
 - 13a. What do you see as the key value(s) of the activities that have been accomplished by the Coordinators this past year?
14. What do you currently see as the biggest challenge for the program’s outreach efforts? What is the biggest challenge in providing support for these efforts?
15. What changes, if any, are planned for the E\$ Communities program in the future? What will these changes require in terms of staff and/or contractor support?
16. Finally, turning to the evaluation itself, have the Phase 1 and Phase 2 reports provided information that you found useful? If so, in what way? Was the information from the evaluations shared with the Coordinators? With the services and support contractor? Other NYSERDA staff [which?]?
 - 16a. What more would you like to learn in this last phase of interviews?
17. Is there anything else about your role and/or the Coordinators’ roles and activities that you would like to discuss or make sure that we include in our report? [Remind that all responses are confidential.] This is a good time to reflect on the past year, successes and challenges, as well as the future.

Thank you for sharing your thoughts on these issues.

**NEW YORK ENERGY \$MART COMMUNITIES: OUTREACH PROCESS EVALUATION
INTERVIEW GUIDE: PHASE 3 – NYSERDA MARKETING & ECONOMIC
DEVELOPMENT STAFF**

Introduction

Hello, I'm _____ calling on behalf of Research Into Action, the process evaluation contractor for NYSERDA (describe process evaluation). As part of our study of the outreach efforts in the **New York Energy \$mart**SM Communities Program, we are speaking for the first time with staff of Marketing and Economic Development who now work with this program. While this is the third and final set of our interviews with program staff, contractors, and coordinators being conducted over a year, our questions for you are more forward looking, rather than calling on you to reflect on past program performance. The interview will take about 30-45 minutes and none of your responses will be attributed to you in our report. [Remind that all responses are confidential]

Is this still a good time to speak? [SCHEDULE CALL BACK IF NECESSARY]

Organization

Let's start by discussing your current role.

1. How are you working with the E\$ Communities program?
2. How do you anticipate supporting the Coordinators in their outreach and recruitment efforts as the program goes forward?
3. How do you see the role of NYSERDA project staff in supporting the coordinators?
4. How would you assess how well the Coordinators are currently supported by Lockheed Martin staff?
5. How would you assess the key efforts of the Coordinators?
 - 5a. In developing partnerships?
 - 5b. In working with the other program contractors?
 - 5c. In acting as the NYSERDA person on the ground in their region(s)?
6. What challenges do you think remain in developing community partnerships?

- 6a. What challenges remain overall for the Coordinators in achieving the program's goals for outreach?

7. In what way(s), if any, do you see the transfer of the program to Marketing and Economic Development changing – enhancing possibly – the Coordinators' outreach efforts?

8. What challenges do you see, if any, that this transfer presents for the Coordinators? For NYSERDA staff? For Lockheed Martin?

9. Do you have any specific questions that you would like to see addressed with the Coordinators or with Lockheed Martin staff in this phase of the evaluation?

10. Finally, is there anything else about your role, that of the Coordinators, the Contractors, and program activities that you would like to discuss or make sure that we include in our report? [Remind that all responses are confidential.] This is a good time to reflect on your initial impressions and your vision of the future.

Thank you for sharing your thoughts on these issues.

**NEW YORK ENERGY SMART COMMUNITIES: OUTREACH PROCESS EVALUATION
INTERVIEW GUIDE: PHASE 3 – CONTRACTOR STAFF**

Introduction

Hello, I'm _____ calling on behalf of Research Into Action, the process evaluation contractor for NYSERDA (describe process evaluation). As part of our study of the outreach efforts in the **New York Energy SmartSM** Communities Program, we spoke either last fall [If director or manager] or last spring [if support staff] about your role, outreach, and some of the changes in the program. This is the third and final follow-up in this evaluation to discuss how the program and outreach efforts are going at this time and to provide program management with some insight into accomplishments over the last year, as well as any ongoing and/or current issues in the program. The interview will take about an hour, and as always, no responses will be attributed to you in our report. [Remind that all responses are confidential.]

Is this still a good time to speak? [SCHEDULE CALL BACK IF NECESSARY]

Organization

Before we begin, I want to note that we last spoke about the program either in the fall of 2008 or last spring. I'd like for you, in the questions to come, to think back over the past year. Let's start by discussing your current role.

1. Has anything about your role in supporting the Coordinators in their outreach and recruitment efforts changed over the past year? If so, how has your role changed?
 - 1a. Have there been any other changes in your organization, contract services and support contractors, or other administrative functions that have impacted your role and that of any other staff working on the E\$ Communities effort?

2. Has anything about the role of the Coordinators changed over the past year? If so, how have their roles changed?
 - 2a. What changes have you seen in the roles and activities of the Coordinators over the past year?
 - 2b. How do you think this has impacted the program overall?

3. How are the Coordinators currently supported by NYSERDA staff?
 - 3a. What would you say have been the biggest changes in the support the Coordinators received from NYSERDA program staff over the past year?

- 3b. What has been the most useful support(s) provided?
- 3c. What has been the least useful support(s) provided?
- 3d. Are there any outstanding issues with the support(s) the Coordinators receive from NYSERDA program staff?
- 4. How are the Coordinators currently supported by Lockheed Martin staff? What feedback have you received about this support?
 - 4a. What would you say has been the biggest change in the support Lockheed Martin has provided the Coordinators over the past year?
 - 4b. What has been the most useful support(s) Lockheed Martin staff have provided?
 - 4c. What have been the least useful support(s) provided?
 - 4d. Are there any outstanding issues with the services and support Lockheed Martin staff are providing?
- 5. Throughout the project, there has been changing staff and new lines of communication developed for working with the NYSERDA staff.
 - 5a. How would describe these changes over the past year?
 - 5b. How would you describe how this is working now?
- 6. When we last spoke, some greater clarity had been gained, but there was still some questions regarding communication with NYSERDA staff and with the Lockheed Martin staff. That is, about knowing who to go to for given concerns.
 - 6a. Has this area of program process – knowing who to go to for given concerns – continued to improve? Are there remaining issues? [Probe: would you provide an example(s) of these issues?]
- 7. I'd like to talk about training that you or other Lockheed Martin staff has provided for the Coordinators since the spring of 2008.

- 7a. What additional training has been provided, if any?
- 7b. What has been the Coordinators' response to the training since spring of this year?
- 7c. What do you think have been the biggest changes in training over the past year?
- 7d. What training challenges, if any, remain?

Implementation

- 9. What further efforts have you seen among the Coordinators since we last spoke in developing and maintaining community partnerships? To what degree do you think their goals have been met over this past year?
 - 8a. What challenges remain in developing partnerships? (Is this different in your region than in others? If so, how?)
 - 8b. What challenges remain in maintaining partnerships? (Probe again for regional effect.)
- 9. Last spring, there were some challenges reported by the Coordinators in working with program contractors and implementing regional meetings to enhance knowledge and coordination among them. How would you currently characterize this aspect of the program?
- 10. Through the past year, a slow but continuous effort has been made by Lockheed Martin staff and NYSERDA to develop statewide partners and assist the Coordinators in utilizing these resources. How would you currently characterize this effort?
 - 10a. How do you think Lockheed Martin's efforts in this area are currently viewed by the Coordinators?
 - 10b. What remains to be accomplished?
- 11. In our last interviews, Lockheed Martin field staff noted that there was an increased effort, now that many of the infrastructure pieces of support were in place, to provide more "on the ground" assistance to the Coordinators.
 - 11a. To what extent (extremely, somewhat, very little) has this occurred? What more is planned? What barriers, if any exist to providing this type of assistance?

12. Last spring, the Coordinators were beginning to use the electronic reporting system, but there were some challenges with the system. How would you characterize the system now – very useful, somewhat useful, not really useful?
 - 12a. How do you and the Coordinators use it? Is it working effectively? [Probe: Is everyone able to log on consistently? Are they posting all of their own information regularly?]
 - 12b. What challenges remain with the program's electronic reporting and communication systems?
13. Overall, compared to your expectations for this past year, under the new services and support system and with NYSERDA reorganization, how *effective* are the Coordinators in implementing the program and accomplishing the mission?
8. What do you see as the key value(s) of the activities that have been accomplished by the Coordinators this past year? [Probe: what do you see as the biggest accomplishments of the program in the past year?]
 - 15a. What do you think is still possible to achieve? [Probe: what changes if any are planned and what would these require in terms of support?]
 - 15b. What do you need to make these possibilities a reality?
16. What do you currently see as the biggest challenge for the program's outreach efforts? What is the biggest challenge in providing support for these efforts?
17. Is there anything else about your role, that of the Coordinators, or of NYSERDA staff and program activities that you would like to discuss or make sure that we include in our report? [Remind that all responses are confidential.] This is a good time to reflect on the past year, successes and challenges, as well as the future.

Thank you for sharing your thoughts on these issues.

**NEW YORK ENERGY SMART COMMUNITIES: OUTREACH PROCESS EVALUATION
INTERVIEW GUIDE: PHASE 3 – ES COMMUNITIES COORDINATORS**

Introduction

Hello, I'm _____ calling on behalf of Research Into Action, the process evaluation contractor for NYSERDA (describe process evaluation). As part of our study of the outreach efforts in the **New York Energy SmartSM** Communities Program, we spoke last fall and spring about your role, outreach, and some of the changes in the program. This is the third and final follow-up in this evaluation to discuss how the program and outreach efforts are going at this time and to provide program management with some insight into accomplishments over the last year as well as any ongoing and/or current issues in the program. The interview will take about 20-30 minutes, and as always, no responses will be attributed to you in our report. [Remind that all responses are confidential]

Is this still a good time to speak? [SCHEDULE CALL BACK IF NECESSARY]

Let's start by talking about your role and any changes.

1. Has anything about your role as a Coordinator in outreach/recruitment to your communities changed since we spoke last spring? If so, how has your role changed? [Probe where applicable: Some of you have new staff. How has this impacted your role?]
 - 1a. Have there been any other changes in your organization, contract or other administrative functions that have affected your role or that of any other staff working on the ES Communities effort? [Probe shift to MED: How do you anticipate this affecting your work?]

2. How would you characterize the current level of support you are receiving from Lockheed Martin to accomplish these outreach efforts? Is it less than you expected, about what you expected, or more than expected at this point in time? Is it less than sufficient, sufficient, or more than sufficient?
 - 2a. What would you say has been the biggest change in the support you receive from Lockheed Martin over the past year?

 - 2b. To what extent would you say that Lockheed Martin field staff provide more “on the ground” or day-to-day assistance than in earlier phases of their support function (e.g, last year, earlier this year)?

 - 2b. What has been the most useful support(s) LM has provided?

 - 2c. What has been the least useful support(s) their staff has provided?

- 2d. Are there any outstanding issues with the services and support you receive from Lockheed Martin staff?
3. How would you characterize the current level of support you receive from NYSERDA program staff (less than you expect, about what you expect, or more than you expect at this point in time)? Is it less than sufficient, sufficient, or more than sufficient?
 - 3a. What would you say has been the biggest change in the support you receive from NYSERDA program staff over the past year?
 - 3b. What has been the most useful support provided?
 - 3c. What has been the least useful support provided?
 - 3d. Are there any outstanding issues with the support you receive from NYSERDA program staff?
4. When we last spoke, some greater clarity had been gained, yet there was still concern about communication with NYSERDA staff and with the Lockheed Martin staff. That is, knowing who to go to for given concerns. Has this area of program process – knowing who to go to for given concerns – continued to improve since last spring or are there remaining issues? [Probe: would you provide an example (s) of these issues?]
5. I want to know more about the training you've received this year, especially since this spring.
 - 5a. What training have you attended since spring, if any?
 - 5b. In the spring interviews, several aspects of training were raised, including: the need for more training, especially for new staff, and in general, more training especially regarding non-residential programs at NYSERDA. To what extent have these needs been met? What, if any, is still needed?
 - 5c. What changes, if any, have been made in the training since spring of this year?
7. What further efforts have been made since last spring in developing and maintaining community partnerships?
 - 7a. To what degree do you feel your goals for developing partnerships have been met over this past year?

- 7b. What challenges remain in developing partnerships?
- 7c. What challenges remain in maintaining partnerships?
- 8. Last spring, there were some challenges reported in working with program contractors and implementing regional meetings to enhance knowledge and coordination among them. How would you characterize this aspect of the program currently?
- 9. Through the past year, a slow but continuous effort has been made by Lockheed Martin staff and NYSERDA to develop statewide partners and assist the Coordinators in using these resources. To what extent has this support been helpful to you? What remains to be accomplished?
- 10. Last spring, you were beginning to use the electronic reporting system, but there were some challenges with the system. How would you characterize the system now – very useful, somewhat useful, not really useful?
 - 10a. How do you use it now? Is it working more effectively? [Probe: are you able to log on consistently? Are you posting all of your own information regularly?]
 - 10b. What challenges remain with the program's electronic reporting and communication systems?
- 11. How do you anticipate working the FOCUS program sectors? (Describe if needed.) What challenges, if any, do you see, in working together?
- 12. In general what do you see as your biggest accomplishments in the past year?
 - 12a. What do you think is still possible to achieve?
 - 12b. What do you need to make these possibilities a reality?
- 13. What do you currently see as the biggest challenge for the program's outreach efforts?
- 14. Is there anything else about your role as a community coordinator that you would like to discuss or make sure that we include in our report? This is a good time to reflect on the past year, successes and challenges, as well as the future.

Thank you for sharing your thoughts again on these issues.