

Indirect Benefits Framework

INITIATIVE LIFECYCLE STAGES AND ACTIVITIES	IMPLICATIONS FOR INDIRECT BENEFITS	NOTES
STAGE 1: EVALUATION PLANNING (PRE-FILING)		
<p>Clarify market transformation theory</p> <p>What market actors does this initiative seek to influence?</p> <p>How will the initiative influence each type of market actor?</p> <p style="padding-left: 20px;">What are the key market activities?</p> <p style="padding-left: 20px;">What outputs will result from each activity?</p> <p>What market outcomes are expected?</p> <p style="padding-left: 40px;">In 1 to 2 years?</p> <p style="padding-left: 40px;">In 3 to 4 years?</p> <p style="padding-left: 40px;">In 5 or more years?</p> <p>What other NYSERDA initiatives target these market actors?</p> <p>How will other initiatives influence these market actors?</p>	<ul style="list-style-type: none"> How will the initiative catalyze market change and generate indirect benefits? 	
<p>Create logic model</p> <p>Do the activities in the logic model reflect all expected NYSERDA market transformation influences—even the influence from other initiatives (such as the Buildings of Excellence influence on CSCNB)?</p>		
<p>Create an evaluability map by pathway of influence</p> <p>What is the evidence of each influence for each pathway? (How will you test if the NYSERDA initiative influenced the sought-after outcome?)</p> <p>What research activities will provide evidence of influence?</p>	<ul style="list-style-type: none"> What are the theorized pathways of causal influence and what data are needed to validate those pathways? 	
<p>Develop benefits forecast</p> <p>Are assumptions clearly identified (where anyone could easily find all the assumed values)?</p> <p>Are assumptions fully documented (with sources that are clearly identified and referenced)?</p>	<ul style="list-style-type: none"> What are the direct and indirect benefits targets and forecasts? What are the assumed baseline conditions? 	

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STAGE 2: INITIATIVE YEAR 1 (BASELINE YEAR)		
<p>Review initiative documentation</p> <ul style="list-style-type: none"> Review initiative documentation Review BAB; clarify assumptions and sources Review draft evaluability map 		
<p>Develop evaluation plan (sources, methods, and granularity for assessment of UEBs, market adoption, and causality)</p> <ul style="list-style-type: none"> Research questions Research methods and data sources <ul style="list-style-type: none"> To assess market progress To assess causality Timeline Analysis plan <ul style="list-style-type: none"> Define UEB units of adoption Determine how many and which UEBs are needed (such as for different segments) Determine how UEBs will be evaluated Create NOMAD estimation approach 	<ul style="list-style-type: none"> • How will we estimate indirect benefits calculation components (such as UEBs or an increase in market adoption resulting from initiative activities)? 	
<p>Coordinate with internal and external stakeholders</p> <ul style="list-style-type: none"> Initiative team NYSERDA teams working in same market Other New York stakeholders working in and researching the same markets 	<ul style="list-style-type: none"> • Have we identified and incorporated all the theorized pathways of influence into evaluation plans? • How will we coordinate research with other stakeholders? 	
<p>Characterize market baseline conditions</p> <ul style="list-style-type: none"> Current conditions (update BAB assumption) Forecast 	<ul style="list-style-type: none"> • What are the market conditions prior to initiative launch? What are the expected future conditions absent the initiative? 	

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STAGE 3: SUBSEQUENT YEARS		
Evaluate market progress, adoption, and causal influence per evaluation plan	<ul style="list-style-type: none"> • What are the direct and indirect benefits per unit of adoption? How many units were adopted as a result of the initiative? 	
Estimate indirect benefits		
Review benefits forecast model assumptions; refine forecast	<ul style="list-style-type: none"> • Are the benefits forecast assumptions valid? What assumptions, if any, should be updated? 	
Review/refine logic model	<ul style="list-style-type: none"> • Is the market transformation theory valid? What activities, elements, or pathways of influence should be updated, if any? 	
Update evaluation and data collection plan	<ul style="list-style-type: none"> • How should the evaluation and data collection plans be updated to ensure that the evaluation team obtains data required for the timely, accurate estimation of benefits? 	