This EERE template is provided for your convenience.  Although the use of this template is not required, the data elements within the template are.

Please note that DOE may use this information publicly, but before doing so, DOE will communicate with the responding State(s) about making information public. All proposals must include a Statement from the State Energy Office Director confirming that the Director reviews and approves the responses provided in the Assessment.

**Category 1: Energy Planning and Using Energy Efficiency (EE) and Renewable Energy (RE) as an Energy Resource**

1. State Energy Plans
   1. Does your State have a State energy plan that recognizes energy efficiency as a high-priority resource, includes specific savings targets/goals, and has been completed in the last 10 years?
   * Yes
   * No
   1. Does your State energy plan establish clear and measurable goals and recommended actions for achieving them within a specific timeframe?
   * Yes
   * No
   1. Does your State energy plan include an action-oriented discussion of each of the following? (Select all that apply)
   * Energy efficiency
   * Distributed generation
   * Distributed generation grid integration
   * Financing energy efficiency and clean energy
   * Energy assurance and emergency response planning
   * Electric grid resiliency
   * Environmental consideration (e.g., consideration of air and water pollutant emissions
   * Renewable energy
   * No, key elements are missing and the State energy plan could be improved by adding one or more of the above elements
2. Energy Resource Planning
   1. Do one or more utilities in your State evaluate demand-side resources as an alternative to new supply side resources (e.g. generation, transmission and distribution) based on a transparent energy resource planning process that has been completed in the last 10 years?
   * Yes
   * No
   1. Has your State identified the potential for cost-effective, achievable energy efficiency over the long term?
   * Yes
   * No
   1. In the resource planning process for your State, are the expected emissions from the addition of various energy supply and demand reduction scenarios considered in decision-making?
   * Yes
   * No
   1. In the resource planning process for your State, are all stakeholders, including end-users, given the opportunity to participate?
   * Yes
   * No
3. Alignment of customer and utility incentives for energy efficiency
4. Does your EE program administrator/s receive sufficient cost recovery from the State regulatory agency to deliver ratepayer-funded EE programs to achieve energy savings goals / targets?
   * Yes
   * No
5. Has the throughput incentive[[1]](#footnote-1) been mitigated or removed for your State’s utilities?
   * Yes
   * No
   * My State utility regulator is currently considering mechanisms to mitigate the throughput incentive in a regulatory process.
6. Does your State utility regulator offer performance incentives for successful achievement of EE goals as part of a regulatory process?
   * Yes
   * No
   * My State utility regulator is currently considering offering performance incentives for successful achievement of EE goals as part of a regulatory process
7. Do your investor-owned utilities’ rates value the price of electricity at different times of the day and send these signals to customers?
   * Yes
   * No
8. Statewide energy efficiency and renewable energy goals
   1. Does your State have targets / goals that require utilities[[2]](#footnote-2) to achieve energy savings (including EERS, target as part of an IRP, part of an RPS, or portfolio of programs that will provide defined savings):
   * Yes, 0.5%-1% savings (relative to annual retail sales)
   * Yes, 1-1.5% savings (relative to annual retail sales)
   * Yes, 1.5-2%% savings (relative to annual retail sales)
   * Yes, 2% or higher (relative to annual retail sales)
   * No, but a Statewide savings target/goal is under consideration within a regulatory process
   * No
   1. Are the utilities in your State currently achieving[[3]](#footnote-3) the required energy savings targets / goals? (Select all that apply)
   * Yes
   * No
   * The date for meeting the required target / goal has not yet occurred.
   1. Does your State have targets / goals that require utilities to provide a certain portion of electricity sales through renewable energy
   * Yes
   * No
9. Distributed energy resources
   1. Are there standardized interconnection rules across your State’s utilities’ for distributed resources regardless of fuel? (Select all that apply)
   * Yes, up to 10 kW
   * Yes, up to 100 kW
   * Yes, up to 20MW
   * Yes, up to a defined capacity larger than 20 MW
   * No, there are not standardized interconnection rules for distributed resources regardless of fuel.
10. Utility or third-party administered energy efficiency programs
    1. Are energy customers in your State across **ALL** customer classes including residential, commercial and industrial offered **electricity** ratepayer-funded energy efficiency programs? (Select all that apply)
    * Yes, by investor-owned utilities
    * Yes, by municipally-owned utilities
    * Yes, by cooperatively-owned utilities
    * Yes, by other energy efficiency program administrator
    * No, utilities do not offer electricity ratepayer-funded programs across all customer classes, but do offer programs at least in one customer class[[4]](#footnote-4)
    * No, utilities do not offer electricity ratepayer-funded energy efficiency programs in my State
    1. Are energy customers in your State across **ALL** customer classes including residential, commercial and industrial offered **natural gas** ratepayer-funded energy efficiency programs? (Select all that apply)
    * Yes, by investor-owned utilities
    * Yes, by municipally-owned utilities
    * Yes, by cooperatively-owned utilities
    * Yes, by other energy efficiency program administrator
    * No, utilities do not offer gas ratepayer-funded energy efficiency programs across all customer classes, but do offer programs at least in one customer class
    * No, utilities do not offer gas ratepayer-funded energy efficiency programs in my State
    1. Are energy customers in your State across customer classes including residential, commercial and/or industrial customer classes offered **other fuel (e.g. heating oil)** ratepayer-funded energy efficiency programs? (Select all that apply)
    * Yes, by investor-owned utilities
    * Yes, by municipally-owned utilities
    * Yes, by cooperatively-owned utilities
    * Yes, by other energy efficiency program administrator
    * No, other fuels are not significant in my State
    * No, utilities do not offer other fuel ratepayer-funded programs in my State
    1. Does your State evaluate ratepayer-funded programs using **more than one** cost-effectiveness test[[5]](#footnote-5) to reflect the long-term resource value of energy efficiency? (Select all that apply)
    * Participant Cost Test
    * Utility/Program Administrator Cost Test
    * Ratepayer Impact Measure Cost Test
    * Total Resource Cost Test **without** non-energy benefits
    * Total Resource Cost Test **with** non-energy benefits (e.g., emissions reductions)
    * Societal Cost Test.
    * No, my State uses just one test to evaluate energy efficiency programs as selected above
    * No, my State does not use cost-effectiveness tests to reflect the long-term resource value of energy efficiency
11. Evaluation, Measurement and Verification
    1. Does your State use an EM&V framework or plan that uses commonly accepted protocols or methodologies and is transparent in order to determine energy and emissions reductions from ratepayer-funded efficiency programs? (Select all that apply)
    * Yes, our State uses an independent, third-party Statewide evaluator
    * Yes, our State uses the Uniform Methods Project M&V protocols for relevant programs
    * Yes, our State is part of a regional group that works together to determine savings
    * No

**Category 2: Adopting Codes & Standards**

1. Code Adoption

1. Has your State adopted the IECC (or equivalent) for **residential** buildings?
   * Yes, a stretch code beyond the 2012 IECC has been adopted.
   * Yes, 2012 IECC or equivalent has been adopted.
   * Yes, 2009 IECC or equivalent has been adopted.
   * Yes, 2006 IECC, earlier edition, or equivalent has been adopted.
   * No, IECC or equivalent residential building energy code has not been adopted.
   * My State is home rule, but most municipalities in my State have adopted some form of the IECC or equivalent.
   1. Has your State adopted Standard 90.1 (or equivalent) for **commercial** buildings?
   * Yes, a stretch code beyond Standard 90.1-2010 has been adopted.
   * Yes, Standard 90.1-2010 or equivalent has been adopted.
   * Yes, Standard 90.1-2007 or equivalent has been adopted.
   * Yes, Standard 90.1-2004, earlier edition, or equivalent has been adopted.
   * No, Standard 90.1 or equivalent commercial building energy code has not been adopted.
   * My State is home rule, but most municipalities in my State have adopted some form of Standard 90.1 or equivalent.

2. Code enforcement

a. How would you characterize building energy code enforcement in your State?

* + The State is responsible for enforcement.
  + The State is responsible for enforcement when local authorities are unwilling or unable to enforce the code.
  + Local authorities are responsible for enforcement, but my State provides resources and training.
  + Local authorities are responsible for enforcement.
  + Code enforcement is not mandatory but my State provides resources and training.
  + Code enforcement is not mandatory.

b. Does your State measure and verify compliance with energy codes (Select all that apply)?

* + Yes, my State has a program in place to measure and verify compliance.
  + Yes, my State has piloted a measurement and verification program and is exploring options for M&V.
  + No, my State has not piloted a measurement and verification program, but is exploring options for M&V.
  + No, my State has not yet considered code compliance measurement and verification.

**Category 3: States Leading by Example**

1. Energy management of public facilities
2. Does your State have a long-term energy savings goal for public facilities (passed through legislation or an executive order)?
   * Yes, less than 1% a year (or the equivalent of less than 10% over ten years)
   * Yes, 1-1.9% per year (or the equivalent of 10 to 19% over ten years)
   * Yes, 2% or higher per year (or the equivalent of 20% or higher over ten years)
   * No, my State does not have a long-term savings goal for public facilities.
3. Does your State routinely benchmark building energy use across the portfolio of public buildings as part of managing the energy use of public facilities? (Select all that apply)
   * Yes, a data collection mechanism is being developed or is in place and data is being received across a portfolio of public buildings/facilities.
   * Yes, data actively collected, and is used to make decisions on energy investment activities.
   * Yes, and data results are transparently published to the general public.

No, there is not a data collection process for routinely benchmarking public buildings.

1. Does your State have other (non-financing related) policies or initiatives to help capture energy savings throughout public facilities? (Select all that apply)
   * Yes, my State requires retrocommissioning[[6]](#footnote-6) as part of the retrofit process.
   * Yes, State agencies are required to complete audits and upgrades by specific dates
   * Yes, a building asset score is incorporated in the retrofit process.
   * Yes, my State requires new State buildings to meet building codes at the level of Standard 90.1-2010 or equivalent or better.
   * No
2. Financing Retrofits for Public Facilities
3. Has your State pursued energy-specific financial policies or initiatives? (Select all that apply)
   * Yes, energy savings performance contracts (ESPC).
   * Yes, revolving loan funds.
   * Yes, a loan loss reserve fund.
   * Yes, QECBs, or other bonds that can be allocated to retrofit investments.
   * Yes, an established green/infrastructure bank that can be used for retrofit investments.
   * No, my State depends on annual appropriations for energy efficiency investments.
4. Does your State have a self-sustaining ESPC program? (Select all that apply)
   * Yes, enabling legislation that authorizes the use of ESPC for public buildings.
   * Yes, a centralized ESPC program exists at the State level that provides guidance for all State ESPC projects.
   * Yes, a centralized ESPC program exists that requires the use of standardized contracts and procedures.
   * Yes, a fee-based centralized ESPC program.
   * No, my State does not use ESPCs on public retrofit projects.
5. Working with Local Governments and Underserved Sectors
   1. Does your State have a program that supports your local governments in their efforts toward an energy efficiency target?
   * Yes, a defined suite of support services and/or partnership opportunities for local governments including financial support is offered.
   * Yes, a defined suite of support services to local governments, without financial support.
   * No, local governments are eligible to access our technical assistance, but we do not have a formal program.
6. Does your State have a program that supports your local governments in targeting underserved sectors (such as water or wastewater utilities, public housing, multifamily housing, small buildings, hospital or other healthcare facilities, or community buildings such as recreation facilities or community centers) for energy efficiency improvements?
   * Yes, a defined suite of support services and/or partnership opportunities for local governments including financial support is offered for efforts to target underserved sectors.
   * Yes, a defined suite of support services to local governments, without financial support, is offered for efforts to target underserved sectors.
   * Yes, a collection of discrete services and programs not managed as a defined suite.
   * No, we do not have a formal program.
7. Has your State helped provide financing options or incentives for clean energy investments? (Select all that apply)
   * Yes, the State has passed legislation in support of commercial PACE
   * Yes, the State has established a clean energy fund to support loans for energy efficiency and renewable energy[[7]](#footnote-7)
   * Yes, the State has established one or more incentives in support of energy efficiency and renewable energy[[8]](#footnote-8)
   * No, the State has not established legislation or financing options
8. Does your State have policies that support low carbon vehicles? (Select all that apply)
   * Yes, my State has financial incentives for PEVS and/or charging equipment (i.e. tax credits, rebates, voucher programs and/or grants)
   * Yes, my State has financial incentives for natural gas vehicles and/or refueling infrastructure (i.e. tax credits, rebates, voucher programs and/or grants)
   * Yes, my State has adopted financial incentive for use of biofuels in vehicles and/or infrastructure incentives to switch to higher biofuels blends.
   * Yes, my State has adopted a zero emission vehicle policy or mandate for State and/or other fleets.
   * Yes, my State utilities commission has approved electricity utility-based incentives such as separate rates applicable to PEV recharging or Time of Use rates and/or reduction or elimination of demand charges for businesses to incentivize PEV recharging.
   * Yes, my State has addressed regulatory barriers to PEVs (such as allowing for the re-sale of electricity).
   * No, my State has not adopted policies that support the adoption of low carbon vehicles.
9. Procurement Policies
10. Has the State energy office adopted clean energy purchasing policies? (Select all that apply)
    * Yes, energy efficient procurement policies have been adopted based on ENERGY STAR and U.S. DOE Federal Energy Management Program criteria and implemented
    * Yes, low carbon vehicle procurement policies have been adopted and implemented
    * Yes, renewable energy procurement policies have been adopted and implemented
    * No, such clean energy procurement policies have been adopted

**Category 4: Providing Greater Access to Building Energy Performance Information for Decision Making**

1. Building Energy Performance Benchmarking and Disclosure
2. Does your State or communities within your State have a law or regulation that requires benchmarking or disclosure of energy use for **non-public** buildings?
   * Yes, **all** commercial buildings of a certain size must be benchmarked regularly and results disclosed publicly
   * Yes, homeowners must disclose energy performance data on their homes at some frequency or at key transaction points (e.g. time of sale).
   * No, State-level benchmarking and disclosure laws have not been passed for non-public buildings
   * No, State-level benchmarking and disclosure laws have not been passed, but one or more local government has passed a local ordinance
   * No, State-level benchmarking and disclosure laws have not been passed, but one or more local government is engaged in a voluntary program
3. Does one or more of your investor-owned utilities provide direct data exchange with benchmarking tools such as ENERGY STAR Portfolio Manager (automated benchmarking services)?
   * Yes
   * No
4. Whole-Building Data
5. Does one or more investor-owned utilities provide aggregated whole-building energy usage data to building owners for purposes of benchmarking and energy management without requiring consent of each individual tenant?
   * Yes
   * No
6. Has your State utility regulator established a rule describing what constitutes sufficiently aggregated customer energy usage data that can be given to building owners without explicit consent from each individual tenant while addressing privacy concerns?
   * Yes
   * Rules are under consideration or pending
   * No
7. Data Access

Does one or more of your investor-owned utilities allow customers to access their energy usage data in a standardized format (e.g. Green Button)?

* + - Yes
    - Utilities have committed to this but are still implementing
    - No
* Does one or more of your investor-owned utilities allow customers to designate one or more service providers who can access their energy usage data in a standardized format (e.g. Green Button)?
  + - Yes
    - Utilities have committed to this, but are still implementing
    - No
* Does your State have guidelines or rules regarding third party access to customer energy usage data?
  + - Yes
    - Rules are under consideration or pending
    - No

**Statement from the State Energy Office Director confirming that the Director reviews and approves the responses provided in the Assessment:**

***I have reviewed and approved the responses provided in this State Energy Assessment for the State of***

***\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.***

**APPROVAL**

**State Energy Office Director**:

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:       \_\_\_\_\_\_\_\_

Print Name:

1. The “throughput incentive” is the incentive for utilities to promote sales growth, which is created when fixed costs are recovered through volumetric charges. National Action Plan for Energy Efficiency (2007). *Aligning Utility Incentives with Investment in Energy Efficiency*. Prepared by Val R. Jensen, ICF International. <http://www.epa.gov/cleanenergy/documents/suca/incentives.pdf> [↑](#footnote-ref-1)
2. The term utility is used broadly to include public and private organizations that may be responsible for administering organized energy efficiency programs within the State. [↑](#footnote-ref-2)
3. Achieving for this question is defined as the utilities have met interim savings targets; or the utilities have met the savings targets; or the utilities’ reported savings are on track to achieving the savings target (as measured by the utilities being in good standing relative to any penalties for not meeting these targets). [↑](#footnote-ref-3)
4. Example customer classes include residential, commercial, and industrial customer classes as well as important parts of these classes such as multifamily, small/medium industrial, and small/medium commercial. [↑](#footnote-ref-4)
5. National Action Plan for Energy Efficiency (2008). *Understanding Cost-Effectiveness of Energy Efficiency Programs: Best Practices, Technical Methods, and Emerging Issues for Policy-Makers*. Energy and Environmental Economics, Inc. and Regulatory Assistance Project. <http://www.epa.gov/cleanenergy/documents/suca/cost-effectiveness.pdf> [↑](#footnote-ref-5)
6. Retrocommissioning is a process to help identify no- and low-cost technical measures for improving energy efficiency and can result in energy cost savings between $0.11 and $0.72 per square foot (Mills et al., 2004). See <http://evanmills.lbl.gov/pubs/pdf/cx-costs-benefits.pdf.> [↑](#footnote-ref-6)
7. A “yes” answer indicates these clean energy loans are administered by the State and does not include ratepayer-funded financing programs. [↑](#footnote-ref-7)
8. A “yes” answer indicates these energy efficiency and renewable energy incentives are administered by the State and does not include ratepayer-funded financing programs. [↑](#footnote-ref-8)