



A Navigant Consulting Project

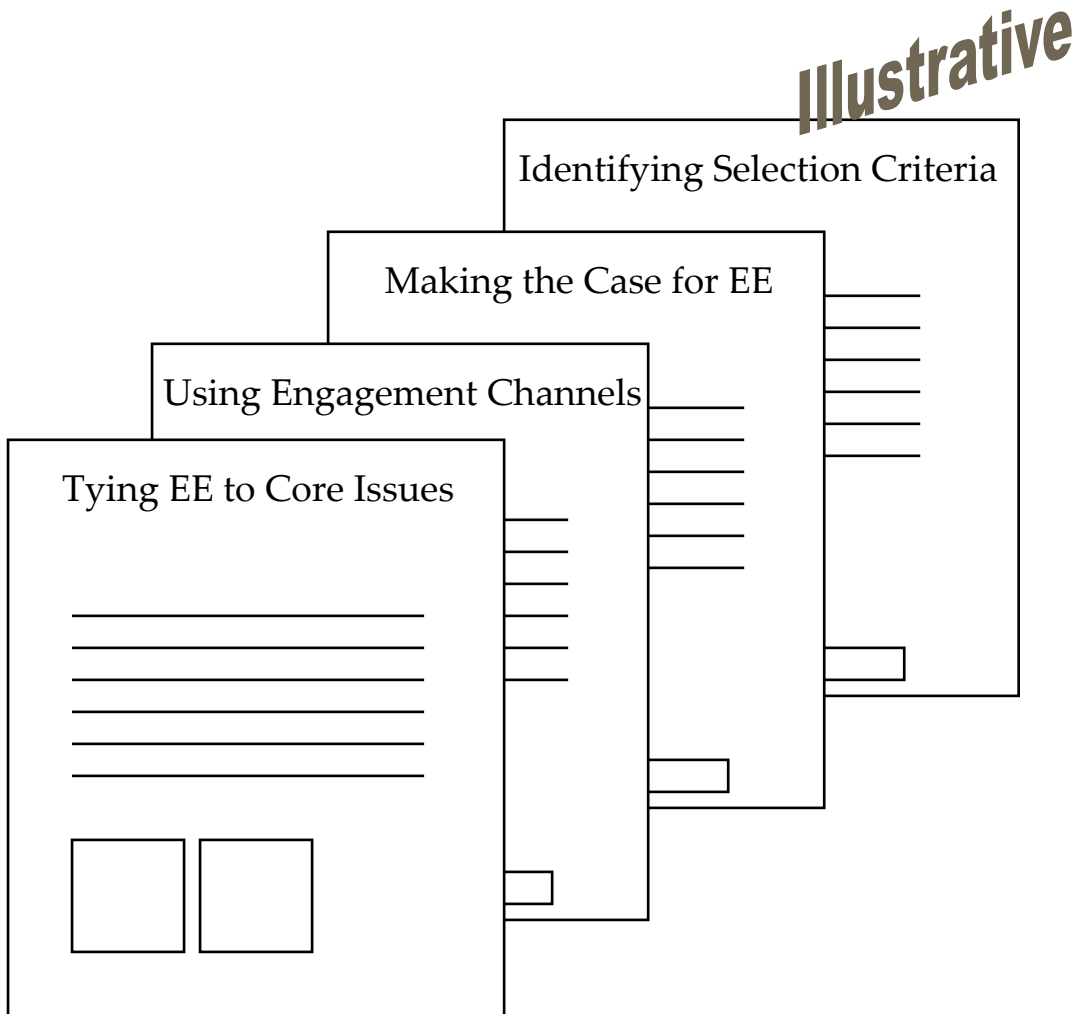
# **Local Energy Efficiency Program Workbook**

## **Appendix A: Worksheets**

March, 2006

## How to use these worksheets

We have provided worksheets that correspond to specific steps in the CALeep process. They are keyed to specific chapters and pages in the main body of the workbook and are meant to be used in combination with those pages. Whether you are working alone at this point or have assembled a team, the worksheets are intended to provide structure, to present you with the key things you need to decide, and to create a record of what you are doing.

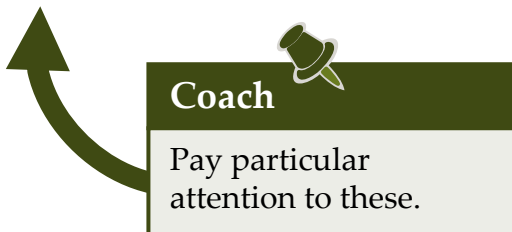


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Use this worksheet to *brainstorm* your thinking about potential core issues you might be able to leverage to promote energy efficiency.

<b>What issues are people talking about?</b> (Budget shortfalls, need for capital improvements, etc.)	
<b>What's hot in local media?</b> (Newspaper articles & editorials, talk radio, etc.)	
<b>What's most important to elected officials?</b> (Governing board agenda items, candidate platforms, other)	



**Coach**  
Pay particular attention to these.

Use this worksheet to *prioritize* your ideas about the core issues you might be able to leverage for promoting energy efficiency.

<p><b>Most Appealing</b></p> <p>Of all your ideas, which seems to have the broadest appeal? Which are the most likely to succeed and attract the support you need? Which ones can be funded easily?</p>	
<p><b>Somewhat Appealing</b></p> <p>Which ideas have some appeal, but are unlikely to attract the support you need? Also, put ideas here if you'd like to continue to consider them, but need more information.</p>	
<p><b>Limited Appeal</b></p> <p>Can you discard any of your ideas because of really limited appeal to key stakeholders or because the idea appears to have very little relevance to energy efficiency?</p>	



**Coach**

If you are not sure, take a guess, you can always return to this step and re-prioritize.

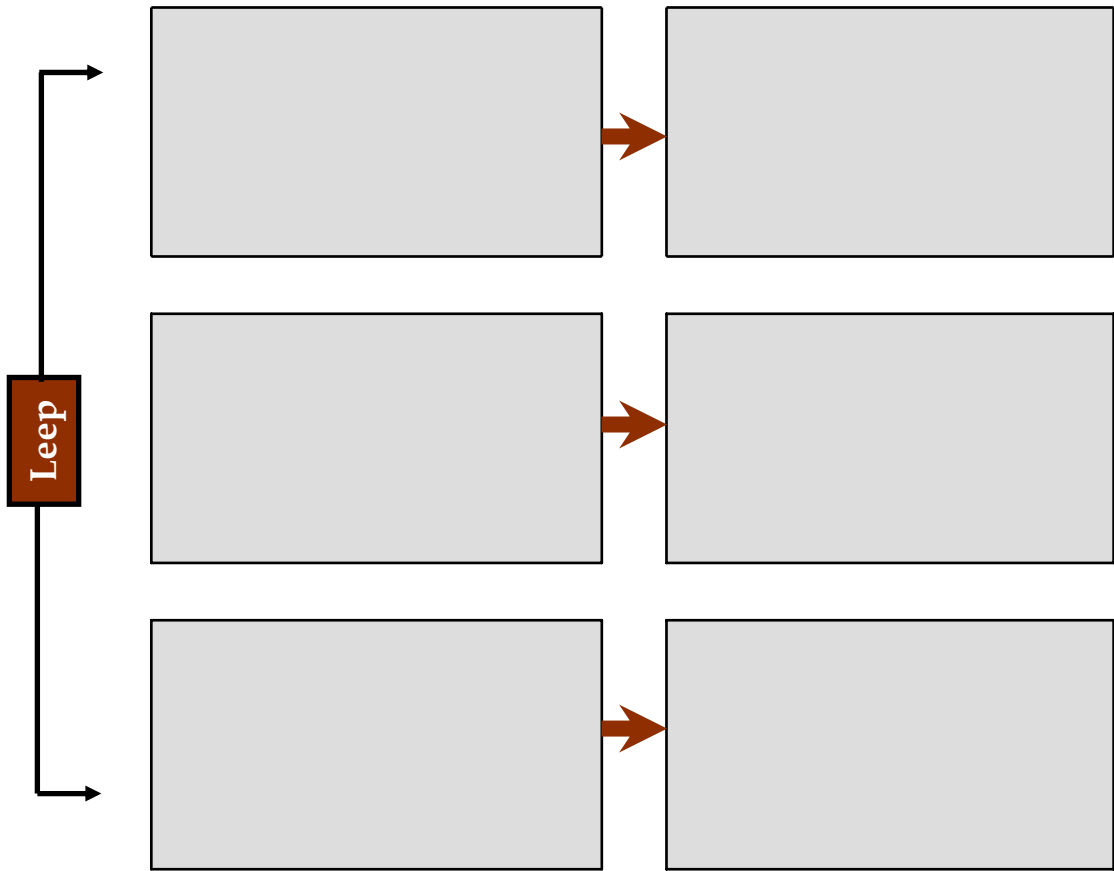
Use this worksheet to develop the linkage between energy efficiency and the top 3 core needs you identified in the previous worksheet. Examples appear in the main body of the workbook.

**Linkage to Energy Efficiency**

(Develop a rationale for linking energy efficiency to each initiative.)

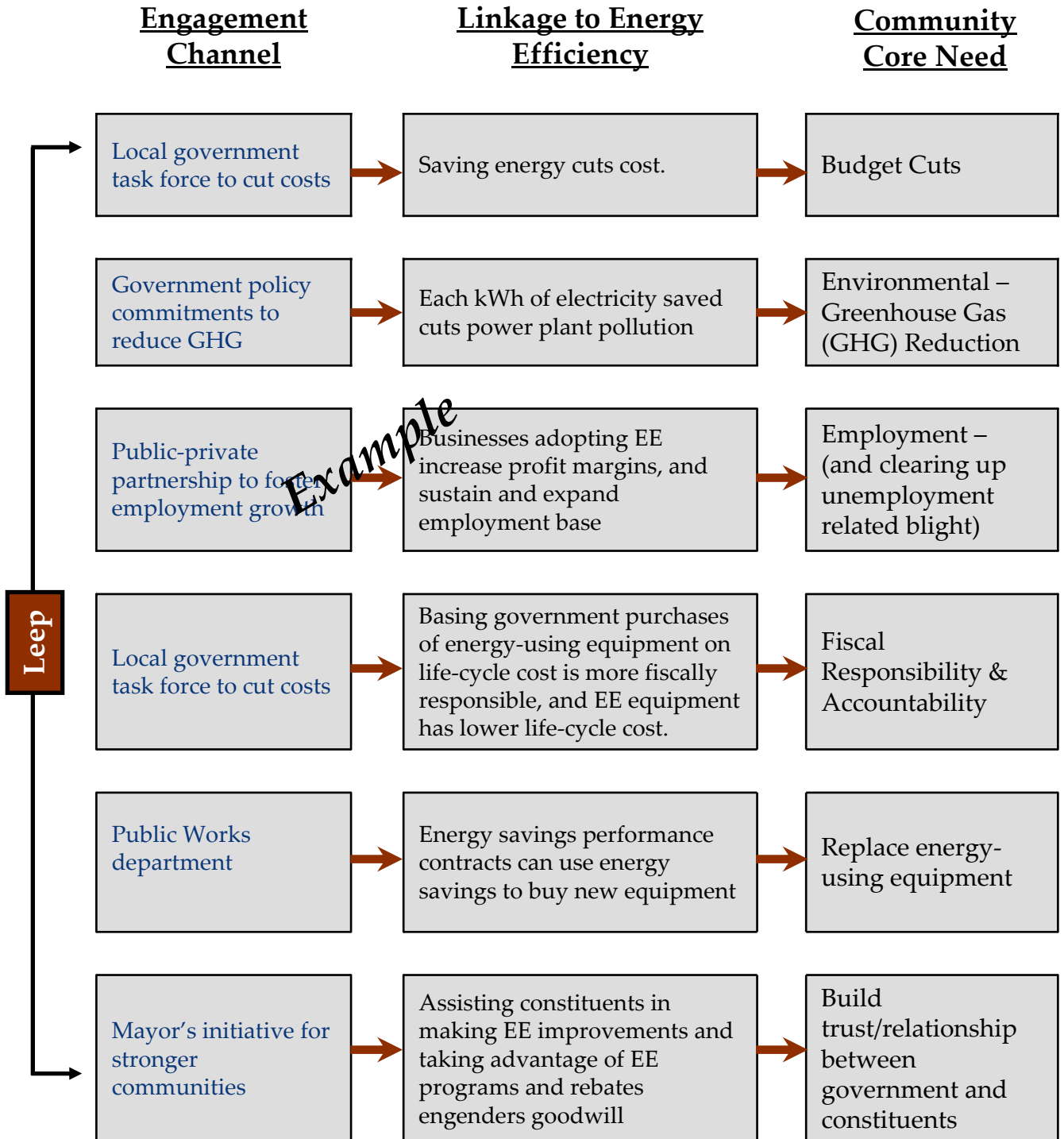
**Community Core Need**

(Put your top 3 core needs here from the last worksheet.)

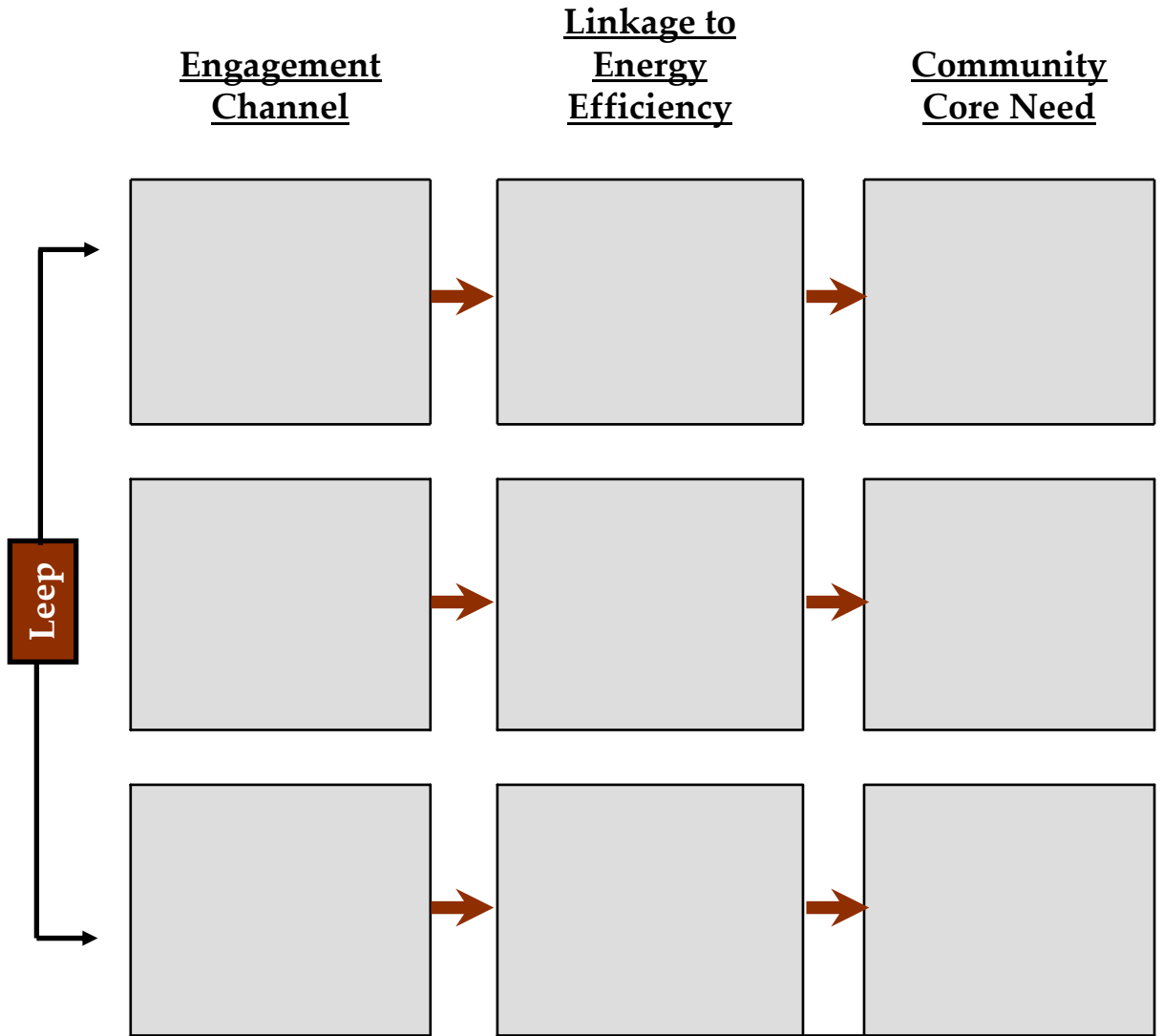


**Community engagement channels are formed in response to community core needs.**

The objective is to drive the energy efficiency initiative through the existing engagement channel using the linkage to energy efficiency to meet the community core need. The following page gives an example of how an engagement channel can be used.



Use this worksheet to identify existing engagement channels you can use to drive your energy efficiency through your top 3 core needs.



**Coach**  
Don't worry if you have more than one good option. You can sort out the best later.

**Next, think about whether your initiative should address government facilities only, constituent facilities only, or both. And at what level?**

Some examples:

Scope of Initiative	Examples
<b><u>Government Facilities</u></b>	
<b>Individual projects already identified</b>	Upgrade inefficient lights in main administration building.
<b>Broad mix of EE projects and policies</b>	<ul style="list-style-type: none"> <li>» Selected EE projects across different government facilities.</li> <li>» Changes to policies on purchase of energy-using equipment, evening use of facilities, departments retaining portion of savings from EE projects they implement</li> </ul>
<b>Sustainable internal organization</b>	Ongoing energy sustainability committee, with participation by Public Works, Accounting, Finance, Community Relations
<b>Integration of EE into normal operations</b>	EE purchase policies applied to all energy-using equipment purchases, all new construction designed to achieve Energy Star rating, all construction solicitations contain EE specs, etc.
<b><u>Constituent Facilities</u></b>	
<b>Distribute EE literature</b>	Brochures on home energy-saving tips, referral to Energy Star web site
<b>Policies to promote EE</b>	<ul style="list-style-type: none"> <li>» Building ownership transfer requires that building receive energy efficiency rating</li> <li>» Homes greater than XXX sq ft must be built to use no more energy than XXX sq ft building meeting Title 24 code</li> </ul>
<b>Serve as conduit for existing EE programs</b>	<ul style="list-style-type: none"> <li>» Promote existing utility/other EE programs to specific constituent segments that are appropriate to those segments (inform, assist in application process, etc.)</li> <li>» Set up meetings with constituent groups and bring in EE program managers to explain their programs</li> </ul>
<b>Develop comprehensive community-wide EE initiative</b>	Stakeholder meetings, strategies for key community segments, partnerships with businesses/community groups to apply for funding

Now, give a rating of 2 (for preferred) or 1 (for less preferred) for each general focus of your prospective EE initiative (government facilities or constituent facilities). Then, rate each of the levels of effort under the two main areas on a 1-5 scale (with 1 being least preferred and 5 meaning most preferred).

Several items can receive the same rating. After you are done, look at the types of activities to which you gave the highest ratings and think about them in light of whether they make sense in terms of your preferences regarding targeted vs. broad EE activities. Do you want to modify your opinions on either exercise? Again, this is to help you and your team understand and focus on what you want to do.

Scope of Initiative	Rating
<b><u>Government Facilities</u></b>	
Individual projects already identified	
Broad mix of EE projects and policies	
Sustainable internal organization	
Integration of EE into normal operations	
<b><u>Constituent Facilities</u></b>	
Distribute EE literature	
Policies to promote EE	
Serve as conduit for existing EE programs	
Develop comprehensive community-wide EE initiative	

Use this worksheet to identify the champions, patrons and other partners who could help you reach and persuade the key decision-makers and get their approval, and develop the initiative.

Champion(s)	Partners
<b>You and Why You Can Be a Good Champion:</b>	<b>Patrons and How They Can Help:</b>
<b>Back-up/Secondary Champion(s) and Their Qualifications:</b>	<b>Other Partners and How They Can Help:</b>



**Coach: The Role of Partners**  
 This list will be a useful resource throughout your initiative; keep it handy and refer back to it!

## Identifying Community Trends and Constraints

**Document the trends and constraints the community faces.**

This should be very general at this stage. You want to demonstrate that you understand the community's situation and are prepared to craft the energy efficiency initiative in light of that situation. Below is a brief example:

### Trends and Constraints Example

- 1. Financial Health:** Weak in the short-term; strategies in place for slow recovery
- 2. Debt ceiling/financing constraints:** Cannot incur additional debt for the foreseeable future
- 3. Residential housing growth/decline:** Stagnant housing growth
- 4. Commercial / industrial growth/decline:** Slow decline in C/I base
- 5. Demographic trends:** Existing population experiencing slow net growth
- 6. Planned capital outlays and bond issues:** Bond issues are maxed out; might be some opportunities to include energy efficiency requirements in planned capital projects
- 7. Major policy initiatives underway/planned:** Rehabbing of blighted areas; may offer opportunity for inclusion of energy efficiency initiatives/requirements
- 8. Competing priorities for funds and resources:** Maxed out; only hope is to hitch onto funding for existing works
- 9. Technical EE expertise of staff:** Little expertise; few staff; no time.

**Use this worksheet to identify your trends and constraints.**

This should be very general at this stage. You want to demonstrate to decision-makers that you understand the community's situation and are prepared to craft the energy efficiency initiative in light of that situation. Add or revise topic areas as needed to suit your situation

**Trends and Constraints Worksheet**

1. Financial Health: \_\_\_\_\_
2. Debt Ceiling/Financing Constraints: \_\_\_\_\_
3. Residential Housing Growth/Decline: \_\_\_\_\_
4. Commercial/Industrial Growth/Decline: \_\_\_\_\_
5. Demographic Trends: \_\_\_\_\_
6. Planned Capital Outlays and Bond Issues: \_\_\_\_\_
7. Major Policy Initiatives: \_\_\_\_\_
8. Competing Priorities: \_\_\_\_\_
9. In-house EE Technical Expertise: \_\_\_\_\_

**Coach: Identifying the Trends and Constraints**

Again, this list will be a useful resource throughout your initiative; keep it handy and refer back to it.

**Political context – What policy support for your initiative can you point to?**

Use this worksheet to document the existing policy support for your initiative.

<b>State Policy Support</b>
<b>City Council/Governing Body Policy Support</b>
<b>City/County EE-related Operations Policy Support</b>
<b>Community Policy Support</b>

**Examples of State Policy Support:**

- » July 2003: CEC, CPUC and CPA adopt Energy Action Plan – To ensure adequate, reliable, and reasonably priced energy supplies through policies, strategies, and actions that are cost effective and environmentally sound.
- » June 2005: CEC and CPUC Energy Action Plan II – implementation plan for state energy policies that reaffirmed energy efficiency as first in the loading order of specific action areas to meet the plan’s objectives

**Examples of City Council/Governing Body Support:**

- » Formal policy statement committing to attain specific EE/greenhouse gas reduction goals/objectives
- » Inclusion in General Plan of EE and other sustainability elements

**Examples of City/County EE-related Operations Policy Support:**


- » EE-related construction contract or purchasing requirements

**Examples of Community Policy Support:**

- » Corporate participation in CA Climate Action Registry
- » Non-profits facilitating “green” purchases for businesses
- » EE or environmentally related public-private partnerships

Use this worksheet to assess how your political context impacts your proposed initiative.

<b>Initiative:</b> _____	
<b>Enabling Forces</b>	<b>Challenges</b>
<b>Estimated Impact on Initiative</b>	

 **Coach**  
Remember this is a really rough estimate!

**Use this worksheet to note the results of your estimation of the energy baseline relative to your top initiative.**

<b>Initiative:</b> _____	
<b>Efficiency Baseline Factor</b>	<b>Estimate</b>
Existing Annual Electricity Usage:	
Existing Annual Electricity Cost:	
Existing Annual Natural Gas Usage:	
Existing Annual Natural Gas Cost:	
Existing Annual Resulting Greenhouse Gas Emissions:	

This can be done at the following levels, as required by the type of initiative you are trying to implement:

- » Local government facilities
- » Constituent/community facilities
- » Government and constituent/community facilities
- » Individual facilities

**Use this worksheet to note the results of your estimation of the energy benefits relative to your top initiative.**

Initiative: _____	
Initiative Benefit	Estimate
Reduced Annual Electricity Usage:	
Reduced Annual Electricity Cost:	
Reduced Annual Natural Gas Usage:	
Reduced Annual Natural Gas Cost:	
Reduced Annual Resulting Greenhouse Gas Emissions:	
Other Benefits:	

\*See the Technical Addendum on the CALeep web site (<http://www.caleep.com>) for more information.

**The last step is to identify the key decision-makers and draft a targeted message about your energy efficiency initiative.**

### Key Decision Maker

City Manager  
(Also key to target City Manager's assistant)

### Message for Key Decision Maker

The proposed EE initiative is well aligned with the city's interest in reducing GHG emissions. Potential benefits are as follows:

- 900 MWh reduction in annual electricity use
- \$100,000 per year in lower annual electricity costs
- \$25,000 in avoided maintenance costs for the first 10 years
- 330 tons of CO<sub>2</sub> reduced annually, the equivalent of:
  - 55 cars removed from the road
  - 90 acres of trees planted

Initial cost is \$500,000 if handled as a capital project or \$0 if implemented under an energy savings performance contract. In the later case, energy cost savings would be deferred for 7 years because the savings would be used to pay installed cost.

### Next Steps

Request proposals from Energy Services Contractors (ESCOs) to install energy efficiency measures in all public buildings under an energy savings performance contract.



### Coach: Developing the Message for Decision-Makers

Keep message simple, high-level. The emphasis here is just to get something preliminary on paper. You can, and will, revise this as you move through the process.

**Use this worksheet to lay out your key “selling” points).**

<b>Key Decision Makers</b>
<b>Message for Key Decision-Makers</b>
<b>Next Steps</b>

Use this checklist to go over what you have done in this chapter and to identify what items are still pending.

	<input checked="" type="checkbox"/> Checklist	To Do's: Pending Issues/Items
<b>1.1</b> Determining What to Do	<input type="checkbox"/> Identified community core needs?  <input type="checkbox"/> Found the embedded energy efficiency rationales?  <input type="checkbox"/> Identified the engagement channels?	
<b>1.2</b> Deciding the Scope of the Initiative	<input type="checkbox"/> Determined the scope of the initiative?	
<b>1.3</b> Making the Case for the Decision-Makers	<input type="checkbox"/> Assessed the political context of your initiative?  <input type="checkbox"/> Assessed you energy situation assessment?  <input type="checkbox"/> Estimated the benefits of your initiative?  <input type="checkbox"/> Successfully made your case and won approval for your initiative from the decision-makers?	

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The most important step in assessing the attractiveness of potential program options is to brainstorm and prioritize the criteria you will use to select them.

Group possible criteria you will use to choose between possible programs and policy options into three broad categories (most important, somewhat important and least important).

Possible Criteria for Choosing Between Program and Policy Options	
Most Important Criteria	<ol style="list-style-type: none"> <li>1. Fast payback</li> <li>2. Has been done successfully elsewhere</li> <li>3. Uses local vendors</li> </ol>
Somewhat Important Criteria	<div style="text-align: right; font-size: 2em; font-weight: bold; transform: rotate(-15deg); opacity: 0.5;">Example</div> <ol style="list-style-type: none"> <li>1. Creates new jobs</li> <li>2. Increases occupant comfort</li> <li>3. Creates positive community image</li> </ol>
Least Important Criteria	<ol style="list-style-type: none"> <li>1. Provides volunteer opportunities for high school students</li> <li>2. Can be completed before next election</li> <li>3. Creates work for school custodian</li> </ol>

Use this worksheet to *brainstorm* and *prioritize* the criteria you will use to select your program options.

Think back to the overall goals for your initiative. Depending on the scale of your initiative, you may do the brainstorming yourself, or you may need to involve a larger group. In any case, make sure you have your key decision-makers on board with your criteria.

Possible Criteria for Choosing Between Program and Policy Options	
Most Important Criteria	
Somewhat Important Criteria	
Less Important Criteria	

**Coach**

If you are not sure, take a guess, you can always return to this step and re-prioritize.

Use this worksheet to record the brainstormed candidate program and policy options that fit the scope of your initiative .

<b>Initiative:</b> _____	
<p><b>What could you develop on your own? How could you work/partner with other organizations?</b></p>	
<p><b>What could be a “quick success” to build momentum for more EE? What could be part of a more comprehensive effort?</b></p>	
<p><b>What could impact government facilities? constituent facilities? key constituent sectors?</b></p>	

Then use this worksheet to **prioritize** your ideas about possible options you could develop for your initiative.

<b>Initiative:</b> _____	
<p><b>Most Appealing</b> (e.g., short payback, funding clearly available, clear demonstration of successful results, high visibility)</p>	
<p><b>Somewhat Appealing</b> (e.g., reasonable payback, funding available but requires application, indirect connection between results and community need)</p>	
<p><b>Limited Appeal</b> (e.g., long payback, limited constituency, no established engagement channel, complex implementation requirements)</p>	

**Coach**

Use your judgment. If you are not sure, take a guess, you can always return to this step and re-prioritize.

**You should summarize each of the candidate program and policy options now, to make sure that you have all of the key elements defined for each candidate.**

This summary will help you compare and contrast the different candidates. Use this worksheet and the next few pages to determine the “do-ability” of your top options. For help in assessing the energy savings and other benefits of each option, see Appendix B’s Energy Situation Assessment – Estimating Energy Savings.

» **Candidate Option**

---

» What is it that you will do? What are the goals?

---

» Why will you do it? What are the benefits? Costs?

---

» Where will this happen? Industry? Government?

---

» How will the option be carried out?

---

» What are the major constraints?

---

» Who will carry this through implementation?

---

**To assess the do-ability of your candidate program and policy options, consider the number of candidate options you must decide between, to determine how extensive and rigorous a process you need to employ.**

For a small number of simple programs or projects that have been done without significant problems in similar local governments/communities may require only that you think through the various steps of each program or policy option. You can use the following categories to help you:

Relative to what you will need to implement the option\*, what is already in place? Below are some examples of the factors that go into making a program or policy option do-able. You can use these or modify them to fit your situation more precisely.

- » Technical resources?
- » Management resources?
- » Logistical resources?
- » Infrastructure?
- » Communications resources?
- » Financial resources?

In assessing the do-ability of a larger number of programs and policy options, especially in the context of high visibility for the initiative, you may want to employ a more rigorous process for assessing the do-ability of candidate options. This could include formally rating each option across these factors. If visibility is high or if decision-makers will need to be convinced to proceed further, you may also want to ensure that key stakeholders (the range of individuals likely to be affected in some way by the collection of candidate options) are represented in the do-ability assessment. Having a group of key individuals all agree on a program's do-ability will lead special credence to the recommendation to move forward with it.

Program/ Policy Option	Do-ability (scale of 1-5: 5=very do-able; 1=not do-able)						
	Technical	Mgmt	Logistics	Infra- structure	Commu- nications	Finance	Total
Develop and implement comprehensive EE improvements on the 10 largest city facilities	1	2	2	3	4	3	15


\*See definitions for each of these terms on the following page.

You can use these definitions of terms and this framework for a rigorous assessment of do-ability of your candidates initiatives.

Do-Ability Components	Do-ability Score				
	1	2	3	4	5
<b>Technical Resources:</b> Energy and financial analyses, construction/installation, legal and accounting, contracting,	An insurmountable amount of new resources are required	Significant amounts of resources are required	Moderate amounts of resources are required	Minimal amounts of resources are required	All required resources are available
<b>Management Resources:</b> Involvement of decision-makers, strong program/project oversight, EE team leadership, internal reporting	An insurmountable amount of new resources are required	Significant amounts of resources are required	Moderate amounts of resources are required	Minimal amounts of resources are required	All required resources are available
<b>Logistical Resources:</b> Administrative needs, promotional material production, meeting space, invoice/payment processing, mailings	An insurmountable amount of new resources are required	Significant amounts of resources are required	Moderate amounts of resources are required	Minimal amounts of resources are required	All required resources are available
<b>Infrastructure</b> Partnerships with community groups, inter-departmental teams, precedents for changes in purchasing/contracting policy	An insurmountable amount of new resources are required	Significant amounts of resources are required	Moderate amounts of resources are required	Minimal amounts of resources are required	All required resources are available
<b>Communications Resources:</b> Constituents, elected officials, internal stakeholders, press	An insurmountable amount of new resources are required	Significant amounts of resources are required	Moderate amounts of resources are required	Minimal amounts of resources are required	All required resources are available
<b>Financial Resources:</b> Marketing, installation contractors, borrowing capability, accounting practices	An insurmountable amount of new resources are required	Significant amounts of resources are required	Moderate amounts of resources are required	Minimal amounts of resources are required	All required resources are available
Less Do-able ←————→ More Do-able					

Referring to the framework on the preceding page, use this worksheet to rate the “do-ability” of your program options.

Program/ Policy Option	Do-ability (scale of 1-5: 5=very do-able; 1=not do-able)						
	Technical	Mgmt	Logistics	Infra- structure	Commu- nications	Finance	Total



**Coach**

Use your best judgment on which will be the most do-able and least. We will use these results later.

**Collect information on each option, in order to use your selection criteria.**

This is the technical part of the process. To successfully prioritize your most do-able EE options and select the most attractive ones to implement, you need to be able to evaluate each one in terms of the selection criteria you have developed. At the very least, you will need expertise in energy efficiency measure analysis (from individuals on staff, your utility representative, a consultant, etc.), and possibly in other areas (e.g., converting energy savings estimates to job growth estimates, assessing the image benefits of an initiative). For help in assessing the energy savings and other benefits of each option, see Appendix B’s Energy Situation Assessment – Estimating Energy Savings. In addition the CAlepp Technical Addendum (at [www.calepp.com](http://www.calepp.com)) provides a detailed listing of EE programs funded through energy bill surcharges for the 2006-2008 period, which communities can approach for both technical and financial assistance.

Once you have the information you need, create a matrix, showing whether each potential EE initiative meets or does not meet your selection criteria. This will show you your highest priority, most do-able EE opti

		Program/Policy Option			
		#1	#2	#3	#4
Meets Most Important Criteria	1. Achieves positive cash flow within five years	X			
	2. Has been implemented (done) elsewhere. Low risk that it works.	X		X	
	3. Achieves significant energy bill savings	X			X
Meets Somewhat Important Criteria	1. Builds the case for additional EE initiatives – must be a clear success	X			X
	2. Creates positive image benefits for . . .		X	X	
Meets Least Important Criteria	1. Can be completed before next election		X	X	X
	2. Uses city workers to implement	X			

*Example*

Note that some of the criteria are quantitative (e.g., time to positive cash flow, achieves significant energy savings), while others are qualitative (e.g., has been done elsewhere, initiative is profitable).

**Collect information on your options and analyze their impacts.**

Use this worksheet to record how each program and policy option does or does not meet each level of selection criteria.

		Program/Policy Option					
		#1	#2	#3	#4	#5	#6
Meets Most Important Criteria							
Meets Somewhat Important Criteria							
Meets Least Important Criteria							

### Further prioritization.

If you need to select between EE options meeting your selection criteria, you can weight these criteria and then rate each option according to each criterion. See the example of weighting selection criteria shown below.

Program/Policy Option:	Weighting Percentage
<b>Selection Criteria</b>	<b>Column Should Total 100</b>
1. Achieves positive cash flow within five years	45%
2. Has been implemented (done) elsewhere	30%
3. Significant energy bill savings	25%
Total	100%



### Coach

- Weight each criterion relative to the others: Allocate percentage points to each selection criteria based on its relative importance relative to the others. This remains fixed for all options you prioritize.
- Rate each option according to each criterion.
- Multiply the rating by the weighting percentage, to get an overall rating that you can then use to prioritize your EE options for implementation.

Use this worksheet to determine how important each of your selection criteria is relative to the others (i.e., weight your selection criteria).

Program/Policy Option: _____	Weighting Percentage
Selection Criteria	Column Should Total 100
1.	
2.	
3.	
4.	
5.	
Total	



**Coach**

- Weighting selection criteria is subjective and varies across different stakeholder groups.
- Get input from key stakeholders.
- If you are not sure, take a guess, you can always return to this step and re-prioritize.

## Further prioritization (continued)

Next, you need to obtain an overall weighted rating for each program/policy option:

- » Rate each option according to each criterion.
- » Multiply that rating by the weight you just established for that criterion.
- » Record the weighted rating for the program/policy option for each criterion.
- » Sum the weighted ratings, to get the program/policy option's overall weighted rating.

See the example shown below:

<b>Policy:</b> Develop procurement standards for energy efficient appliances and equipment used in municipal facilities, based on life-cycle costs.			
<b>Selection Criteria</b>	<b>Rating</b> (1 = low, 5 = high)	<b>Weighting</b> Column Should Total 100	<b>Weighted Rating</b> (1 = low, 5 = high)
1. Achieves positive cash flow within five years	3	25 %	0.75
2. Has been implemented (done) elsewhere	5	30 %	1.50
3. Significant energy bill savings	2	45 %	0.90
<b>Total</b>			<b>3.15</b>



### Coach

This should tell you the most favorable options to pursue. If the results do not match what you intuitively think are the best options, you can go back and reconsider the weights for each criterion and then redo your calculation. On the other hand, you may have just realized that your intuition did not consider all important criteria.

**Further prioritization (continued)**

Use copies of this worksheet to calculate overall weighted rating for each program/policy option:

- » Rate each option according to each criterion.
- » Multiply that rating by the weight you just established for that criterion.
- » Record the weighted rating for the program/policy option for each criterion.
- » Sum the weighted ratings, to get the program/policy option’s overall weighted rating.

Program/Policy Option: _____			
Selection Criteria	Rating (1 = low, 5 = high)	Weighting Column Should Total 100	Weighted Rating (1 = low, 5 = high)
1.			
2.			
3.			
4.			
5.			
6.			
<b>Total</b>			

**Finally, if you now have too few options or want to consider other options that were less do-able but may have scored higher when rated according to your selection criteria:**

- » Gather the information you need on the additional options.
- » Rate them according to each criterion.
- » Redo your calculations with the new program/policy options included, to determine the most favorable program or policy options to implement.

**Now, use the worksheet on the following page, to capture the team's thinking about the strengths and weaknesses of the candidate projects; then select the most attractive.** (Quantitative analyses only go so far. In the end, you will likely need to apply such qualitative judgments to your final results. But they will be based on a rigorous analysis.)

Use this worksheet to capture the team’s thinking about the strengths and weaknesses of the candidate projects; then select the most attractive.

Initiative: _____	
Primary Program Options	Strengths & Weaknesses
①	
②	
③	
④	
Back-up Program Options	Strengths & Weaknesses
⑤	
⑥	



**Coach**

Now that you have developed your program plan, it is time to get specific!

**Finally, you need to define the metrics you will use to evaluate your program.**

- » To start, look back at your selection criteria and the key selling points/initiative goals you may have used with the key decision makers to win approval for your EE initiative. Not every program needs to address every selection criteria/goal.
- » Define your unit of measurement for each goal for which you are developing metrics (e.g. numeric scale, qualitative ranking, etc.).
- » Finally, determine what your data needs will be and how these data will be collected (e.g., will bulbs be counted? invoices summed?)

Program/Policy: _____		
Initiative Goal	Potential Metrics	Data Source
	1.	1.
	1.	1.
	1.	1.
	1.	1.

Use this checklist to go over what you have done in this chapter and what items are still pending.

	<input checked="" type="checkbox"/> Checklist	To Do's: Pending Issues/Items
<p>2.1 Define Strategy</p>	<p><input type="checkbox"/> Decided whether to do a fast-track or comprehensive initiative?</p> <p><input type="checkbox"/> Develop program and policy selection criteria?</p>	
<p>2.2 Identify Program Options</p>	<p><input type="checkbox"/> Brainstormed and prioritized candidate program/policy options for your initiative?</p> <p><input type="checkbox"/> Evaluated each option's do-ability?</p>	
<p>2.3 Develop Program Plan</p>	<p><input type="checkbox"/> Developed criterion weights and rated each option?</p> <p><input type="checkbox"/> Collected data to rate each option according to each selection criterion?</p> <p><input type="checkbox"/> Defined the metrics you will use to assess the success of your selected programs and policies?</p>	

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5	Assess

**Taking stock of your current authority assets and deficits is an important first step. Your patrons) and partners should be able to help you with this. Below is an example.**

Authority Assets and Deficits	
<b>Authority I Have</b>	<ul style="list-style-type: none"> <li>▪ I have approval from the City Manager to pursue the EE initiative (although, have no additional staff or budget approval).</li> <li>▪ I have authority to prepare and submit an application for technical assistance from the local utility company.</li> </ul>
<b>Authority I Need, but Don't Have</b>	<ul style="list-style-type: none"> <li>▪ I still need approval from Planning Department to work on EE as it pertains to future energy consumption/capital expenditures.</li> <li>▪ I need authority to use staff at Public Works Department to help with audits.</li> </ul>
<b>Ways I Can Get the Authority I Need</b>	<ul style="list-style-type: none"> <li>▪ I will get the City Manager to send a memo to the head of the Planning Department and then do a presentation to the Planning Board. This will be followed up by a private meeting with head of department.</li> <li>▪ I will meet with the Superintendent of Public Works and demonstrate that the audits will require minimal staff time and will help familiarize them with energy components of the physical plant.</li> </ul>

*Example*

Use this worksheet to identify the elements of authority you have, elements you lack, and how to get the authority you need.

Authority Assets and Deficits	
Authority I Have	
Authority I Need, but Don't Have	
Ways I Can Get the Authority I Need	

### Next, do you understand how things get done?

Draw the formal flow for approval of energy efficiency initiative implementation in your community or agency:

### Do You Understand How Things *Really* Get Done?

Draw the unofficial flow for getting approval for energy efficiency in your community or agency:

Reviewing your flow diagrams to identify the key factors in getting things done in your community and any potential challenges you face can be very helpful. Here is an example:

<p><b>Program:</b> Conduct audits of the top 10 city facilities, identifying cost-effective energy efficiency improvements and a strategy for implementation over the next 3 years.</p>	
Key Factors in Getting Things Done	Potential Challenges And Ways to Mitigate
<ul style="list-style-type: none"> <li>▪ Need be supported by City Manager.</li> <li>▪ City Manager’s husband has tremendous influence on key environmental decisions (e.g., pushed GHG initiative with Green Now!).</li> <li>▪ City Facilities Director does not respect City Manager’s decisions.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Must sell the program independently to the City Facilities Director.</li> </ul>

*Example*

**Building on identification of formal and informal processes, use this worksheet to list key factors in getting things done in your community and any potential challenges you anticipate.**

Program: \_\_\_\_\_

Key Factors in Getting Things Done	Potential Challenges and Ways to Mitigate

**An honest appraisal of your (or your team’s) management capabilities is essential. You can do this regarding the entire EE initiative and for each program/policy project being planned.**

<b>Program:</b> Conduct audits of the top 10 city facilities, identifying cost-effective energy efficiency improvements and a strategy for implementation over the next 3 years.		
<b>Key Management Skills Required</b> (In order of importance)	<b>Skill Rating in this Area</b> (High, Medium, Low)	<b>Importance of Addressing Gaps</b> (High, Medium, Low)
1. Project management: monitor resources used and whether program/project is on track, process invoices, etc.	M	H
2. Promote project with key stakeholders	H	No gap
3. Run meetings and manage people	H	No gap

*Example*

Use this worksheet to determine if you and your team’s management capabilities are a good match for your initiative. This will also help you determine whether YOU or someone else should be leading specific parts of the initiative, and who is in the best position to oversee the entire effort.

Program: \_\_\_\_\_

Key Management Skills Required (In order of importance)	Skill Rating in this Area (High, Medium, Low)	Importance of Addressing Gaps (High, Medium, Low)
1.		
2.		
3.		
4.		



**Coach**

Don't worry if you don't have all the skills required to manage your project (most people don't!). In subsequent sections we will identify ways of getting what you need to manage the initiative, including recruiting the right people to complement your skills.

Use this worksheet to identify the *Technical and Logistical Resources* you need during program implementation. Depending on your selection of programs and policies, many of these resources may be needed for multiple components of your initiative.

**Program:** \_\_\_\_\_  
 \_\_\_\_\_

**Logistical/technical resources you need for project implementation:**

<b>Administrative Staff</b>	
<b>Technical Expertise</b>	
<b>Public info/ Marketing</b>	
<b>Project Management Skills</b>	
<b>Legal/Financial Skills</b>	
<b>Analytical Skills</b>	

Use this worksheet to identify the supporting resources you need for Communication with Key Stakeholders during project implementation.

<b>Program:</b> _____ _____	
<b>Supporting resources that you need for communication and general content of those communications:</b>	
<b>Constituents &amp; External Stakeholders</b>	
<b>Elected Officials</b>	
<b>Internal Stakeholders</b>	

Use this worksheet to identify the Financial Supporting Resources you will need during project implementation.

Program: \_\_\_\_\_

Financial resources that you need to support the initiative:


Design	
Construction	
Assessment	

Use this worksheet to identify the gap between the logistical/ technical resources you have locally and what you need.

**Gap analysis for supporting resources:  
Logistical/Technical**

**Program:** \_\_\_\_\_

Logistical/Technical Resource Need	Describe Known Source	Need to Find? (Yes/No)

**Coach** 


Use the worksheet in Section 3.1 on technical/logistical resources to fill in the first column. Use the ideas on the previous slides and your own thoughts to fill in the second column.

Use this worksheet to identify the gap between the access to communications resources you have locally and what you need.

**Gap analysis for supporting resources:  
Stakeholder Communications**

Program: \_\_\_\_\_

Communications Resource Need	Describe Known Source	Need to Find? (Yes/No)

**Coach** 

Use the worksheet in Section 3.1 on communications resources to fill in the first column. Use the ideas on the previous slides and your own thoughts to fill in the second column.

You will need to identify the gap between the financial resources you have locally and the financial resources you need.

Gap analysis for supporting resources: Financial		
Program: _____		
Financial Resource Need	Describe Known Source	Need to Find? (Yes/No)

Coach

Use the worksheet in Section 3.1 on financial resources to fill in the first column. Use the ideas on the previous slides and your own thoughts to fill in the second column.

Use this worksheet to summarize gaps in resources to be filled.

Summary of Key Resource Gaps				
Program: _____				
Authority	Capability (Management & Political Understanding)	Supporting Resources		
		Tech./Logistical	Communica- tions	Financial

**Coach**



Great! Now you have a list of what you need to find elsewhere to make your initiative a success. The next section has ideas on where you can get resources you currently do not have access to.

Use this worksheet to describe how you plan to fill your resource gaps.

How Resource Gaps Will Be Filled.	
Program: _____ _____	
Authority Gap	Describe how gap will be filled
Capability Gap	Describe how gap will be filled
Supporting Resources Gap	Describe how gap will be filled

**Coach**



Great! If there are gaps you don't know how to fill, go out to your network. If there are critical gaps you cannot fill, even after consulting your network, it may be necessary to go back and rework your program strategy.

## Who exactly will do what and with what resources?

It is important to develop and maintain a clear understanding of roles and responsibilities. Review your previous worksheets, including those in the PLAN section of this workbook.

- » Who will apply for authorization, funding?

---

- » Who will administer the initiative?

---

- » Who will report to the authority, funding agency?

---

- » How can you minimize the required authorization and supervision?

---

---

- » Who will manage the initiative?

---

- » Who will provide energy expertise?

---

- » Who will be responsible for financial accounting, payments, etc.?

---

- » Who will provide day-to-day administrative support (record keeping, reporting, scheduling, etc.)?

---

- » Who will manage partners and contractors?

---

Use this worksheet to develop a list of your core team members and other key participants in your project. Describe their roles and responsibilities.

Core Team		
Program: _____ _____		
Name or Job Title	Role on Team	Responsibilities)

**Clear communication is essential for successful teams. Can you tell others what you want to do and are doing?**

- » Develop clear statements of objectives (elevator speech)
- » Create different statements for different audiences and purposes
- » Make sure everybody is on the same page

<b>Program:</b> _____ _____	
<b>3-sentence elevator speech for each key audience – What are you doing and why?</b>	
<b>Audience #1:</b> _____	
<b>Audience #2:</b> _____	
<b>Audience #3:</b> _____	

Use this checklist to go over what you have done in this chapter and to identify what items are still pending.

	<input checked="" type="checkbox"/> Checklist	<b>To Do's: Pending Issues/Items</b>
<b>3.1</b> <b>Identify what you need to succeed</b>	<input type="checkbox"/> Determined whether you have the authority?  <input type="checkbox"/> Determined how things get done in your community?  <input type="checkbox"/> Determined whether you/your team have the management capabilities needed?  <input type="checkbox"/> Determined whether you have the supporting resources (financial, communication, technical/logistical)	
<b>3.2</b> <b>Identify available resources</b>	<input type="checkbox"/> Enlisted all locally available supporting resources you need?  <input type="checkbox"/> Looked for pre-organized resources, and considered whether to create your own organization?  <input type="checkbox"/> Identified remaining your resource gaps and found ways to fill them?	
<b>3.3</b> <b>Fill resource gaps</b>	<input type="checkbox"/> Found ways to fill your resource gaps?	
<b>3.4</b> <b>Put together your team</b>	<input type="checkbox"/> Developed a list of team members with roles and responsibilities?  <input type="checkbox"/> Developed a motivating summary of your initiative?	

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## Define the Tasks, Schedule & Resource Needs

What are the key tasks that will need to be completed to implement your initiative, and the lead person, time frame and resources you will need for each task? (For resources, think generally. You'll do more detail on this in the ORGANIZE section of the workbook.) Below is a sample plan outline. Each major task also should be defined in terms of the subtasks required to complete it, as well as the rationale for it.

<b>Policy:</b> High-efficiency product procurement program			
<b>Activity</b>	<b>Lead Person</b>	<b>Time Frame</b>	<b>Resource Needs</b>
1. Interview other cities that have instituted similar policies to gain lessons learned	Joe	Weeks 1-3	None
2. Identify city buildings with highest energy use, and equipment using the most energy	Janet	Weeks 1-16	<ul style="list-style-type: none"> <li>• \$8,000 for energy accounting software</li> <li>• Consulting support to obtain and enter energy use data from utility</li> <li>• 1 week of Dave in Public Works to ID energy-intensive equipment</li> </ul>
3. Calculate cost effectiveness of specifying high-efficiency models of specific products addressing highest energy-using equipment.	Janet	Weeks 16-20	<ul style="list-style-type: none"> <li>• 1 week of Dave</li> <li>• 1 day of Finance</li> </ul>
4. Investigate commitments to existing suppliers of products it is most cost effective to replace.	Joe	Weeks 20-22	2 days of Purchasing
5. Work with Purchasing and key city agency staff to identify any qualitative downsides to potential procurement rule changes.	Janet	Weeks 22-25	1 day of Purchasing and the 5 key department heads and related staff
6. Draft procurement policy regarding the	Janet	Weeks	Policy review time from City

### Define the Tasks, Schedule & Resource Needs

Complete the table below for each task in each of your programs/policies.

Program: _____			
Activity	Lead Person	Time Frame	Resource Needs



**Coach**

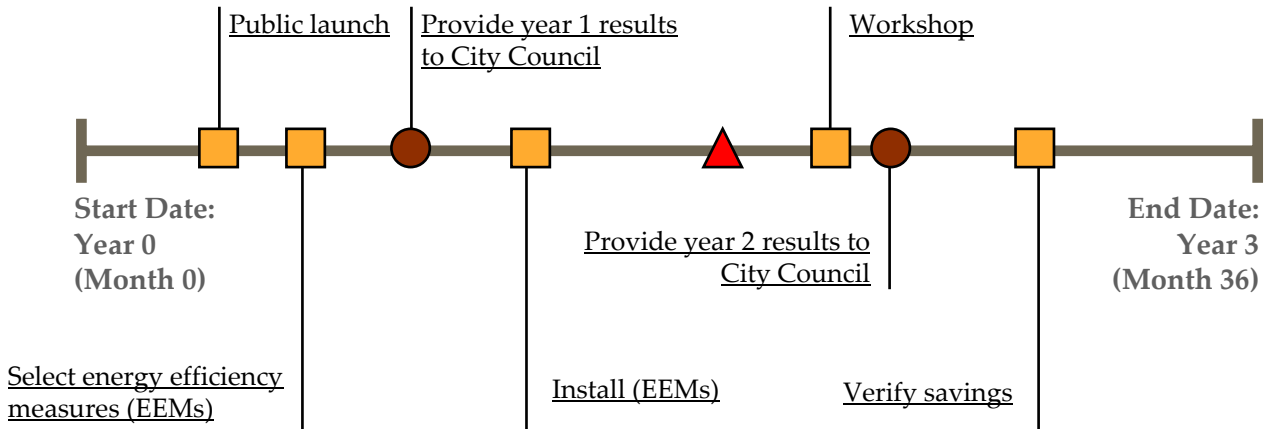
Add pages as necessary. You want to capture as much detail as possible, to ensure you can line up the resources you will need, that you have assigned responsibilities appropriately, and that you haven't overloaded individuals with more tasks than they can handle.

It helps to lay out a timeline that identifies the milestones and key activities that are critical for the project to keep moving forward.

**Program:** High-efficiency product procurement program  
**Timeline:** Project will be implemented over 3 years



*Example*



Use this worksheet to develop a timeline that identifies the milestones and key activities that are critical for your project.

**Program:** \_\_\_\_\_

**Timeline:** \_\_\_\_\_

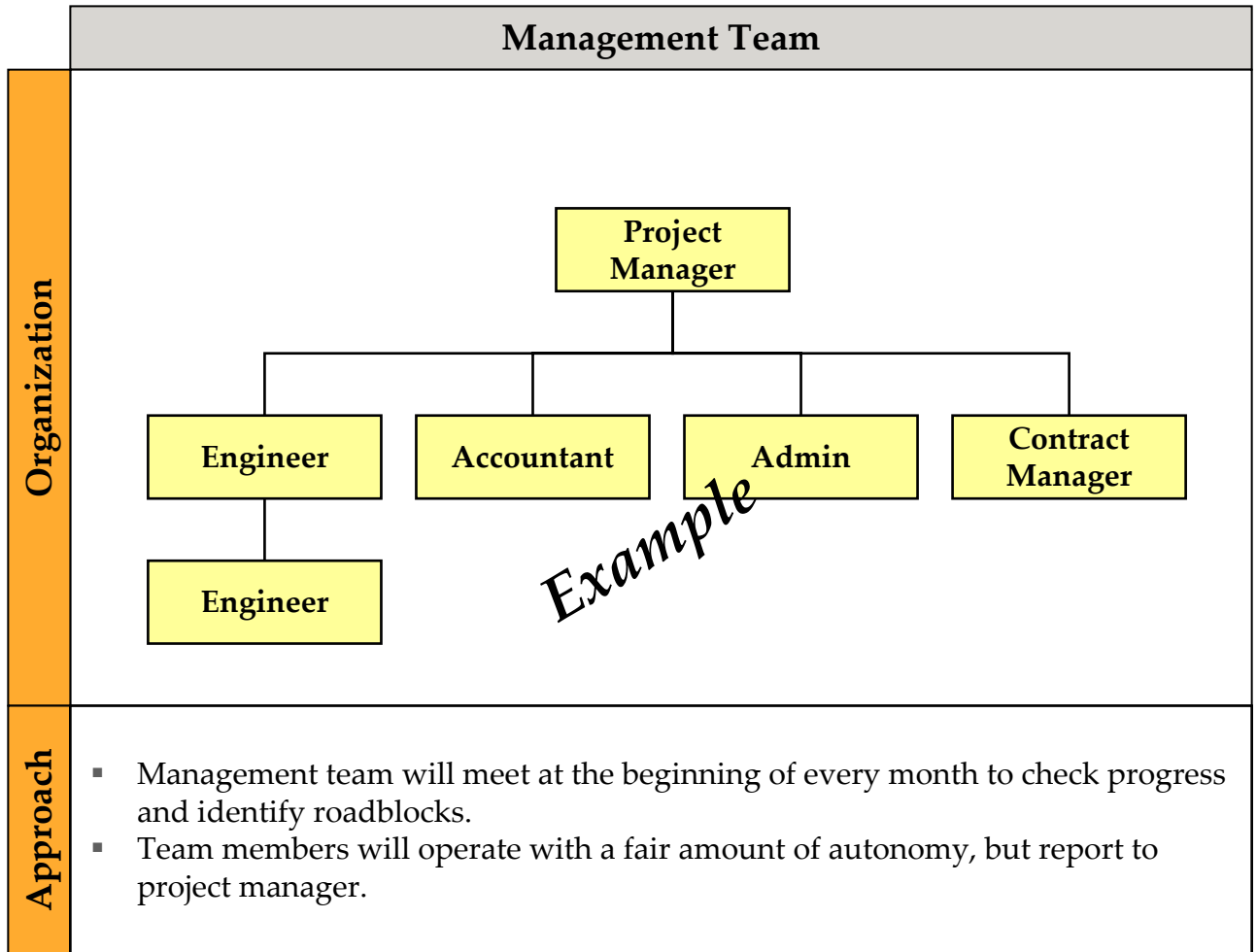
 Key activity       Milestone       Critical path element



**Coach**

At this point, however, keep to the high-level items.

You will need to identify the core members of your management team, show lines of reporting, and describe how you will work together.



**Coach**



The composition and working philosophy of your management team is like aspirin— it will get rid of many of the headaches during implementation and it keeps the blood flowing.

Use this worksheet to draw your organization chart and to outline your working relationships.

Management Team	
Organization	
Approach	

You will also need to lay out a budget for implementation.

Budget Over Three Year Effort		
<p><b>Program:</b> Conduct audits of the top 10 city facilities, identifying cost-effective energy efficiency improvements and a strategy for implementation over the next 3 years.</p>		
Item	Amount	Source
Core staff time	\$500,000	City
Training of other city employees	\$150,000	Foundation grant
Capital investment in city EE changes/ upgrades (50%)	\$1,000,000	City via bond
Capital investment in city EE changes/upgrades (50%)	\$1,000,000	Federal gov't matching grant

*Example*



You need to develop a more detailed schedule, based on the timeline with milestones you created. Here is an example of the things you will need to consider.

Schedule of Three Year Program: Year 1		
<b>Program:</b> Conduct audits of the top 10 city facilities, identifying cost-effective energy efficiency improvements and a strategy for implementation over the next 3 years.		
Date	Activity/Milestone	Responsibility
Q1 year 1	Launch	PM and engineer
Q1 year 1	Initial assessment of city EE baseline	Engineer
Q1 year 1	Report to City Manager	PM
Q2 year 1	Report to financial supporters	Accountant and Admin

*Example*



Use this worksheet to identify all the resources you can call upon when you have problems (or a crisis) with your initiative.

<b>Technical/Logistical Problem</b>	1. _____ 2. _____ 3. _____ 4. _____
-------------------------------------	--

<b>Financial Issue</b>	1. _____ 2. _____ 3. _____ 4. _____
------------------------	--


<b>Political or Communication Issue</b>	1. _____ 2. _____ 3. _____ 4. _____
---	--

**Coach** 

Keep this list and refer to it when you have a problem

In the ORGANIZE section you identified (preliminarily) who would be responsible for stakeholder communications. Finalize those decisions now. Then, identify key stakeholders with whom you will need to communicate and the targeted messages) for each. Next, outline the content and timing for specific communications with each stakeholder.

Program: _____	
Stakeholder	Targeted Messages and Preliminary Schedule of Communications

**Coach**


Don't brush this aside as a 'nice to have' element of implementation! This is not something you can do without.

Use this checklist to go over what you have done in this chapter and to identify what items are still pending.

	<input checked="" type="checkbox"/> Checklist	To Do's: Pending Issues/Items
<b>4.1</b> Implement- ation Planning	<input type="checkbox"/> Completed your implementation plan for each program?  <input type="checkbox"/> Completed list of possible resources to call on when I need help	
<b>4.2</b> Project Mgmt. 101	<input type="checkbox"/> Completed your overall timeline  <input type="checkbox"/> Completed program budget  <input type="checkbox"/> Completed detailed program schedule	
<b>4.3</b> Stake- holder Communi- -cations	<input type="checkbox"/> Determined key stakeholders?  <input type="checkbox"/> Developed targeted pitches?  <input type="checkbox"/> Sold the initiative throughout the organization as you went?  <input type="checkbox"/> Followed through effectively with all participants?	

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**Early development of a detailed list of monitoring activities is essential to program success.**

<p><b>Program:</b> Conduct audits of the top 10 city facilities, identifying cost-effective energy efficiency improvements and a strategy for implementation over the next 3 years.</p>	
Key Element/Question	Monitoring Activities
Is the program on time?	Compare program status with program plan. (Program manager will do this.)
Is the program on budget?	Compare program status with program plan. (Accounting will do this and report to management team on quarterly basis.)
Is the program meeting targets: GHG reduction, electricity reduction, budget savings?	Set up program tracking system. Results will reviewed by management team each quarter.
Are stakeholders satisfied?	Perform interviews with key stakeholders every six months. (Program interns will do this.)

*Example*

Use this worksheet to describe what you will monitor.

Program: _____	
Key Element/Question	Monitoring Activities

Use this worksheet and the sample process, market and impact evaluation questions shown in the main body of the workbook, describe the key program evaluation questions YOU need to answer for your decision-maker and how you will go about addressing them. (Make sure these questions are addressed in the evaluation effort, either by someone from your organization or by any evaluation team assessing your initiative on behalf of an outside funding source.)

Program: _____	
Key Question	Evaluation Activities

Use this checklist to go over what you have done in this chapter and to identify what items are still pending.

	<input checked="" type="checkbox"/> Checklist	To Do's: Pending Issues/Items
<p>5.1 Assessment for Program Mentoring</p>	<p><input type="checkbox"/> Determined the scope of your evaluation effort?</p> <p><input type="checkbox"/> Detailed the items you want to monitor and describe how it will be done?</p> <p><input type="checkbox"/> Used measurement to manage the initiative?</p>	
<p>5.2 Assessment for Program Evaluation</p>	<p><input type="checkbox"/> Developed the key questions to be addressed by program evaluation efforts, and identified the best sources for this information?</p> <p><input type="checkbox"/> Conducted the evaluation in a timely, objective way and carefully documented and reported the results?</p>	
<p>5.3 Assessment for Program Learning</p>	<p><input type="checkbox"/> Determined how your team is learning how to act, in response to process evaluation results?</p> <p><input type="checkbox"/> Determined how your team is learning how to learn, questioning your initiative's basic assumptions?</p>	