**Intergovernmental Relations
Inherent in the Energy
Management Partnership Act:
A Workshop on Information
Requirements**

W. J. Hopp
E. Edelson

February 1980

Prepared for the U.S. Department of Energy
under Contract EY-76-C-06-1830

Pacific Northwest Laboratory
Operated for the U.S. Department of Energy
by Battelle Memorial Institute

NOTICE

This report was prepared as an account of work sponsored by the United States Government. Neither the United States nor the Department of Energy, nor any of their employees, nor any of their contractors, subcontractors, or their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness or usefulness of any information, apparatus, product or process disclosed, or represents that its use would not infringe privately owned rights.

The views, opinions and conclusions contained in this report are those of the contractor and do not necessarily represent those of the United States Government or the United States Department of Energy.

PACIFIC NORTHWEST LABORATORY
operated by
BATTELLE
for the
UNITED STATES DEPARTMENT OF ENERGY
Under Contract EY-76-C-06-1830

Printed in the United States of America
Available from
National Technical Information Service
United States Department of Commerce
5285 Port Royal Road
Springfield, Virginia 22151

Price: Printed Copy \$____*; Microfiche \$3.00

*Pages	NTIS Selling Price
001-025	\$4.00
026-050	\$4.50
051-075	\$5.25
076-100	\$6.00
101-125	\$6.50
126-150	\$7.25
151-175	\$8.00
176-200	\$9.00
201-225	\$9.25
226-250	\$9.50
251-275	\$10.75
276-300	\$11.00

3 3679 00054 5618

INTERGOVERNMENTAL RELATIONS INHERENT IN
THE ENERGY MANAGEMENT PARTNERSHIP ACT:
A WORKSHOP ON INFORMATION REQUIREMENTS

W. J. Hopp
E. Edelson

February 1980

Prepared for
Office of Program Planning and Evaluation
Office of Conservation and Solar Energy
U. S. Department of Energy
under Contract EY-76-C-06-1830

Pacific Northwest Laboratory
Richland, WA 99352

FOREWORD

This study is making use of a workshop approach for identifying information requirements implied by the Energy Management Partnership Act (EMPA). This methodology is experimental. However, based on past experiences, it was felt that a workshop approach provides good coverage of a new problem area from many perspectives with a minimum expenditure of time and money. Whether or not it will do a complete job of identifying EMPA-related information requirements is still an open question.

This report has been reviewed by the Office of Program Planning and Evaluation, Office of Conservation and Solar Energy (CS), U.S. Department of Energy. Based on the pressing needs of the CS office at the time of this review, it was decided to discontinue this task at this point. Thus, only one of the three originally planned workshops was conducted for this report. For this reason, the information requirements identified in this task tend to be of a more general and abstract type than would be expected had all three workshops been held.

In addition to thanking the workshop participants who contributed extensively throughout the workshop and subsequent review, we would like to thank Jim Eberhardt for his early guidance in this effort.

EXECUTIVE SUMMARY

This paper summarizes the results of the first of three workshops that were planned to assess the information needed by the Office of Conservation and Solar Energy (CS) to effectively evaluate the pending Energy Management Partnership Act (EMPA). The approach utilized in this study offers two major benefits to CS. First, by considering the problem of program evaluation while EMPA is still in the planning stage, this study will identify any baseline information that should be collected prior to implementation of EMPA, and also provides CS with the opportunity to include evaluation considerations in the operating guidelines for the program. Second, by identifying the potential problems and benefits inherent in EMPA and then identifying the information necessary to evaluate these problems and benefits, this study will generate information requirements that are tied to the reasons for needing that information, rather than a long unrelated "laundry list" of information requirements.

Drafting of EMPA is not yet complete. When the term EMPA is used here it refers to a set of bills that are presently being melded together. The original EMPA bill, which originated in DOE, was designed to expand the role of state and local governments in achieving national energy goals. Specifically, EMPA would provide a total of \$110 million annually to state and local governments over a five year period to (1) develop an overall state energy plan, (2) consolidate three existing federal energy grant programs, (3) allow the secretary to fund directly innovative projects at the local level, and (4) provide additional assistance to states to cover the administrative costs of existing energy programs. Other bills, which may be passed in conjunction with EMPA or incorporated into EMPA, place additional emphasis on the local level by allocating as much as \$400 million annually to local governments.

Because of the size and scope of EMPA, it was decided to approach its information requirements from three perspectives in three workshops. The first workshop, reported here, concentrated on issues of the EMPA hierarchical partnership, the second will look at the issues pertaining to the specific subprograms of EMPA, and the third will consider issues of regional variations

in the expected responses to EMPA by states and localities. The seven participants in the first workshop were asked to respond to the focus question: "What problems/benefits will be associated with the EMPA federal/state/local partnership to handle conservation and solar programs?" Figure 1 summarizes the list of problems and benefits that was generated in the workshop according to five areas of concern: CS Management and Administration, Federal/State/Local Relations, State and Local Management and Administration, Public Participation, and Energy/Economic Impacts. Using this list of problems and benefits, the participants then identified the information necessary to understand and address these problems and benefits. Figure 2 summarizes the identified information requirements according to three systems for collecting the information: Case Studies, Workshops/Questionnaires, and Quantitative Analysis.

This workshop identified a wide range of potential problems, benefits, and information requirements that should be very useful to CS in the evaluation of EMPA. However, examination of the issues and information requirements that were generated in this study shows them to be useful in the program implementation and operation stages of EMPA as well. This would tend to support the basic premise of this study that early consideration of program evaluation is helpful for effective program implementation and operation. This premise would be further considered after the following workshops were completed. These workshops were planned to be more specific in focus than the first workshop and would therefore be expected to result in more quantitative information requirements than the qualitative information listed here.

FIGURE 1. Problems and Benefits Inherent in the Energy Management Partnership Act

CASE STUDIES	
INFORMATION	ASSOCIATED PROBLEM/BENEFIT(S)
LESSONS LEARNED: OPTIONS FOR COMPLIANCE	CS5
LESSONS LEARNED: ADEQUACY OF ADMINISTRATIVE FUNDS	CS1
LESSONS LEARNED: FEDERAL/STATE/LOCAL RELATIONSHIP	R1, R2, R3, R4, R5, R6, R7
LESSONS LEARNED: NEED FOR SHARED FOCUS	R1
LESSONS LEARNED: PROLIFERATION OF REGULATIONS	SL8
LESSONS LEARNED: ABUSE OF FUNDS	SL2
LESSONS LEARNED: REPORTING BURDEN	CS7
LESSONS LEARNED: EMPHASIS ON COMPLIANCE VS. COMPETENCE	CS8
LESSONS LEARNED: URBAN BIAS IN STATE PLANNING	SL6
LESSONS LEARNED: PROGRAM EVALUATION	CS3
LESSONS LEARNED: PROLIFERATION OF REGULATIONS	SL8

WORKSHOPS/QUESTIONNAIRES	
INFORMATION	ASSOCIATED PROBLEM/BENEFIT(S)
STATE AND LOCAL (S&L) REPORTING BURDEN	CS7
CONFLICT BETWEEN S&L'S AND EXISTING STRUCTURES	R7
PERCEIVED BIAS IN STATE PLANNING	SL6, SL7
INTER AND INTRA STATE AND LOCAL CONFLICT	R6
PERCEIVED COMMUNICATION/COOPERATION BETWEEN DOE AND S&L'S	R2, R3, R4, R5
EXTENT OF PUBLIC PARTICIPATION	PP1, PP2, PP3
PROGRAM EVALUATION MECHANISM	CS3
EFFECTS OF FUNDING CONTINUITY	SL11
S&L INNOVATIVE APPROACHES	SL4
COMPARISON OF S&L IMPLEMENTATION OPTIONS	SL5, R1

QUANTITATIVE ANALYSIS	
INFORMATION	ASSOCIATED PROBLEM/BENEFIT(S)
ENERGY CONSERVATION INDICATORS	EE1, CS3
RENEWABLE RESOURCE UTILIZATION INDICATORS	EE2, CS3
PRE AND POST EMPA FUNDING OF SUB-PROGRAMS	CS4
NUMBER OF S&L AGENCIES WITH ENERGY RESPONSIBILITY	R6
S&L MANPOWER/CAPABILITIES STUDY	SL1, SL3
S&L COST-EFFECTIVENESS STUDIES	SL7
AVAILABILITY AND QUALITY OF DISAGGREGATED DATA	R4
ECONOMIC STUDY OF S&L IMPACTS	EE3
PROFILES OF STATE AND LOCAL BUDGETS	SL10
ACCOUNTING OF EMPA FUNDS FLOW	R6, SL2, CS2, CS6
PROPORTION OF URBAN VS. RURAL FUNDS	SL6
COMPARISON OF TECHNICAL VS. LIFESTYLE APPROACHES	SL11
NUMBER AND COMPATIBILITY OF EMPA-RELATED REGULATIONS	SL8

FIGURE 2. Information Requirements for Evaluation of Energy Management Partnership Act

CONTENTS

FOREWORD	
1.0 INTRODUCTION	1
1.1 OBJECTIVE	1
1.2 BACKGROUND	1
1.3 SCOPE	2
2.0 DESCRIPTION OF EMPA	6
3.0 SUMMARY OF RESULTS	7
4.0 EMPA PROBLEMS, BENEFITS, AND ASSOCIATED INFORMATION REQUIREMENTS	12
4.1 CS MANAGEMENT AND ADMINISTRATION	13
4.2 FEDERAL/STATE/LOCAL RELATIONS	19
4.3 STATE AND LOCAL MANAGEMENT AND ADMINISTRATION	25
4.4 PUBLIC PARTICIPATION	33
4.5 ENERGY/ECONOMIC IMPACTS	36
5.0 CONCLUSIONS AND FUTURE WORK	38
APPENDIX - WORKSHOP AGENDA AND PARTICIPANTS	A.1

FIGURES

1. PROBLEMS AND BENEFITS INHERENT IN THE ENERGY MANAGEMENT PARTNERSHIP ACT...	vii
2. INFORMATION REQUIREMENTS FOR EVALUATION OF ENERGY MANAGEMENT PARTNERSHIP ACT.....	viii
1.1 DATA AND INFORMATION ANALYSIS FOR EVALUATION AFTER POLICY IS OPERATIONAL A SIMPLE DIAGRAM.....	3
1.2 DATA AND INFORMATION ANALYSIS FOR EVALUATION BEFORE POLICY IS IMPLEMENTED A SIMPLE DIAGRAM.....	3
3.1 PROBLEMS AND BENEFITS INHERENT IN THE ENERGY MANAGEMENT PARTNERSHIP ACT...	8
3.2 INFORMATION REQUIREMENTS FOR EVALUATION OF ENERGY MANAGEMENT PARTNERSHIP ACT.....	11

1.0 INTRODUCTION

1.1 OBJECTIVE

The Office of Conservation and Solar Energy is responsible for implementing and evaluating policies that affect energy conservation, solar technology, and solar applications. The data and information requirements for evaluating a policy are typically identified after the policy has been implemented. Although much of the data needed for evaluation is similar to that needed to implement the policy, there can be significant gaps due to indirect and unanticipated implications that must be evaluated. This task is designed to provide earlier identification of the data and information requirements into the policy implementing process. This paper presents the results of the first of three workshops designed to perform this type of early identification of impacts and information requirements for the proposed Energy Management Partnership Act (EMPA). The agenda for the workshop along with a list of the seven participants appears in the Appendix.

1.2 BACKGROUND

Figure 1.1 and 1.2 present a simplistic diagram of the development of a policy through four basic stages: Planning and Initiation, Implementation, Operation, and Evaluation. A federal policy could be implemented in at least three ways; by direct legislative mandate, through executive order, or by an agency decision. Once a policy is initiated, it is usually turned over to a federal (or possibly state or local) agency for implementation. The agency generally does this by devising regulations to govern implementation of the policy and by handling the logistics involved in implementing the policy (i.e., allocating the necessary manpower and resources.) Once the implementation steps have been taken, the policy then becomes operational; that is, it has some impact on the public. Whether the impact actually produced is the same as that intended by the policymakers is the question the data and information analysis helps answer in the evaluation stage.

Figure 1.1 shows the data and information analysis stage occurring after the policy has been fully implemented and public reaction to the policy has begun. Data and information analysis is usually approached in this manner for a very simple reason; the implications of the policy are visible only after the policy is operational and has begun to produce public reactions. However, there are disadvantages to this approach, First because the results of formal data collection are not received until after the policy has been implemented it may happen that no pre-policy measurements of the significant parameters are available. Therefore comparisons could not be made. And second, waiting until a policy is operational to consider the informational requirements necessary to measure the success of a particular policy forecloses the option of including these data considerations in the regulations and logistics for implementing the policy.

Figure 1.2 shows an alternative timing for the inception of a data analysis stage. In this case, consideration of the data requirements of the policy is made while the policy is still in the planning and initiation stage (for example, a piece of legislation that is still pending). Although this early data analysis would not be founded on actual results from the policy, it would be able to provide an opportunity for preliminary identification of any potential non-conventional data requirements before the policy was actually implemented. This data would be used for the development of regulations, for the planning and logistic phase and later for the evaluation phase. Analysis of the actual data after the policy becomes operational would still be necessary, but early consideration of the data requirements of a policy would make data and information analysis an integral part of the development of the policy, as opposed to an after-the-fact, add-on operation.

1.3 SCOPE

The number of policy areas under the direction of the Office of Conservation and Solar Energy (CS) are both numerous and diverse. Analyzing all these areas simultaneously would dilute the available resources to the point where the quality of the analyses would be jeopardized. Therefore, it was decided

FIGURE 1.1. Data and Information Analysis for Evaluation After Policy is Operational. A simple Diagram

FIGURE 1.2. Data and Information Analysis for Evaluation Before Policy is Implemented. A simple Diagram

to focus this study on the policies embodied by the proposed Energy Management Partnership Act (EMPA). EMPA was chosen as the area of concentration for this task based on previous discussions with the Office of Program Planning and Evaluation, Office of Conservation and Solar Energy because of the budgetary implications of this bill and because of the importance in developing state and local expertise in the area of energy management. Because EMPA covers so much territory and has many objectives, it is not feasible to examine its information requirements in a single workshop. Therefore, it was decided to approach EMPA from three separate workshops, each emphasizing a different issue area. The three issue areas are:

Issue Area I: Issues related to intergovernmental relations required and encouraged by EMPA. These issues center on management relationships in which the federal government is a "big banker" distributing funds. Analysis is also needed of the overall grant system and of possible causes of failure.

Issue Area II: Issues related to specific programs incorporated in EMPA, such as the Energy Extension Service (EES), the Weatherization Program, etc. This issue area considers the programs generically; that is without reference to state-specific questions.

Issue Area III: Issues related to the variation in responses to EMPA by different state and local governments. These issues are related to area-specific conditions, such as differences in energy expertise, physical conditions (e.g., climate), demographic variations, etc. Problems of equity and regional imbalances are germane here.

Consecutively looking at EMPA from the perspective of each of the issue areas in the three workshops, enables the participants to approach the policies in EMPA in an iterative fashion, increasing the depth of analysis with each step. The first workshop looks at the area of Intergovernmental Relations because it is the most general and abstract. Thus, it was felt that

it would introduce the workshop participants to the scope and philosophy of EMPA before they become immersed in the details of the specific programs in EMPA. The focus question used for this first workshop was: "What problems/benefits will be associated with the EMPA local/state/federal partnership to handle conservation and solar programs?" Using the list of about fifty problems and benefits that was developed in response to this question, the participants then identified the information necessary to understand and address these problems and benefits.

Identifying the anticipated and unanticipated benefits of EMPA and their associated information requirements is as important as identifying potential problems and their information requirements. The workshop participants therefore made an effort to delineate these benefits and the information necessary to indicate their significance. Several of these benefits are identified in the legislation and are in fact the rationale behind developing EMPA. However, passage of the legislation does not mean that these benefits will occur. Wherever possible, CS should gather information showing the extent of EMPA's benefits, as well as its problems, so that it will be ready to respond comprehensively and accurately to both the executive and legislative branches of the federal government.

2.0 DESCRIPTION OF EMPA

Drafting of the Energy Management Partnership Act (EMPA) is not yet complete. When the term EMPA is used here it refers to a set of bills that are presently being melded together. The EMPA bill, which originated in DOE, is designed to expand the role of state and local governments in achieving national energy goals. Specifically, EMPA would provide a total of \$110 million annually to state and local governments over a five-year period for the following principal activities:

- develop an overall state energy plan in cooperation with local governments, for which a state would design its own strategies and programs to meet energy problems in the state;
- consolidate three existing federal energy grant programs and application procedures to provide greater flexibility and reduce administrative burdens at the state level;
- create a special energy project program to allow the Secretary to fund directly innovative projects at the local government level that may not qualify for assistance under existing categorical programs;
- provide additional assistance to states to help cover administrative costs of existing programs, such as the Building Energy Performance Standards (BEPS) program, establish goals and milestones to achieve energy conservation, and identify potential future energy shortages within the state.

Related bills include the Local Energy Management Act of 1979, introduced by Senator Percy, which emphasizes the local level role by allocating \$15-20 million annually to local governments; a bill to augment EMPA, called the Community Energy Action Grants, which is an Executive version of Percy's bill that provides \$400 million annually to local governments; and the Comprehensive Energy Management Partnership Act, introduced by Senator Tsongas, which basically combines EMPA and the Local Energy Management Act.

3.0 SUMMARY OF RESULTS

The participants in the first workshop generated a list of over fifty potential problems and benefits of EMPA. These were primarily related to the Intergovernmental Relations aspects of EMPA, although other issues were identified and are included in Section 4. This list was consolidated and then categorized according to the five major headings: Office of Conservation and Solar (CS) Management and Administration; Federal/State/Local Relations; State and Local (S&L) Management and Administration; Public Participation; and Energy/Economic Impacts. The headings are described by the related set of problems and benefits listed below each in Figure 3.1. In addition, these headings indicate structural relationships between these sets of related problem and benefits. All of them, however, are germane to the Office of Conservation and Solar vis-a-vis its responsibility to implement and evaluate EMPA.

The problems and benefits under each heading in Figure 3.1 are not explicitly distinguished from one another. This is done for several reasons. First of all, whether a particular issue has a positive or negative impact is often a value-laden question. For example, some persons would regard the decentralization of authority inherent in EMPA as a benefit in itself. Others would hold that this decentralization is a definite problem that could disregard national energy policy. Secondly, even if everyone agrees with respect to values, external conditions may determine whether a particular issue results in a problem or a benefit. Indeed, a benefit might be the avoidance of a certain problem. Thirdly, by grappling with a problem that results from a particular issue, the party at interest might develop capabilities for handling problems in that area. Since the development of problem-solving capabilities could be considered a benefit, this particular issue would result in both a problem and a benefit. Therefore, while the title of each problem/benefit indicates the subjective judgement of the workshop participants regarding its value, this analysis will treat problems and benefits as formally equivalent and refer to them as "issues".

FIGURE 3.1. Problems and Benefits Inherent in the Energy Management Partnership Act

The individual issues shown in Figure 3.1 were used to identify the information necessary to evaluate these issues and thereby evaluate the EMPA program. To put the information requirements that resulted from this process into a form that would be useful to CS, they have been organized according to three systems that could be used to collect the necessary information. The three information collection systems that were identified as appropriate to this information are: Case Studies, Workshops/Questionnaires, and Quantitative Analysis. Figure 3.2 shows the individual information elements that were identified as necessary to evaluate the issues in Figure 3.1, grouped according to the collection system that would be most useful in collecting that information. The numbers to the right of each information element in Figure 3.2 correspond to the numbers of the issues in Figure 3.1.^(a) Similar pieces of information are sometimes assigned to more than one collection system. This is because the information requirements of a given issue can often be approached from several different perspectives. The information collected for the same issue using different collection systems should be complementary and would therefore lend strength to the evaluation of that issue. Detailed discussion of the information requirements and the applicability of the three collection systems to each issue is presented in the individual discussions in Section 4.

As anticipated, the problems and benefits identified tended to be of the sort that would be generic to any piece of legislation that establishes local/state/federal partnership. Therefore, it was not surprising that one source of information that was frequently identified was case studies of previous programs that established intergovernmental partnerships and transferred responsibility and funds from the federal to the state and local level. A few such programs that were suggested were: the Law Enforcement Assistance Administration, the environmental State Implementation Plans under the Clean Air and Water Acts, the Coastal Zone Management Act, the Medicaid program, and

(a) For example, in Figure 3.2, the number CS5 after the information element "Lessons Learned: Options for Compliance" means that this piece of information would be useful in evaluating the issue in Figure 3.1 with number CS5, which is "Lack of Federal Options for Compliance".

the Agriculture Extension Program. While the need for case studies could have been identified without conducting a workshop, it should be noted that by identifying the potential problems and benefits of an intergovernmental partnership, this workshop has gone a long way in providing the conceptual framework required for analyzing other programs.

CASE STUDIES	
INFORMATION	ASSOCIATED PROBLEM/ BENEFIT(S)
LESSONS LEARNED: OPTIONS FOR COMPLIANCE	CS5
LESSONS LEARNED: ADEQUACY OF ADMINISTRATIVE FUNDS	CS1
LESSONS LEARNED: FEDERAL/ STATE/ LOCAL RELATIONSHIP	R1, R2, R3, R4, R5, R6, R7
LESSONS LEARNED: NEED FOR SHARED FOCUS	R1
LESSONS LEARNED: PROLIFERATION OF REGULATIONS	SL8
LESSONS LEARNED: ABUSE OF FUNDS	SL2
LESSONS LEARNED: REPORTING BURDEN	CS7
LESSONS LEARNED: EMPHASIS ON COMPLIANCE VS. COMPETENCE	CS8
LESSONS LEARNED: URBAN BIAS IN STATE PLANNING	SL6
LESSONS LEARNED: PROGRAM EVALUATION	CS3
LESSONS LEARNED: PROLIFERATION OF REGULATIONS	SL8

WORKSHOPS/ QUESTIONNAIRES	
INFORMATION	ASSOCIATED PROBLEM/ BENEFIT(S)
STATE AND LOCAL (S&L) REPORTING BURDEN	CS7
CONFLICT BETWEEN S&L's AND EXISTING STRUCTURES	R7
PERCEIVED BIAS IN STATE PLANNING	SL6, SL7
INTER AND INTRA STATE AND LOCAL CONFLICT	R6
PERCEIVED COMMUNICATION/ COOPERATION BETWEEN OOE AND S&L's	R2, R3, R4, R5
EXTENT OF PUBLIC PARTICIPATION	PP1, PP2, PP3
PROGRAM EVALUATION MECHANISM	CS3
EFFECTS OF FUNDING CONTINUITY	SL11
S&L INNOVATIVE APPROACHES	SL4
COMPARISON OF S&L IMPLEMENTATION OPTIONS	SL5, R1

QUANTITATIVE ANALYSIS	
INFORMATION	ASSOCIATED PROBLEM/ BENEFIT(S)
ENERGY CONSERVATION INDICATORS	EE1, CS3
RENEWABLE RESOUCUE UTILIZATION INDICATORS	EE2, CS3
PRE AND POST EMPA FUNDING OF SUB-PROGRAMS	CS4
NUMBER OF S&L AGENCIES WITH ENERGY RESPONSIBILITY	R6
S&L MANPOWER/ CAPABILITIES STUDY	SL1, SL3
S&L COST-EFFECTIVENESS STUDIES	SL7
AVAILABILITY AND QUALITY OF DISAGGREGATED DATA	R4
ECONOMIC STUDY OF S&L IMPACTS	EE3
PROFILES OF STATE AND LOCAL BUDGETS	SL10
ACCOUNTING OF EMPA FUNDS FLOW	R6, SL2, CS2, CS6
PROPORTION OF URBAN VS. RURAL FUNDS	SL6
COMPARISON OF TECHNICAL VS. LIFESTYLE APPROACHES	SL11
NUMBER AND COMPATIBILITY OF EMPA-RELATED REGULATIONS	SL8

FIGURE 3.2. Information Requirements for Evaluation of Energy Management Partnership Act

4.0 EMPA PROBLEMS, BENEFITS AND ASSOCIATED INFORMATION REQUIREMENTS

As outlined in the previous section, the potential problems and benefits identified in the workshop were organized according to five areas of concern: Office of Conservation and Solar (CS) Management and Administration, Federal/State/Local Relations, State and Local (S&L) Management and Administration, Public Participation, and Energy/Economic Impacts. These areas are structurally related to one another. For instance, the area of Federal/State/Local Relations deals with the communication mechanism that is set up between the Management and Administration system of CS and that of the states and localities. However, this does not imply that the problems and benefits in each area of concern will necessarily occur in any temporal sequence. EMPA will set up an ongoing partnership between the federal, state, and local governments. Therefore, the problems in each area of concern may occur in the implementation, operation, evaluation or all three phases of the development of EMPA. In this workshop, the potential problems and benefits of EMPA were generated by focusing on the issue of program evaluation. However, because of the close relationship between the five areas of concern, these problems and benefits are also relevant to the earlier phases of program implementation and operation. Because implementation and operation precede evaluation in time, early identification of evaluation issues and their associated information requirements is important to effective program implementation and operation.

The problems and benefits listed in Figure 3.1 were referred to in the previous section as "issues". This convention is maintained in the following individual discussions of the potential problems and benefits of EMPA in order to avoid value judgements concerning the nature of an issue and because a given issue may prove to be a benefit or a problem depending on future circumstances. Also, whether a particular issue has a positive or negative impact does not affect the information that is necessary to evaluate that impact. Thus, since the primary purpose of this task is to identify information requirements, formal separation of problems and benefits is not necessary. The wording used to describe each issue, however, does inevitably reflect the subjective evaluation of the workshop participants.

4.1 OFFICE OF CONSERVATION AND SOLAR ENERGY (CS) MANAGEMENT AND ADMINISTRATION

The Office of Conservation and Solar Energy (CS) will play a substantial managerial and administrative role in the EMPA federal/state/local partnership. The problems CS would be expected to encounter would probably be similar to those experienced by other agencies in managing EMPA-like programs. Thus, many of the types of information necessary for CS to effectively manage the EMPA partnership could be obtained by analyzing previous decentralization experiences, such as the Law Enforcement Assistance Administration, the environmental State Implementation Plans under the Clean Air and Water Acts, the Coastal Zone Management Act, the Medicaid program, and the Agriculture Extension Program.

One important aspect of the CS management and administration role is to evaluate the ultimate success of EMPA. While important information concerning program evaluation could be obtained through case studies, this is a very broad issue that requires substantial amount of information to address adequately. In fact, since evaluation of the overall program requires evaluation of the numerous problems and benefits associated with the program, virtually all the information requirements identified in this workshop would be of interest to CS from a program evaluation perspective.

The following eight issues were identified as important in the area of CS Management and Administration:

- Lack of Sufficient Administration Funds
- Bias in Funding to Localities with Energy Expertise
- Evaluation of EMPA Success
- Dilution of Funds
- Lack of Federal Options for Compliance
- Allocation of Funds
- State and Local Reporting Burden
- Emphasis on Compliance versus Competence

4.1.1 Lack of Sufficient Administration Funds

Issue: Evaluation of State Energy Plans, local proposals, and the overall EMPA program will undoubtedly be expensive and time-consuming for the CS office. EMPA authorizes \$20 million per year to CS for this purpose. Because of the number of states and localities involved, carrying out these activities may place serious pressure on CS resources.

Information Needs: CS could look to the case studies of other federal/state/local partnership programs for data on the administrative funding required for this type of program. In addition, CS could monitor the time and resources that are required to administer EMPA to show how the administrative funds are being utilized.

4.2.2 Bias in Funding to Localities with Energy Expertise

Issue: Since local EMPA funds would go to localities that prepare acceptable proposals on a first-come-first-serve basis, it is possible that local governments with existing energy capabilities will compete more successfully for EMPA funds than local governments without energy capabilities. In this case, the rich would get richer, while those poor in energy expertise would remain so.

Information Needs: CS could monitor this "rich-get-richer" tendency by tracking how EMPA funds are allocated to various localities. CS would also need to know if the funds were being used to establish and staff energy offices or for projects by existing energy offices.

4.1.3 Evaluation of EMPA Success

Issue: Because EMPA and related legislation have multiple goals, evaluation of their success is not a straightforward task. Part of EMPA's success depends on the success of the component programs which are encompassed by it, such as the EES and Weatherization programs. However, EMPA is also designed to set up and enhance energy expertise and planning at the state and local levels. Evaluation of these goals requires more than a measure of energy conservation or utilization of renewable energy resources. In this context, the success of EMPA depends on the whole host of problems and benefits associated with the implementation and operation of a federal/state/local partnership to handle energy issues.

The size and difficulty of the task of evaluating EMPA's success certainly poses a significant problem for CS. However, the efforts at program evaluation of EMPA may shed valuable light on the techniques for evaluation of other programs in the future. In this sense, the EMPA experience could result in a significant benefit in the area of program evaluation.

Information Needs: The information needed to evaluate the component programs in EMPA will be the topic of the next workshop and is therefore not discussed in detail here. However, many of the problems and benefits of EMPA are related to the fact that it is designed to shift responsibility from the federal government to state and local governments. In this regard it is likely to have effects similar to other programs which have attempted to decentralize government responsibility. A few of these are; the Agriculture Extension Program, the Law Enforcement Assistance Administration, the Coastal Zone Management Act, the Medicaid program, and the environmental State Implementation Plans under the Clean Air and Water Acts. An analysis of these experiences would undoubtedly provide CS with valuable information concerning some of the problems and benefits that can be expected from an energy management partnership between the federal government and state and local governments.

CS would also want to look at the impact of EMPA effort on program evaluation in general. To do this, it would want to consider the manpower and money spent on such efforts before and after EMPA, as well as any information concerning program evaluation methodologies that come out of the EMPA experience.

4.1.4 Lack of Federal Options for Compliance

Issue: EMPA offers relatively few options by which the federal government can enforce compliance with the program guidelines by the states and localities. The only one specifically spelled out is the politically difficult option of discontinuing funding.

Information Needs: Compliance with program guidelines is a problem which tends to be generic to programs that attempt to delegate responsibility and money from the federal to state and local level. Therefore, examination of other such programs would help CS anticipate compliance problems and offer options with which to handle these problems. Previous decentralization experiences which may be particularly germane to EMPA are those associated with the State Implementation Plans required by the Clean Air and Water Acts.

4.1.5 Dilution of Funds

Issue: By distributing funds over a number of programs in a mix to be determined by states and localities, EMPA may dilute the funds for any given program to the point that the program becomes ineffectual. This problem would mainly affect programs that require large amounts of money; possibly the Building Energy Performance Standards (BEPS) program, for example. Thus EMPA implies a tradeoff between large national programs that try to incorporate regional differences and smaller local programs that try to achieve national goals.

Information Needs: CS would need to compare the actual amounts of money which are spent on the component programs that are to be incorporated in EMPA (EES, weatherization, etc.) before and after implementation of EMPA. The next workshop will focus directly on evaluating the effectiveness of the individual subprograms of EMPA themselves.

4.1.6 Allocation of Funds

Issue: Using population figures for the allocation of 15% of the EMPA funds may bias the funding in a manner which is incompatible with some of EMPA's goals. For instance, the amount of money needed by a community to implement Building Energy Performance Standards (BEPS) is more closely related to the number of construction starts than to actual population. Thus, the BEPS program may not be adequately served by the population-weighting allocation of EMPA funds.

Information Needs: Evaluating the appropriateness of this procedure for allocating EMPA funds with respect to the requirements of the separate subprograms within EMPA will require CS to determine the most appropriate allocation criteria for each program. In the BEPS example given above, CS would need to determine the magnitude of the difference between population and construction starts in various communities in recent years. The specific information needs of the sub-programs will be treated in depth in the next workshop.

4.1.7 State and Local Reporting Burden

Issue: The annual reporting requirement in EMPA, along with the necessity of communicating data and information from the state and local level to DOE, may place a reporting burden on the states and localities. Some states, and particularly localities, may have inadequate capabilities for meeting this requirement.

Information Needs: To gauge the impact of the reporting requirement on states and localities, it is necessary to compare this requirement with other state and local reporting requirements. This could be done by soliciting input from the states and localities as to what proportion of their total reporting effort pertains to EMPA. While it is probably unrealistic to expect EMPA reporting requirements to overwhelm most state and local governments, it is important that CS be sensitive to this as a potential area of difficulty in implementing EMPA, particularly among the smaller local governments whose present reporting capabilities are very limited.

4.1.8 Emphasis on Compliance versus Competence

Issue: The limited resources available to CS for proposal and program evaluation may result in overemphasis on a set of procedural guidelines to be followed by states and localities in order to receive EMPA funds, rather than substantive consideration of the underlying goals of the program or the individual needs of specific states and localities.

Information Needs: In evaluating state and local actions in response to EMPA it is important that CS "distinguish between . . . variations that result from a failure to comply with basic regulations and those that result from differences in capacity. The portion of variability that results from a failure to comply with basic regulations can be addressed with surveillance and enforcement. But variability that results from differences among" states and localities is actually a major resource in generating innovative approaches to energy conservation.^(a) Thus, it is crucial that CS attempt to foster state and local energy competence by making this distinction both in the formulation and enforcement of guidelines for the EMPA program.

(a) Elmore, Richard F. Complexity and Control: What Legislators and Implementors Can Do About Implementation (Seattle: University of Washington Institute of Governmental Research Public Policy Paper No. 11, 1979), pp. 41-42.

4.2 FEDERAL/STATE/LOCAL RELATIONS

As evidenced by its name, one of the primary objectives of EMPA is to set up a federal/state/local partnership to manage energy affairs. Therefore, the effectiveness of this partnership is crucial to the overall success of the EMPA program. The workshop participants identified two basic types of problems/benefits that are likely to occur in this area of concern; communication issues and coordination issues. The two types of issue are clearly related. Poor communication between the different levels of government could certainly lead to a poorly coordinated program, while improved channels of communication would be an effective means by which to deal with coordination problems.

In order to monitor the quality of communication and coordination that results from EMPA, two major types of information were identified as important. First, CS would need information that shows that adequate channels of communication between the different levels of government exist. This could appear in the guidelines used by CS to administer EMPA. Second, CS should be aware of how the state and local governments perceive the effectiveness of EMPA communication and coordination. This information could be collected via workshops or questionnaires directed at state and local officials. Other information requirements that address specific problems in this area of concern are identified in the following discussions.

The following seven issues were identified as important in the area of Federal/State/Local Relations:

- Lack of Shared Focus Among States
- Inadequate Communication between DOE and States and Localities (S&L's)
- Improved Federal/State/Local Relationship
- Incorporation by DOE of Local Differences
- State and Local Participation in National Energy Policy Development
- Conflict at State and Local Levels
- Relationship of EMPA to Existing Structures

4.2.1 Lack of Shared Focus Among States

Issue: By decentralizing responsibility for energy matters from the federal government to the states and localities, EMPA may stimulate diverse and innovative approaches to energy policy. However, a lack of a shared focus among the states could lead to a deflection of national goals and a fragmentation of the approach to the energy situation.

Information Needs: In order to insure that decentralizing energy responsibility does not result in an inconsistent national approach to energy, it is important that CS keep track of what states do with EMPA funds. In doing this, CS should focus on the priorities established by the states and the extent of the divergence from national priorities. Clearly, some differences between states should be expected due to regional differences among states. The third workshop will focus on these differences and thereby help distinguish between regional differences and adverse national inconsistencies.

4.2.2 Inadequate Communication Between DOE and States and Localities

Issue: In order for the federal/state/local partnership set up by EMPA to be effective, it is important for DOE to communicate its wishes clearly to the states and localities and also be responsive to their input. Inadequate communication between DOE and the states and localities could lead to improper use of EMPA funds due to a failure to understand their purpose on the part of the states and localities. Ineffective policies could be continued or mistakes repeated if the experiences of states and localities are not communicated to DOE.

Information Needs: It would be difficult to actually measure the quality of communication between DOE and state and local governments. Therefore, it is important that DOE be able to show that adequate channels of communication have been established. CS could monitor the number of significant interactions that transpire between them and state and local officials. DOE should provide clear guidelines to states and localities at the outset of EMPA, set up formal grievance procedures and possibly conduct workshops with representatives of state and local governments to allow them to become involved early and on a continuing basis in implementing, operating, and evaluating EMPA.

4.2.3 Improved Federal/State/Local Relationship

Issue: By setting up a partnership between the federal, state, and local governments to handle energy matters, EMPA may create a more cooperative atmosphere between these levels of government. Improved federal/state/local relations in the field of energy may encourage better relations and more effective cooperation in other areas.

Information Needs: CS should look at other federal/state/local cooperative programs to anticipate communication problems that could arise in implementing, operating, and evaluating EMPA. It is also important that CS be responsive to input from the state and local governments concerning the effectiveness of the intergovernmental relationship set up by EMPA.

4.2.4 Incorporation by DOE of Local Differences

Issue: By involving local and state officials, the information gathering process can be adjusted to take advantage of local capabilities and requirements. In addition, the collection process will be more flexible as it looks for the finer detail required at these disaggregated levels.

Local and state officials are more aware of the specific differences that characterize their jurisdiction and of the information needed to decide and understand how energy policy interacts with these local conditions. By encouraging their participation in energy management, EMPA will help to improve the overall quality, timeliness, and availability of the energy data and information. This improved information should enable the federal government to better tailor its energy policy to the needs of local communities.

Information Needs: Concerns about the quality of disaggregated energy data have been raised by both the federal government, which sees a lack of comparability between existing data gathered by state governments, and by state and local governments who find that the disaggregation of nation energy statistics is not representative of their jurisdiction. The quality and timeliness of such disaggregated data could be measured by monitoring the availability of different data bases at finer levels of disaggregation. Also, consistency among the data at the different levels could be compared and analyzed.

4.2.5 State and Local Participation in National Energy Policy Development

Issue: By increasing the number of state and local officials involved in energy planning and management, EMPA will increase the influence of the states and localities on the federal energy bureaucracy and on Congress. This influence should help ensure that specific state and local problems and capabilities are incorporated at an early stage in the planning process. In other words, the data base for national policy will be more complete. Hopefully, this would facilitate planning, approval, and implementation of national energy policy.

State and local governments have frequently expressed concerns and frustrations about their role in the development of national energy policy. Some feel that their role is only one of a rubber stamp because they don't have the resources to critically review and understand the implications of the policy before they are responsible for its enforcement. Others have the expertise but do not see a role for themselves. Through the development of state and local energy expertise, widespread participation in national energy policy will become more realistic and complete.

However, the major benefit of EMPA would not be simply increasing participation by state and local governments, but would be the improvement in the quality of national policies and a decrease in the time needed for approval and implementation of these policies.

Information Needs: Measuring the quality of national policy is subjective at best and probably impossible. However, information on input from state and local governments can be measured and compared with past efforts like BEPS and the weatherization programs.

4.2.6 Conflict at State and Local Levels

Issue: EMPA could cause conflict both within and between state and local governments. Conflict within state and local governments may arise because there are often many different agencies that have energy responsibilities and it may therefore be unclear just who will take responsibility for use of EMPA funds. Internal controversies in state or local governments could severely inhibit the effectiveness of EMPA. EMPA could also cause conflict between state and local governments in two ways. First, by distributing federal funds directly to the localities, EMPA could enable local governments to pursue goals that are incompatible or inconsistent with those of the state. This could cause friction between state and local governments and lead to fragmentation of state energy goals. Second, by allowing the states to distribute federal funds to localities, EMPA would open the possibility of the states attaching political strings to the funds going to the local governments or showing regional bias toward particular localities. This could also cause friction between state and local governments.

Information Needs: To predict intragovernmental squabbles over EMPA, CS should know which state and local agencies have responsibility for energy matters and how much variation exists in the allocation of responsibilities among states and localities. This information could be required of the states in their initial application for EMPA funds. To identify the potential impacts that might result from the states' intermediary role, CS would want to have figures on what percentage of EMPA funds going to localities were received through the state and what percentage came directly from the federal government. Figures comparing the flow of funds in different states and localities would also help CS address this impact. Actually measuring the nature and extent of the conflict between state and local governments, however, is a much more tenuous task that could only be approached by soliciting the opinions and experience of the state and local government officials.

4.2.7 Relationship of EMPA to Existing Structures

Issue: By giving responsibility for energy planning, commercialization, and data compilation to states and localities, EMPA may overlap or conflict with other federal and regional structures which presently perform these tasks, such as SERI, the Regional Solar Energy Offices, the Regional DOE Offices, Regional Power Authorities, and the Solar Lobby.

Information Needs: To anticipate this type of problem it may be useful for CS to compile an inventory of federal and regional structures involved in energy planning and management that describes the allocation of responsibilities among them. CS could also take an active role in monitoring developing conflict or cooperation between states and localities and existing energy management structures through questionnaires or interviews.

4.3 STATE AND LOCAL MANAGEMENT AND ADMINISTRATION

The management and administration responsibilities of the state and local governments are no less important to the success of EMPA than those of the federal government. Indeed, one of the primary goals of EMPA is to improve the energy management capabilities of the state and local governments by increasing their available funds and manpower. Thus, in a very real sense, monitoring the effectiveness of the state and local management systems would be monitoring the effectiveness of EMPA.

The diverse nature of the potential problems and benefits in the area of state and local management and administration makes generalizations about their information requirements difficult. However, a few points are apparent about this area of information requirements from the following individual discussions. As in the case of the federal government, case studies would provide a valuable source of information to the states and localities for managing and administering this type of program. From the perspective of CS, information about the effectiveness of the various state and local management systems is an important input to their own management and evaluation concerns. This type of information could be gathered in two ways: first, by means of questionnaires and workshops to solicit the opinions of state and local officials, and second, through quantitative analysis of such things as state and local annual budgets, energy staff, etc. The specific information requirements for individual issues are outlined in the following discussions.

The following eleven issues were identified as important in the area of State and Local Management and Administration:

- Lack of Qualified Expertise at State and Local Level
- Abuse of EMPA Funds
- Enhanced State and Local Energy Capabilities
- Innovative Approaches
- Choice of State and Local Implementation Option
- Urban Bias in State Planning
- Bias against Conventional Energy Resources

- Proliferation of Regulations
- Integration of Energy with other State and Local Concerns
- Skewing of State and Local Budgets
- Possible Discontinuity of Funding

4.3.1 Lack of Qualified Expertise at State and Local Level

Issue: To carry out the programs in EMPA, states and localities must have qualified energy personnel on their staffs. Indeed, one of the goals of EMPA is to develop and expand such expertise at the state and local levels. The lack of availability or incapability of such personnel would therefore present a serious barrier to the success of EMPA.

Information Needs: To measure the degree to which EMPA leads to an increase in the number of energy personnel at state and local levels is a straightforward task, requiring "before" and "after" figures on the number of energy staff in state and local governments. However, measuring the qualifications of these staff members would require more detailed manpower studies that looked at such things as education and experience. For future reference, it would also help to know how many colleges are producing people trained for these positions.

4.3.2 Abuse of EMPA Funds

Issue: There is always the possibility that state and local officials will use federal funds to serve their own political ends. With EMPA this might be a problem particularly at the local level, where relatively few persons would be involved in managing the funds. The two types of abuse that appear to be most likely are "pork barrel expenditures," where funding is granted in return for political favors and "white collar crime," where funds are converted to personal use by a state or local official.

Information Needs: EMPA requires states and localities to account for their spending of funds. The auditing system used by CS must be adequate to detect abuses of EMPA funds. While examination of state reports by CS itself is probably feasible, the sheer number of local governments potentially involved could place an unreasonable burden on CS to evaluate each local report. Perhaps it might be more practical for CS to pass the responsibility for auditing the local governments to the states.

4.3.3 Enhanced State and Local Energy Capabilities

Issue: The monies spent under EMPA should encourage development of state and local energy capabilities by fostering both energy expertise and the tools with which to apply this expertise. As a result, the ability of states and localities to forecast and resolve problems posed by energy programs should increase.

One of the most prominent rationales for initiating the EMPA was the recognized need to develop expertise at the state and local level so that these government officials could play a viable role in working with the federal government to implement national energy policy. The Role of the State in Energy and the subsequent study Local Government Energy Activities both indicate the need to provide state and local governments with the capability to plan and manage their individual energy programs. Specific problems identified by these studies that could be ameliorated by EMPA are the lack of adequate data systems at the state level, excessive paperwork associated with energy programs, and the lack of resources to implement innovative energy programs.

Information Needs: The two studies mentioned above provide an excellent baseline for comparison after EMPA has been passed and operational for several years. The Role of the State in Energy indicated several important information needs. Specifically:

- The financial capability of the states to participate in energy planning and management. Annual data on operational budgets for energy planning and management at the local level would be useful. This could be used to make comparisons between states and to show changes over time.
- The organizational structures that states and local governments use to plan and manage all energy activities. There might be several agencies with different energy related responsibilities. Structural changes in these organizations should be monitored.
- The staffs of the energy organizations should be monitored for their size and background capabilities.

4.3.4 Innovative Approaches

Issue: EMPA funds should enable state and local governments to develop and implement innovative approaches to their specific energy situations that are sensitive to their own institutional, environmental, and resource constraints. It is frequently stated that national energy policy in trying to consider the whole country at one time makes national policy inappropriate for many regions of the country. By providing the incentive for state and local governments to develop their own approaches, the energy situation could be approached in a way that more fully considers regional problems and capability differences. One result of this might be less emphasis on hardware in solving energy problems.

Information Needs: A directory of new approaches by state and local governments, which includes approaches developed but not implemented, should be kept. Cross-referencing between these approaches to see how much technology transfer occurs between state and local governments would also be of interest.

4.3.5 Choice of State and Local Implementation Option

Issue: By leaving the choice of implementation option for the EMPA program to the states and localities, EMPA offers a great deal of flexibility in matching implementation plans to the particular needs of a state or locality. However, there is also the possibility that the states or localities will not benefit from this flexibility and will select inappropriate or ineffective implementation strategies.

Information Needs: A comparison of the various implementation plans used by states and localities would help CS determine whether the states and localities took advantage of the flexibility inherent in EMPA. If a wide variety of plans are used, it is likely that the states and localities considered their individual needs in attempting to design an appropriate plan. If the plans look very much the same, it is probable that many states and localities simply copied plans from other units that may not be suited to their own needs. Analysis of the variations between the plans is necessary to understand the amount of innovative planning by states and localities.

4.3.6 Urban Bias in State Planning

Issue: The intent of EMPA is to bring state and local governments into a partnership to manage energy matters. However, because the local governments which receive EMPA funds are likely to be the large, urban communities rather than small, rural communities, EMPA may tend to bias state planning toward an urban perspective on energy matters.

Information Needs: CS would need to track the relative amounts of EMPA money flowing to urban and non-urban communities. Soliciting opinions from local governments not directly involved in EMPA would help CS detect any bias in state planning as a result of EMPA.

4.3.7 Bias Against Conventional Energy Sources

Issue: It is possible that EMPA's emphasis on energy conservation and renewable energy resources will lead the state and local governments to take a narrow view of the energy problem and overly concentrate on these aspects, instead of taking a balanced approach that considers the whole scope of energy resources. This could cause friction between state and local governments and the utilities who manage conventional energy resources.

Information Needs: Cost-effectiveness studies by the states and localities could be used to justify the expenditures of EMPA funds and compare them to other conventional energy options. This would help demonstrate whether EMPA funds were being used efficiently.

4.3.8 Proliferation of Regulations

Issue: By distributing responsibility for energy policy to many different agencies, EMPA may lead to many different sets of possibly overlapping or conflicting regulations by these agencies because of their different concerns and responsibilities.

Information Needs: CS would need to keep track of energy-related regulations at the state and local level to make sure that they did not interfere with each other or with federal regulations. However, this could prove to be a large and expensive task. Therefore, it might be more efficient for CS to simply be aware of the potential problem of numerous, conflicting regulations and look to state and local officials for warnings that the problem needs attention.

4.3.9 Integration of Energy with other State and Local Concerns

Issue: EMPA could be influential in helping and encouraging state and local governments to evaluate where their energy management activities fit into their local agenda of economic and social concerns. Communities are always forced to establish priorities among local issues and concerns. Under EMPA, energy will be placed into this agenda at the appropriate level for each community.

Information Needs: Analysis of how energy management issues are handled and prioritized by the various state and local governments could help CS understand whether EMPA is influential in encouraging other areas of government to consider the relative importance of dealing with energy as a public policy concern.

4.3.10 Skewing of State and Local Budgets

Issue: By providing state and local governments with funds to be used only for energy purposes, and requiring states to contribute some of their own funds, EMPA might skew state and local budgets toward energy issues. To receive the federal funds, states and localities might shift funds into energy from other important projects.

Information Needs: Profiles of the state and local budgets before and after EMPA would help CS determine if EMPA had resulted in any large shifts in spending and pinpoint state and local programs that suffered as a result of EMPA.

4.3.11 Possible Discontinuity of Funding

Issue: It may be difficult for states and localities to set up long-standing structures to deal with energy problems because the EMPA funds are to be discontinued after five years. This could encourage use of short-term, technical approaches as opposed to long-term, planning and redesign changes. This tendency could be exacerbated by a perceived DOE bias toward technological solutions.

Information Needs: At the very least, CS would need to keep track of how states and localities spend EMPA funds in sufficient detail to be able to compare the relative amounts spent on technical versus non-technical measures and short-term versus long-term measures. These records could be supplemented by questionnaires or interviews with state and local officials to determine how their perception of funding continuity affected their decisions with regard to EMPA.

4.4 PUBLIC PARTICIPATION

By shifting responsibility for some energy programs from the federal to the state and local levels, EMPA may make energy matters more accessible to widespread public participation. Whether or not this public participation is incorporated into policy decisions, and thereby improves energy decision making, is a question that CS will have to address. Questionnaires and/or workshops directed at state and local officials, as well as the general public, would serve as effective means to gather this information.

The following three issues were identified as important in the area of Public Participation:

- Increased Participation by Interest Groups at State and Local Level
- Psychological Boost from Reorganization
- Grass Roots Constituency Development

4.4.1 Increased Participation by Interest Groups at the State and Local Level

Issue: By transferring some of the responsibility for energy matters to the state and local levels, EMPA may tend to encourage interest groups to participate at these levels, rather than at the federal level. This would presumably lead to more direct and effective public participation, and thus ease some of the pressure on DOE from interest groups. However, it is also possible that by sensitizing the public to energy issues, EMPA will lead to increased activity by interest groups in energy matters, and thereby generate more pressure on DOE.

Information Needs: CS would be aware of increases or decreases in interest group pressure on them. The important thing for CS to measure, however, would be the degree to which EMPA had encouraged interest group participation at state and local levels. This could be monitored by requiring states and localities to address the issue of interest group participation in their reports to DOE.

4.4.2 Psychological Boost from Reorganization

Issue: By delegating some responsibility for energy policy to states and localities, EMPA may give the states and localities and the general public a feeling of more direct participation in energy decisions. This could increase public optimism toward the energy question and generate willingness by the public to participate in energy programs.

Information Needs: An important measure of the public response to EMPA would be the increase or decrease in public participation in energy issues at state and local levels. Therefore, it is important that CS encourage states and localities to set up adequate channels for public participation and also report their experiences to CS. CS may also find it useful to review case studies of programs similar to EMPA to assess the advantages and disadvantages of various forms of public participation. Questionnaires aimed at finding out why people participate in energy programs would also help CS determine the importance of a sense of involvement in energy matters to the success of energy programs.

4.4.3 Grass Roots Constituency Development

Issue: By sharing responsibility for energy conservation and renewable resources with states and localities, EMPA may increase overall awareness of energy issues at these levels. This could result in the development of grass roots constituencies for conservation and renewable resources. Such advocacy groups could play important roles in information dispersion, lobbying, and generation and organization of support for conservation and renewable resources.

Information Needs: CS would want to discern the effects of EMPA on grass roots constituencies for conservation and renewable resources by measuring their size and levels of activity. This could be approached by looking at appropriate technology grants, public participation at state and local levels, creation of new local conservation and solar organizations, and adoption of energy concerns by existing groups and organizations. Surveys, questionnaires, and interviews, administered by the federal, state, or local government, would probably be an effective mechanism for gathering this information.

4.5 ENERGY/ECONOMIC IMPACTS

While the stated goal of EMPA is to develop energy capabilities at the state and local levels, it is clear that the ultimate aim of the act is to reduce consumption of non-renewable energy resources. Although measuring the actual decrease in energy use is a fairly straightforward task, determining the fraction of the reduction that is due to any particular program is not. This issue requires development of a set of indicators to separate the effects of multiple factors on energy use. This is an important information requirement and will be addressed in detail for the subprograms in EMPA in the next workshop.

The following three issues were identified as important in the area of Energy/Economic Impacts:

- Increased Energy Conservation
- Increased Renewable Resource Utilization
- Local Economy Benefits

4.5.1 Increased Energy Conservation and Renewable Resource Utilization

Issue: One rather obvious potential benefit of EMPA would be an increase in energy conservation and in the use of renewable resources as a result of the programs included in EMPA.

Information Needs: Measurement of the promotion of energy conservation and use of renewable resources as a result of EMPA would be more than a matter of gathering statistics on Btu's saved and number of new solar installations. The real difficulty is separating the effect of EMPA on conservation and renewable resources from the many other factors which could affect their utilization. The problem of isolating the effects of EMPA programs from other factors will be addressed in the next workshop when specific programs are examined.

4.5.2 Local Economy Benefits

Issue: EMPA could benefit local economies in several ways. Some of these would be increased jobs in state and local government, increased sales and employment by manufactures of conservation and solar equipment, growth of firms providing conservation and solar consultation and services, and attraction of new businesses to communities with active energy management programs. Each of these forces of economic development would also stimulate additional economic growth through their multiplier effects on local economies.

Information Needs: Thorough economic studies of the impacts of EMPA (both positive and negative) would be important to CS in evaluating the success of EMPA.

5.0 CONCLUSIONS AND FUTURE WORK

This study has approached the Energy Management Partnership Act from the perspective of program evaluation while it is still in the planning stage. A wide range of potential problems and benefits, along with the information requirements necessary for analyzing these issues, was developed. These numerous information requirements should be very useful in assisting CS in the program evaluation of EMPA. However, examination of the issues and information requirements that were generated in this study shows them to be potentially useful in the program implementation and operation stages of EMPA. For instance, some of the information requirements provide suggestions of items for inclusion in the guidelines that CS establishes to manage EMPA. Others suggest baseline parameters which should be collected prior to EMPA implementation. Some of the evaluation issues that were specified could also potentially arise in connection with the implementation and/or operation process. These results point to the utility of initiating preliminary program evaluation efforts prior to program implementation. Further efforts in this study will provide additional evidence to support or refute this conclusion.

The first workshop looked at EMPA in a very generic fashion and thus produced a list of general, qualitative information requirements. The next two workshops would have focused more directly on the specific programs contained in EMPA and regional differences among states and localities affected by EMPA. Therefore, these workshops would be expected to result in more specific, quantitative information requirements than the first workshop. Also, because the workshop participants would be looking at EMPA for a second and third time, and would therefore be more familiar with its problems and benefits, it is expected that these workshops would have identified more detailed information requirements than those specified in the first workshop. After completing the three workshops, the results would be integrated into a final paper that would represent a single comprehensive projection of the potential problems, benefits and information requirements posed by the EMPA legislation.

APPENDIX

WORKSHOP I

APPENDIX

WORKSHOP I

Identification of Data and Information Requirements for the Resolution of Issues Related to Hierarchical Intergovernmental Relations Required and Encouraged by EMPA.

Thursday, December 20, 1979

List of Participants

Theodore Willke

Tom Foley

Al Nieves

Marvin Olsen

Fred Morris

Wally Hopp

Ed Edelson

AGENDA

9:00 - 9:15 a.m. REVIEW INTENT OF TASK

- Identify issues that are likely to arise as a result of implementing EMPA
- Relate these issues to information requirements from the perspective of the Office of Conservation and Solar
- Review schedule for task and workshop
- Questions

9:15 - 9:30 a.m. REVIEW EMPA AND RELATED BILLS

- Fundamental philosophy behind the bills
- Amounts of money involved
- Uncertain final form (Local Energy Management Act, Community Energy Action Grants, Tsongas' Bill)
- State and local energy planning (must consider various options)
- Specific programs in EMPA (EES, BEPS, Weatherization, etc.)
- Questions

9:30 - 9:45 a.m. REVIEW BREAKDOWN OF EMPA BY ISSUE AREA

- Hierarchical partnership issues
- Specific program issues
- Locality-specific issues
- Iterative nature of task process
- Explain nominal group techniques (NGT)

9:45 - 10:00 a.m. BREAK

10:00 - 11:00 a.m. FIRST ROUND OF NGT

- Focus question: What will be the problems associated with the Local/State/Federal partnership to handle conservation and solar programs?
 - Idea generation
 - Round robin recording of ideas
 - Discussion for clarification
 - Voting to rank ideas according to importance

11:15 - 12:15 a.m. SECOND ROUND OF NGT

- Focus question: What will be the benefits associated with the EMPA Local/State/Federal partnership to handle conservation and solar programs?

12:15 - 1:30 p.m. LUNCH

1:30 - 4:00 p.m. IDENTIFY INFORMATION REQUIREMENTS BY ISSUE

- Fifteen minutes per issue
- Brainstorming

4:00 - 4:45 p.m. SUMMARY AND REVIEW

- What new information requirements have been identified
- Which requirements are of widespread significance

4:45 - 5:00 p.m. CRITIQUE OF WORKSHOP

DISTRIBUTION

No. of
Copies

No. of
Copies

OFFSITE

ONSITE

A. A. Churm
DOE Patent Division
9800 S. Cass Avenue
Argonne, IL 60439

10 Jim Eberhardt
Conservation and Solar Energy
U.S. DOE
20 Massachusetts Ave.
Washington, DC 20545

27 DOE Technical Information
Center

Fred Morris
HARC
400 N.E. 41st St.
Seattle, WA 98105

Marvin Olsen
HARC
400 N.E. 41st St.
Seattle, WA 98105

DOE Richland Operations Office

H. E. Ransom

31 Pacific Northwest Laboratory

D. E. Deonigi
E. Edelson (10)
T. J. Foley
W. J. Hopp (10)
A. L. Nieves
T. L. Willke
Technical Information (5)
Publishing Coordination KE(2)