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MASTER

THE MARKET FACTORS FEEDBACK SYSTEM

OF THE PILOT PROGRAM OF THE

ENERGY EXTENSION SERVICE

DESCRIPTION

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SYNOPSIS

In the course of receiving information and assistance from the Energy Extension Service (EES), many energy users identify barriers which they perceive as preventing them from adopting energy-saving measures. For homeowners, it may be the high cost of energy-saving devices, or skepticism that the devices will save them either money or energy. For small businesses, it may be high loan interest rates which make the financing of energy-saving measures uneconomical, or reluctance to invest in such measures unless the investment can be recouped through lower energy costs within two years. For public institutions, it may be the lack of funds to conduct energy engineering studies to prove energy and cost savings to citizens, or contracting provisions which require governments to accept the low contractor bid regardless of whether a higher bid would result in lower cost and energy usage over the long run. For building contractors, it may be municipal building codes which prevent the installation of certain energy-saving measures, or lender policies which do not take energy cost savings into account in evaluating a home buyer's ability to pay.

The significance of barriers such as those above is that:

- they are perceived or experienced by energy users themselves--when deciding whether to adopt energy-saving measures
- as long as they exist, EES information and assistance activities cannot be optimally effective
- they are obstacles which EES itself cannot resolve, but rather need action by other organizations in the energy field--for example, energy research and development programs, legislatures,

financial institutions, public utilities, and municipal governments

As part of the pilot EES program, the Energy Extension Service of the Department of Energy (DOE/EXT) and the 10 pilot States (State EESs) have planned a process for assuring that barriers to energy-saving measures identified by small energy users are communicated to and considered by organizations outside EES which have the capability to remove the barriers or offer incentives to overcome them. The process is called the market factors feedback system:

- feedback because it is direct information from energy users on barriers to energy-saving measures presented in EES information and assistance programs
- market factors feedback because it relates to barriers which energy users perceive as preventing them from "entering the energy marketplace" to purchase energy-saving measures
- the market factors feedback system because it encompasses planned and organized procedures for linking energy users--who identify the barriers--with organizations that can deal with those barriers

In the pilot EES program, the market factors feedback system is experimental. DOE/EXT wants to find out whether dealing with the barriers in a planned and orderly process will ultimately lead to the removal of those barriers which prevent people from adopting energy-saving measures. To find out, during the pilot, State EESs will limit the systematic collection of market factors feedback to only some of their EES programs. (This is not to say that they will not informally collect feedback in other programs.)

Market factors feedback encompasses three types of participants: the EES target audiences (small energy users), organizations outside EES with powers in the energy field (called "energy decisionmakers"), and the EES agencies (State and DOE/EXT).

The State EESs primarily plan to collect the feedback systematically from homeowners and small business. Other target audiences include hospitals, the hospitality industry, the wood industry, and low- and moderate-income homeowners. At this point in time, the State EESs expect the major problems identified by target audiences to be in the financial area (inability to finance energy-saving measures).

Energy decisionmakers are in each individual state and in Washington, D.C. State EESs have identified a number of different energy decisionmakers within their states who might receive market factors feedback. These include state legislatures, state energy offices, finance industry associations, and trade associations. DOE/EXT has identified several organizations at the national level: research and development offices of the Department of Energy, other Federal agencies, and private national trade associations.

State EESs have primary responsibility for operating the market factors feedback system. They will collect the feedback, analyze it, communicate it to energy decisionmakers in their states, and report decisionmaker actions of the feedback to their target audiences. DOE/EXT will be the feedback link with energy decisionmakers at the national level. DOE/EXT will also support State EESs in their market factors feedback activities (by facilitating information sharing and responding to requests for assistance) and evaluate the system--through an independent

contractor. The purposes of the evaluation are to learn which methods work and which do not, and to determine the place of market factors feedback in the national EES program.

Market factors feedback as a concept is a logical part of EES. Many energy users, when they receive information and assistance on energy-saving measures, will respond with barriers which they feel will prevent them from adopting those measures. This type of feedback is particularly important today, when more and more energy decisionmaking institutions are realizing that substantial progress towards achieving energy conservation goals will be slowed until major barriers are removed.

EES could make a difference--providing a needed communication link between energy users and energy decisionmakers. And, the mere existence of the market factors feedback system may increase EES's credibility with both small energy users and energy decisionmakers. When energy users see that EES is listening to them and trying to do something about their problems, they may respond more favorably to all EES information and assistance. Similarly, when energy decisionmakers see that EES is a direct channel to energy users who are having difficulty with energy-saving measures, some of these decisionmakers may come to view EES as important to them in providing needed information on energy user needs and concerns. At a minimum, the fact that EES is consistently listening for and dealing with market factors feedback may suggest that EES will continue to increase its effectiveness.

INTRODUCTION

This paper describes the market factors feedback system of the pilot program of the Energy Extension Service (EES). This description contains the plans of the 10 pilot EES States and the Department of Energy for operating the system between December 1977 and March 1979.

EES has three objectives...

- ...to encourage small energy users (individuals and small establishments) to reduce energy consumption and convert to renewable energy sources,

- ...to provide feedback to the Department of Energy, other Federal agencies, and groups in a state regarding institutional and technological barriers uncovered by small energy users to their adoption of energy-saving measures, and

- ...to help reduce the impact of fuel shortages and price increases on small energy users by developing a credible assistance and information program that facilitates the adoption of energy-saving measures.

The EES market factors feedback system is intended to achieve the second objective.

PURPOSE The purpose of the EES market factors feedback system is for EES to collect information directly from its target audiences regarding barriers and problems which affect their adoption of the energy techniques and technologies promoted, and to transmit this information to other organizations (outside the EES program) that should consider it in their decisionmaking.

DEFINITION Market factors feedback, then, is barriers and problems identified by target audiences which State EES agencies cannot remove or solve. Examples include consumer inability to obtain financing for energy

measures, building codes which do not permit installation of some energy-saving measures, uncertainty about the effect of certain promoted technologies, and suggestions for improved or new technologies.

RATIONALE To the extent that barriers and problems prevent energy users from adopting promoted energy techniques and technologies, the effectiveness of EES will suffer. Market factors feedback has been included in the EES program because this type of information, coming directly from energy users, has the potential to spur action by organizations to remove the barriers, solve the problems, and/or offer incentives to energy technique and technology adoption. Examples of such organizations are research and development offices of the Department of Energy, legislative bodies, financial institutions, public utilities, and municipal governments.

THE EES The purpose of the 10-state EES pilot program is to gain experi-
PILOT
PROGRAM ence for a national EES program in all states. In terms of market factors feedback, the pilot program will be used to:

- learn which methods work and which do not in obtaining market factors feedback and assuring its consideration by organizations with the capability to remove barriers and solve problems
- test the extent to which the market factors feedback part of EES should be operated on a planned and organized--as opposed to ad hoc--basis

The Department of Energy's Energy Extension Service (DOE/EXT) concluded that, in order to conduct a valid demonstration and test, it was not necessary for the pilot market factors feedback system to encompass all EES target audiences, program services, barriers, and problems, and

likely organizations outside EES with the capability to deal with the barriers and problems. In preparing their EES implementation plans, DOE/EXT therefore advised the States to plan for a "do-able" market factors feedback component consistent with budgetary commitments: selecting a limited number of target audiences (and related services) from whom market factors feedback is collected systematically, and a limited number of organizations outside EES to whom the information will be communicated. DOE/EXT further advised the States that one way to narrow the focus of market factors feedback would be to develop an overall strategy. Specifically, the Department counseled:

In selecting which target audiences, services, and energy decision-makers* to include, the states should assess which market factors feedback activities have the potential to make an impact. States might wish to tie to ongoing issues in the state, designing the market factors feedback plans to elicit information which should be considered in the resolution of the issues. Alternatively, states might design market factors feedback activities to bring to light new issues which should come to the attention of energy decisionmaking organizations.

In focusing on the services within which to obtain market factors feedback, we suggest the states consider their nature, delivery mechanisms, and timing. Services involving direct, personal interaction delivered by a limited number of individuals are more likely to be conducive to this purpose than relatively passive ones with highly decentralized delivery. States should select services with a fairly early start-up so that there is more time in the pilot period to complete the system cycle. With regard to selection of energy decisionmakers to receive the information, states need to consider how responsive the organizations are likely to be and their ability to act on the information provided to them.

*"Energy decisionmakers" is the label given by the Department to organizations outside of EES which have the responsibility and/or ability to affect the institutional barriers, problems, incentives, and perceptions which the EES target audiences have indicated are important.

Eight of the 10 EES States did narrow the focus of their market factors feedback plans. Two--Pennsylvania and Wisconsin--opted to build market factors feedback into almost all their EES program services.

WHY THIS PAPER? This paper is written for three purposes. First, it is an overall description--for all interested parties--of what may

be an innovation in technology extension programs. Second, it presents information on market factors feedback which might be shared among the pilot State EESs--that is, it summarizes what all State EESs and DOE/EXT plan to do, and how they plan to do it. Third, the paper is intended as baseline information for the evaluation of the market factors feedback portion of the pilot EES program.

CONTENT This paper is presented in three chapters. Chapter One contains the planned scope of the market factors feedback system during the pilot program: the target audiences, program services, likely topics of market factors feedback, and energy decisionmakers.

Chapter Two presents how the market factors feedback system will operate over the pilot program period.

Chapter Three summarizes the roles and functions of DOE/EXT in supporting State EES market factors feedback operations and in evaluating the program.

There are three appendices. Appendix A contains the market factors feedback plans of the pilot EES States. Appendix B describes how DOE/EXT will work with national-level energy decisionmakers on market factors feedback received from State EESs. Appendix C is the design for the formal evaluation of the market factors feedback component of the pilot EES program (developed by ICF Incorporated, the EES evaluation contractor).

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CHAPTER ONE. THE SCOPE OF THE EES PILOT PROGRAM MARKET FACTORS FEEDBACK SYSTEM

The scope of the market factors feedback system encompasses:

- target audiences
- energy-saving measures which EES is encouraging those target audiences to adopt
- problems and barriers (feedback) which target audiences encounter with those energy-saving measures
- energy decisionmakers--both in the States and at the national level--who can deal with the problems and barriers

The State EESs have determined the system's scope. They will obtain market factors feedback from their target audiences, communicate it to energy decisionmakers in their States and report progress to DOE/EXT. DOE/EXT, in addition to monitoring and supporting the State activities, will communicate appropriate feedback reported by the State EESs to energy decisionmakers at the national level.

As stated in the introduction, DOE/EXT felt that the potential of the market factors feedback system could be tested and demonstrated with a limited scope. As planned by the State EESs*, this scope will involve:

- 14 types of target audiences
- techniques and technologies in energy conservation, the switch to alternative nonrenewable fuel sources, or the change to renewable energy sources

*Presented in their implementation plans--the market factors feedback portions of which are in Appendix A.

- over 50 different problems and barriers that State EESs expect target audiences to express
- 49 types of energy decisionmakers in the States and 17 national-level energy decisionmakers (identified by DOE/EXT) who could receive at least some of the market factors feedback

This scope only represents the expectations of the State EESs for the systematic collection and processing of market factors feedback as a test and demonstration of its potential. It does not in any way mean that State EESs will not deal with problems and barriers to energy-saving measures identified by target audiences who are not part of the planned scope.

Moreover, DOE/EXT expects that this planned scope will change over the course of the pilot program. For example, it may be that:

- some target audiences not included in the planned scope should be part of the system
- included target audiences are not providing significant feedback
- unexpected problems and barriers are identified, and/or
- more appropriate energy decisionmakers should be contacted

DOE/EXT encourages State EESs to change the scope of their market factors feedback activities as their experiences dictate.

This chapter describes the planned scope--as EES begins.

THE TARGET AUDIENCES

Chart 1 on page 8 summarizes the target audiences selected by each State EES from whom market factors feedback will be collected. There are two general categories of target audiences:

- energy users--those people and organizations actually using energy (local government, local housing authority, local school districts, hospitals, small business, the hospitality industry, agricultural transporters, homeowners, and tenants)
- consumption influencers--those people and organizations who have the capability to induce changes in energy usage by others (the wood-heating industry, architects, financial institutions, and owners of tenant-occupied buildings)

In the EES pilot program market factors feedback system, energy users comprise the majority of target audiences.

Of the 14 market factors feedback target audiences, information on problems and barriers will be collected from five types in more than one State (local government, hospitals, small business's, homeowners in general and low- and moderate-income homeowners). Two types of target audiences dominate: homeowners--in six States, and small business--in six States. These two target audiences also represent the majority of people who will receive EES services. Other target audiences of particular interest--because they might not previously have had substantial opportunity to make their energy needs and concerns known--include hospitals, school districts, the hospitality industry, agricultural transporters, and the wood-heating industry.

The 10 State EESs applied one of four strategies in selecting target audiences for inclusion in the market factors feedback system:

- comprehensive--almost all EES target audiences are included
- "hot issues"--certain critical energy issues in the State require additional information from target audiences on problems and barriers

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EXPECTED MARKET FACTORS FEEDBACK

The State EESs have identified over 50 different problems and barriers which they expect different target audiences to express. These possible topics of market factors feedback are summarized in Chart 3 on pages 10-19 in relation to target audiences, energy techniques and technologies, and the States which identified the topic. The topics are grouped into four categories of potential problems:

Financial problems--all topics related to the financial aspects of technique and technology adoption--

Financing...lending practices, ability to get investment capital, lack of tax incentives, etc.

Purchase/operations...costs and cost savings connected with the purchase, installation, and use of equipment, products, and supplies

Value...the effect of the adoption of techniques and technologies on the value of a home or business

General attitudes--general skepticism, unwillingness to act, resistance, and/or lack of awareness (but not related to a specific barrier)

Institutional barriers--restrictions or constraints found in institutions which do not have a primary energy mission--

Rules...building codes, municipal codes, laws, administrative rules, regulations, standards, etc.

Processes...e.g., lengthy decisionmaking processes

Problems with the technology--lack of technical knowledge, uncertainty about performance, unavailability of equipment, products,

supplies, and installers, inadequate standards, need for improved or new technologies.

The State EESs, as a group, feel that most market factors feedback will be on financial problems (37 percent of the topics identified), followed by problems with the technology (23 percent), institutional barriers (20 percent), and skeptical attitudes (19 percent)*. The two topics mentioned most frequently are:

- the lack or prohibitive cost of financing of energy-saving measures
- the lack of necessary energy-saving equipment, products, or supplies

ENERGY DECISIONMAKERS

In terms of geographical coverage, there are two types of organizations outside EES with the capability to deal with the market factors feedback (called "energy decisionmakers"):

- organizations whose sphere of authority and influence is within a State
- those which cover the country as a whole (called "national energy decisionmakers")

Energy decisionmakers within a State

Chart 4 on pages 20-22 lists 49 types of energy decisionmakers identified by State EESs as potential recipients of market factors feedback. In terms of the frequency with which each decisionmaker is identified,

*It should be noted, of course, that EES itself is--in part--trying to overcome skeptical energy-user attitudes.

43 percent are State government units, 11 percent in local government, and 46 percent in the private sector.

The most frequently identified energy decisionmakers, in priority order are:

State Legislatures

State Energy Offices

Industrial Trade Associations (e.g., manufacturers associations, chambers of commerce)

Finance industry associations

Financial institutions

Public Utilities Commissions

Each of these groups is identified by at least four State EESs.

National energy decisionmakers

DOE/EXT has identified five DOE units, four other Federal agencies, and eight types of private organizations who have the capability to deal with market factors feedback on a national level. These are listed in Chart 5 on pages 23-24. Because of the nature of the EES program, DOE/EXT expects that the majority of contacts at the national level will be with DOE's Office of Conservation and Solar Applications.

Chart 1
EES TARGET AUDIENCES
FOR MARKET FACTORS FEEDBACK

Target Audiences	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming
Local Government					•				•	
Local Housing Authority					•					
Local School Districts					•					
Hospitals					•		•			
Small Business or Industry (general)	•	•			•	•		•	•	
Small Business: Hospitality Industry									•	
Small Business: Agricultural Transporters									•	
Homeowners (general)		•	•			•		•	•	•
Homeowners: Low and Moderate Income	•								•	
Homeowners: Mobile Homes				•						
Tenants					•	•				
Wood Heating Industry									•	
Architects, Lenders, Owners									•	
Financial Institutions							•			

Chart 2
STATE EES
MARKET FACTORS FEEDBACK STRATEGIES

States	Comprehensive	"Hot" Issues	Not Enough Known	Service Compati- bility
Alabama				•
Connecticut				•
Michigan				•
New Mexico			•	
Pennsylvania	•			
Tennessee				•
Texas		•		
Washington				•
Wisconsin	•			
Wyoming				•

Chart 3

MARKET FACTORS FEEDBACK SCOPE: 10 EES PILOT STATES

Target Audience	Energy Techniques and Technologies	Possible Topics of Market Factors Feedback	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming
LOCAL GOVERNMENT	Conservation and/or switching to alternative sources	<u>Financial problems</u> prohibitive cost of financing savings not apparent prohibitive conversion costs need financial incentives <u>General attitudes</u> lack of public support reluctance to take leadership role skeptical of value lack of awareness employee resistance "not our responsibility" <u>Institutional barriers</u> impeditive building codes impeditive municipal codes impeditive contractor rules lengthy decisionmaking processes <u>Problems with the technology</u> technology uncertain lack of technical knowledge					• • • •				•	
SMALL BUSINESS AND INDUSTRY (general)	Conservation and/or switching to alternative sources	<u>Financial problems</u> prohibitive cost of financing prohibitive conversion costs unwillingness without large savings	• • •	•			• •	•		•	• •	

Chart 3 (Continued)

MARKET FACTORS FEEDBACK SCOPE: 10 EES PILOT STATES

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Chart 3 (Continued)

MARKET FACTORS FEEDBACK SCOPE: 10 EES PILOT STATES

Target Audience	Energy Techniques and Technologies	Possible Topics of Market Factors Feedback	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming
SMALL BUSINESS: hospitality industry	Conservation	<u>General attitudes</u> impeditive habits and traditions apathy and poor motivation negative attitudes toward education general non-acceptance <u>Institutional barriers</u> impeditive codes and regulations <u>Problems with the technology</u> supplies not available									• • • •	
SMALL BUSINESS: agricultural transporters	Conservation re transportation, storage, and maintenance	<u>General attitudes</u> negative attitudes and apathy lack of adequate communication <u>Institutional barriers</u> impeditive administrative transport rules impeditive legislation re transportation <u>Problems with the technology</u> lack of knowledge of possibilities new equipment not available									• • • •	

Chart 3 (Continued)

MARKET FACTORS FEEDBACK SCOPE: 10 EES PILOT STATES

Target Audience	Energy Techniques and Technologies	Possible Topics of Market Factors Feedback	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming
HOMEOWNERS (general)	Conservation	<u>Financial problems</u> lack of/prohibitive cost of financing impeditive utility rate structures effect on home resale value/rentability woodburning effects on insurance costs prohibitive conversion costs need for tax incentives cost competitiveness: alternative sources initial vs. life-cycle costing (appliances) <u>General attitudes</u> general non-acceptance <u>Institutional barriers</u> impeditive building costs restrictive insurance policies <u>Problems with the technology</u> products/equipment not available inadequate standards/safeguards for materials and/or installers		• • 								

Chart 3 (Continued)

MARKET FACTORS FEEDBACK SCOPE: 10 EES PILOT STATES

Target Audience	Energy Techniques and Technologies	Possible Topics of Market Factors Feedback	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming
HOMEOWNERS (general)	Conservation (Continued)	lack of consumer protection information need for design features need for testing/evaluation services need for technological incentives		•							• •	•
	Energy switching to solar	<u>Financial problems</u> lack of/prohibitive cost of financing impeditive utility rate structures need for tax incentives cost competitiveness with other sources <u>General attitudes</u> general non-acceptance <u>Institutional barriers</u> impeditive building codes problems with the technology equipment not available lack of consumer protection information need for technological incentives		• • • • • •							• • • •	

Chart 3 (Continued)

MARKET FACTORS FEEDBACK SCOPE: 10 EES PILOT STATES

Target Audience	Energy Techniques and Technologies	Possible Topics of Market Factors Feedback	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming
HOMEOWNERS: low and moderate income	Conservation	<u>Financial problems</u> low cost technology not available lack of/prohibitive cost of financing insufficient government aid incongruence: cost vs. home value <u>General attitudes</u> lack of understanding/trust lack of economic & political power uncertainty: short-range life styles uncertainty: improving home quality differences: landlord/tenant responsibilities <u>Institutional barriers</u> communication gaps in service delivery lack of cooperation: participating agencies <u>Problems with the technology</u> lack of materials/labor lack of skills	• • • • • •								• • • • • •	• • • • •

Chart 3 (Continued)

MARKET FACTORS FEEDBACK SCORE: 10 EES PILOT STATES

Target Audience	Energy Techniques and Technologies	Possible Topics of Market Factors Feedback	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming
HOMEOWNERS: mobile homes	Conservation	<u>Financial problems</u> lack of/prohibitive cost of financing <u>General attitudes</u> general non-acceptance "waiting for a better way" <u>Problems with the technology</u> equipment and supplies not available problems with installation				•						
TENANTS	Conservation	<u>Financial problems</u> inability to pay for conservation initial vs. life-cycle costing (appliances)					•	•				
WOOD HEATING INDUSTRY: transporters, harvesters, manufacturers, retailers, installers, fire-fighters, inspectors	Conservation: Safe and efficient installation of systems, design, harvesting, storage, drying	<u>Financial problems</u> cost of wood supply effect on consumer insurance costs high consumer conversion costs cost savings to consumer <u>General attitudes</u> consumer skepticism									• • • •	•

Chart 3 (Continued)

MARKET FACTORS FEEDBACK SCOPE: 10 EES PILOT STATES

Target Audience	Energy Techniques and Technologies	Possible Topics of Market Factors Feedback	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming
WOOD HEATING INDUSTRY:	Conservation: (Continued)	<u>Institutional barriers</u> impeditive building codes <u>Problems with the technology</u> product not available inadequate design features need for testing and evaluation									•	
LOCAL HOUSING AUTHORITY	Conservation	<u>Financial problems</u> prohibitive cost of retrofiting delayed return on investment <u>General attitudes</u> difficulty in getting tenant cooperation <u>Institutional barriers</u> institutional impediments to eliminating mass metering					• •				• • •	
HOSPITALS	Conservation	<u>Financial problems</u> weak capital markets <u>General attitudes</u> medical staff resentment/ indifference					• •		•			

Chart 3 (Continued)

MARKET FACTORS FEEDBACK SCOPE: 10 EES PILOT STATES

Target Audience	Energy Techniques and Technologies	Possible Topics of Market Factors Feedback	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming
HOSPITALS	Conservation (Continued)	<u>Institutional barriers</u> community/government interference in spending decisions effect of 3rd party provider agreements uncertainty: future regulatory action <u>Problems with the technology</u> uncertainty: conservation methods					•		• • •			
SCHOOL DISTRICTS	Conservation	<u>Financial problems</u> prohibitive front-end costs <u>Institutional barriers</u> impeditive municipal codes					• •					
ENERGY CONSUMPTION INFLUENCERS architects, designers, lenders, owners	Conservation: Counsel in architectural principles, home weatherization benefits, household energy management, standardized audit procedures	<u>Financial problems</u> consumer lack of cost incentive <u>General attitudes</u> consumer lack of interest inability to see benefit <u>Institutional barriers</u> impeditive codes and regulations								• • • •		

Chart 3 (Continued)

MARKET FACTORS FEEDBACK SCOPE: 10 EES PILOT STATES

Target Audience	Energy Techniques and Technologies	Possible Topics of Market Factors Feedback	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming
ENERGY CONSUMPTION INFLUENCERS	Conservation: (Continued)	<u>Problems with the technology</u> supplies/equipment not available contradictory information to consumers lack of training									• • •	
ENERGY CONSUMPTION INFLUENCERS financial institutions	Financing energy conservation and switching to alternative sources	<u>Financial problems</u> cost effectiveness in various climate zones the loan risk financial incentives to lenders <u>Institutional barriers</u> other barriers to financing in new construction or retrofit							• • • •			

Chart 4

STATE EES-IDENTIFIED
ENERGY DECISIONMAKERS IN THE STATE

Energy Decisionmaker	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming
<u>STATE GOVERNMENT</u>										
Legislature	•	•	•			•	•	•	•	•
Energy Office	•		•	•	•		•	•		•
Office of Policy		•								
Public Utilities Comm.	•	•			•				•	
State Agencies--general									•	
Financial Regulatory Comm.							•		•	
Construction Commission				•						
Franchise Tax Board					•					•
Railroad Commission							•			
Dept. of Public Works		•								
Dept. of Commerce			•		•					
Dept. of Government Svcs.					•					
Dept. of Education					•					
Dept. of Health							•			
Dept. of Transportation									•	
Dept. of Agriculture									•	
Dept. of Natural Resources									•	
Extension Service Agents									•	
Housing Finance Agency					•					
Consumer Advocates Office					•					
<u>LOCAL GOVERNMENT</u>										
City/County Councils				•				•		
Local VISTA	•									
Local housing authorities									•	

Chart 4 (Continued)

STATE EES-IDENTIFIED
ENERGY DECISIONMAKERS IN THE STATE

Energy Decisionmaker	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming
<u>LOCAL GOVERNMENT (Cont.)</u>										
Community Action Agencies	•				•					
Building Inspection Depts.		•							•	
County welfare department									•	
Fire department									•	
<u>PRIVATE SECTOR</u>										
Finance industry assns.	•			•		•	•			•
Mgfs. assn./Chambers of Com.	•	•	•		•	•			•	
Hospital associations					•					
Rural electric assns.					•					
Realty associations		•				•				
Home builders assns.							•		•	•
Retail trade organizations					•					
Better Business Bureaus						•				
Public utility companies						•	•		•	
Equipment/supply mfgs.								•	•	
Service & retail firms									•	
Trucking firms									•	
Architect/design firms									•	
Foresters									•	
Insurance companies						•			•	
Financial institutions	•	•			•	•		•	•	
Union officials									•	

Chart 4 (Continued)

STATE EES-IDENTIFIED
ENERGY DECISIONMAKERS IN THE STATE

Energy Decisionmaker	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming
<u>PRIVATE SECTOR (Cont.)</u>										
Agricultural supply/ processing firms									•	
Social Development Comm.									•	
Local Foundations									•	
United Way									•	
Energy producers	•									

Chart 5

NATIONAL ENERGY DECISIONMAKERS

The Department of Energy

- Conservation and Solar Applications (CS): all problems and barriers with respect to energy conservation and solar applications in buildings and community systems, industry and commerce, utilities, and transportation;
- Resource Applications (RA): all problems and barriers with respect to alternative fuels commercial demonstration;
- Energy Technology (ET): all problems and barriers with respect to improved conversion efficiency;
- Policy and Evaluation (PE): all problems and barriers with respect to the implementation of Department policies;
- Intergovernmental and Institutional Relations (IR): all problems and barriers which might involve discussions with educational institutions, citizen groups, trade associations, labor unions, and corporations.

Other Federal Agencies

- Department of Agriculture (USDA): all problems and barriers with respect to the use of wood as a conservation measure; energy conservation research and development concerning agricultural production, processing, marketing, and distribution; experiments and demonstrations in conversion to solar energy (agricultural processes); and improved efficiency in the movement of agricultural products;

Chart 5 (Continued)
NATIONAL ENERGY DECISIONMAKERS

- Department of Commerce (DOC): all problems and barriers with respect to consumer purchase of energy-efficient appliances;
- Department of Health, Education, and Welfare (HEW): all problems and barriers with respect to the adoption of life-cycle budgeting and costing in educational and health facilities; and efficient energy performance in those facilities;
- Department of Housing and Urban Development (HUD): all problems and barriers with respect to adoption of energy conservation techniques in subsidized housing.

Private Sector

Finance Industry Associations
Industrial Trade Associations
Health Associations
Labor Unions
Insurance Associations
Real Estate Associations
Educational Institution Associations
Utility Associations

CHAPTER TWO. THE EES MARKET FACTORS FEEDBACK SYSTEM: HOW WILL IT OPERATE?

The EES market factors feedback system encompasses the methods employed to operate within the planned scope: an orderly process linking EES target audiences--who identify barriers and problems which they feel prevent them from adopting energy-saving measures--with energy decision-making institutions which have the capability to deal with those barriers and problems.

This chapter discusses why a system is needed at all and presents, in more detail, how that system is designed to operate.

WHY A SYSTEM?

Providing feedback is a natural response from people when they are given information and assistance. Some of this*feedback will concern problems and barriers which energy users feel will prevent them from adopting energy-saving measures or converting to alternative energy sources.

Dealing with this type of feedback is a natural process. EES agents are problem-solvers, and they will do "whatever is called for" to see that the problems and barriers are addressed. But whether explicit or not, solving these problems involved a logical thinking process, in which EES agents will answer several questions:

- what is the real nature of the problem?
- how severe is it in preventing people from adopting energy-saving measures?
- is the problem real, or is it due to an energy-user misconception?

- who is best equipped to deal with it?
- what is the best way to get the appropriate organization to deal with the problem?

So the question is: Why try to make a discrete, systematic process out of something which involves natural energy-user responses and natural processes for dealing with those responses? The primary reason is that a system gives market factors feedback needed attention. Normally in technological extension programs, target audience feedback on how services are delivered receives the most attention. But in the past few years--particularly in the energy field--many people have come to realize that technological extension programs can suffer if there are major problems and barriers which people perceive as preventing them from embracing the technology. In the Department of Energy alone there are several efforts underway to identify and test solutions to many problems and barriers. EES could be instrumental in supporting and expanding the efforts of many energy decisionmaking organizations (both in individual states and at the national level) to deal with major problems and barriers. EES is unique in that the problems and barriers come directly from energy users themselves as they are considering what to do with the information and assistance. By adding some structure to the natural process--resources, timetables, and methods--DOE/EXT believes that market factors feedback will receive greater attention within EES itself, with target audiences, and with energy decisionmakers.

Another reason for "creating" a system is that DOE/EXT would like to find out whether a disciplined approach might help EES:

- create a better environment for energy users to express problems and barriers
- be more sensitive to seeking out and listening for this feedback
- determine the importance of the feedback
- package the information in a way that will be most useful to energy decisionmakers
- decide how best to approach those decisionmakers
- decide the best way to tell people how their feedback was dealt with

Finally, a system facilitates evaluation. In the pilot program, DOE/EXT wants to learn which methods work and which do not and to test the extent to which market factors feedback should be operated on a planned and orderly basis. To the extent that both State EESs and DOE/EXT have plans for working with market factors feedback in a systematic way, the evaluators can better identify and analyze the require elements of successful operation.

THE SYSTEM ITSELF

DOE/EXT put together the outline of a system: based on the natural process, a series of orderly, sequential steps involving the communication of information between EES target audiences and energy decisionmakers. State EESs filled in the outline: selecting the methods most appropriate to them in undertaking each step. Moreover, if they find out that the methods they had planned to use do not work, they are encouraged to make necessary adjustments--in itself important for evaluation.

The eight steps are logical and simple--allowing substantial State EES flexibility in testing a variety of methods. First, there are a series of steps which State EESs undertake to obtain the market factors feedback, and analyze and package it for reporting to energy decisionmakers.

Second, both State EESs and DOE/EXT will be involved in communicating and working with energy decisionmakers to assure that the feedback is considered. State EESs will report market factors feedback:

- directly to energy decisionmakers within their states, and
- to DOE/EXT, which will either communicate the feedback to national energy decisionmakers when State EESs agree that it is appropriate or work with the State EESs in developing other effective communication strategies (such as a direct State EES-national decisionmaker link)

Third, State EESs will report decisionmaker responses to their target audiences to let them know how the problems and barriers were addressed.

Chart 6 on page 36 depicts the sequence of eight steps in this process. Chart 7 on pages 37-39 describes in more detail each of these eight steps and the responsibilities of State EESs and DOE/EXT.

The following sections present the methods which State EESs and DOE/EXT plan to use in system operation.

State EES Methods

State EESs have planned the methods they will use to collect market factors feedback, who will synthesize and analyze the information, how it will be communicated to energy decisionmakers within the State,* and how

*Requirements for reporting market factors feedback to DOE/EXT are presented in the next section.

they will report decisionmaker responses back to target audiences. State EESs have also assigned staff and budgeted for market factors feedback operations. The State EES operational plans are summarized in Chart 8 on page 40.

Collecting Information. There are two general methods for collecting market factors feedback from target audiences: at the actual time the assistance or information on energy techniques and technologies is delivered and/or at some time after service delivery.

In 52 percent of the programs involving market factors feedback, States plan to collect information only during delivery of the assistance or information. This means that, during on-site visits or group meetings, State EES personnel will either try to draw their clients out with questions related to their likely adoption of the techniques or technologies, or they will listen for barriers and problems mentioned by these clients.

In 48 percent of the programs, States plan to collect market factors feedback both during and after service delivery. The most common methods for asking clients about problems and barriers after service delivery (and when they have presumably tried to apply the promoted techniques and technologies) are sample mail and telephone surveys, "feedback" questionnaire cards to all clients contacted, and follow-up telephone calls to all clients.

Each State is responsible for developing its own format and schedule for recording market factors feedback in order to be able to:

- go back to the individual energy-user for verification and additional information, and
- document the problem or barrier expressed

Synthesizing and Analyzing the Information. In most of the programs (93 percent), the market factors feedback collected will be synthesized and analyzed (prepared for communication to energy decisionmakers) by a staff in the central State EES office. The person (or occasionally two people) assigned to this task is most often on the State EES evaluation staff.

In one State (involving two programs) the assignments for synthesis and evaluation are different. Texas has a manager for each of its EES programs, and the managers of the two programs involving market factors feedback are each responsible for synthesis and analysis.

It is not expected that all market factors feedback collected will be communicated to energy decisionmakers. Some barriers identified by energy users will be more constraining than others. Part of the State EESs' analysis will, therefore, include determining which barriers are most important to remove--and should be communicated to energy decisionmakers.

Communicating with Energy Decisionmakers in the State. In 71 percent of the programs, the market factors feedback will be communicated only by individualized contact--a personal letter or visit to the appropriate energy decisionmaker in the State. State EESs which are a part of State energy offices will usually discuss the feedback first with representatives of those offices.

Some State EESs plan to have the market factors feedback coordinator communicate directly with energy decisionmakers. Other States have assigned this task to the person responsible for managing the particular EES program where feedback was obtained. Most States plan to have the EED Director make the contact. Several States have informally indicated, however, that

that they will select the most appropriate staff member for communication depending on the nature of the feedback and the decisionmaker.

In 26 percent of the programs, State EESs plan to use both individualized contact and more generalized means: newsletters, reports, and/or media releases distributed to the decisionmakers.

Reporting to Energy Users. In about half of the programs, State EESs plan to report to target audiences by individualized means on how decisionmakers dealt with the market factors feedback. This reporting will be either to the specific people who expressed the problem or concern or to all EES target audience clients. Methods include personal letters, telephone calls, and follow-up meetings.

State EESs will use more generalized reporting methods in 13 percent of the programs: through newsletters, reports, and/or news releases. In 35 percent of the programs, State EESs will use both individualized and generalized reporting methods.

Staffing and Budgets. Generally, State EESs have assigned a portion of the time of the following types of staff to market factors feedback:

- a market factors feedback coordinator
- the EES field agents
- EES program directors
- the EES Director and Assistant Director

The primary budget expense for market factors feedback is personnel costs. Budget development is difficult, for it involves estimating the time that will be spent by different personnel--and none will devote full time to market factors feedback. DOE/EXT nevertheless asked for such a budget for two reasons:

- to reinforce the obvious fact that such an effort does require resources
- to have some benchmark, no matter how tenuous, for evaluating the cost effectiveness of the market factors feedback system

The 10 States have budgeted \$193,000 for market factors feedback, approximately 2 percent of their total EES budgets. Individual State EES budgets for market factors feedback range from \$2,800 in Michigan to \$32,000 in Wyoming. Inasmuch as estimating for market factors feedback is difficult, the range may not be significant. For example, the budgets appear to have little relationship to either the number of programs in a state where market factors feedback will be collected systematically or to the budget of the individual program. The important point is that market factors feedback resources have been allocated, establishing a baseline which will permit the evaluators to identify what it actually costs to deal with energy-user-identified problems and barriers.

DOE/EXT Methods

DOE/EXT has three roles in the market factors feedback system: support to State EESs, evaluation, and working with national energy decisionmakers on feedback reported by the States. Chapter Three discusses the first two roles; the third is presented here.

State EESs will report market factors feedback to DOE/EXT in two ways:

- as part of their required EES quarterly progress reports
- through ad hoc "special events reports," when the information is important enough to require immediate communication

In general, State EESs are to report market factors feedback in sufficient detail to make it credible to national energy decisionmakers. The specific

reporting elements (required in the State EES grant document and other elements suggested by DOE/EXT) are presented on pages 41-42.

DOE/EXT has developed a relatively detailed process for working with national energy decisionmakers. The primary reasons for the detail are:

- DOE/EXT, at any one time, will be working with market factors feedback from 10 States with many different decisionmakers
- DOE/EXT's market factors feedback staff is small, so that the more the process can be routinized, the more the staff can do

DOE/EXT established several principles in designing this process. First DOE/EXT wants to maintain consistent contact with State EESs as it synthesizes the feedback, prepares to communicate with national energy decisionmakers, and actually works with those decisionmakers on the feedback. DOE/EXT recognizes that its role is to represent the State EESs and to ensure that it always communicates precisely what the State EESs and their target audiences want.

Second, DOE/EXT must have some criteria for selecting--from among the many market factors feedback issues that will be reported by the State EESs--those which require priority attention. The most important criterion, of course, is the feedback each State EES deems of higher importance. Other criteria include the number of State EESs which have identified the issue and the potential for national energy decisionmaker action.

Third, DOE/EXT must have some methods for monitoring national energy decisionmaker deliberations of an issue and for summarizing the status at any point in time for reporting to State EESs and fulfilling requests by others for information.

The procedural details for DOE/EXT's communication with national energy decisionmakers are presented in Appendix B. The highlights of this process are:

- synthesizing similar market factors feedback from several States into a form which can be communicated to one or more energy decisionmaker
- establishing and maintaining records of DOE/EXT's dealing with energy decisionmakers and State EESs on market factors feedback issues
- establishing and maintaining a control system to ensure that DOE/EXT can monitor energy decisionmaker progress on the market factors feedback

DOE/EXT expects to work with three types of organizations: those within the Department of Energy, those in other Federal agencies, and private and non-profit associations. It will work with each somewhat differently.

Organizations within DOE. DOE/EXT, through its Assistant Director for Technical Assistance and the Intra-DOE Coordination Group, has established contact with representatives of each of the DOE units likely to receive market factors feedback. DOE/EXT will first contact the appropriate representative to determine:

- whether the feedback should be communicated directly to him or her, or
- whom the feedback should be communicated to

Over time, DOE/EXT expects to establish its own regular contacts with other DOE units on market factors feedback.

Other Federal Agencies. On each energy technique and technology, DOE units are coordinating their work as appropriate with other Federal agencies. When market factors feedback should go to these other agencies, DOE/EXT will work through the appropriate DOE unit as described above and the EES Interagency Advisory Group. As DOE/EXT begins to work with these agencies, they will jointly determine how future communication will be handled.

Private and Non-Profit Associations. Most DOE units have on-going relationships with associations likely to be interested in market factors feedback. Again, DOE/EXT will work through the appropriate unit--negotiating future communication as time goes on.

Chart 6

EES MARKET FACTORS FEEDBACK SYSTEM:
STEPS IN THE PROCESS

*to/from energy decisionmakers in the state.

**to/from national energy decisionmakers.

Chart 7

MARKET FACTORS FEEDBACK SYSTEM
PROCESS STEPS AND RESPONSIBILITIES

Process Steps	Description	State EES Responsibilities	DOE/EXT Responsibilities
1. States Deliver Program Service.	Direct, personalized technical assistance and information to target audiences on energy techniques and technologies on energy conservation or renewable resource use.	Deliver technical assistance and information.	Monitor and support State activity.
2. States Ask for and Obtain Feedback.	Asking for and listening to target audience attitudes, needs, wants, problems, and concerns which constrain the target audiences from adopting the promoted energy techniques and technologies.	Ask for and listen to market factors feedback.	Monitor and support State activity.
3. States Synthesize Information.	Sorting out, aggregating, and prioritizing market factors feedback for communication to energy decisionmakers.	Sort out, aggregate, and prioritize the market factors feedback.	Monitor and support State activity.
4. States Report the Information.	Communicating the synthesized market factors feedback to energy decisionmakers.	Communicate the market factors feedback <u>directly</u> to energy decisionmakers within the State; report	Synthesize market factors feedback received from all States and communicate it to national energy

Chart 7 (Continued)

MARKET FACTORS FEEDBACK SYSTEM
PROCESS STEPS AND RESPONSIBILITIES

Process Steps	Description	State EES Responsibilities	DOE/EXT Responsibilities
		the feedback to DOE/EXT for its communication to national energy decisionmakers.	decisionmakers, upon State EES consultation monitor and support State activity.
5. Energy Decision-makers Use the Information.	Considering the information in policymaking, planning, research and development, lawmaking--leading to barrier or problem removal or new incentives	Monitor and follow up on consideration of market factors feedback by energy decisionmakers <u>within</u> the State.	Monitor and follow up on consideration of market factors feedback by national energy decisionmakers; monitor and support State activity.
6. Energy Decision-makers Report the Information (to State EESs or to DOE/EXT).	Responding to what was done with market factors feedback: barrier or problem removal, new incentives, or progress toward definitive action.	Receive responses <u>directly</u> from energy decisionmakers in the State and from DOE/EXT for responses from national energy decisionmakers.	Receive responses from national energy decisionmakers and transmit these responses to the States.
7. States Tell Energy Users the Results.	Reporting to the people who originally expressed the market factors feedback what the energy decisionmakers did with it (i.e., barrier or	Report at least to the people who originally expressed the feedback and perhaps to a broader audience.	Monitor and support State activity.

Chart 7 (Continued)

MARKET FACTORS FEEDBACK SYSTEM
PROCESS STEPS AND RESPONSIBILITIES

Process Steps	Description	State EES Responsibilities	DOE/EXT Responsibilities
	problem removal, new incentives, or progress in that direction).		
8. Consumers React to Results.	Acting positively to adopt the energy technique or technology or providing additional information on barriers and problems.	Deliver modified technical assistance and information.	Monitor and support State activity.

Chart 8

**MARKET FACTORS FEEDBACK PROCESS:
10 EES PILOT STATES**

	EES States											PERCENTAGE DISTRIBUTION
	Alabama	Connecticut	Michigan	New Mexico	Pennsylvania	Tennessee	Texas	Washington	Wisconsin	Wyoming	TOTALS	
Number of MFF-related Programs	2	2	2	1	10	2	2	2	6	2	31	
<u>Information Collection Methods:</u>												
At Time of Service	2		2		7		1		2	2	16	52
Follow-up After Service											0	
Both		2		1	3	2	1	2	4		15	48
<u>Synthesis and Analysis</u>												
By Program Service Personnel							2				2	7
By Central Staff	2	2	2	1	10	2		2	6	2	27	93
<u>Information Communication Methods to Decisionmakers</u>												
Individualized Contact	2	2	2	1	10		1	2		2	22	71
Generalized Contact							1				1	3
Both						2			6		8	26
<u>Methods for Reporting Results to Consumers</u>												
Individualized Contact	1	2		1	10					2	16	52
Generalized Contact	1		2				1				4	13
Both						2	1	2	6		11	35

Budgets

11,542

20,000

2,800

10,235

27,639

14,844

30,000

22,046

21,601

32,022

\$192,729

Chart 9

STATE EES MARKET FACTORS FEEDBACK REPORTING ELEMENTS TO DOE/EXT*

State EESs will organize their market factors feedback reports by target audience and include:

- important identifying characteristics of the target audience
- the specific locality of the target audience, if relevant (✓)
- the market factors feedback raised (in relation to specific energy techniques and technologies and is sufficient detail to give energy decisionmakers full understanding (✓)
- the approximate number of people (or percentage) raising the feedback (in relation to the total number of people in the target audience contacted during the reporting period) (✓)
- the context in which the feedback was raised (e.g., a workshop, during an audit, in a follow-up survey three months after the audit, or a combination) (✓)
- whether the people had actually experienced the problem or barrier or just felt they would run into it (e.g., with respect to the "unavailability of financing," did the energy users try to obtain financing and couldn't get it, or do they just feel that they would be denied?)

*The majority of these elements are required in the grant agreement between State EESs and DOE/EXT. Subsequent to the agreement, DOE/EXT identified additional reporting elements which would help communication with national energy decisionmakers. While these additional reporting elements are not required, DOE/EXT hopes that they can be supplied--to the extent possible. The required reporting elements are identified by a check (✓).

Chart 9 (Continued)

STATE EES MARKET FACTORS FEEDBACK REPORTING
ELEMENTS TO DOE/EXT

- whether the State EES determined the extent to which the problem or barrier actually exists
- suggested remedial action (if any) by the target audience or State (✓)
- the relative priority of feedback items (if more than one for the target audience) (✓)
- the energy decisionmakers within the State to whom the feedback has been or will be transmitted (✓)
- follow-up action by the State EES, and decisionmaker responses (if any)

CHAPTER THREE. OTHER DOE/EXT ROLES IN THE MARKET FACTORS FEEDBACK SYSTEM: SUPPORT TO THE STATE EESs AND EVALUATION

SUPPORT TO THE STATE EESs

To the extent of its capabilities, DOE/EXT is committed to provide supporting assistance to State EESs in the implementation of their market factors feedback programs. The purpose of this assistance is to help ensure that the market factors feedback system receives a valid test and demonstration during the pilot program period. DOE/EXT's support involves two functions:

- collecting information on State EES needs
- offering assistance to meet those needs by facilitating information-sharing among State EESs and providing requested guidance and informational materials

Collecting Information

DOE/EXT's market factors feedback staff plans to be in regular communication with State EES market factors feedback coordinators--by phone and correspondence. DOE/EXT expects that most requests for its assistance will come from this informal communication channel.

In addition, the DOE/EXT State Program Officers (SPOs)--in their regular visits to State EESs--have responsibilities in collecting market factors feedback information. These responsibilities relate primarily to helping State EESs with problems with respect to the market factors feedback portions of the implementation plans and the grant provisions.

Offering Assistance

DOE/EXT expects that the substantial portion of its assistance will be in facilitating the exchange of information about market factors feedback experiences among the pilot State EESs.*

First, DOE/EXT will prepare and distribute a quarterly summary of all States' experiences over the previous quarter with market factors feedback. This summary will be based primarily on the quarterly progress reports from each State and will include descriptions of:

- market factors feedback collected from target audiences related to specific energy techniques and technologies
- energy decisionmakers to whom the feedback was communicated
- decisionmaker progress in removing barriers and problems to technique and technology adoption
- special experiences in the States with market factors feedback

Second, DOE/EXT will put the market factors feedback coordinators of different States in contact with each other when it appears that their sharing of information might be beneficial. Such contact might be called for, for example, when two or more State EESs are:

- collecting market factors feedback from the same target audiences
- using similar collection techniques, or
- communicating with similar energy decisionmakers

*Both DOE/EXT and pilot State EESs also have a responsibility to share information on their experiences with the other 40 States (called "associate States") to help them plan their own EES programs. Each of the 10 pilot States has a cluster of associate States with whom they will share information (which will include experiences with market factors feedback).

The contact could also be helpful when some State EES has been particularly successful with some element of the market factors feedback system, or when a State EES is running into problems which other State EESs do not seem to have.

DOE/EXT will identify such opportunities for this special "State-pairing" of information-sharing through its informal contact with market factors feedback coordinators, the reports from the SPOs, and the State EES quarterly progress reports.

Third, DOE/EXT will occasionally prepare and distribute memos on market factors feedback issues which appear to have general applicability.

Fourth, in the spring of 1978, DOE/EXT will sponsor a meeting of all market factors feedback coordinators to discuss lessons learned and issues of common concern.

In addition to information-sharing, DOE/EXT expects that State EESs will identify needs which can best be met through expert personal guidance and/or the development informational materials on the market factors feedback system. The DOE/EXT market factors feedback staff is prepared, therefore, to respond to State requests for guidance and/or information to the best of its capabilities.* It is difficult to say--at the beginning of the program--what the nature of these requests might be, but possible candidates include:

*Inasmuch as DOE/EXT's Office of Technical Assistance has primary responsibility for responding to State EES requests for assistance and information, all requests concerning market factors feedback will be coordinated with that office.

- methods, procedures, and skills for collecting market factors feedback from EES target audiences
- methods, procedures, and skills for synthesizing and analyzing the information
- dealing with energy decisionmakers
- monitoring the deliberations of energy decisionmakers with the market factors feedback
- current efforts underway to identify, study, and remove barriers and problems to the adoption of energy techniques and technologies
- "case studies" of successful market factors feedback-type operations--either inside or outside EES

In some cases the DOE/EXT staff will be best equipped to respond to the State requests. In other cases a State EES program may be more appropriate by virtue of its successful experiences. In still other cases it might be necessary to draw upon the expertise from outside the EES family.

EVALUATION

The evaluation of the total pilot program of the Energy Extension Service (including market factors feedback) is being undertaken by an independent contractor, ICF Incorporated. The complete evaluation design for the market factors feedback system is contained in Appendix C. Summarized here are highlights of this design.

There are two goals in evaluating market factors feedback in the pilot EES program. First, ICF seeks to determine the impact of market factors feedback on target audiences, energy decisionmakers, and EES itself. Second, ICF will try to determine the conditions under which

all States and DOE/EXT can plan and operate the market factors feedback system as part of the national program.

Market Factors Feedback Impact

The "bottom line" in market factors feedback is whether it:

- resulted in any behavioral or attitudinal change by target audiences and energy decisionmakers, and/or
- facilitated the primary EES purpose: the direct delivery of information and assistance

The most desirable change on the part of target audiences would be their adoption of an energy-saving measure because a problem or barrier was removed--or a new incentive was offered. However, because of the relatively short length of the pilot program (19 months), this change may not be realistic. Therefore, ICF will be looking for both this "ultimate" change and other less dramatic changes in target audience behavior and attitudes which might suggest that, once a problem or barrier is removed, people will seriously consider adopting the energy-saving measure.

The most desirable change on the part of energy decisionmakers would be their removal of a barrier to the adoption of an energy-saving measure or their offering of some incentive to overcome the barrier. Again, however, the short time period of the pilot EES program may not permit the decisionmaker to respond so quickly. The facts that most barriers have existed for a long time and are complex suggest that they cannot be overcome quickly. Substantial research and deliberations may be required on some barriers before they can be removed. Therefore, ICF will be looking for both the actual barrier removal and a series of other decisionmaker actions (such as active consideration of the barrier) which indicate that

there is a good chance that the problem will eventually be solved. Because of the relatively short pilot program time period, a major evaluation emphasis will be placed on discussions with energy decisionmakers.

There are several potential benefits of market factors feedback to EES itself. To the extent that barriers and problems to the adoption of energy-saving measures are removed, EES will be more effective in its delivery of information and assistance.

And, the mere existence of the market factors feedback system may increase EES's credibility with both small energy users and energy decisionmakers. When energy users see that EES is listening to them and trying to do something about their problems, they may respond more favorably to all EES information and assistance. Similarly, when energy decisionmakers see that EES is a direct channel to energy users who are having difficulty with energy-saving measures, some of these decisionmakers may come to view EES as important to them in providing needed information on energy-user needs and concerns. At a minimum, the fact that EES is consistently listening for and dealing with market factors feedback may suggest that EES will continue to increase its effectiveness.

Market Factors Feedback Conditions for the National Program

As stated in the Introduction, one of the purposes of the evaluation of the market factors feedback system is to determine the extent to which it should continue to be operated on a planned and organized--as opposed to ad hoc--basis. State EES experiences and successes with the system will be major factors in determining market factors feedback requirements and guidance for the national program. To get at these experiences and successes, ICF will test a number of assumptions, including:

- The program service characteristics chosen to demonstrate market factors feedback--in regard to target audiences, service provided, and technique and technology--influenced the success of the market factors feedback operation
- The methods of service delivery chosen to carry out market factors feedback influenced the success of the market factors feedback operation
- The manner in which responsibility for collecting, analyzing, and disseminating market factors feedback is assigned within the EES organization will influence (in varying degrees) the success of market factors feedback

In summary, market factors feedback as a concept is a logical part of EES. Many consumers, when they receive information and assistance on energy-saving measures, will respond with barriers and problems which they feel will prevent them from adopting those measures. EES agents will do what they can to remove those problems and barriers. Such consumer feedback is particularly important today, when more and more energy decisionmaking institutions are realizing that substantial progress towards achieving conservation goals will be slowed until major barriers and problems are removed.

EES could make a difference--providing a needed communication link between energy users and energy decisionmakers. But market factors feedback--as a planned and orderly process--is relatively new to technological extension programs. DOE/EXT wants to find out whether (and how) such a process might ultimately lead to the removal of major problems and barriers and, therefore, greater energy-user adoption of energy-saving measures.

Market factors feedback in the EES pilot program is a test, designed according to the following principles:

- State EESs have the major responsibility for planning and operating the market factors feedback system--and for making changes when necessary.
- State EESs and DOE/EXT will share information and coordinate their activities to ensure that the test gets a "fair shot"
- The test will be fully evaluated to document lessons learned

**THE MARKET FACTORS FEEDBACK
SYSTEM**

OF THE PILOT PROGRAM OF THE

ENERGY EXTENSION SERVICE

APPENDICES

APRIL 1978.

**Prepared by JAMES RAGAN ASSOCIATES
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APPENDIX A

THE MARKET FACTORS FEEDBACK PLANS OF THE 10 EES PILOT STATES

Alabama
Connecticut
Michigan
New Mexico
Pennsylvania
Tennessee
Texas
Washington
Wisconsin
Wyoming

This Appendix reproduces the market factors feedback plans of the 10 EES Pilot States as contained in their EES implementation plans. DOE/EXT, in its Guide for Preparing State Implementation Plans, provided State EESx with a format and instructions for using it. These instructions follow:

MARKET FACTORS FEEDBACK PLAN

The PRDA required states in their EES proposals to develop procedures for obtaining feedback on local needs. Since the PRDA was issued, ERDA has refined the concept presented in the PRDA and developed clarified guidance for this EES program component. In line with the guidance contained in this section and the supplementary guidance contained in Appendix A, states should reassess and refine the procedures for feedback contained in their EES proposals.

We have renamed this program component "market factors feedback," as opposed to simply "feedback" as it was called in the PRDA. This renaming reflects our recognition that there was a good deal of understandable confusion in the state EES proposals regarding the difference between feedback and evaluation.

It is essential to understand the difference between the EES market factors feedback system and EES evaluation in order to prepare this section of the state implementation plan. The purpose of the market factors feedback system is to collect information directly from EES target audiences regarding institutional factors and perceptions which affect their adoption of the energy techniques and technologies promoted, and transmit this information to other organizations that should consider it in their decisionmaking. These other organizations, which for simplicity's sake we have called energy decisionmakers, should be organizations which have the responsibility and/or ability to affect the institutional barriers, incentives and perceptions which the EES target audiences have indicated are important.

Market factors feedback has been included in the EES program because the institutional environment in which services and information are provided is a key factor in determining whether energy-saving measures are adopted ultimately in the marketplace. Market factors feedback provided by state EESs has the potential to spur action, and ultimately change, on the part of energy decisionmakers. For example, EES-provided feedback to financial institutions regarding homeowners' reluctance to install insulation because of high loan interest rates could lead these institutions to reassess their interest rates and ultimately lower them. Likewise, information from state EESs regarding consumer needs for new or improved technologies, when transmitted to appropriate R&D organizations at the state or Federal level, could lead to the development of such improvements.

The key distinguishing feature, then, between EES evaluation and the market factors feedback system is the latter's emphasis on providing information to organizations outside the EES in order to facilitate institutional and technological change. EES evaluation, on the other hand, concentrates on looking into the EES system to assess which modes of operation work best and whether the services and information provided made a difference.

We have made two key assumptions regarding operation of the market factors feedback system. First, in order to be effective and allow us to assess its merits, it must function as an organized and planned system rather than an ad hoc activity. This is a major reason why we have asked for the degree of implementation plan specificity described below.

Second, the system must be made to work within existing resource constraints. Although testing of the market factors feedback system is an important part of the EES pilot, the bulk of resources must go to the program's primary purpose of service delivery. Therefore, the states should plan for a "do-able" scope of activities roughly consistent with the resources budgeted in the EES proposals for this program component. This will mean selecting a limited number (e.g., one to two) of target audiences and related services from which market factors feedback is collected in an organized way, and a limited number of energy decisionmakers to which the information is transmitted.

In the remainder of this section, we describe the information required in the state market factors feedback plan (Exhibit 3). The required information can be displayed on a single chart, as indicated in the sample. The paragraphs below relate to the columns of the chart. Appendix A should be consulted before preparing Exhibit 3.

Market factors feedback coordinator. Indicate the person to have overall responsibility for implementation of the state's market factors feedback plan.

Target audiences. After the scope of the market factors feedback plan in terms of target audience coverage has been decided, the selected target audience(s) should be described. (States may elect to include only segments of an EES target audience, e.g., urban rather than statewide homeowners.) The description of the target audience (or segment of it) should be consistent with the description in Exhibit 1. Information in each of the subsequent columns on the chart should relate to the selected target audience(s).

Program service, delivery mechanisms, techniques and technologies within which market factors feedback will be sought. We strongly suggest that, to use resources most effectively, market factors feedback be solicited at the time of service delivery. If the states choose to use this approach, the service(s), as well as the delivery mechanisms and subject techniques and technologies, within which market factors feedback will be solicited should be indicated in this column. We suggest limiting the number of such services; the description of the selected ones should be consistent with Exhibit 1. If the states intend to collect market factors feedback at some time after service delivery, this should also be indicated here.

Possible topics of feedback information. Market factors feedback information will be provided by target audiences in response to the services and information provided to them. In order to plan how best to solicit the feedback, states should make a first cut here at identifying possible topics of the feedback that may be provided. We recognize that these topics are at best educated guesses, but they provide a starting point around which to organize the remainder of this plan.

Within-state energy decisionmakers. Working from the possible topics of market factors feedback, the states should indicate a small number (e.g., two to four) of likely organizations outside EES to which the information should be transmitted. These "decisionmakers" can be either public or private, and should have the ability to create or foster changes regarding the potential feedback topics. Only organizations within the state should be listed -- as described in Appendix A (pages 11-12), ERDA will be responsible for synthesizing and transmitting state EES market factors feedback information to national level organizations.

Methods/responsibility for collecting information. The methods chosen and persons responsible should be listed in this column. This "how to" decision is up to the states -- pages 8-9 of Appendix A provide some ideas.

Responsibility for information analysis and synthesis. The states need only identify the person charged with this responsibility. Appendix A, pages 9-10, discusses the substance of this activity as an aid to state operations.

Methods/responsibility for reporting information to decisionmakers. In this column, the states should list the chosen method and who will be responsible. Again, Appendix A, pages 10-11, contains some suggestions.

Methods/responsibility for responding to target audience(s). This step concludes a complete cycle of feedback system operation: informing the selected a target audience(s) of how their market factors feedback information is being used by the indicated energy decisionmakers. In this column, states should identify the methods chosen and the individuals responsible for this step. Appendix A, page 14, contains information that may be helpful in deciding how to provide this response.

Staffing requirements. The staffing column on Exhibit 1 includes, among other things, the effort needed for staff implementation of market factors feedback activities. The staffing column of Exhibit 3 should break out from Exhibit 1 the approximate percentage of staff time to be devoted specifically to market factors feedback activities. In addition, if management personnel are involved in feedback activities, the appropriate percentage of their time should be shown here. These percentages can then be translated into person-hours or -days and totaled.

Budget. This column is simply: (1) a translation of person-hours or days into labor costs; and (2) an estimate of any nonpersonnel costs that can be allocated specifically to market factors feedback.

These instructions were based in DOE/EXT's hypothesis that the format contained the necessary elements to build a systematic process.

The plans of the ten states follow.

MODULE B: FULL SUBSTITUTION/UTILIZATION
EXHIBIT B: Market Factors Feedback Plan
Page 1 of 1

Market Factors Feedback Coordinator: D. F. Dyer

Selected Target Audience	Selected Prog. Service, Delivery Mechanisms, Techniques & Technologies	Possible Topics of Market Factors Feedback	Within State Energy Decisionmakers	Methods/Resp. for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Resp. for Reporting to Decisionmakers	Methods/Resp. for Reporting to Target Audience	Staffing Requirements						
Individual subsets of the target audience from Exhibit #1. Will be individual case studies	Response to on-site energy evaluations, feasibility analyses and general reports as to availability and economic attractiveness of using alternate fuels, or energy sources	Unwilling to make fuel substitution without significant economic savings Uncertain future prices of fuels Initial capital requirements are too high	Alabama Legislature Alabama Legislature Alabama Bankers Association Alabama Energy Office	At the time of counseling by staff and field agents (TVA and Alabama Power Company) concerning implementation of services offered.	Alabama EES program director Alabama EES program director	Correspondence and reports to Alabama EES program director, who, in turn, reports to decisionmakers	News releases, seminars, module leader	20% of program director's time 25% of program staff's time 50% of field agents' (TVA and Alabama Power Company) time	EES Grant Funds	Auburn University	TVA	ALA Power Co.	EE Inc.	
	Response to instructional seminars, phone surveys and soliciting of potential case cooperation	Is lending available? Immediate energy savings not apparent No tax incentives Technology uncertain	Alabama Manufacturers Association Producers of Energy	During phone and written correspondence during question and answer period of the continuing seminar series Distribution of questionnaire		Correspondence and reports to Alabama EES program director, who, in turn, reports to decisionmakers		50% of volunteer's time (Ecology Enterprises, Inc.) 25% of program director's time 50% of program staff's time 5% of volunteer's time (Ecology Enterprises, Inc.)						
									Personnel					
									2 directors	132	690			
									program staff	4278		1250*		
									TVA personnel					
									ALA Power Co. personnel			1250*		
									volunteers				1000*	
									Subtotal- Personnel	4410	690	1250*	1250*	1000*
									Other Costs					
									Fringe					
									Benefits	970	152			
									Indirect Costs	1191	1011			
									Subtotal- Other Costs	2161	1763			
									TOTAL	6571	2453	1250*	1250*	1000*
									Personnel					
									2 directors	58	460			
									program staff	4278				
									volunteers				1000*	
									Subtotal- Personnel	4336	460			1000*
									Other Costs					
									Fringe					
									Benefits	961	101			
									Indirect Costs	1179	1475			
									Subtotal- Other Costs	2140	1576			
									TOTAL	6506	2036			1000*
									*Estimated costs for utilization of facilities and services.					

MODULE E: ENERGY SYSTEMS FOR LOW INCOME GROUPS
EXHIBIT 3: Market Factors Feedback Plan
Plan 1 of 1

Local Coordinator: D. F. Dyer

Local Target Audience	Selected Prog. Sv. Del. Mec. Tec.	Poss. Topic of Mkt. Fac. Feedback	Within St. Eng. Decl-ision Makers	Met./Res. for Collect-ing Info.	Res. for Info. Analysis & Synthesis	Mets./Res. for Rept. to Deci-sion Makers	Mets./Res. for Resp. to Target Audience	Staffing Reqrmts.	Budget										
50 low-income families located mostly in North Alabama. Five families in South Alabama.	To inform low-income families that there are work-able ways to conserve energy through Seminars, Newslet-ers, on-site uti-lization, evalua-tion, etc.	Low Cost Technology not available Insufficient state and federal aid	State Energy Office State Manu-facturors Association Public Utilities Commission Local VISTA Community Action Agencies	Individual contact and sur-veys by Home Economist	State EES Program Director	Personal meeting and letter from State EES Program Director as indi-cated on Milestone Schedule	Module Staff using delivery mechanisms from Exhibit 1	5% of Module Director's time 10% of Home Econo-mist's time 1% of State Director's time 1% of Technical Advisor's time Total over 9.8 weeks 385.2 hours	<div>Personnel</div> <table><tr><td>EES</td><td>Other</td></tr><tr><td>3,000</td><td>850</td></tr><tr><td colspan="2">Total</td></tr><tr><td>EES</td><td>Other</td></tr><tr><td>3,000</td><td>850</td></tr></table>	EES	Other	3,000	850	Total		EES	Other	3,000	850
EES	Other																		
3,000	850																		
Total																			
EES	Other																		
3,000	850																		

CONNECTICUT

III

Exhibit 3

Market Factors Feedback

MARKET FACTORS FEEDBACK PLAN

Market Factors Feedback Coordinator: _____

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decision-makers	Methods/ Responsibility for Collecting Information
Small businesses that attend the 15 scheduled seminars.	Feedback solicited by WEES personnel at business seminars. Energy techniques and technologies--energy switching to solar.	Restrictive lending. Tax incentives. Building codes. Technological incentives.	State Bankers Association. State Tax Commission. State Contractors Associa- tion. State Legislature. State Energy Conservation Office.	Surveys conducted by Market Factors Officer during seminars with follow-up surveys to authenticate responses by Feedback Officer.

MARKET FACTORS FEEDBACK PLAN
(Continued)

Responsibility for Information Analysis and Synthesis	Methods/ Responsibility for Reporting to Decision-maker	Methods/ Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
					ERDA	Other
Feedback Officer Market Factors Officer	Workshops or personal contact with representatives of energy decision-makers on barriers to using alternative energy sources. Methods to track follow-up procedures will be developed. A log-in, log-out chart will be used with expected response dates flagged.	Personal correspondence from WEES Director.	Coordinating of program by Feedback and Market Factors Officer under the overall direction of the Director and Program Coordinator. Requisite secretarial support and cooperation of Regional Directors, field personnel and para-professionals.	Personnel	14,211	
				Other	1,800	
				TOTAL	16,011	

MARKET FACTORS FEEDBACK PLAN

Methods/ Responsibility for Reporting to Decision Maker	Methods/ Responsibility for Responding to Target Audience	Staffing Requirements	Budget EES Grant	Other
EES director; Method and approach maybe formal and/or informal depending on nature of barrier and actors involved	Depends on barrier identified and the nature of the resolution/could be through EES director or directly from "decision maker"	SEE PAGE III-8		

Management Feedback System
Cooperative Extension Service

Selected Target Audience	Selected Program Service Delivery Mechanisms, Techniques	Possible Topics of Market Factors/Feedback	Within-State Energy Decision Makers	Methods/ Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis
Individual and Family Out- reach/CES	Outreach: Hot line/ Personal contact	Insulation stds and safeguards	PUCA	CES/energy Assoc. hotline/personal contact	QC/EES Analyze and Synthesize feedback;
		Insulation installation consumer safeguards, e.g. licensing	Législature	CES/Energy Assoc. seminars & group meetings	Diagnose MFF from feedback internal to EES
	Outreach: seminars and group meetings	Loan availability at BMIR	Dept of Public Works & Board of Mater- ials Review	EES/OPM caseworker referral from Energy Assoc.	Director EES final decision/ including approach and timing
		Availability of Product	Real Estate Assn.	QC/EES/OPM Survey of Target Aud. & of Genral Public, Gov't and Servicing Organizations	
		Public lack of Information regarding consumer protection	Banks		
		Building Code	Local Building Officials		
		Rate Structure: Utilities	Trade Organ.		
			Office of Policy and Management		

MARKET FACTORS FEEDBACK PLAN

Methods/
Responsibility
for Reporting
to
Decision Maker

Methods/
Responsibility
for
Responding to
Target Audience

Staffing
Requirements

Budget

EES Grant

Other

EES director.

Method and approach
maybe formal and/or
informal depending
on nature of barrier
and actors
involved

Depends on barrier
identified and
the nature of the
resolution/could
be through EES
director or directly
from "decision
maker

SEE PAGE III-8

STAFFING AND BUDGET

1. 5% of three (3) program managers time to be spent in the "Management Committee;" 5% of program director
2. 40% of the Quality Control Units time
(One Senior Planning Analyst and One Planning Analyst II)
3. Total Budget for Market Factors Feedback is \$20,000

note: If a breakout between the two target groups is necessary, in our judgement the time will be evenly distributed; 50% - 50%.

MARKET FACTORS FEEDBACK PLAN

MICHIGAN

Market Factors Feedback Coordinator: Bill Stevens

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decision-Makers	Methods/Responsibility For Collecting Information	Responsibility For Information Analysis and Synthesis
Region IV Single family residents with children in high school.	Following school assembly during follow-up session with parents and children at the residence or by phone as identified in the Region IV Program Service and Technical Report section.	Shortages and difficulties surrounding the acquisition of wood and wood burning appliances.	State Dept. of Commerce Chairpersons of Joint House-Senate Energy Committee President of the State Chamber of Commerce	At the time of follow-up "active listening" by Cooperative Extension staff.	EES Evaluator
Region V Single family residences with children in high school.	Following training of teen leaders during regular teen leader meetings. One meeting per month will be scheduled for market factors feedback.	Shortages and difficulties surrounding the acquisition of coal and coal burning furnaces.	State Dept. of Commerce Chairpersons of Joint House-Senate Energy Committee President of the State Chamber of Commerce State Energy Administration (through legislative liason)	At the time of teen leader meetings by active listening by Cooperative Extension staff.	EES Evaluator

Methods/ Responsibility For Reporting To Decision-Makers	Methods/ Responsibility For Responding To Target Audience	Staffing Requirements	Budget		
Personal letter from state EES program director.	State EES youth project newsletter by Clearinghouse staff.	2½ percent of EES Evaluator's time. 2½ percent of Cooperative Extension Service staff time. Total over 56 weeks: 224 hours		EES Grant	Other
			Personnel	1,400	-
			Other	-	-
			Total	1,400	-
Personal letter from state EES program director.	State EES youth project newsletter by Clearinghouse staff.	5 percent of EES Evaluator's time. 5 percent of Cooperative Extension Service staff time. Total over 56 weeks: 224 hours		EES Grant	Other
			Personnel	1,400	-
			Other	-	-
			Total	1,400	-

Market Factors Feedback Coordinator: W. G. MAYHON 505-827-2386

Selected Target Audience	Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget ERDA Other
Random sampling of 10% of participants in mobile home workshops	Specific weatherization techniques and energy conservation measures for mobile home dwellers. Major and minor building retrofit applications. No cost and low-cost adoptions. Delivery of service will be through a series of 50 3-hour workshops to an average audience of 50. These will be carried out by staff of the UNM Energy Institute under contract to EES.	Installation problems Supply problems Lack of interest Incentive Finances Not worth spending that much time on. Waiting on better or easier way	Construction Industries Commission County & city commission Bankers Association ERD	Feedback directly, during workshop from audience. Later feedback unsolicited Feedback solicited by phone and mailed questionnaire through random sampling to ten percent	State EES Director State EES Residential Specialist	Personal letter from, or personal interview requested by State EES Director	Personal letter or phone call from EES office to those of the sample group who encountered problems	20% of residential specialist's time for 8 months to collect MFF data, compile it, and prepare a report. 20% of workshop leaders' time for 6 months to collect data 2 months time of EES Director contacting energy decisionmakers.	Personnel Other Total \$10,235

MARKET FACTORS FEEDBACK PLANMarket Factors Feedback Coordinator: Gary A. Shute

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
									Personnel	ERDA	Other
Local governments Small businesses	Provide face-to-face interaction and information on energy conservation techniques and technologies and disseminate information identified in the geographic intensive module PennTAP and the Cooperative Extension Service will employ all appropriate energy techniques and technologies	Prohibitive conversion costs to alternative fuel sources Lengthy decision making processes Prohibitive cost of financing	Small Business Association State financial Institutions Consumer Advocate's office Governor's Energy Council	Active listening EES field staff interaction with local officials and small businessmen	Environmental Policy Center	Letters and personal contact by Environmental Policy Center staff and Executive Director of the Governor's Energy Council	Environmental Policy Center and EES staff by personal contact, letters, workshops	3 percent of field staff person 10 percent of MFF coordinator			
									Total	\$2,427.99*	
									* \$250.09 is included in Exhibit 1 budget.		

MARKET FACTORS FEEDBACK PLAN

Department of Community Affairs
Statewide Program

Market Factors Feedback Coordinator: Gary A. Shute

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget			
										ERDA	Other	
2600 local governments throughout the state with emphasis on 531 local governments which have populations over 5,000 and small businesses as appropriate	Workshops & training sessions by DCA and Co-op Ext. PennTAP on energy conservation in the local government sector	Lack of awareness of local officials Lack of technical knowledge Immediate energy savings not apparent Impeditive building codes Employee resistance Municipal codes	Public Utility Commission Consumer Advocates office Department of Government Services Governor's Energy Council	Survey persons attending workshops and training sessions Personal interaction between EES staff and workshop and training session participants	Environmental Policy Center	Individual contact and letters by Environmental Policy Center and Executive Director of the Governor's Energy Council	Individual contact Environmental Policy Center & local EES staff personal contact, letters, and workshops	3% of field staff person 10% of State MFF Coordinator	Personnel	21	9.90	600*
									Other			
									Total	21	9.90	600*
									* State funds			

MARKET FACTORS FEEDBACK PLAN

Market Factors Feedback Coordinator: Gary A. Shute

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/ Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/ Responsibility for Reporting to Decisionmaker	Methods/ Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
									Personnel	ERDA	Other
Eight hos- pitals in Allegheny County and six hospitals in Erie County	Technical hardware improvements through consultant seminars, engin- eering teams and information news- letters pertaining to energy audits and technical and economic analyses	Medical staff resentment or indifference Existence of weak capital markets Community and government inter- ference in spending decisions	American Hospital Association Association of Hospital Adminis- trators Association of Hospital Engineers Governor's Energy Council Other local government target audiences	Hospital Council of Western Pennsylvania and Energy Conser- vation Committee interaction with hospitals	Environmental Policy Center	Letters and personal contact by Environmental Policy Center staff and Executive Director of the Governor's Energy Council	Environmental Policy Center and local EES staff personal contact, letters, workshops	3 percent of EES field staff person 10 percent of state HFF coordinator			
									Total	\$2,437.20	
										\$2,437.20	
									* \$267.30 is included in Exhibit 1 budget.		

MARKET FACTORS FEEDBACK PLAN

Market Factors Feedback Coordinator: Gary A. Shute

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/ Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/ Responsibility for Reporting to Decisionmaker	Methods/ Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
										ERDA	Other
Berks County public officials (See Exhibit 1, column 1)	Training & technical assis- tance, energy technology identification and info sharing by EES staff in energy conserva- tion techniques	Immediate energy savings not appar- ent Unable to secure financing for con- servation purposes.	State financial Institutions Consumer advocates offices Public Utility Commission Department of Education Governor's Energy Council	Personal inter- action between EES field staff and local public officials	Environmental Policy Center	Letters and per- sonal contact by Environmental Policy Center staff and Executive Director of the Governor's Energy Council	Environmental Policy Center & local EES staff personal contact, letters, workshops	3% of field staff person 10% of state HFF coordinator	Personnel	\$2,388.44	*
									Other		
									Total	\$2,388.44	*
										* \$100.54 is included in Exhibit 1 budget.	

MARKET FACTORS FEEDBACK PLAN

Market Factors Feedback Coordinator: Gary A. Shute

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
									Personnel	ERDA	Other
Governing Body & Staff of McKeesport Housing Authority	Workshops, counseling & training sessions by EES staff in general conservation techniques	Prohibitive front end costs of retrofitting Delayed return on investment Difficulty in getting tenant cooperation Financial and institutional impediments to the elimination of master metering	Pennsylvania Housing Finance Agency Public Utility Commission Governor's Energy Council	Personal interaction between EES field staff and local housing authority personnel	Environmental Policy Center	Letters and personal contact by Environmental Policy Center staff and Executive Director of the Governor's Energy Council	Environmental Policy Center and local EES staff by personal contacts, letters, workshops	3% of Field Staff Person 10% of state HFF coordinator			
									* \$105.50 is included in Exhibit 1 budget.		

MARKET FACTORS FEEDBACK PLAN

Market Factors Feedback Coordinator: Gary A. Shute

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
										ERDA	Other
McKeesport Housing Authority tenants	Workshops and organization of tenants by EES staff on what tenants can do to conserve energy	Personal inability to pay for conservation efforts (e.g., master metering).	Pennsylvania Housing Finance Agency Public Utility Commission Governor's Energy Council	Personal contact by EES field agent with tenants	Environmental Policy Center	Letters and personal contact by Environmental Policy Center staff and Executive Director of the Governor's Energy Council	Environmental Policy Center and local EES staff by personal contact, letters, workshops	3 percent of field staff person 10 percent of state MFF coordinator	Personnel	\$2,222.65	*
									Other		
									Total	\$2,222.65	
									* \$52.75 is included in Exhibit 1 Budget		

MARKET FACTORS FEEDBACK PLAN

Market Factors Feedback Coordinator: Gary A. Shute

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
									Personnel	ERDA	Other
Centre Region Council of Governments	Workshops and on-site consultation by EES staff on energy efficient practices and procedures	"It costs too much to build energy-efficient buildings." "Since we must accept lowest bids on new construction, conservation techniques are difficult to implement."	Lending Institutions State franchise tax board Pennsylvania Housing Finance Agency Governor's Energy Council	Listening by EES staff Attending meetings EES field staff interaction with council members	Environmental Policy Center	Letters and personal contact by Environmental Policy Center staff and Executive Director of the Governor's Energy Council	Environmental Policy Center and local EES staff by personal contact, letters, workshops	3 percent of field staff person 10% of State HFF Coordinator			
									Total	\$2412.15	
									* \$272.25 is included in Exhibit 1 Budget		

Department of Community Affairs
Carlisle
(Geographic Intensive)

Gary A. Shute

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/ Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/ Responsibility for Reporting to Decisionmaker	Methods/ Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
									Budget	FYDA	Other
Carlisle Borough Officials and Carlisle School District Officials	Technical assistance & training by EES staff providing general and technical info on energy conservation technologies and alternative energy techniques.	Prohibitive front-end costs of energy conservation techniques and technologies Municipal codes	Public Utility Commission Consumer Advocates office Governor's Energy Council Department of Education	Personal contact and letters Survey of local officials and employees	Environmental Policy Center	Letters and personal contact by Environmental Policy Center staff and Executive Director of the Governor's Energy Council	Individual contact Environmental Policy Center & local EES staff personnel contact, letters workshops	3% of field staff person 10% of state HFF coordinator	Personnel	2,149.90	200*
									Other		
									Total	2,149.90	200*
									* State funds		

MARKET FACTORS FEEDBACK PLAN

Geographic Intensive Study
Lehigh-Northampton Counties.
(Lehigh University)

Market Factors Feedback Coordinator: Gary A. Shute

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
									Personnel	SWDA	Other
Two County Governments: Northampton and Lehigh Counties Three Cities: Allentown, Bethlehem and Easton 31 Townships: Northampton and Lehigh Counties 27 Boroughs: Northampton and Lehigh Counties	Promotion of appropriate energy techniques & technologies among local officials by EES staff	Costs of converting to more energy efficient technologies are too high. Savings to be gained from this change are uncertain	State lending Institutions State Department of Commerce Governor's Energy Council	Personal contact by EES staff during energy needs assessment.	Environmental Policy Center	Letter and personal contact by Environmental Policy Center and Executive Director of the Governor's Energy Council	Environmental Policy Center & local EES staff by personal contact, letters, workshops	3% of field staff person. 10% of State HFF Coordinator	Personnel	2490.53*	
									Other		
									Total	2490.53*	
* \$320.63 is included in Exhibit 1 Budget.											

TENNESSEE

EXHIBIT 3

MARKET FACTORS FEEDBACK PLAN

The implementation plan for the market factors feedback concept requires both active solicitation of unresolved issues and an explicit open-door policy for dealing with such issues. Mechanisms are included in the plan to insure that members of the target audience affected by conservation inhibiting market factors are informed of alternatives or solutions which will encourage an energy conservation ethic. Exhibit 3 illustrates several market factors feedback issues appropriate for the urban residential and the small business and industry target audiences.

MARKET FACTORS FEEDBACK PLAN

Market Factors Feedback Coordinator: Robert E. Webber

Selected Target Audience	Selected Program Services, Delivery Mechanisms, and Techniques/Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decision makers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decision makers	Methods/Responsibility for Responding to Target Audience	Staffing
Urban residents living in single family or multiple unit structures in the three TEES counties	Residential energy consumer oriented workshops	Initial versus life-cycle costing of appliances	Retail trade organizations	Telephone interviews conducted at beginning, middle and end of TEES project by the Evaluation Branch	Evaluation and Analysis Branch (Robert E. Webber)	Personal correspondence from Evaluation Branch and/or Assistant Director for Technical Support	Workshops conducted by outreach agents	7 percent of Evaluation Specialist's time
	Personal contact with community leaders	Identification of reliable contractors	Better Business Bureaus	Workshops with home-owners and rental unit occupants by the workshop leaders		Personal interview by Evaluation Branch and/or outreach agent	News releases by Assistant Director for Technical Support	5 percent of TEC outreach 1½ FTE agent's time in Nashville/Paris
	Home energy audits in Kingsport	Availability of home energy conservation loans	Chambers of Commerce	Interviews with leaders of existing community organizations by outreach coordinators		Monthly Bulletin by Assistant Director for Technical Support	Monthly bulletin by Assistant Director for Technical Support	5 percent of TEC outreach ½ FTE agent's time in Kingsport
		Impact of insurance policies on energy conservation decisions, e.g. car pooling, space heating modifications	Insurance organizations	Home energy audits in Kingsport by auditor		News releases by Assistant Director for Technical Support	Personal contact or correspondence by outreach agent	3 percent of Assistant Director for Technical Support's time
		Effect of weatherization on resale value of homes and rentability of apartments, etc	Mortgage, loan and realty groups. (This decision-making group represents a TEES outreach project)	Energy hotline				
						Personnel	EES Grant	Other
							\$3,488	0
						Other	0	0
						Total	\$3,488	0

MARKET FACTORS FEEDBACK PLAN

Market Factors Feedback Coordinator: Robert E. Webber

Selected Target Audience	Selected Program Services, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decision makers	Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decision makers	Methods/Responsibility for Responding to Target Audience	Staffing
<p>All small industries (less than 250 employees) in the three TEES counties: 745 industries in Davidson County; 101 in Sullivan County; and 34 in Henry County.</p> <p>This audience does not include commercial, retail, and wholesale business establishments.</p>	<p>Industry oriented workshops</p> <p>Personal visits with clients to provide technical advice and assistance with economic analyses</p> <p>Custom designed energy audits of industries</p>	<p>Local accessibility of specific equipment required to implement energy conservation opportunities (ECOs). For example:</p> <p>(1) parts for antiquated machinery;</p> <p>(2) special equipment--flue gas monitoring units;</p> <p>(3) modification attachments--time-of-day adjustable thermostats.</p> <p>Identification of reliable contractors</p> <p>Availability of loans to implement ECOs</p>	<p>Industrial and commercial trade organizations</p> <p>Better Business Bureaus</p> <p>Chambers of Commerce</p> <p>Mortgage and loan groups. (This decision-making group represents a TEES outreach project)</p> <p>State legislative committees.</p> <p>Union officials</p> <p>Utility company</p>	<p>Energy Use Survey of Business and Industry administered at beginning, middle and end of TEES project by the Evaluation Branch</p> <p>Workshop Evaluation questionnaires administered during workshops by workshop leader</p> <p>Workshop follow-up evaluation questionnaire administered to workshop participants approximately 4-6 months after workshop by Evaluation Branch</p>	<p>Evaluation and Analysis Branch (Robert E. Webber)</p>	<p>Personal correspondence from Evaluation Branch and/or Assistant Director for Technical Support</p> <p>Personal interview by Evaluation Branch and/or outreach agent</p> <p>Monthly bulletin by Assistant Director for Technical Support</p> <p>Articles to local trade publications by Evaluation Branch and/or Assistant Director for Technical Support</p>	<p>Personal contact and correspondence by outreach agent</p> <p>Workshops conducted by outreach agent</p> <p>News releases by Assistant Director for Technical Support</p> <p>Monthly Bulletin by Assistant Director for Technical Support</p>	<p>7 percent of Evaluation Specialist's time</p> <p>5 percent of outreach agent's time in Davidson County</p> <p>5 percent of outreach agent's time in Sullivan and Henry Counties</p> <p>3 percent of Assistant Director for Technical Support's time</p>

Cont. . . .

MARKET FACTORS FEEDBACK PLAN

Market Factors Feedback Coordinator: Robert E. Webber

Selected Target Audience	Selected Program Services, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decision Makers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decision Makers	Methods/Responsibility for Responding to Target Audience	Staffing
		ECO conflicts with legal restrictions, safety standards, union activities Utility rate structure		Energy audit survey completed during audit by person conducting audit Energy audit followup questionnaire (or telephone interview) approximately 6-10 months after audit by Evaluation Branch or energy auditor Point-of-contact forms completed by outreach agent following each significant contact with members of the target audience		Interviews and visits with bank officials by outreach agents. (This reporting method is included as an outreach activity on page 2-18 of the Implementation Plan, December 1977. Seminars with public officials. (This reporting method is included as an outreach activity on page 2-15 of the Implementation Plan, December 1977).		

	EES Grant	Other
Personnel	\$11,356	
Other	0	
Total	\$11,356	

Geographic Intensive Study
Southern Alleghenies Region
(Cooperative Extension Service)

MARKET FACTORS FEEDBACK FORM

Market Factors Feedback Coordinator: Gary A. Shute

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
									Personnel	ERDA	Other
All units of local government within Southern Alleghenies Region including counties, cities, townships and boroughs	General information on the energy situation, energy needs assessment, information sharing and resource identification, delivered by EES staff. Technical information on energy conservation techniques and technologies and alternative energy technologies, delivered by EES staff.	Need financial incentives Need front money Not our responsibility Technology uncertain	State municipal associations Pennsylvania Rural Electric Association Public Utility Commission State lending institutions Governor's Energy Council	Newsletter response card Workshop feedback Active listening during municipal counseling sessions Comments from Cooperative Extension Service staff and members (County Program Planning Committee)	Environmental Policy Center	Letter and personal contact by Environmental Policy Center staff and Executive Director of the Governor's Energy Council	Environmental Policy Center and local EES staff by personal contact, letters, workshops	3 percent of field staff person 10% of State HFF Coordinator	Personnel	2014.90	
									Other		
									Total	2014.90	
* \$675.00 is included in Exhibit 1 Budget											

MARKET FACTORS FEEDBACK PLAN

FINANCIAL INSTITUTIONS

Market Factors Feedback Coordinator: FRANK BUFFA¹

Selected Target Audience	Selected Program Service Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decision Makers	Methods/Responsibilities for Collection Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibilities for Reporting to Decision Makers	Methods/Responsibilities for Responding to Target Audience	Staffing Requirements	Budget ²		
<p>A sample of the 317 officers of the Savings and Loan Associations attending workshops and/or receiving newsletters</p> <p>A sample of loan officers of banks in Texas</p>	Delivery Mechanisms										
	Regional workshops conducted in Texas towns and major metropolitan areas	Institutional barriers to financing energy conserving features either in new construction or as retrofits	State financial regulating agencies	Included as part of workshops by Texas EES Financial Institutions staff	Texas EES Financial Institutions project professional staff	Summaries of results in newsletter format from the Center for Energy and Mineral Resources (CEMR coordination) and possible inclusion in Industrial newsletters and magazines	Summaries in newsletter format from Center for Energy and Mineral Resources and possible inclusion in Savings and Loan Association publications	80% of each professional staff person's time	Personnel	EES Grant	Others
	Newsletters distributed through various organizations including the Center for Energy and Mineral Resources and state financial/banking associations	Cost-effectiveness of various energy features for the Texas climate	Bankers' state associations	Follow-up sample of financial institutions' members attending workshops and/or receiving newsletters by project staff will be contacted to complete feedback summary				80% of graduate assistant's time	Other		
	Techniques & Technologies	Perceptions of risk of loan default related to use of energy conservation features in homes or businesses	Home builders' associations								
	Energy conserving retrofits for homes and small businesses	Favorable, incentives to financial institutions for providing funds to finance purchases of energy saving features	State savings and loan associations								
	Energy conserving features for new home and business construction	Degree to which institutions have adopted the above	Utility companies								
	Effects upon financing risks and repayments resulting from nonuse of energy features		Legislative committees dealing with financial institutions								
	Cost effectiveness of energy features used in Texas (Continued next page)										
									Total	4,100	1,050

¹Information from this program will be given to Judy Holm. Texas Energy Extension Service, for analysis.

²Total budget for Texas Energy Extension Service Market Factors feedback includes \$24,416 for unallocated technical support.

MARKET FACTORS FEEDBACK PLAN

FINANCIAL INSTITUTIONS (Continued)

Market Factors Feedback Coordinator: FRANK BUFFA

Selected Target Audience	Selected Program, Service Delivery Methods and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decision Makers	Methods/Responsibilities for Collection Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibilities for Reporting to Decision Makers	Methods/Responsibilities for Responding to Target Audience	Staffing Requirements	Budget	
	Techniques & Technologies								FES Grant	Others
	Sources of information on energy features									

Rev. 12/77

Exhibit 3-62

MARKET FACTORS FEEDBACK PLAN

HOSPITALS

Market Factors Feedback Coordinator: WILLIAM A. HYMAN¹

Selected Target Audience	Selected Program Service Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decision Makers	Methods/Responsibilities for Collection Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibilities for Reporting to Decision Makers	Methods/Responsibilities for Responding to Target Audience	Staffing Requirements	Budget ²		
										EES Grant	Others
The 72 hospitals of the Greater Houston Hospital Council	On-site and workshop training on energy management and energy conservation technology using Texas EES staff (Texas A&M University)	<p>Priorities, resources and outside approvals for capital expenditures</p> <p>Effects of third party provider agreements</p> <p>Uncertainties about conservation methods</p> <p>Uncertainties about future regulatory action</p>	<p>State Energy Office</p> <p>Railroad Commission</p> <p>State Health Department</p>	Included as part of workshops for selected hospital administrators and state health officers led by Texas EES personnel (Texas A&M University)	Texas EES hospital project staff (Texas A&M University)	Personal letters	<p>Personal letters to workshop participants and other hospital administrators and healthcare officials</p> <p>Possible summary articles in Hospital Council newsletters</p>	5% of Texas EES Hospital project staff	Personnel	1,073	153
									Other	411	
									Total	1,484	153

¹Information from this program will be given to Judy Holm, Texas Energy Extension Service, for analysis.

²Total budget for Texas Energy Extension Service Market Factors Feedback includes \$24,416 for unallocated technical support.

MARKET FACTORS FEEDBACK PLAN

WASHINGTON

Market Factors Feedback Coordinator: Results Sharing and Evaluation Specialist.

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
									ERDA	Other	
Residential and Small Business Audit and weatherization programs in South East District of Spokane (2000 Res., 340 Homeowners, 60 Small Businesses)	Residential and Small Business by Trained Audits, Bldg. Structure Heat Loss/Gain Bldg. Equipment Efficiency use characteristics Res. by workshop and on-site counseling on weatherization.	Financial investment non-availability of installation of technological energy-conserving devices. Product unavailability or unsuitability. City or neighborhood legal restrictions or application of energy conserving or conversion devices.	Parent bank of Branch banks (Policy Makers) Insulation manufacturers/distributors Governing group neighborhood/covenants, local codes, state laws.	Collected during audit by trained auditors. Supplemented by requesting information in group discussions by group Leaders. Listening to participants during audits, workshops and on-site counseling. Collected by Spokane Program Personnel, analyzed and reports by evaluation and results sharing specialist.	Results sharing and evaluation specialist. (Assisted by state-level finance program leader)	Telephone calls to get organization input to stated problem by eval. and R.S. Spec. Analysis of reality of problem by eval. and R.S. Spec. Letter to organization relating dimensions of concern from State Energy Office Director.	Information of ficer news release by mailed form by eval. and R.S. Spec. Letter to identified concerned persons by eval. and R.S. Spec. and Program Director.	10% Auditors time. 10% R.S. and Eval. Spec. time. (1/5 time) 1% Program Director time. 3% Information Officer time. 5% Secretary time. 10% EES Agent time. 10% Each Program Leaders time.	Personnel (17,117)		
									Other (4,929)		
									Total (22,046)		Included in management, information office, EES agents, R.S. and evaluation specialists and program budgets.

MARKET FACTORS FEEDBACK PLAN

Local Government

WISCONSIN

Market Factors Feedback Coordinator: Laverne Forest

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
									Personnel	ERDA	Other
Local government officials	Assistance in retrofit of municipal building to serve as energy demonstration center	Difficulties in securing financing	Financial Institutions	Follow up interviews with selected officials	Parsons and Project staff UW-Milwaukee Dept. of Architecture	How • quarterly reports • direct contacts	How Part of final project report circulated state wide	Parsons 5% Forest 3% Bernhagen 2%	Personnel	3,645	
		Skepticism about value of demonstration Reluctance to take leadership role in conservation lack of public support technical problems	State legislature State agencies Federal officials Equipment and supply sources Architectural firms	How • observation and logging during initial site investigation • interviews with selected officials during and after retrofits Who Parsons Forest	EES Program Evaluator-Forest	• letters • phone • advisory committee Who Bernhagen Parsons Schada	Personal contact Who Bernhagen Parsons Gooch	Total	3,745		

MARKET FACTORS FEEDBACK PLAN

Low Income Residences

Market Factors Feedback Coordinator: Laverne Forest

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget
Low to moderate income residents of the Harambee neighborhood of Inner City Milwaukee	program staff, black leaders, and community groups will use outreach, counseling, training, and demonstrations of home weatherization techniques	<ul style="list-style-type: none"> communication gaps delivery economic cost of materials financing difference in renter-landlord responsibilities lack of power incongruence of cost and market value of house short range life styles personal uncertainties lack of skills lack of materials & labor lack of understanding and trust Lack of cooperation between participating agencies 	<ul style="list-style-type: none"> area utility companies service and retail firms serving area Milwaukee Building Inspection Dept. Mortgage and lending institutions First Wisc. Milwaukee legislators City Planning County Housing Authority County Welfare Dept. Social Development Commission local foundations United Way 	<ul style="list-style-type: none"> Interviews & observations during counseling, training, and delivery sessions follow up personal contacts staff conferences Indepth Interviews of staff and other people involved in program 	Thuot Folkman Forest	<p>How</p> <ul style="list-style-type: none"> direct contact letters newsletters quarterly reports and other publications via Advisory committee via existing memberships on council and groups possible policymaking conference <p>Who</p> <p>Bernhagen Thuot Gear</p>	<p>How</p> <ul style="list-style-type: none"> neighborhood meetings newspaper radio direct personal contacts demonstration site <p>Who</p> <p>Bernhagen Thuot Gear Paulson</p> <p>Decisionmakers to communicate via their actions taken</p>	<p>Staffing Requirements</p> <p>Thuot 2%</p> <p>Folkman 3%</p> <p>Forest 3%</p> <p>Bernhagen 2%</p>	<p>Budget</p> <p>Personnel \$3,264</p> <p>Other</p> <p>Total \$3,264</p>

MARKET FACTORS FEEDBACK PLAN

Ag Transport

Market Factors Feedback Coordinator: Laverne Forest

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
									ERDA	0:	
7 SW county farmers and 700 firms involved in the transportation and storage of food and agricultural products	EES staff will provide individual counseling and training on energy conservation techniques and methods of reducing energy use through more efficient transportation, storage, and maintenance procedures	State energy administrative rules governing transport of ag products Legislation governing transportation modes and methods of ag product transport New equipment necessary for multi-purpose hauling lack of adequate communication lack of knowledge of possibilities Negative attitude and apathy	<ul style="list-style-type: none"> Wis Public Service Commission Dept. of Natural Resources Dept. of Agriculture Dept. of Transportation legislature Agriculture supply and processing firms Trucking Industry representation private 	Methods <ul style="list-style-type: none"> interviews group meetings initial survey follow up questionnaire Who Vilstrup and staff Eldridge Anderson	Vilstrup, Forest Anderson Eldridge	How <ul style="list-style-type: none"> testimony at administrative hearings via Advisory Council direct consultation with decisionmakers by team leader testimony at legislative hearings media Who Vilstrup Bernhagen Anderson Mauer	How <ul style="list-style-type: none"> direct consultation printed material newsletter personal contacts mass media Who Vilstrup Bernhagen Anderson Eldridge Local Extension agents	Vilstrup -- Forest 3% Bernhagen 2% Eldridge 2% Anderson 5%	Personnel	4,335	
									Other		
									Total	\$4,335	

MARKET FACTORS FEEDBACK PLAN

Audit Coordination

Market Factors Feedback Coordinator: Laverne Forest

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
									ERDA	Other	Total
<ul style="list-style-type: none">• builders• regulators• auditors• realtors• Community Action Agencies• lenders• Extension staff	<p>UW-EX Engineering will train and counsel indirect energy use groups such as:</p> <ul style="list-style-type: none">• lending institutions• utility company auditors• social agencies <p>VTAE will train weatherization installers through workshops and counseling building trades people</p>	<p><u>At auditing level</u></p> <ul style="list-style-type: none">• lack of interest by homeowners• lack of economic incentive• contradictory information• lack of training <p><u>At homeowner level</u></p> <ul style="list-style-type: none">• codes and regulations• lack of supplies & equipment• lack of economic incentive• inability to see benefit	<ul style="list-style-type: none">• lending institutions• building trades association• utility companies• legislators	<p>Questionnaire and observation at training sessions - Smith</p> <p>Followup sample surveys - Forest</p>	<p>Project Coordinator - Smith</p> <p>Project Evaluator - Forest</p>	<ul style="list-style-type: none">• via Advisory committees-Smith• newsletters-Gooch• quarterly reports-• discussion at workshops-Smith• direct participation in regulatory commissions-Smith• VTAE via contacts with trade groups and builders	<ul style="list-style-type: none">• workshops-Smith• newsletters to participants-Smith, Gooch, Bernhagen• VTAE	<p>Smith 5%</p> <p>Forest 3%</p> <p>Bernhagen 2%</p>	<p>Personnel \$3,135</p> <p>Other</p> <p>Total \$3,135</p>		

MARKET FACTORS FEEDBACK PLAN
Conservation in Hospitality Industry

Market Factors Feedback Coordinator: Laverne Forest

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
									ERDA	Other	
approximately 20 hospitality businesses in a state of seclusion including: restaurants taverns hotels resorts	EES program staff & sub-contractors will counsel and train hospitality industry operators in conservation techniques at their place of business in: • energy saving • audits • cost-benefit analysis • new systems	• non-acceptance by clients • codes and regulations • technical problems • lack of supplies • habits and traditions • apathy and poor motivation • attitude toward education	• equipment manufacturers • government regulatory agencies • trade associations • Federal, state legislators • Construction representative • Retailers and supply outlets • utilities	• Follow up surveys of participants • questionnaires and discussions at work-shops • discussions at Advisory Committee meetings • observation during counseling by EES staff & subcontractors • review of personal correspondence (phone, mail)	EES Program Evaluator- Forest Somersan Sadowske	How • direct consultation & participation on regulatory bodies • direct consultation with trade associations • mass media • via Advisory Committee meetings • letters, phone • newsletters • quarterly reports Who Somersan Schink Bernhagen Gooch	• prepare tabulated feedback for distribution to target group • Individual followup consultation • trade journals • organizational meetings • newsletter • news stories Who Somersan Sadowske	Somersan 5% Forest 3% Bernhagen 2%	Personnel	3,555	
									Other		
									Total	\$3,555	

MARKET FACTORS FEEDBACK PLAN

Local Government

Market Factors Feedback Coordinators: Laverne Forest

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decisionmakers	Methods/Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis	Methods/Responsibility for Reporting to Decisionmaker	Methods/Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
									ERCA	Other	Total
Local government officials	Assistance in retrofit of municipal building to serve as energy demonstration center	<p>Difficulties in securing financing</p> <p><u>Skepticism</u> about value of demonstration</p> <p><u>Reluctance</u> to take leadership role in conservation</p> <p>lack of public support</p> <p>technical problems</p>	<p>Financial Institutions</p> <p>State legislature</p> <p>State agencies</p> <p>Federal officials</p> <p>Equipment and supply sources</p> <p>Architectural firms</p>	<p>Follow up interviews with selected officials</p> <p><u>How</u></p> <ul style="list-style-type: none"> • observation and logging during initial site investigation • interviews with selected officials during and after retrofits <p><u>Who</u></p> <p>Parsons Forest</p>	<p>Parsons and Project staff</p> <p>UW-Milwaukee Dept. of Architecture</p> <p>EES Program Evaluator - Forest</p>	<p><u>How</u></p> <ul style="list-style-type: none"> • quarterly reports • direct contacts • letters • phone • advisory committee <p><u>Who</u></p> <p>Bernhagen Parsons Schade</p>	<p><u>How</u></p> <p>Part of final project report circulated state wide</p> <p>Personal contact</p> <p><u>Who</u></p> <p>Bernhagen Parsons Gooch</p>	<p>Parsons 5%</p> <p>Forest 3%</p> <p>Bernhagen 2%</p>	Personnel	3,645	
									Other	100	
									Total	3,745	

WYOMING

MARKET FACTORS FEEDBACK PLAN

Market Factors Feedback Coordinator: _____

Selected Target Audience	Selected Program Service, Delivery Mechanisms, Techniques and Technologies	Possible Topics of Market Factors Feedback	Within-State Energy Decision-makers	Methods/ Responsibility for Collecting Information
Homeowners of single-family dwellings in seven target counties.	Feedback solicited by field personnel and paraprofessionals during personal visits. Energy techniques and technologies--weatherization and energy conservation related to water heating; energy switching to solar.	Cost competitiveness of alternative energy sources. Availability of equipment. Financing. Attitudinal factors.	State Energy Conservation Office. State Bankers Association. State Contractors Association. State Legislature.	Fixed protocol during personal visits. Collecting responsibility--field personnel and paraprofessionals.

MARKET FACTORS FEEDBACK PLAN
(Continued)

Responsibility for Information Analysis and Synthesis	Methods/ Responsibility for Reporting to Decision-maker	Methods/ Responsibility for Responding to Target Audience	Staffing Requirements	Budget		
					ERDA	Other
Feedback Officer. Market Factors Officer.	Correspondence from WEES Director (preparation by Feedback Officer and Market Factors Officer).	Personal correspondence from Director, Coordinator, and Regional Directors. Director has overall responsibility.	Coordination of program by Feedback Officer and Market Factors Officer under the overall direction of the Director and Program Coordinator. Requisite secretarial support and cooperation of Regional Directors, field personnel and para- professionals.	Personnel	14,211	
				Other	1,800	
				TOTAL	16,011	

MARKET FACTORS FEEDBACK

MARKET FACTORS FEEDBACK PLAN

Market Factors Feedback Coordinator: Allan Johnson

Selected Target Audience	Selected Program Service Delivery Mechanisms, Techniques	Possible Topics of Market Factors/Feedback	Within-State Energy Decision Makers	Methods/ Responsibility for Collecting Information	Responsibility for Information Analysis and Synthesis
Small Business/ Dept of Commerce	Walkthroughs Information Dissemination Group Meetings Call back/ follow-up Audience Initiated calls to Tech.	Availability of Product Loan Availability at EMIR Public perception of Conservation Industry Building Code Lack of Public Information regarding consumer protection Rate Structure: Utilities	PUCA Legislature Dept. of Public Works & Board of Mater- ials Review Banks Trade Organ. Office of Policy and Management	DOC Tech/ Walkthrough DOC Tech/ group meeting DOC Tech/ call back follow-up DOC Tech/ calls need assist. Caseworker/EES OPM QC/EES/OPM Survey	QC/EES Analyze and Synthesize feedback; Determine MMF from feedback internal to EES Director EES final decision/ including approach and timing

APPENDIX B

DOE/EXT PROCEDURES FOR RECORDKEEPING AND
WORKING WITH
NATIONAL ENERGY DECISIONMAKERS

OVERVIEW

This is a detailed description of the process that the DOE/EXT market factors feedback staff will use in working with national energy decisionmakers on market factors feedback received from State EESs. This description has three parts:

1. A flow diagram of 15 process tasks, from receiving the feedback to reporting definitive results back to the State EESs (page B-3).
2. A milestone schedule for performance of these tasks during the pilot program (page B-4).
3. Guidance (and accompanying forms) for performing each of the 15 tasks (pages B-5-34).

WHY DETAILED PROCEDURES?

First, DOE/EXT is responsible for analyzing and synthesizing market factors feedback from 10 State EESs into a form that will be useful to national energy decisionmakers and for working with what may be as many as 17 decisionmakers. Systematic procedures are necessary for fulfilling these responsibilities in a timely fashion.

Second, the DOE/EXT market factors feedback staff is small: one staff person supported by an independent contractor. While they will draw on a network of personnel in other DOE units to communicate the feedback to national energy decisionmakers, DOE/EXT concluded that the potential size of the task and the limited personnel required a routine to follow-- prescribed in detail so that the process is well understood. It is not expected that this guidance will be followed rigidly in all cases, but at a minimum it will serve as a checklist of items to consider in decisionmaker communication.

Third, by following documented, detailed procedures, DOE/EXT will be in a better position to determine what is required to work with national in the national EES program.

Fourth, the detailed procedures permit the State EESs to see precisely how DOE/EXT intends to work with national energy decisionmakers. Several State EESs have asked to see these procedures.

WHAT ARE THE PURPOSES?

First, the procedures enable DOE/EXT to monitor national energy decisionmaker progress in dealing with the market factors feedback. At any point in time DOE/EXT will know the status of decisionmaker deliberations and when it should follow up on progress.

Second, the procedures require that DOE/EXT maintain close and continual contact with State EESs on communication with national energy decisionmakers. DOE/EXT will contact State EESs:

- during DOE/EXT's analysis of the feedback to insure that it has a full and accurate story;
- in determining priorities--that is, what are the most important feedback issues to be communicated to decisionmakers;
- in selecting the most appropriate decisionmakers and the strategies for approaching them;
- in obtaining State EES permission to communicate the feedback;
- in obtaining additional information which energy decisionmakers need; and
- in reporting decisionmaker progress and actions on the feedback.

Third, the procedures facilitate summary reports on market factors feedback: to the State EESs, to associated states and in response to special inquiries.

Fourth, the procedures facilitate evaluation of DOE/EXT's dealings with national decisionmakers on market factors feedback.

THE HIGHLIGHTS

The 15 process tasks are concerned with:

- preparing to communicate with energy decisionmakers,
- the actual communication, including frequent follow-up with decisionmakers to learn of progress, and
- consulting with and keeping the State EESs informed.

The procedures require three sets of market factors feedback records. First, there is the decisionmaker file--one file for each market factors feedback topic (from one or more State EESs) communicated to a single national energy decisionmaker. This file will contain the complete records of DOE/EXT communications with State EESs and the energy decisionmaker on a single market factors feedback topic.

Second, there is a topic file--the feedback from the State EESs organized to permit summary analyses of the topics of market factors feedback that are received.

Third, there is an episode control card--one card for each market factors feedback topic (from one or more State EESs) communicated to energy decisionmakers (one or more). The episode control card is part of a manual sorting system, and its principal purposes are to:

- identify the appropriate decisionmaker and topic files which must be consulted,
- determine when DOE/EXT should follow up with energy decisionmakers on their progress, and

- to permit quick analyses of market factors feedback in terms of target audiences, energy-saving measures on which the feedback was received, and energy sources (e.g., solar, wood, conservation).

DOE/EXT MARKET FACTORS FEEDBACK CONTROL SYSTEM TASK FLOW DIAGRAM

TASKS	1978												1979					
	FEB	MARCH	APRIL	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MARCH	APRIL	MAY	JUNE	
1. ORGANIZE INFORMATION BY TOPIC	-			-			-			-			-		-			
2. SYNTHESIZE INFORMATION FOR EACH TOPIC	-			-			-			-			-		-			
3. DECIDE WHETHER TO PURSUE WITH DECISIONMAKERS	-			-			-			-			-		-			
4. CHECK WITH OTHER STATES RE SIMILAR INFORMATION.	-			-			-			-			-		-			
4a. REVISE SYNTHESSES AS APPROPRIATE.	-			-			-			-			-		-			
5. IDENTIFY NATIONAL ENERGY DECISIONMAKERS.	-			-			-			-			-		-			
6. FILE ONE COPY OF SYNTHESIS IN TOPIC FILE.	-			-			-			-			-		-			
7. ESTABLISH DECISIONMAKER FILE.	-			-			-			-			-		-			
8. ESTABLISH EPISODE CONTROL CARD.	-			-			-			-			-		-			
9. CONSULT WITH STATES ON PROPOSED ACTIVITY	-			-			-			-			-		-			
10. COMMUNICATE WITH ENERGY DECISIONMAKERS.	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
11. RECORD RESULTS IN DECISIONMAKER FILE AND CONTROL CARD.	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
12. OBTAIN ADDITIONAL INFORMATION FROM STATES.	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
13. REPORT INTERIM RESULTS TO STATES.	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
14. MONITOR DECISIONMAKER PROGRESS.	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
15. REPORT FINAL RESULTS TO STATES.	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	

RECEIVE MARKET FACTORS FEEDBACK FROM THE STATES.

State EESs will send market factors feedback to DOE/EXT in two forms:

- quarterly progress reports (required to include market factors feedback): January 31, April 30, July 31, October 31, 1978; January 31 and March 31, 1979;
- special events reports (optional): orally or in writing, particularly significant market factors feedback requiring immediate transmission to DOE.

DOE/EXT expects that States will report the majority of market factors feedback in their quarterly reports. The milestone schedule reflects this expectation. However, DOE/EXT will deal with all market factors feedback in special events reports when received.

State EESs will organize their market factors feedback reports by target audience, and each report will contain:

- important identifying characteristics of the target audience
- the specific locality of the target audience, if relevant ✓
- the market factors feedback raised (in relation to the specific energy techniques and technologies and in sufficient detail to give the energy decisionmaker full understanding) ✓
- the number of people raising the feedback (in relation to the total number of people in the target audience contacted during the reporting period) ✓
- the context in which the feedback was raised (e.g., a workshop, during an audit, in a follow-up survey three months after the audit, or a combination) ✓
- whether people had actually experienced the problem or barrier or just felt they would run into it
- whether the State determined the extent to which the problem or barrier actually exists
- suggested remedial action (if any) by the target audience or State ✓
- the relative priority of feedback items (if more than one) for the target audience ✓

RECEIVE MARKET FACTORS FEEDBACK FROM THE STATES. (Continued)

- the energy decisionmakers within the State to whom the market factors feedback has been or will be transmitted
- follow-up action by the State EES, and decisionmaker responses (if any).

The State Grant Provisions contain certain market factors feedback reporting requirements. Subsequent to the grant agreements, DOE/EXT has identified other reporting elements which would be helpful in dealing with national energy decisionmakers. In the list of reporting elements above, the requirements are identified by a check (✓).

DOE/EXT does not expect to receive significant market factors feedback in the quarterly progress reports due January 31, 1978. While 70 percent of the State EES programs involving market factors feedback will be in operation by January (according to the implementation plans), the rate of service activity (i.e., contact) will be low.

When DOE/EXT receives the feedback, it will follow up with telephone calls to State EESs to insure that its understanding is full and accurate.

TASK 1. ORGANIZE INFORMATION BY TOPIC.

In communicating with national energy decisionmakers, the DOE/EXT staff will report by topic: all market factors feedback on a single topic from all target audiences in all appropriate States. This first task, then, is to sort State EES market factors feedback reports by similar topics: for example,

TASK 2. SYNTHESIZE INFORMATION FOR EACH TOPIC.

For each market factors feedback topic, the DOE/EXT staff will synthesize the information received from all appropriate States. The result will be a synthesis to be communicated to the national energy decision-makers (Task 10), after consultation with the appropriate states.

Each synthesis will be organized as follows:

ISSUE

In one or two sentences, the barrier, needed incentives or other programs raised.

TARGET AUDIENCE(S)

- category (e.g., home owner, small business)
- important identifying characteristics
- specific locality (state and city)
- the number of people raising the feedback in relation to the total number of people in the target audience contacted.

BACKGROUND

- the context in which the feedback was raised (i.e., energy techniques and technologies promoted through what service delivery mechanisms)
- a description of the problem in sufficient detail to give the energy decisionmaker full understanding
- whether people had actually experienced the problem or just felt that they would run into it
- a description of any problem validation by the States
- evaluation by the State(s) of the importance of the problem.

WITHIN-STATE ACTIONS

- the energy decisionmakers within each state to whom the market factors feedback was communicated (and their responses, if any).

POSSIBLE NATIONAL ENERGY DECISIONMAKER ACTIONS

- suggested remedial action (if any was made by the States)

TASK 2. SYNTHESIZE INFORMATION FOR EACH TOPIC. (Continued)

An example of a market factors feedback synthesis is presented on pages B10-11.

As time goes on, it is likely that new market factors feedback from one State will have (1) previously been reported by another State, and (2) already been communicated by DOE/EXT to national energy decision-makers. To see if these two events have occurred, DOE/EXT will:

- consult the episode control card file, checking for similar market factors feedback type (see Task 8 for a description of how to use this file) and
- use the episode control card file (again see Task 8) to identify the energy decisionmakers to whom the information was communicated.

If the feedback has previously been reported by another State and communicated to a national energy decisionmaker, then DOE/EXT will appropriately update the synthesis and give the energy decision-makers the additional information. DOE/EXT will also advise the new reporting State (by phone or in writing), sending a copy of the appropriate market factors feedback synthesis, telling the State what action has been taken, and informing the State that it will be kept up-to-date on future developments.

TASK 2. AN EXAMPLE: MARKET FACTORS FEEDBACK SYNTHESIS

ISSUE

The shortage of insulation materials is preventing home owners from completing the weatherization of their homes. They cannot get the recommended materials and are reluctant to put themselves on waiting lists because the price of insulation materials has risen astronomically.

TARGET AUDIENCE

This problem has been expressed by home owners in Dallas, Texas; Cheyenne, Wyoming; and Albuquerque, New Mexico. The majority are of moderate income. The problem was expressed by 150 people--25 percent of those contacted concerning home weatherization techniques.

BACKGROUND

In a series of workshops which State EESs conducted with individual home owners in the above cities over January-March, 1977, the State EESs informed people about a wide variety of weatherization techniques, what they might cost, and what the energy and cost savings might be if the techniques were adopted. Several people said that they had read about the shortage of insulation materials and the price rise because of the shortage. Other people^c said that they had tried to acquire insulation materials, only to be told by the supplier that they could not get them for at least six months.

The State EESs called a sample of insulation suppliers in their states and found that:

- they cannot get sufficient supplies to keep up with demand;
- delays in meeting demand range from four to nine months;
- they give priority to home builder orders rather than those from individuals; and
- the price for insulation materials has risen 15 to 25 percent over the past six months.

These States see the problems as critical to the entire energy conservation effort. They say that people are now very "tuned in" to conservation and want to do something. When they are prevented from doing so, some question whether it is worth the headaches.

TASK 2. AN EXAMPLE: MARKET FACTORS FEEDBACK SYNTHESIS (Continued)

WITHIN-STATE ACTIONS

The EES States have presented the problems to insulation suppliers in their states, asking whether they might:

- allocate more of the scarce supplies to individual purchasers, and
- get some controls on the retail prices.

No answers have been received, but the States are monitoring decision-maker actions.

POSSIBLE NATIONAL ENERGY DECISIONMAKER ACTIONS

The EES States want the federal government to do something about the supply and cost problems, but they have no specific recommendations.

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TASK 3. DECIDE WHETHER TO PURSUE WITH DECISIONMAKERS

Once the synthesis is completed, DOE/EXT will consult with the appropriate State EESs as to what issues they would like pursued (and in what order) with national energy decisionmakers. For the issues that State EESs would like pursued, DOE/EXT will establish its priorities in communication and so advise the States.

TASK 4. CHECK WITH OTHER STATES RE SIMILAR INFORMATION.

Occasionally DOE/EXT will receive certain types of market factors feedback from some States which it would expect to receive from other States (but didn't) because of the nature of their market factors feedback activities. For example, both Pennsylvania and Wisconsin plan to collect market factors feedback as part of their program services on energy conservation to local governments. Pennsylvania reports a strong barrier to the adoption of energy conservation measures: the high cost of conversion; Wisconsin does not. It might strengthen DOE/EXT communication with national energy decision-makers to know if Wisconsin also heard the same market factors feedback.

DOE/EXT will, therefore:

- compare each market factors feedback synthesis with the planned scope of each State's market factors feedback activities (see Chapter One of the Operational Plan) to determine whether other States might be expected to report similar information, and
- if so, to contact those other States as to whether they heard similar information (sending a copy of the synthesis).

If they did not, DOE/EXT will proceed to Task 5. If they did, DOE/EXT will revise the synthesis as appropriate (Task 4a).

TASK 5. IDENTIFY POTENTIAL NATIONAL ENERGY DECISIONMAKER(S).

For each market factors feedback synthesis, DOE/EXT will identify potential appropriate national energy decisionmakers. There are three types: other organizational units of the Department of Energy, other Federal agencies, and national private organizations. The expected national energy decisionmakers and their expected interest in market factors feedback are:

The Department of Energy

- Conservation and Solar Applications (CS): all problems and barriers with respect to energy conservation and solar applications in buildings and community systems, industry and commerce, utilities, and transportation;
- Resource Applications (RA): all problems and barriers with respect to alternative fuels commercial demonstration;
- Energy Technology (ET): all problems and barriers with respect to improved conversion efficiency;
- Policy and Evaluation (PE): all problems and barriers with respect to the implementation of Department policies;
- Intergovernmental and Institutional Relations (IR): all problems and barriers which might involve discussions with educational institutions, citizen groups, trade associations, labor unions, and corporations.

Other Federal Agencies

- Department of Agriculture (USDA): all problems and barriers with respect to the use of wood as a conservation measure; energy conservation research and development concerning agricultural production, processing, marketing, and distribution; experiments and demonstrations in conversion to solar energy (agricultural processes); and improved efficiency in the movement of agricultural products;
- Department of Commerce (DOC): all problems and barriers with respect to consumer purchase of energy-efficient appliances;
- Department of Health, Education, and Welfare (HEW): all problems and barriers with respect to the adoption of life-cycle budgeting and costing in educational and health facilities; and efficient energy performance in those facilities;

TASK 5. IDENTIFY POTENTIAL NATIONAL ENERGY DECISIONMAKER(S). (Cont)

- Department of Housing and Urban Development (HUD): all problems and barriers with respect to adoption of energy conservation techniques in subsidized housing.

National Private Organizations

All problems and barriers which relate to industry standards, rules, and procedures; and information and guidance to member organizations:

- Finance Industry Associations
- Industrial Trade Associations
- Health Associations
- Labor Unions
- Insurance Associations
- Real Estate Associations
- Educational Institution Associations
- Utility Associations

DOE/EXT expects that most of its communication will be with the Office of Conservation and Solar Applications in the Department of Energy.

Procedures for approaching and working with representatives of national energy decisionmakers are discussed under Task 10.

DOE/EXT will consult with the State EESs as to the potential decision-makers it has identified.

TASK 6. FILE ONE COPY OF THE SYNTHESIS IN THE TOPIC FILE.

The purpose of the topic file is to give DOE/EXT ready access to similar market factors feedback for evaluation, response to inquiries, and preparation of various reports. The topic file has five sub-files, each for a particular category of market factors feedback:

A--Financial: Lending practices, ability to get investment capital, lack of tax incentives, cost of equipment/supply purchase, installation, and operation, effect of value of home/business, etc.

B--Attitudinal: General skepticism not related to any specific barrier.

C--Technological: Lack of knowledge or skepticism about the technology's performance, design; need for more testing and evaluation; suggested technology improvements; the availability of products and installation.

D--Laws/Regulations/Codes: Building codes, municipal codes, laws, administrative rules, contractor rules, regulations, standards, etc., which prevent adoption of techniques and technologies; industry standards for products and installation.

E--Other: any other type of feedback not readily classified under A-D.

Each sub-file will have a log sheet (see page B-18). For each market factors feedback synopsis DOE/EXT will classify it according to category, give it a number (e.g., A-1 ; C-11), log it in, and file it sequentially.

The topic file will also be used to store "inactive" synopses--that is, those which require no national-level consideration or which are lower priority.

MARKET FACTORS FEEDBACK LOG SHEET . CATEGORY _____		
Number	Market Factors Feedback Issue	Date of Syn-thesis or Revision
- 1		
- 2		
- 3		
- 4		
- 5		
- 6		
- 7		
- 8		
- 9		
-10		
-11		
-12		
-13		
-14		
-15		
-16		
-17		

TASK 7.. ESTABLISH DECISIONMAKER FILE.

A new decisionmaker file will be established for each market factors feedback synthesis to be communicated to each energy decisionmaker after consultation with the States. In other words,

- if one synthesis is communicated to only one energy decisionmaker, one file will be established; and
- if one synthesis is communicated to more than one energy decisionmaker, a file will be established for each decisionmaker.

Each file will contain running documentation of all DOE/EXT communication with the energy decisionmaker and the States with respect to the market factors feedback information:

- the monitoring sheet (to be discussed below)
- a copy of the synthesis.
- copies of all applicable State EES market factors feedback reports (see Task 1)
- copies of all correspondence with the energy decisionmaker and the State EESs.

The EES Market Factors Monitoring Sheet is used to record and trace all actions on the market factors feedback contained in the file. A blank form is presented on page B-20. An annotated form (i.e., how to fill it in) is presented on page B-21.

Each decisionmaker file will be given a number (in sequence as established)--the episode number.

At Task 7 DOE/EXT will complete only the following information: Decisionmaker Organisation, EEC State(s), Target Audience(s), and Synopsis. The remainder will be completed as Tasks 11-15..

MONITORING DECISIONMAKER FEEDBACK DELIBERATIONS	Organization/Unit		Telephone
	Individual Contact		Address/Office #
	EES State(s)	Synopsis	
	Target Audience(s)		

re-contact with States	Agreed to have market factors feedback transmitted to energy decisionmakers? ☐ yes ☐ no
Date contacted:	

MONITORING DECISIONMAKER FEEDBACK DELIBERATIONS	1st CONTACT	Summary	EES State Follow-Up
		Date of contact: _____	Monitor date: _____
	2nd CONTACT	Summary	EES State Follow-Up
		Date of contact: _____	Monitor date: _____
3rd CONTACT	Summary	EES State Follow-Up	
	Date of contact: _____	Monitor date: _____	Completed: _____

EES MARKET FACTORS FEEDBACK MONITORING SHEET

(in sequence as
Episode # files established)

EES MARKET FACTORS FEEDBACK MONITORING SHEET	Organization/Unit The national energy decisionmaker		Telephone The contact's telephone number
	Individual Contact Name of the person DOE/EXT is working with		Address/Office # The contact's address or (in DOE) office number
	EES State(s) All states identified on the synopsis	Synopsis The issue addressed: brief statement	
	Target Audience(s) All target audiences identified on the synopsis	See Task 10	
Pre-contact with States Date contacted:		Agreed to have market factors feedback transmitted to energy decisionmakers? ☐ yes ☐ no	
MONITORING DECISIONMAKER FEEDBACK DELIBERATIONS	1st CONTACT	Summary Of the DOE/EXT interaction with the energy decisionmaker: what the latter said, whether the information was useful, whether he needs more information, how the information might be used, what might be going on currently to deal with the problem or barrier. (if there is correspondence, attach)	
		EES State Follow-Up (if applicable) Obtaining additional information from the States, polling other States, and/or responding back to the States.	
		Date of contact: of contact	Monitor date: by decision-maker
2nd CONTACT	Summary Of the DOE/EXT interaction with the energy decisionmaker: follow-up re interim response on 1st contact; providing additional information from the States after 1st contact; discovering any changes by the decisionmaker, and what progress has been made.		EES State Follow-Up Same as above.
	Date of contact: of contact	Monitor date: by decision-maker	Completed: by DOE/EXT
3rd CONTACT	Summary Same as above. Repeat until definitive responses are obtained. (use additional sheets if necessary)		EES State Follow-Up Same as above.
	Date of contact: of contact	Monitor date: by decision-maker	Completed: by DOE/EXT

TASK 8. ESTABLISH EPISODE CONTROL CARD.

The episode control card has three purposes: (1) to identify decision-maker and topic files for consultation, (2) to indicate when DOE/EXT should follow up on energy decisionmaker progress with each market factors feedback issue, and (3) to be able to look at market factors feedback activity in a number of different ways: by State, target audience, energy source, technique and technology, market factors feedback type, and national energy decisionmaker. The use of an episode control card means that market factors feedback does not have to be filed according to each of these ways.

The episode control card is part of a notched-card sorting system. The tools of the system are the card itself, a file box, a paper punch, and a sorting needle (similar to a knitting needle). The card is presented on page B-25. This card contains 64 numbered bits of information.

One card will be established for each market factors feedback synopsis (regardless of the number of energy decisionmakers to whom the synopsis goes). Around the perimeter of the card, the numbers associated with the appropriate information bits will be notched (punched):

To use this notched-card sorting system, the operator simply picks up the entire deck of cards and inserts the sorting needle through the hole corresponding to the information bit desired. Once the needle is through the entire deck of cards, the operator drops his hand from the deck and lets it hang from the needle alone. The desired cards with that desired information bit will automatically drop to the table. The operator will then consult the episode number(s) on each card to go to the appropriate decisionmaker file. Additional sorts are possible by picking up the cards already selected and repeating the process above.

In this use, the operator is invited to try a variety of styles: for example, aggressive, defensive, care-free, serious, etc.

TASK 8. ESTABLISH EPISODE CONTROL CARD. (Continued)

For example:

The operator first wants to identify all market factors feedback activity connected with Michigan. He picks up the entire deck of cards and inserts the needle in hole number 3 (Michigan). He lets the deck hang from the needle, and all the cards with Michigan notched will drop to the table. He next wants to identify all Michigan market factors feedback activity dealing with the home owner (general) target audience. He picks up the Michigan stack of cards and inserts the needle in hole number 18 (home owners - general). He again lets the deck hang from the needle, and all the appropriate cards will fall to the table. The operator will then consult the episode number(s) on each of the Michigan - home owner - general cards to go to the appropriate decisionmaker file.

Once the operator is finished using the control cards, he simply returns the entire deck (in any order) to the file box.

In establishing the episode control card for each market factors feedback synthesis, the DOE/EXT staff will fill in the card in the following way:

1. It will punch the holes associated with the appropriate numbers for:
 - the EES State(s)
 - the target audience(s)
 - the energy source
 - the technique and technology category
 - the market factors feedback type
 - the national energy decisionmaker(s).
2. It will record:
 - the episode control number(s) for each energy decisionmaker to be involved
 - the market factors feedback type number for each synopsis involved (Task 6),
 - a brief statement of the issue addressed.

TASK 8. ESTABLISH EPISODE CONTROL CARD. (Continued)

All this information is available in the decisionmaker file for the synopsis (Task 7).

The remaining portions of the episode control card will be completed during Task 11.

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100
EES MARKET FACTORS FEEDBACK EPISODE CONTROL CARD										EES STATES										TARGET AUDIENCE										ENERGY SOURCES										MFF Type										MFF SYNOPSIS:										NATIONAL ENERGY DECISIONMAKER										MONITORING DECISIONMAKER RESPONSES																													
Building Energy Systems Transportation Agricultural or Industrial Proc. Other Financial Attitudinal Technological Laws/Regs./Codes Other										Wood Coal Wind Solar Conservation General Financial Institutions Consumption Influencers Tenants Home Owners (Specific) Home Owners (General) Small Business (Specific) Small Business (General) Hospitals Housing Authorities School Districts Local Govt. Wyoming Wisconsin Washington Texas Tennessee Pennsylvania New Mexico Michigan Connecticut Alabama										Episode Control Numbers MFF Type Control Numbers										Decision Maker Contact Dates _____ _____ _____ _____ _____ _____										DM RESPONSES Final Interim First										DOE-PE DOE-IR DOE-RA DOE-ET DOE-CS USDA DOC HEW HUD Other Federal Private Sector 1978 1979 January February March April May June July August September October November December																																																	

TASK 9 . CONSULT WITH STATES ON PROPOSED ACTIVITY

Before communicating market factors feedback to national energy decisionmakers, DOE/EXT will consult with the appropriate States on:

- which energy decisionmakers it plans to talk with, and
- what it plans to say to them.

DOE/EXT will talk with each State's market factors feedback coordinator by phone, following up by mailing copies to the relevant market factors feedback synthesis.

The State EESs will have the opportunity to:

- agree to DOE/EXT plans,
- correct the synopses for accuracy, or
- decide that the synopsis should not be communicated to national energy decisionmakers

If the State's reaction is negative, its portions of the files connected with the particular synopsis and the energy decisionmakers will become inactive (filed in the topic file, step 6).

TASKS 10-14. DOE/EXT COMMUNICATION TASKS WITH NATIONAL ENERGY
DECISIONMAKERS AND EES STATES

Before discussing each of these tasks individually (pages B-28-33), it is important to describe them as a group.

Telling energy decisionmakers about barriers and problems to consumer adoption of energy techniques and technologies will not (in most all cases) result in immediate removal of the barriers and problems. Energy decisionmakers will have to take many other factors into account in deciding what to do about the barriers and problems: e.g., information from other sources; political, economic, social, and environmental impacts; timing; the need for additional research, development, and demonstration; and resource availability. Moreover, DOE/EXT expects that energy decisionmakers will occasionally want more information on market factors feedback from the States before acting.

DOE/EXT will, therefore, undoubtedly repeat the Task 10-14 cycle on each market factors feedback issue several times before a definitive response is received: meeting with decisionmakers, obtaining more information from States, and reporting progress to the States.

TASK 10. COMMUNICATE WITH ENERGY DECISIONMAKER(S).

DOE/EXT's strategy in working with national energy decisionmakers is to begin at the staff level within each organization, asking questions and trying to stimulate the staff to undertake the analysis necessary to obtain decisionmaker action. DOE/EXT will escalate the market factors feedback issue to higher levels within the energy decisionmaking organization only when the organization's staff suggests it or it appears that serious consideration is not being given to the issues.

In meeting with these organizations, DOE/EXT will deliver the market factors feedback synthesis and ask such questions as:

- Do you understand the issue raised?
- Is the issue one which your organization has the capability to address?
- Is the issue new to you, or have you heard it before?
- How serious do you think it is?
- What is your organization doing now to address the issue?
- When do you expect results?
- What are the various options for dealing with the issue?
- What do you think your organization can do to try to remove the barrier or problem?
- How long do you think it might take?
- Do you need any more information from EES?
- When should we talk again?

DOE/EXT will work with energy decisionmakers within the Department of Energy differently from those in other Federal agencies or in the private sector.

Within the Department of Energy

DOE/EXT will first contact a DOE office representative on the Intra-Agency Group already working with DOE/EXT. The nature of future communication will depend on that representative and his office. Several DOE offices have Technology Transfer units--charged with promoting the commercialization

TASK 10. COMMUNICATE WITH ENERGY DECISIONMAKER(S). (Continued)

of office-developed energy technologies. (The Office of Conservation and Solar Applications, to whom DOE/EXT will turn most often with market factors feedback, has a Technology Transfer unit.) These units are concerned with barriers and problems to consumer adoption of their promoted technologies--conducting research and demonstrations. DOE/EXT will undoubtedly work with these Technology Transfer units (where they exist), and DOE/EXT communication with other office units will be decided on a case-by-case basis.

With Other Federal Agencies and the Private Sector

DOE offices (other than DOE/EXT) already have energy program relationships with other Federal agencies and the private sector. When DOE/EXT has market factors feedback for them, it will work through the appropriate DOE offices with the contacts and the Inter-Agency Group working with DOE/EXT. In some cases the DOE office or the Inter-Agency Group representative will be the regular channel for market factors feedback with these organizations. In other cases, these may simply be initial contact and introduction--with ongoing communication to be between DOE/EXT and the organization. The method will be decided on a case-by-case basis according to the desired styles of the DOE office and other Federal agency or private sector organizations.

TASK 11. RECORD RESULTS IN DECISIONMAKER FILE AND ON EPISODE
CONTROL CARD.

After each communication with an energy decisionmaker (in person, by phone, or in writing), DOE/EXT will record the results on:

- the EES Market Factors Feedback Monitoring Sheet (see page B-20)
- the Episode Control Card (see page B-25).

The EES Market Factors Feedback Monitoring Sheet

DOE/EXT will record:

- the energy decisionmaker individual contact, telephone, and address (first contact only)
- a summary of the results of the contact
- the date of the contact
- the date when the energy decisionmaker expects to have some response (the monitor date)
- additional information which the energy decisionmaker wants from the States (if any).

The Episode Control Card

DOE/EXT will record the decisionmaker contact date and the monitor date. The latter will be recorded by punching the appropriate numbered columns in the "Monitoring Decisionmaker Responses" category (#16-29). Two columns will be punched: the year the first response is expected (column 16 or 17), and the month (columns 18-29). (This notation will be used in Task 14.)

If additional information is needed from the States, DOE/EXT will proceed to Task 12; if not, to Task 13.

TASK 12. OBTAIN ADDITIONAL INFORMATION FROM STATES.

Occasionally the energy decisionmaker will request additional information on the market factors feedback from the States. In such cases DOE/EXT will tell the States about the decisionmaker response and ask for the additional information; and, when received, will communicate it to the energy decisionmaker (task 10). DOE/EXT will then record this effort on the Market Factors Feedback Monitoring Sheet: what the States provided and the date it was communicated to the decisionmaker. This additional information will be filed in the decisionmaker file (see Task 7).

TASK 13. REPORT INTERIM RESULTS TO STATES.

After each communication with energy decisionmakers, DOE/EXT will report the results to the appropriate States:

- what the decisionmaker said about the market factors feedback,
- what he intends to do with it, and/or
- progress in considering it.

Depending on the complexity and length of the decisionmaker's response, DOE/EXT will report the interim results by phone or in writing.

Each communication with the States on interim results will be summarized on the Market Factors Feedback Monitoring Sheet (with the date) in the "follow-up" column, with all written reports placed in the decision-maker file.

TASK 14. MONITOR DECISIONMAKER PROGRESS.

Beginning in April 1978, each month DOE/EXT will go to the Episode Control Card File (Task 8) to determine which energy decisionmakers it should contact to learn of progress with market factors feedback issues.

Using the entire Episode Control Card File, DOE/EXT will:

- insert the sorting needle in the hole corresponding to the appropriate year, letting the cards for that year fall to the table, and
- insert the sorting needle (in the deck of cards for that year) in the hole corresponding to the appropriate month, letting these cards fall to the table.

DOE/EXT will then use these cards to:

- identify the appropriate decisionmaker file,
- consult each file to determine what type of progress was promised, and
- contact the energy decisionmaker.

Tasks 10-13 are then repeated:

- communication with the energy decisionmaker to learn of progress (Task 10),
- recording the results on the Market Factors Feedback Monitoring Sheet (Task 11),
- recording on the Episode Control Card the date of the contact and punching a new monitoring date (columns 16-29) and whether the response was the first or interim (columns 34-35),
- obtaining additional information from the States, if any (Task 12), and
- reporting the interim results to the States (Task 13).

Task 14 is repeated until a final decisionmaker response is received.

TASK 15. REPORT FINAL RESULTS TO STATES.

When the energy decisionmaker provides a final response to the market factors feedback (i.e., the barrier or problem has been removed, or the decisionmaker cannot do anything more to remove it), DOE/EXT will report this response, in writing, to all State EESs.

DOE/EXT will punch hole #35 on the Episode Control Card to indicate that a final response has been made.