

APPENDIX E

***REPORTING REQUIREMENT PROTOCOLS
FOR AEAP EARNINGS CLAIMS***

Table E-1
Earnings Claim Summary Table: Shared Savings Programs
Program Year:

| | SHARED SAVINGS PROGRAMS | | | | | | | | | | | | Total w/MC | |
|--|---|------|------|------|------|---------------------------|------|--------|-----------|------|--------|-------|---------------|--|
| | Retrofit Energy Efficiency Incentive Programs | | | | | New Construction Programs | | | Portfolio | | | | | |
| | RWRI | RAEI | CEEI | IEEI | AEEI | Total | Res | Nonres | Total | Res | Nonres | Total | | |
| Costs and Benefits For Earnings - Forecast (1) 1 Measurement Costs 2 Administration 3 Program Incentives 4 Program Costs 8 Incremental Measure Costs, net (IMCn) 9 Resource Benefits, net (RBn) | | | | | | | | | | | | | | |
| Target Earnings 16 Target Earnings Rate (TER) 17 Performance Earnings Basis, at target (PEBt) 18 Target Earnings TRC BCR, with Earnings UCR BCR, with Earnings | 30% | 30% | 30% | 30% | 30% | 30% | 30% | 30% | 30% | 30% | 30% | 30% | 30% | |
| First Earnings Claim: (199x AEAP) Recorded Measurement Costs (2) Recorded Administration Recorded Program Incentives Recorded Incremental Measure Costs, net Recorded Resource Benefits, net Recorded PEB Recorded PEB/PEBt (%) (Minimum 75%) Recorded Earnings TRC BCR, with Earnings UCR BCR, with Earnings Earnings Distribution Share (1st Claim) Earnings Claim for Recovery (1st Claim) | 25% | 25% | 25% | 25% | 25% | 25% | 25% | 25% | 25% | 25% | 25% | 25% | 25% | |
| Second Earnings Claim: (199x AEAP) Recorded Measurement Costs (2) Revised Resource Benefits, net Recorded PEB Revised Earnings Earnings Distribution Share (2nd Claim) Recorded Earnings (for 2nd Claim) Earnings Recovered from 1st Claim Recorded Incremental Earnings | 50% | 50% | 50% | 50% | 50% | 50% | 50% | 50% | 50% | 50% | 50% | 50% | 50% | |
| Third Earnings Claim: (199x AEAP) Recorded Measurement Costs (2) Revised Resource Benefits, net Recorded PEB Revised Earnings Earnings Distribution Share (3rd Claim) Recorded Earnings (for 3rd Claim) Earnings Recovered from 1st and 2nd Claim Recorded Incremental Earnings | 75% | 75% | 75% | 75% | 75% | 75% | 75% | 75% | 75% | 75% | 75% | 75% | 75% | |
| Fourth Earnings Claim: (199x AEAP) Recorded Measurement Costs (2) Revised Resource Benefits, net Recorded PEB Revised Earnings Earnings Distribution Share (4th Claim) Recorded Earnings (for 4th Claim) Earnings Recovered from 1st, 2nd, and 3rd Claim Recorded Incremental Earnings | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | |
| Total Earnings | | | | | | | | | | | | | | |

See footnotes at end of Appendix E.

Table E-1
Earnings Claim Summary Table: Performance Adder Programs
Program Year:

| | PERFORMANCE ADDER PROGRAMS | | | | | | | | | SS & PA GRAND TOTAL |
|--|-------------------------------------|------|------|------|-------|----------------------------|-----------|-------|-------|---------------------------|
| | Energy Management Services Programs | | | | | Direct Assistance Programs | | | TOTAL | |
| | REMS | CEMS | IEMS | AEMS | Total | Non-Mand | Mandatory | Total | | |
| Costs and Benefits For Earnings - Forecast (1) 1 Measurement Costs 2 Administration 3 Program Incentives 4 Program Costs 8 Incremental Measure Costs, net (IMCn) 9 Resource Benefits, net (RBn) | | | | | | | | | | |
| Target Earnings 16 Target Earnings Rate 17 Performance Earnings Basis, at target (PEBt) 18 Target Earnings TRC BCR, with Earnings UCR BCR, with Earnings | 5% | 5% | 5% | 5% | 5% | 5% | 5% | 5% | 5% | |
| First Earnings Claim: (199x AEAP) Recorded Measurement Costs (3) Recorded Administration Recorded Program Incentives Recorded Incremental Measure Costs, net Recorded Resource Benefits, net Recorded PEB Recorded PEB/PEBt (%) (Minimum 75%) Recorded Earnings TRC BCR, with Earnings UCR BCR, with Earnings Earnings Distribution Share (1st Claim) Earnings Claim for Recovery (1st Claim) | 25% | 25% | 25% | 25% | 25% | 25% | 25% | 25% | 25% | 25% |
| Second Earnings Claim: (199x AEAP) Recorded Measurement Costs (3) Earnings Distribution Share Recorded Earnings for Second Claim Earnings Recovered from First Claim Recorded Incremental Earnings | 50% | 50% | 50% | 50% | 50% | 50% | 50% | 50% | 50% | 50% |
| Third Earnings Claim: (199x AEAP) Recorded Measurement Costs (3) Earnings Distribution Share Recorded Earnings for Third Claim Earnings Recovered from First and Second Claims Recorded Incremental Earnings | 75% | 75% | 75% | 75% | 75% | 75% | 75% | 75% | 75% | 75% |
| Fourth Earnings Claim: (199x AEAP) Recorded Measurement Costs (3) Earnings Distribution Share Recorded Earnings for Fourth Claim Earnings Recovered from 1st, 2nd, and 3rd Claims Recorded Incremental Earnings | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% |
| Total Earnings | | | | | | | | | | |

See footnotes at end of Appendix E.

Table E-2
Recorded Costs and Benefits for Shareholder Incentives Programs
By End Use Element
Program Year:
Program:

| | | End Use Totals | | | | | Number of Units | | | | | Average Per Unit | | | | | |
|---|----------------------------------|----------------|------|------|------|------|-----------------|------|------|------|------|------------------|------|------|------|------|------|
| | | EU 1 | EU 2 | EU 3 | EU 4 | Misc | Total | EU 1 | EU 2 | EU 3 | EU 4 | Misc | EU 1 | EU 2 | EU 3 | EU 4 | Misc |
| | First Earnings Claim | | | | | | | | | | | | | | | | |
| 1 | Measurement Costs | | | | | | | | | | | | | | | | |
| 2 | Administration | | | | | | | | | | | | | | | | |
| 3 | Program Incentives | | | | | | | | | | | | | | | | |
| 4 | Program Costs | | | | | | | | | | | | | | | | |
| 5 | Incremental Measure Costs, gross | | | | | | | | | | | | | | | | |
| 6 | Resource Benefits, gross | | | | | | | | | | | | | | | | |
| 7 | Net-to-Gross Ratio | | | | | | | | | | | | | | | | |
| 8 | Incremental Measure Costs, net | | | | | | | | | | | | | | | | |
| 9 | Resource Benefits, net | | | | | | | | | | | | | | | | |
| | Second Earnings Claim | | | | | | | | | | | | | | | | |
| | Measurement Costs | | | | | | | | | | | | | | | | |
| | Revised Net Resource Benefits | | | | | | | | | | | | | | | | |
| | Third Earnings Claim | | | | | | | | | | | | | | | | |
| | Measurement Costs | | | | | | | | | | | | | | | | |
| | Revised Net Resource Benefits | | | | | | | | | | | | | | | | |
| | Fourth Earnings Claim | | | | | | | | | | | | | | | | |
| | Measurement Costs | | | | | | | | | | | | | | | | |
| | Revised Net Resource Benefits | | | | | | | | | | | | | | | | |

Notes:

Separate table for each shared savings program.

End Use Elements defined by Appendix C Protocols.

"Units" = Designated Unit of Measurement, per Appendix C Protocols.

End Use Totals (EU 1, EU 2, etc.) should equal the product of Average Per Unit and Number of Unit values for each use element.

The values in the "Total" column of the End Use Totals block should equal the program totals shown in Table E-1 and Table TA-8.1 in the DSM Annual Summary.

Table E-3
Components of Resource Benefit Values
Program Year:
Program:
Earnings Claim:

Average Load Impacts Per Unit (Gross)

| Year | EU 1 | | | EU 2 | | | EU 3 | | | EU 4 | | | Misc | | |
|-----------------|------|-----|--------|------|-----|--------|------|-----|--------|------|-----|--------|------|-----|--------|
| | kW | kWh | Therms |
| 1994 | | | | | | | | | | | | | | | |
| 1995 | | | | | | | | | | | | | | | |
| 1996 | | | | | | | | | | | | | | | |
| 1997 | | | | | | | | | | | | | | | |
| 1998 | | | | | | | | | | | | | | | |
| 1999 | | | | | | | | | | | | | | | |
| 2000 | | | | | | | | | | | | | | | |
| 2001 | | | | | | | | | | | | | | | |
| 2002 | | | | | | | | | | | | | | | |
| 2003 | | | | | | | | | | | | | | | |
| 2004 | | | | | | | | | | | | | | | |
| 2005 | | | | | | | | | | | | | | | |
| 2006 | | | | | | | | | | | | | | | |
| 2007 | | | | | | | | | | | | | | | |
| 2008 | | | | | | | | | | | | | | | |
| 2009 | | | | | | | | | | | | | | | |
| 2010 | | | | | | | | | | | | | | | |
| 2011 | | | | | | | | | | | | | | | |
| 2012 | | | | | | | | | | | | | | | |
| 2013 | | | | | | | | | | | | | | | |
| SUM (Lifecycle) | | | | | | | | | | | | | | | |
| PV | | | | | | | | | | | | | | | |

| | EU 1 | | | EU 2 | | | EU 3 | | | EU 4 | | | Misc | | |
|-------------|------|-----|--------|------|-----|--------|------|-----|--------|------|-----|--------|------|-----|--------|
| | kW | kWh | Therms |
| # of Units: | | | | | | | | | | | | | | | |
| RBg: | | | | | | | | | | | | | | | |
| NGR: | | | | | | | | | | | | | | | |
| RBn: | | | | | | | | | | | | | | | |

Impact Study References:
 Study(s) used for Forecast (ID #)
 Required 1st LIY Study, 2nd Claim (ID #)
 Required Persistence, 3rd Claim (ID #)
 Required Persistence, 4th Claim (ID #)

Notes:

End Use elements and Units of Measurement per Appendix C Protocols.

Separate table for each shared savings program, each program year, and each earnings claim.

Program level (aggregate) values for # of Units and RB, net in bottom block should equal corresponding EU totals in Table E-2.

Study ID# refers to Statewide Bibliography study identification number.

"Misc" values, for first earnings claim, should represent actual mix of measures installed by program year participants (documented via supplemental information), and remain unchanged for third and fourth earnings claims.

Table E-4
 Earnings Claim Summary Table: Performance Adder Programs
 Program Year:

| | | Direct Assistance (Non-Mandatory) | Residential EMS | Commercial EMS | Industrial EMS | Agricultural EMS | Total |
|---|---|--------------------------------------|-----------------|----------------|----------------|------------------|-------|
| a | Electricity Expenditures (\$000) | | | | | | |
| b | Electricity Savings (mWh) | | | | | | |
| c | Electricity Program Cost Ratio (a/b) | | | | | | |
| d | Previous Year's Electricity Program Cost Ratio ¹ | | | | | | |
| e | Relative Electricity Program Cost Ratio (c/d) | | | | | | |
| f | Gas Expenditures (\$000) | | | | | | |
| g | Gas Savings (000s therms) | | | | | | |
| h | Gas Program Cost Ratio (f/g) | | | | | | |
| i | Previous Year's Gas Program Cost Ratio ¹ | | | | | | |
| j | Relative Gas Program Cost Ratio (h/i) | | | | | | |
| k | Total expenditures (a+f) | | | | | | |
| l | Weighted Relative Program Cost Ratio $[e*(a/k)+(f/k)]$ | | | | | | |
| m | Performance factor ² (2-1) | | | | | | |
| n | Lifecycle Earnings (\$000) $[k*.05*m]$ | | | | | | |

¹ Previous year costs are escalated to current year dollars

² The performance factor is required to be no smaller than 0.8 and no greater than 1.2