

Refrigerator Recycling Evaluation Protocol — Uniform Methods Project

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Refrigerator recycling programs have become a staple of residential demand-side management portfolios.

4.1 Measure Description

Refrigerator recycling programs are designed to save energy ~~by removing through the removal of~~ old-but-operable refrigerators from service. By offering free pick-up, providing incentives, and disseminating information about the operating cost of old refrigerators, these programs are designed to encourage consumers to:

- Discontinue ~~using the use of~~ secondary¹ refrigerators;
- Relinquish refrigerators previously used as primary units when they are replaced (rather than keeping the old refrigerator as a secondary unit); and
- Prevent the continued use of old refrigerators in another household through a direct transfer (giving it away or selling it) or indirect transfer (resale on the used appliance market).

~~These programs are commonly~~ Commonly implemented by third-party contractors (who collect and decommission participating appliances. ~~In addition to the~~), ~~these programs generate~~ energy savings ~~generated by through~~ the appliances' retirement, ~~the~~ of inefficient appliances. The decommissioning process ~~produces environmental benefits through capturing captures~~ environmentally harmful refrigerants and ~~foam and enables the~~ recycling of the plastic, metal, and wiring components.

2.2 Application Conditions of Protocol

~~Recycling programs take various forms, such as:~~

These brief descriptions indicate the range of designs currently seen in recycling programs:

- ~~Some accept only secondary refrigerators.~~
- Some recycle both primary and secondary refrigerators.
- Some accept only secondary refrigerators.
- Some impose restrictions on vintage eligibility.
- Some are offered in conjunction with point-of-sale rebates to encourage the purchase of ENERGY STAR[®]-rated refrigerators.

¹ Secondary refrigerators are units not located in the kitchen.

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- Some are offered as part of low-income, direct-install programs that install high-efficiency replacement units.²

The evaluation protocols described in this document, which pertain to all of the above-listed program variations, but listed, cover only the energy savings from retiring operable-but-inefficient refrigerators (i.e., this protocol does not consider/discuss the potential energy savings associated with the potential subsequent installation of a high-efficiency replacement refrigerator); (which may occur as part of a separate retail products program).³

3.3 Savings Calculations

The total gross energy savings⁴ (kWh/year) achieved from recycling old-but-operable refrigerators is calculated using the following general algorithm:

Equation 1

$$GROSS_kWh_{saved} = N * EXISTING_UEC_{EXISTING} * PART_USE$$

Where:

$GROSS_kWh_{saved}$ = Annual electricity savings measured in kilowatt hours

N = The number of refrigerators recycled through the program

$EXISTING_UEC_{EXISTING}$ = The average annual unit energy consumption of participating refrigerators

$PART_USE$ = The portion of the year the average refrigerator would likely have operated if not recycled through the program

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² Low-income, direct-install programs target refrigerators that otherwise would have continued to operate, and then remove and replace them directly, therefore with comparably sized, new, high-efficiency models. Therefore, the basis for estimating savings from these types of programs is different than from the other program variations noted. This difference is discussed further in the Savings Calculations section.

³ As discussed under Section 7 of the Introduction chapter to the UMP Report, small utilities (as defined under the SBA regulations) may face additional constraints in undertaking this protocol. Therefore, alternative methodologies should be considered for such utilities.

⁴ The evaluation protocol methods focus on energy savings and; they do not include other parameter assessments, such as peak coincidence factor (demand savings), incremental cost, or measure life.

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The total net energy savings (kWh/year) is then calculated as follows:

Equation 2

$$\begin{aligned} \text{NET_kWh}_{\text{saved}} &= \text{NET_kWh}_{\text{SAVED}} \\ &= \text{GROSS kWh}_{\text{saved}} * (1 - \text{FR_RATIO}) \\ &\quad - (N * \text{REPLACEMENT_UEC} * \text{PART_USE} \\ &\quad * \text{INDUCED_REPLACEMENT_RATIO}) - (N * \text{UEC}_{\text{REPLACEMENT}} \\ &\quad * \text{PART_USE}_{\text{REPLACEMENT}} * \text{INDUCED_REPLACEMENT_RATIO}) \end{aligned}$$

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Where:

FR_RATIO = Freeridership ratio (i.e., the proportion of gross savings that would have occurred in the program's absence)

REPLACEMENT_UEC = The annual unit energy consumption of the average replacement unit

PART_USE = The portion of the year the average replacement refrigerator is likely to operate⁵

$\text{INDUCED_REPLACEMENT_RATIO}$ = The proportion of participants reporting that they purchased a replacement refrigerator as a result of participating in the program⁶

Recommended The recommended techniques for estimating each of these parameters are described below.

4.4. Gross Savings

This section provides instructions for determining the parameters required to estimate a refrigerator recycling program's total gross savings ($\text{GROSS_kWh}_{\text{saved}}$). The key parameters are: $\text{kWh}_{\text{SAVED}}$.

The key parameters are these:

- Measure Verification (N)
- Annual Energy Consumption (EXISTING_UEC)
- Part Use Factor (PART_USE)

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⁵ Note that the definition for PART_USE in this equation is different from the definition of PART_USE in the first equation.

⁶ That is, the program caused the customer to buy a new unit when they otherwise would not have. More information regarding induced replacement is included in this protocol's Net Savings section.

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4.1 4.1 Measure Verification (N)

The number of refrigerators recycled through a program should be recorded by the program administrator or the third-party implementation contractor. Data should record the number of refrigerators recycled through a program. Ideally, the data for all participating refrigerators should be compiled electronically in a database that tracks the following information (at a minimum):

- Age (in years, or year of manufacture)
- Size (in cubic feet)
- Configuration (top freezer, bottom freezer, side-by-side, or single door)
- Pick-up date for removing used refrigerator was removed
- Complete customer contact information

It is recommended

This protocol recommends that early in the evaluation process, the evaluators review the program databases early in the evaluation process to ensure that the databases they are being fully populated and contain sufficient information to inform subsequent evaluation activities.

Evaluators should verify the number of recycled refrigerators in self-reported verification of program recycling records via a survey of program randomly sampled participants that includes enough has proven to be a reliable methodology. Survey efforts should include a sufficient sample of participants to meet the required level of statistical significance (typically, a. When no requirements exist, this protocol recommends a sample that achieves, at minimum, 90% level of confidence with a 10% margin of error). Self reported verification of program recycling records via survey is a reliable methodology; past. Past evaluations have shown that participants typically have little difficulty confirming the number of units recycled and the approximate date the removal took place (Cadmus 2010).

4.2 4.2 Annual Energy Consumption (EXISTING_UEC)

To determine the average per-unit annual energy consumption should be determined through either physically metering of a sample of units or—if evaluation resources do not support primary data collection—through use a regression-based analysis of that relies on either:

- Metering a sample of participating units; or
- Using metered data collected as part of other recycling program evaluations that happened occurred within the previous five years—(when evaluation resources do not support primary data collection).

Deemed savings—, as determined through one either of the two these approaches listed above—, may be used in the calculation, but should need to be updated a minimum of at least every three years due to the account for program maturing and the characteristics of recycled refrigerators changing maturation.

It is This protocol strongly recommended recommends that evaluators conduct a metering study, if possible. As this method is the preferred evaluation approach, the remainder of this section

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outlines [the](#) best practices for: (1) implementing a metering study, and (2) utilizing the results to estimate annual energy consumption [and, subsequently, energy savings](#).

[4.2.1](#) ~~4.2.1~~ [About About](#) *In Situ Metering*

Historically, recycling evaluations have [primarily](#) relied on [unit energy consumption](#) (UEC) estimates from the U.S. Department of Energy (DOE) testing protocols (DOE 2008).⁷ However, recent evaluations indicate that DOE test conditions (e.g., empty refrigeration and freezers cabinets, no door openings, and ~~90° F~~90°F test chamber) may not accurately reflect UECs for recycled appliances (ADM 2008, Cadmus 2010). As a result, evaluations have increasingly utilized *in situ* (meaning “in its original place”) metering to assess energy consumption.

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In situ metering is recommended for two reasons:

- It factors in environmental conditions and usage patterns within participating homes (e.g., door openings, unit location, and exposure to weather), which are not [explicitly](#) accounted for in DOE testing.
- Most of the DOE-based ~~energy consumption estimates~~UECs that are publically available in industry databases were made at the time the appliance was manufactured, rather than when the unit was retired. ~~To use~~Using testing data from the time of manufacture, ~~requires that~~ [assumptions must](#) be made about ~~appliance~~the [degree of an appliance's](#) degradation. *In situ* metering is conducted ~~at the time of~~[immediately prior to](#) program participation (that is, at the time of the unit's retirement), ~~so~~ making [a similar adjustment](#)type of adjustment or ~~assumptions~~[assumption is](#) unnecessary.

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In summary, while the DOE testing protocols provide accurate insights into the relative efficiency of appliances (most commonly at their time of manufacture), *in situ* metering yields the most accurate estimate of energy consumption (and, therefore, savings) for old-but-operable appliances.

[4.2.1.1](#) *Key Factors for In Situ Metering*

The following factors should be considered when implementing an *in situ* metering study:

- **Sample Size.** The recommended levels of statistical significance, which dictate the necessary sample size, are outlined in the Sample Design and Data Development chapter. It is recommended that evaluators assume a minimum coefficient of variation of 0.5 to ensure that a sufficient sample is available to compensate for attrition issues that routinely occur in field measurement.⁸ For refrigerators, these attrition issues may include simple meter failure, relocation of the unit during metering, and atypical usage (e.g., the refrigerator is prematurely emptied in preparation for program pick-

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⁷ [Evaluations have also used forms of billing analysis; however, the protocol does not recommend billing analysis or any other whole-house approach. The magnitude of expected savings—given total household energy consumption and changes in consumption unrelated to the program—could result in a less certain estimate than could be obtained from end-use specific approach.](#)

⁸ For a broader discussion of the coefficient of variation see the, Sample Design and Data Development chapter.

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up). This protocol recommends that evaluators educate study participants (and provide written leave-behind materials) about not relocating the refrigerator or otherwise using the unit in any manner inconsistent with historical usage).

- **Stratification.** The program theory assumes that the majority of recycled appliances would have been used as a secondary unit had they not been decommissioned through the program.⁹ However, some units may continue to operate as a primary unit within the same home ~~or a different home (if sold or given away)~~. To account correctly ~~account~~ for differences in usage patterns between the usage type categories (e.g., primary and secondary refrigerators), it is critical to stratify the metering sample to represent the different usage types.¹⁰

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For programs evaluated previously, information may be available about the proportion of refrigerators likely to have been used as primary versus secondary units. If so, that information can be leveraged to develop stratification quotas for the metering study.

Once established, strict quotas should be enforced during the recruitment process, since participants recycling who recycle secondary appliances are typically more willing to participate in a metering study than those recycling who recycle primary appliances. Participants who are recycling their primary appliance are typically replacing them, and they are often unwilling to deal with the logistics related to rescheduling the delivery of their new unit.

Additional stratification is not critical, due to the high level of collinearity between refrigerator age, size, and configuration. However, should sufficient evaluation resources be available, targeting a sample of appliances with less-common characteristic profiles can reduce collinearity and increase the final model's explanatory power.

- **Duration.** To capture a range of appliance usage patterns, meters need to be installed for a minimum of 10 to 14 days.¹¹ Collecting approximately two weeks ~~weeks' worth~~ of energy-consumption data ensures that the metering period covers weekdays and weekends. Longer metering periods will provide a greater range of usage (and more data points), but the duration needs to be balanced with the customers' desire to have their ~~the~~ refrigerator removed and recycled.
- **Equipment.** To capture information on compressor cycling, the metering equipment ~~should be calibrated before installation, and record~~ the data ~~should be recorded~~ in intervals of five minutes or less. If the meters' data capacity permits, shorter intervals

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⁹ This includes several scenarios: The refrigerator may continue as a secondary appliance within the same home, be transitioned from a primary to secondary appliance within the same home, or become a secondary unit in another home.

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¹⁰ This protocol recommends stratification by usage type even for programs that only accept secondary units as primary units are typically still recycled through these programs (via gaming or confusion about requirements).

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¹¹ The previously cited evaluations in California (ADM, April 2008 and Cadmus, February 2010) both collected metering data for a minimum of from ~~10- to~~ 14 days.

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(of one or two minutes) are preferable. ~~The~~ When possible, meter the following parameters ~~should be metered when possible. If, however, if~~ metering efforts ~~must be more~~ are limited, prioritize the parameters ~~should be prioritized in the~~ this order ~~listed below:~~

- Current and/or power,
- Internal refrigerator and/or freezer cabinet temperature,
- Ambient temperature, and
- Frequency and duration of door openings.¹²

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Not all of the aforementioned metered values are used to determine energy consumption. Some help identify potential problems in the metering process, and, thus, increase the quality of the data. (For example, a comparison of ambient room temperature to internal cabinet temperature can be used to determine if the appliance was operational throughout the entire metering period. ~~It is recommended.~~) This protocol recommends that evaluators perform similar diagnostics on all raw metering data before including an appliance in the final analysis dataset.

- **Seasonality.** Previous metering studies have shown that the energy consumption of secondary appliances in unconditioned spaces differs by season—especially in regions that experience extreme summer and/or winter weather.¹³ As a result, metering needs to be conducted in ~~two~~ waves on separate samples, ~~during the summer/fall and winter/spring periods. The.~~ By capturing a range of weather conditions captured using two distinct multiple metering waves (which include winter and summer peaks, as well as shoulder seasons) facilitates being able, it is possible to annualize metering results—more accurately. If it is not possible to meter appliances during multiple seasons, then annualize the metered data using existing refrigerator load shapes (utility-specific, when available) to avoid producing seasonally biased estimates of annual unit consumption.
- **Recruitment.** ~~To arrange~~ When arranging for metering, evaluators ~~need to~~ must contact participating customers before ~~their~~ the appliance is removed. ~~To identify such customers, evaluators will need to work~~ By working closely with the program implementers. ~~The implementers should (who can~~ provide daily lists of recently scheduled pick-ups ~~so that),~~ evaluators can contact those customers to determine their eligibility and solicit their participation in the metering study.

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This protocol recommends providing incentives to participants. Incentives aid in recruitment because they both provide recognition of the participants' cooperation

¹² The previously cited evaluation (Cadmus, February 2010) employed the following metering equipment: HOB0 U9-002 Light Sensor (recorded the frequency and duration of door openings), HOB0 U12-012 External Data Logger (recorded the ambient temperature and humidity), HOB0 U12-012 Internal Data Logger (recorded the cabinet temperature), HOB0 CTV-A (recorded the current), and the Watts up? Pro ES Power Meter (recorded energy consumption).

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¹³ Forthcoming *Michigan Energy Efficiency Measure Database* memo by Cadmus regarding Consumers Energy and DTE Energy appliance recycling programs.

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and offset the added expense of continuing to operate their refrigerator during metering.

Once participants are recruited, the evaluator and the implementer should collaborate in scheduling the participants' pick-up after all of the metering equipment is removed.

~~Once participants are recruited, the evaluator should work with the implementer to schedule the participants' pick-up after all metering equipment is removed. It is recommended that incentives be provided to participants, which will aid in recruitment and provide recognition of the participants' cooperation (and the added expense they incur for operating their refrigerator for two extra weeks).~~

- ~~**Installation and Removal.** To~~ minimize costs, program implementers can perform the installation and removal of metering equipment. ~~these functions.~~ However, when program implementers are involved in the metering process, the evaluator must still independently conduct all sampling design and selection, recruitment, metering equipment programming, data extraction, and data analysis. ~~Further, to~~

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To ensure installations and removals are performed correctly, evaluators should train the implementers' field staff members and, preferably ideally, accompany them on a sample of sites. If time and evaluation resources permit, evaluators should verify early in the first wave the proper installation of metering equipment at a small sample of participating homes ~~early in the first wave (to identify and correct for~~ Thus, any installation issues ~~).~~

- can be identified and corrected.

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Since the metering process requires an additional trip to ~~the customers'~~ customer homes, evaluators will need to compensate the implementers for their time. ~~Evaluators~~ Consequently, the evaluators should contact implementers as early as possible to determine the viability of this approach and agree ~~on~~ upon the appropriate compensation.

- **Frequency.** ~~Since the characteristics of recycled refrigerators change as a program matures and greater market penetration is achieved, metering should be conducted approximately every three years. Savings estimates that rely exclusively on metering data that is more older than three years old may be inaccurate, as reflect the current program year inaccurately. This is most commonly due to changes in~~ the mix of recycled appliances manufactured before and after the establishment of appliance-related standards (including various state, regional, or federal appliance standards (both recent and historical)) between program years. The main impact of these changes is constantly changing (and has a long-term downward effect on the savings associated with recycling programs ~~).~~

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4.2.2 About About Regression Modeling

To estimate the annual UEC of the average recycled refrigerator, ~~it is recommended~~ this protocol recommends that evaluators use a multivariate regression model (s) that relates observed energy consumption to refrigerator characteristics. Specifically, evaluators

Evaluators should ~~identify a model employing~~ employ models that utilize daily or hourly observed energy consumption as the dependent variable.

Independent variables should include key refrigerator characteristics or environmental factors determined to be statistically significant. This functional form allows the coefficient of each independent variable to indicate the relative influence of that variable (or appliance characteristic) on the observed ~~daily~~ energy consumption, holding all other variables constant. This approach allows evaluators to estimate the energy consumption of all participating appliances based on the set of characteristics maintained in the program's tracking database.

In estimating UEC, both time and cross-sectional effects must be accounted for. This can be done one of two ways:

- *Use model that estimates simultaneously the impacts of time and cross-sectional effects on energy consumption.* This approach is recommended if there are both a reasonably large sample size *and* observations of units across both summer and winter peak periods. Or,
- *Use a set of time-series models.* If metering occurred during only one or two seasons, use an existing refrigerator load shape to extrapolate the annual UEC for each metered refrigerators. Then use a second regression model utilizing the entire metering sample to predict annualized consumption as a function of cross-sectional variables.

Once model parameters are estimated, the results may be used to estimate UEC for each refrigerator recycled through a program, based on each unit's unique set of characteristics. An example is provided later in this section.

~~Since the~~ The exact model specification (~~i.e., a~~ set of appliance characteristics) ~~that yields or independent variables) yielding~~ the greatest explanatory power varies from study to study, based on the underlying ~~in situ~~ metering data. Thus, this protocol does not mandate a certain specification be used. However, evaluators should consider—at a minimum—the following independent variables:

- Age (years) and corresponding vintage (compliance with relevant efficiency code)
- Size (in cubic feet)
- Configuration (top freezer, bottom freezer, side-by-side, or single door)
- Primary/secondary designation
- Conditioned/unconditioned space¹⁴
- Location (kitchen, garage, basement, porch, etc.)

¹⁴ Primary/secondary and conditioned/unconditioned space variables may exhibit a strong collinearity. Consequently, do not include both ~~should not be included~~ in the final model.

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- Weather (cooling degree days [CDD] and/or heating degree days [HDD])

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For each set of potential independent variables, evaluators should assess [the](#) variance inflation factors, adjusted R²s, residual plots, and other measures of statistical significance [and fit](#).

In the specification process, evaluators should also consider the following elements:

- [Using Estimating model parameters by using](#) an Ordinary/[Generalized](#) Least Squares method ~~to estimate model parameters~~.
- Transforming explanatory variables (logged and squared values, based on theoretical and empirical methods).
- Considering interaction terms (such as between refrigerators located in unconditioned space and CDD/HDD) when they are theoretically sound (that is, not simply to increase the adjusted R² or any other diagnostic metric).
- [Balancing model parsimony with explanatory power. It is very important not to over-specify the model\(s\). As the regression models are used to predict consumption for a wide variety of units, overly specified models can lose their predictive validity.](#)

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The following sample regression model is based on data from [452472](#) refrigerators metered and recycled through five utilities:

Existing UEC

$$\begin{aligned}
 &= 365.25 * [0.487582 + 0.015027 * (22.69 \text{ years}) + 0.7821.055 \\
 &* (63\% \text{ manufactured before 1990}) + 0.084067 * (18.92 \text{ ft.}^3) - 1.442977 \\
 &* (6\% \text{ single door units}) + 1.090071 * (25\% \text{ side - by - side}) + 0.544605 \\
 &* (36\% \text{ primary usage}) + 0.02 * (2.49 \text{ unconditioned CDDs}) - 0.045 \\
 &* (1.47 \text{ unconditioned HDDs})]
 \end{aligned}$$

[If in situ metering is not an option and the evaluators cannot identify a recently developed model from a single comparable program, the above aggregated UEC model can be used.](#)

Once the characteristics of a specific appliance are determined, they should be substituted in the [above](#) equation ~~in order~~ to estimate the UEC for that appliance. After the UEC is calculated for each participating unit, a program average UEC can be determined. Table 1 provides an example of this process, using average values for each independent variable from an example program.

Table 1. Example UEC Calculation Using Regression Model and Program Values

Independent Variable	Estimate Coefficient (Daily kWh)	Program Values (Average/Proportion)
Intercept	0.487582	-
Appliance Age (years)	0.015027	22.69
Dummy: Manufactured Pre-1990	0.7821055	0.63
Appliance Size (square feet)	0.084067	18.92
Dummy: Single Door Configuration	-1.442977	0.06
Dummy: Side-by-Side Configuration	1.099071	0.25
Dummy: Primary Usage Type (in absence of the program)	0.5446054	0.36
Interaction: Located in Unconditioned Space x CDDs	0.020	2.49
Interaction: Located in Unconditioned Space x HDDs	-0.045	1.47
Estimated UEC (kWh/Year)		1,199,240

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4.2.3 Utilizing Secondary Data

When evaluation resources do not support *in situ* metering, evaluators should leverage a model developed through the most appropriate *in situ* metering-based evaluation undertaken for another utility.

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The most appropriate study will be one that is comparable to the program being evaluated in terms of the following factors:

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- Age of the study (recent is ~~more~~most desirable)
- Similar average appliance characteristics (comparable sizes, configurations, etc.)
- Similar geographical location (due to differences in climate)
- Similar customer demographics (due to differences in usage patterns)

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4.3-Use the aggregated UEC model presented in Table 1 when: (1) *in situ* metering is not an option, and (2) a recently developed model from a single comparable program cannot be identified.

4.3 Part-Use Factor (PART_USE)

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“Part-use” is an appliance recycling-specific adjustment factor used to convert the UEC (determined through the methods detailed above) into an average per-unit gross savings value. The UEC itself is not equal to the gross savings value, because: ~~(1) the~~

- The UEC model yields an estimate of annual consumption, and ~~(2) not~~
- Not all recycled refrigerators would have operated year-round had they not been decommissioned through the program.

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Table 2 provides a summary of the three part-use categories, each with its own part-use factor. The part-use factors for refrigerators that would have run full-time (1.0) and those that would have not run at all (0.0) are consistent across evaluations.

Table 2. Part-Use Factors by Category

Part-Use Category	Part-Use Factor
Likely to not operate at all in absence of the program	0
Likely to operate part time in absence of the program	0 to 1
Likely to operate year-round in absence of the program	1

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The part-use factor for refrigerators that would have been used for a portion of the year varies by program (and is between 0.0 and 1.0). For example, a refrigerator estimated to operate a total of three months over the course of a year (most commonly to provide additional storage capacity during the holidays) would have a part-use factor of 0.25. ~~The average part-use factor for all refrigerators that would have operated for only a portion of the year yields the program's overall part-use factor.~~

Table 2. Part-Use Factors by Category

Part-Use Category	Part-Use Factor
Likely to not operate at all in absence of the program	0
Likely to operate part time in absence of the program	0 to 1
Likely to operate year-round in absence of the program	1

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Using participant surveys, evaluators should determine the number of recycled units in each part-use category, as well as the portion of the year that the refrigerators that *would have been used part-time* were likely to have been operated. ~~This~~*The protocol recommends this* assessment ~~should~~ be handled through the following ~~multistep~~*multi-step* process.

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~~1. First, Ask participants should be asked where the refrigerator was located for the majority of the year prior to being recycled. It is important that evaluators not ask about the refrigerator's location at the time of pick-up, as many units are relocated to accommodate the arrival of a replacement appliance or to facilitate program pick-up.~~

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1. By asking about the refrigerator's long-term location, evaluators can obtain more reliable information about the unit's usage type and can avoid using terms that often confuse participants (such as primary and secondary), especially when replacement occurs. It is recommended that evaluators designate all refrigerators previously located in a kitchen as primary units and all other locations as secondary.

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Note that it is important not to ask about the refrigerator's location when it was collected by the program implementer, as many units are relocated to accommodate the arrival of a replacement appliance or to facilitate program pick-up.

2. ~~Second, Ask those participants who indicated recycling a secondary refrigerator (i.e., their refrigerator was not previously kept in their kitchen) should be asked whether the refrigerator was unplugged, operated year-round, or operated for a portion of the preceding year. (Evaluators can assume all primary units are operated year-round.)~~

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3. ~~Third, any Ask those participants noting who that their secondary refrigerator was operated for only a portion of the preceding year should be asked to estimate the total number of months during that time the refrigerator was plugged in during that time. The. Then divide the average number of months offered specified by this subset of participants should then be divided by 12 to calculate the part-use factor for all refrigerators operated for only a portion of the year.~~

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These three steps enable evaluators to obtain important and specific information as to how refrigerators were a refrigerator was used before they were it was recycled. This will result in a more accurate program specific part-use factor for partially used refrigerators.

The example program provided in Table 3 for all units in a program Error! Reference source not found. shows that:

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- The participant survey determined that 93% of recycled refrigerators were operated year-round (either as primary or secondary units). (Again, the part-use factor associated with these refrigerators is 1.0.)
- Four percent of refrigerators were not used at all in the year prior to before being recycled. The part-use factor associated with this portion of the program population is 0.0, and no energy savings are generated by the refrigerator's removal and eventual decommissioning.
- The remainder of recycled refrigerators (3%) were was operational for a portion of the year. Specifically, the survey determined that part-time refrigerators were operated on for an average, for of three months a year (indicating a part-use factor of 0.25).

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Once known,

Using this information, evaluators should calculate the overall part-use factors should be calculated for two usage type categories: secondary units only and, as well as for all recycled

units. These factors are derived using by applying a weighted average of the adjusted part-use per-unit energy savings for each part-use category. This calculation utilizes the UEC determined through the methods described in Section 4.2.2. In this example, the program's secondary-only part-use factor is 0.88, while the overall part-use factor is 0.93.

~~Next, evaluators should couple this part use information with participants' self-reported action had the program not been available (whether they would they have kept or discarded their refrigerator). It should be noted that since the future usage type of discarded refrigerators is unknown, the part-use factor for all units should be applied (which represents a mix of primary and secondary usage).~~

Table 3. Example ~~Application~~ Calculation of Historical Part-Use ~~Factor~~ Factors

Usage Type and Part-Use Category	Percent of Recycled Units	Part-Use Factor	Per-Unit Energy Savings (kWh/Yr)
Secondary Units Only			
Not in Use	6%	0.00	-
Used Part Time	8%	0.25	<u>300310</u>
Used Full Time	86%	1.00	<u>1,499240</u>
Weighted Average	100.0%	0.88	<u>1,055091</u>
All Units (Primary and Secondary)			
Not in Use	4%	0.00	-
Used Part Time	3%	0.25	<u>300310</u>
Used Full Time	93%	1.00	<u>1,499240</u>
Weighted Average	100.0%	0.93	<u>1,424163</u>

Next, evaluators should combine these historically observed part-use factors with participants' self-reported action had the program *not* been available. (That is, the participants' report as to whether they would they have kept or discarded their refrigerator.)¹⁵

The example provided in Table 4 ~~uses~~ demonstrates how a program's part-use factor is determined using a weighted average of the resulting historically observed part-use factors and the percentage of participants' likely action in each category to determine the program's overall part-use factor absence of the program.¹⁶ Here, the result is a part-use value of 0.90, based on the expected future use of the refrigerators had they not been recycled. Applying this value to the determined UEC (1,499240 kWh/year) yields the program's average per-unit gross savings, — in this case, of 1,079161 kWh/year.

¹⁵ While the future usage type of discarded refrigerators is unknown, given the typical age and condition of participating appliances, it is most likely the refrigerator would have been used as a secondary unit after being transferred. While some transferred units may become primary appliances, applying the part-use factor for secondary-only units ensures part-use is not overestimated.

¹⁶ Evaluators should not calculate part-use using participant's estimates of future use had the program not been available. Historical estimates based on actual usage rates are more accurate, especially since it is possible participants will underestimate future usage (believing they will only operate it part of the year, despite the fact the majority of refrigerators operate continuously once plugged in).

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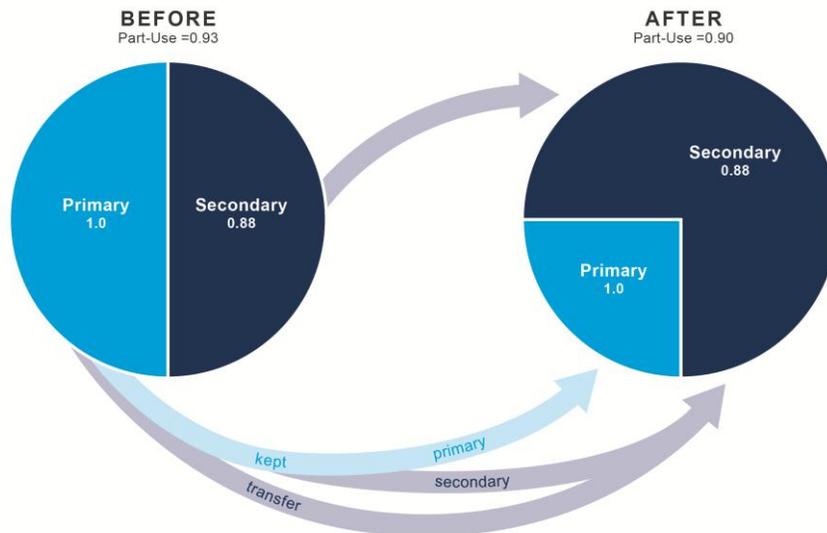
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Table 4. Overall Example Calculation of Prospective Program Part-Use Factor

Use Prior to Recycling	Likely Use Independent of Recycling	Part-Use Factor	Percent of Participants
Primary	Kept (as primary unit)	1.0	51%
	Kept (as secondary unit)	0.88	25%
	Discarded	0.9388	21%
Secondary	Kept	0.88	30%
	Discarded	0.9388	15%
Overall	All	0.90	100%

The determination and application of part-use described above is summarized graphically in Figure 1.

Figure 1. Part-Use



Recent evaluations of appliance recycling programs have determined that part-use factors typically ranging from 0.85 to 0.95 (Navigant 2010). Newer appliance recycling programs typically exhibit have exhibited a part-use factor on the lower end of this range, because before the program launch, this is attributed to that fact that many unused or partially used appliances sat idle before the program launch simply because participants lacked the means to discard them (the launch of the (The recycling program then provided the means).) In addition, the newer programs tend to focus on collecting secondary units (which are subject to part-use), while mature programs tend to focus on avoided retention (replacing primary appliances). As a result, part-use factors tend to increase over time.

The part-use factor should be reassessed annually for newer programs, since it may change more rapidly during the early stages of a program's life cycle. After a program has been in operation

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for at least three years, it is sufficient to conduct a part-use assessment every other year ~~after a program has been in operation for at least three years.~~

4.4 ~~4.4~~RefrigeratorRefrigerator Replacement

In most cases, the per-unit gross energy savings attributable to the program is equal to the energy consumption of the recycled appliance, ~~(rather than being equal to the difference between the consumption of the participating appliance and its replacement (, when applicable).~~ This is because the energy savings generated by the program are not limited to the change within the participant's home, but rather to the total change in energy consumption at the grid-level.

This concept is best explained with an example. Suppose a customer decides to purchase a new refrigerator to replace an existing one. When the customer mentions this to a neighbor, the neighbor asks for ~~their~~that existing refrigerator, ~~which they plan~~ to use as a secondary unit ~~for themselves.~~ The customer agrees to give ~~their~~the old appliance to the neighbor. ~~However,~~ however, before this transfer is made, the customer learns about a utility-sponsored appliance recycling program, ~~and.~~ The customer decides to participate in the program, since the incentive helps offset the cost of the new refrigerator. As a result of program intervention, the customer's appliance is permanently removed from operation in the utility's service territory.

From the utility's perspective, the difference in grid-level energy consumption—and the corresponding increase in program savings—is~~are~~ equal to the consumption of the recycled appliance, ~~and not to the difference between the~~ energy consumption of the participating appliance and its replacement. ~~In this example, it is also important to note in this example that the participant planned to replace the appliance.~~

In general, the purchase of new refrigerators is part of the naturally occurring appliance lifecycle, ~~generally~~typically independent of the program¹⁷; and tantamount to refrigerator load growth. It is not the purpose of the program to prevent these inevitable purchases, but rather to minimize the grid-level refrigerator load growth by limiting the number of existing appliances that continue to operate once they are replaced.

~~Appliances that, independent of the program, would have been discarded in a way leading to destruction (such as being taken to a landfill), rather than being transferred to a new user, are captured by the evaluation's net to gross (NTG) ratio; therefore, no net savings are generated by the program. This is a separate issue from estimating gross energy savings, and is discussed in the following Net Savings section in more detail.~~

However, when a recycling program induces replacement (i.e., the participant would *not* have purchased the new refrigerator in absence of the recycling program), evaluators must account for replacement. ~~This issue is also detailed in the following Net Savings section.~~This issue is addressed in the following Net Savings section, which also discusses recycling program's impact on the secondary market and how evaluators should account for these effects. This protocol

¹⁷ With the exception of induced replacement, which is addressed in the Net Savings section,

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focuses on the actions of would-be recipients of refrigerators recycled through the program (that otherwise would have been transferred to a new user) when the recycled unit is not available.

5-Appliances that, independent of the program, would have been discarded in a way leading to destruction (such as being taken to a landfill)—rather than being transferred to a new user—are captured by the evaluation’s net-to-gross (NTG) ratio. Thus, no net savings are generated by the program. This is a separate issue from estimating gross energy savings and is also discussed in the following Net Savings section in more detail.

5 Net Savings

This section provides instructions for determining the additional parameters required to estimate a refrigerator recycling program’s net savings (NET_kWh_{saved}). The key additional parameters detailed in this section are:

- ~~● Freeridership (FR_RATIO)~~
- ~~● Annual Energy Consumption of Replacement Refrigerator (REPLACEMENT_UEC)~~
- ~~● Induced Replacement Ratio (INDUCED_REPLACEMENT_RATIO)~~

After determining a program’s gross energy savings, the net savings are determined by applying a NTG adjustment. In the case of refrigerator recycling, net savings are only generated when the recycled appliance would have continued to operate absent program intervention (either within the participating customer’s home or at the home of another utility customer).

The key additional parameters detailed in this section are these:

- Freeridership (FR_RATIO)
- Annual Energy Consumption of Replacement Refrigerator (UEC_{REPLACEMENT})
- Induced Replacement Ratio (INDUCED REPLACEMENT_RATIO)

To determine NTG, evaluators should rely on

5.1 Spillover

For the following multiple reasons, this protocol does not recommend quantifying and applying participant spillover to adjust net savings:

1. Unlike a CFL program, the opportunities for “like” spillover (the most common and defensible form of evaluated spillover for most downstream DSM programs) are limited with a recycling program as there is a limited number of refrigerators active in a home and available for recycling.
2. Unlike a whole-house audit program, recycling programs typically do not provide comprehensive energy education that would identify other efficiency opportunities within the home and generate “unlike” spillover.
3. The accurate quantification of spillover is challenging and, despite well-designed surveys, uncertainty often exists regarding the attribution of subsequent efficiency improvements to participation in the recycling program.

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As a result of the ease of participation and high levels of participant satisfaction, appliance recycling programs may, however, encourage utility customers to enroll in other available residential programs. While this is a positive attribute of recycling programs within a residential portfolio, all resulting savings are captured by other program evaluations.

5.2 Data Sources

After determining a program's gross energy savings, the net savings are determined by applying a NTG adjustment using the follow data sources¹⁸:

- **Participant Surveys.** Surveys with a random sample of participants offer self-report estimates regarding whether participating refrigerators would have been kept or discarded independent of the program.¹⁹ ~~Those~~ When participants ~~who~~ indicate the recycled refrigerator would have been discarded ~~should be asked to provide, ask for~~ detail details as to their likely method of disposal in the absence of the program. For example, ask whether the appliance would have been given to a neighbor, taken to recycling center, or sold to used-appliance dealer.
- **Nonparticipant²⁰ Surveys.** To mitigate potential response bias,²¹ it is recommended that²², this protocol recommends using nonparticipant surveys also be used to obtain information for estimating NTG. Information about how nonparticipants actually discarded their operable refrigerators outside of the program can reveal and account for mitigate potential response bias from participants ~~(who, (Participants~~ may overstate the frequency with which they would have recycled their old-but-operable refrigerator, which happens because they tend to give respond with what they perceive as being socially acceptable answers~~-.).~~ Nonparticipants, however, can only provide information about how units were actually discarded. ~~Information regarding the likelihood that the recycled refrigerator would have been retained independent of program intervention can be obtained reliably through the participant surveys.~~²³ Since nonparticipant surveys require greater evaluation resources, it is acceptable to use smaller sample sizes.²⁴
- **Market Research.** Some participant and nonparticipant responses require additional information ~~to for determining~~ definitively determine whether the old-but-operable

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¹⁸ When it is cost-prohibitive to survey nonparticipants and interview market actors, calculate freeridership using participant surveys and secondary data from a comparable set of market actors.

¹⁹ As noted previously, the number of participant surveys should be sufficient to meet the required level of statistical significance. A minimum of 90% confidence with 10% precision is suggested.

²⁰ "Nonparticipants" are defined as utility customers who disposed of an operable refrigerator outside of the utility program while the program was being offered.

²¹ See the Sampling chapter for a broader discussion of sources of bias.

²² See the Sampling chapter for a broader discussion of sources of bias.

²³ Information regarding the likelihood that the recycled refrigerator would have been retained independent of program intervention can be obtained reliably through the participant surveys.

²⁴ The cost of identifying nonparticipants can be minimized by adding the nonparticipant NTG module to concurrent participant surveys for other utility program evaluations.

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refrigerator would have been kept in use absent the program. Responses that requiring follow-up include:

- “I would have sold it to a used appliance dealer,” or
- “I would have had the dealer who delivered my new refrigerator take the old refrigerator.” ~~Market research should be conducted to~~

- ◆ To inform ~~the~~ more robust NTG analysis. ~~Representatives, conduct market research by interviewing senior management~~ from -new appliance dealers and used appliance dealers— (both -local chains and big-box retailers—~~should be interviewed to determine~~). Ask about the viability of recycled refrigerators being resold on the used market had they not been decommissioned through the program. ~~Information gained through this the market~~ For example, do market actors resell none, some, or all picked-up refrigerators? If so, only some are resold, what are characteristics (e.g., age, condition, features) that determine when a refrigerator is for resale. Information gained through this research (which should be conducted before the participant surveys) can be used to assess the reasonableness of participants’ self-reported hypothetical actions independent of the program. This information can also be used to prompt participants to offer alternative hypothetical actions.²⁵

A detailed explanation of how to ~~aggregate~~ estimate NTG by aggregating information from ~~all three of the above listed these~~ sources ~~to estimate NTG~~ is provided later in this section. Also, as previous recycling evaluations have found little evidence of program-induced spillover,²⁶ this protocol does not require that spillover be addressed quantitatively.²⁷ As a result, estimates of NTG need only to account for freeridership and induced replacement.

5.3 5.4 Freeridership (FR_RATIO)

In general, independent of program intervention, participating refrigerators would have been subject to one of the following scenarios:

1. The refrigerator would have been kept ~~and used~~ by the household.
2. The refrigerator would have been discarded by a method that transfers it to another customer for continued use.
3. The refrigerator would have been discarded by a method leading to its destruction.

~~Of these, only scenario 3 indicates freeridership, as the refrigerator would have been permanently removed from the grid in the absence of program intervention. As a result, the utilities cannot claim the energy savings generated by the inclusion of these appliances in the program.~~

²⁵ More detail is provided in Section 5.3 Freeridership (FR_RATIO).

²⁶ See the Net-to-Gross chapter for more information about spillover.

²⁷ This issue is discussed further in Cadmus’ forthcoming evaluation of PacifiCorp’s Appliance Recycling Program in Washington.

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5.3.1 Participant Self-Reported Actions

To determine the percentage of participants in each of the three scenarios (and, therefore, to calculate the program NTG), evaluators should askbegin by asking surveyed participants about the likely fate of their recycled appliance had it not been decommissioned through the utility program. Responses provided by participants can be categorized as follows:

- Kept ~~and continued to operate~~ the refrigerator.
- ~~Kept the refrigerator but stored it unplugged indefinitely.~~
- Sold the refrigerator to a private party (either an acquaintance or through a posted advertisement).
- Sold or gave the refrigerator to a used-appliance dealer.
- Gave the refrigerator to a private party, such as a friend or neighbor.
- Gave the refrigerator to a charity organization, such as Goodwill Industries or a church.
- Had the refrigerator removed by the dealer from whom the new or replacement refrigerator was obtained.
- Hauled the refrigerator to a landfill or recycling center.
- Hired someone else to haul the refrigerator away for junking, dumping, or recycling.

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To ensure the highest quality of most reliable responses possible and to mitigate a socially desirable response bias, ~~the evaluator should employ an iterative survey design in which each participant is asked a series of follow up~~ evaluators should ask some respondents additional questions based on their responses. In this way, the survey design will test the viability of each participant's initial response. For example, participants who indicate that may say they would have ~~hailed the refrigerator sold their unit to a landfill or a recycling center used appliance dealer. However, if the evaluation's market research revealed used appliance dealers were unlikely to purchase it (due to its age or condition), then the participant should be asked if what they or someone in their immediate family had the ability to transport the unit (for example, had access to a large vehicle or truck). After responding to any relevant follow up questions, participants should again be asked their would have likely action independent of done had they been unable to sell the program.~~

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~~After following the described iterative approach~~ unit to validate the participant's hypothetical action a dealer. Evaluators should then use their response to this question to assess freeridership.

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If market research determined local waste transfer stations charge a fee for dropping off refrigerators, then participants who initial specify this as their option should be informed of that fee. Then, ask the participants to confirm what they would have done in the absence of the utility program, program. Again, evaluators should this response to assess freeridership.

Use this iterative approach with great care. It is critical that evaluators find the appropriate balance between increasing the plausibility of participants' stated action (by offering context

that might have impacted their decision) while not upsetting participants by appearing to invalidate their initial response.

Next evaluators should assess whether each participant's final response indicates freeridership.

- Some final responses clearly indicate freeridership, such as: "I would have taken it to the landfill or recycling center myself."
- Other responses clearly indicate no freeridership, as when the refrigerator would have remained active within the participating home ("I would have kept it and continued to use it") or been used elsewhere within the utility's service territory ("I would have given it to a family member, neighbor, or friend to use").

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~~However, some responses' indication of freeridership is less straightforward, such as "I would have sold it to a used appliance dealer." In these situations, it is unknown whether the appliance has any value on the secondary market. The market research techniques discussed above should be used to determine the viability of the specific appliance on the resale market based on the refrigerator's characteristics, and, therefore, whether the participant's response is indicative of freeridership.~~

~~Evaluators should~~

5.3.2 Impact on Secondary Market

If it is determined that the participant would have transferred the unit to another customer on the grid, the question becomes what that potential acquirer did. There are three possibilities:

1. *None of the would-be acquirers would find another unit.* That is, program participation would result in a one-for-one reduction in the total number of refrigerators operating on the grid. In this case, the total energy consumption of avoided transfers (participating appliances that otherwise would have been used by another customer) should be credited as savings to the program. This position is consistent with prevailing program theory and dictates that participating appliances are essentially luxury goods for would-be acquirers. (That is, a secondary refrigerator is not a necessity, but it is nice to have should it be available.)
2. *All of the would-be acquirers would find another unit.* Thus, program participation has no effect on the total number of refrigerators operating on the grid. In this case, none of the energy consumption associated with avoided transfers should be credited to the program, as the total refrigerator load operating on the grid is essentially unchanged. This position is consistent with the notion that participating appliances are necessities and that customers will always seek alternative units when participating appliances are unavailable.
3. *Some of would-be acquirers would find another unit, while others would not.* In this case, some of these acquirers were in the market for a refrigerator and would acquire another unit, while others were not (and would only have taken the unit opportunistically).

Absent a detailed accounting of all metrics in the appliance market (rarely available), this is extremely difficult to measure. The identification of would-be acquirers is also problematic, as it

is uncertain whether the units they acquired are of the same vintage and condition as participating appliances.

In some cases, evaluators have conducted in-depth market research to ascertain the appropriate attribution of savings for this scenario. Although these studies are imperfect, they provide a more accurate accounting of freeridership and, where feasible, this is the recommended approach. Unfortunately, this type of research is often cost-prohibitive or the necessary data are simply unavailable.

As a result, this protocol recommends the third possibility listed above—to assume that half (0.5, the midpoint of possibilities 1 and 2) of the would-be acquirers of avoided transfers found another unit instead.

5.3.3 Calculating Freeridership

To estimate freeridership, this protocol recommends that evaluators use the stated intentions of surveyed participants—vetted against market intelligence collected through retailer interviews—to estimate a participant as described above. The protocol also recommends estimating a second, nonparticipant-based freeridership ratio. Information, using information obtained from nonparticipants regarding how they actually discarded their refrigerator independent of the utility program should be used to estimate a second, nonparticipant-based freeridership ratio. Nonparticipant responses should be categorized in a similar manner to participant responses, and then be identified as either indicative or not indicative of freeridership, based on whether the appliance remained operational or was destroyed.

Evaluators should then calculate the program's overall NTG ratio as a weighted average of the participant freeridership ratios of both participants and nonparticipants. Participant and nonparticipant freeridership ratios values are averaged to mitigate potential biases in each group.²⁸ As the true population of nonparticipants is unknown, the NTG values should be weighted using the inverse of the variance of participant and nonparticipant nonparticipant freeridership ratios.²⁹ This method of weighting gives greater weight to those values that are more precise or less variable. This approach is detailed in Table 5.

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²⁸ Participant responses may be biased due to not fully understanding barriers to various disposal options. Nonparticipant decisions may not be representative of what participants would do in absence of the program due to participants self-selecting into the program (as opposed to being randomly enrolled)

²⁹ Inverse variance weights involve weighting each estimate by the inverse of its squared standard error (1/SE²). This technique is common in the meta-analysis literature and is used to place greater weight on more reliable estimates.

5.2 Annual Energy Consumption of Replacement Refrigerator (REPLACEMENT_UEC)

Determining which recycled refrigerators were replaced should be accomplished through the participant surveys. **Table 5. NTG Calculation Details**

Survey Sample	Scenario	Proportion of Survey Sample	Discard Type	Proportion of Scenario	Scenario FR	FR*Proportion of Scenario	Sample FR	SE(Sample FR)	Weight	Weighted FR*Proportion
Participant	Kept	20%	N/A	100%	0.0	0.0	0.60	0.03	100%	0.000
			Transferred	50%	0.5	0.2			74%	0.147
	Discarded	80%	Destroyed	50%	1.0	0.4			74%	0.294
Transferred			60%	0.5	0.2	26%	0.064			
Nonparticipant	Discarded	N/A	Destroyed	40%	1.0	0.3	0.56	0.05	26%	0.085
Total Weighted										0.589

Induced When replacement is indicated, participants should be asked if the replacement refrigerator was a new high efficiency unit, a new standard efficiency unit, or a used unit. Once this is known, it is recommended that evaluators estimate the REPLACEMENT_UEC using a weighted average of the replacement scenarios and the following UEC for each scenario:

- ~~New High Efficiency Unit: Determine UEC using the ENERGY STAR® Refrigerator Savings Calculator³⁰ or a utility specific or regional Technical Reference Manual³¹~~
- ~~New Standard Efficiency Unit: Determine UEC using the ENERGY STAR Refrigerator Savings Calculator~~
- ~~Used Unit (of Unknown Efficiency): Determined UEC through the gross savings analysis~~

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5.4 5.3 Induced Replacement Ratio (INDUCED_REPLACEMENT_RATIO)

Evaluators must account for replacement units *only* when a recycling program induces replacement (that is, when the participant would *not* have purchased the new refrigerator in absence of the recycling program). replacement refrigerator in absence of the recycling program). As previously noted, the purchase of a refrigerator in conjunction with program participation does not necessary indicate induced replacement. (The refrigerator market is continuously replacing older refrigerators with new units, independent of any programmatic effects.) However, if a customer would have not purchased the replacement unit (putting another appliance on the grid) in absence of the program, the net program savings should reflect this fact. This is, in effect, akin to negative spillover.

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The most effective way to estimate the proportion of households induced to replace their appliance is through participant surveys. SpecificallyAs an example, participants ~~should~~could be

³⁰ http://www.energystar.gov/ia/business/bulk_purchasing/bpsavings_calc/Consumer_Residential_Refrig_Sav_Calc.xls?b3a0_e7eb

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³¹ Such as that used by the Regional Technical Forum: http://www.nwecouncil.org/energy/rtf/measures/res/ResRefrigerators_v2_1.xlsm

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asked: “Would you have purchased your replacement refrigerator if the recycling program had not been offered?”

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Since an incentive ranging from \$35 to \$50 may be insufficient to motivate the purchase of an otherwise unplanned replacement unit (which can cost upwards in excess of \$1,500), it is critical that evaluators include a follow-up question to confirm the participants’ assertions that the program alone caused them to replace their refrigerator. Specifically for instance, participants should be asked: “Let me be sure I understand correctly. Are you saying that you chose to purchase a new appliance because of the appliance recycling program, or are you saying that you would have purchased the new refrigerator regardless of the program?”

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The proportion of total respondents indicating that the program induced them to purchase a replacement refrigerator then represents the induced replacement ratio.

5.5 Annual Energy Consumption of Replacement Refrigerator (UEC REPLACEMENT)

Survey the participants to determine which recycled refrigerators were replaced. When replacement is indicated, participants should be asked if the replacement refrigerator was a new high-efficiency unit, a new standard-efficiency unit, or a used unit. Once this is known, this protocol recommends that evaluators estimate the REPLACEMENT UEC using a weighted average of the replacement scenarios and the following UEC for each scenario:

- New High-Efficiency Unit: Determine UEC using the ENERGY STAR® Refrigerator Savings Calculator³² or a utility-specific or regional Technical Reference Manual³³
- New Standard-Efficiency Unit: Determine UEC using the ENERGY STAR Refrigerator Savings Calculator⁶⁻
- Used Unit (of Unknown Efficiency): Determined UEC through the gross savings analysis.

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6 Other Evaluation Issues

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6.1 Remaining Useful Life

It is difficult to determine the number of years that ~~the~~ recycled refrigerators/refrigerator would have continued to operate absent the program and, therefore, the longevity of the savings generated by recycling old-but-operable refrigerators through the program. Participant self-reports are speculative and cannot account for unexpected appliance failure. Also, the standard evaluation measurements of remaining useful life (RUL) are not applicable, as most participating refrigerators are already past their effective useful life (EUL) estimates.

³²http://www.energystar.gov/ia/business/bulk_purchasing/bpsavings_calc/Consumer_Residential_Refrig_Sav_Calc.xls?b3a0-c7cb

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³³ Such as that used by the Regional Technical Forum:
http://www.nwcouncil.org/energy/rtf/measures/res/ResRefrigerators_v2_1.xlsm

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More primary research is needed on this topic to identify a best practice. In the interim, ~~it is recommended that RUL be estimated as a function and in lieu of a utility's new refrigerator EUL, using the following formula:~~³⁴ formal recommendation, this protocol offers two examples of estimation methods.

$$RUL = EUL/3$$

~~Since EUL estimates vary by utility, it is also recommended that any resulting estimates of a unit's RUL be no more than six years.~~

- ~~• RUL can be estimated as a function of a utility's new refrigerator EUL, using the following formula~~³⁵: $RUL = EUL/3$
- ~~• RUL can be estimated using survival analysis (when appropriate data are available).~~³⁶

6.2 Freezers

Although this protocol focuses on refrigerators, most utility appliance recycling programs also decommission stand-alone freezers. While differences exist between the evaluation approach for each appliance type (e.g., all stand-alone freezers are secondary units, while refrigerators may be primary or secondary units), this protocol can also be used to evaluate the savings for freezers.

³⁴ ~~This formula was obtained from the *Database for Energy Efficient Resources* (<http://www.energy.ca.gov/deer/>).~~

³⁵ ~~This formula was obtained from the *Database for Energy Efficient Resources* (<http://www.energy.ca.gov/deer/>).~~

³⁶ In an evaluation of the NV Energy appliance recycling program, ADM Associates used survival analysis using secondary data using data from the 2009 California RASS. This involved estimating hazard rates for refrigerators based on the observed destruction of appliances at various ages. Once the hazard rate function was estimated, a table of expected RULs at each age was calculated. Where feasible, this approach should be followed using data specific to the given utility service area.

7 References

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