QUARTERLY REPORT

JUNE 2001

NEW YORK ENERGY $MART K PROGRAM EVALUATION AND STATUS REPORT

Quarterly Report to the New York State Department of Public Service

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EXECUTIVE SUMMARY

INTRODUCTION

The **New York Energy $mart K** program, funded by a Statewide System Benefits Charge (SBC), was initiated in 1998. NYSERDA was named administrator of approximately $175 million (representing about 74%) of the approximately $234 million public benefits funding allocated for the period July 1, 1998 to June 30, 2001. The remainder of the funding was allocated to the six investor-owned utilities to support on-going public benefits activities.[1] This quarterly report provides progress results from the **New York Energy $mart K** program through March 31, 2001,[2] including information on program budget, implementation status, and current and planned program evaluation activities.

On January 26, 2001 the New York State Public Service Commission (PSC) extended the SBC program in New York.[3] The five-year extension begins in July 1, 2001 and ends June 30, 2006. The funding for the public benefits program was increased to $150 million per year with NYSERDA administering $142 million per year. The extended SBC-funded program will continue to address market barriers. In addition, the extended program will expand peak load reduction and price-sensitive load initiatives, include non-electric energy efficiency measures to promote fuel-switching, and expand Statewide coverage to include customers of the Rochester Gas and Electric Company. NYSERDA's SBC *Operating Plan*,[4] identifying specific program initiatives, was submitted to the PSC in February 2001 and was approved on April 17, 2001. Copies of the *Operating Plan* are available from NYSERDA.

PROGRAM IMPLEMENTATION & PROGRESS STATUS

The **New York Energy $mart K** program, consisting of a portfolio of energy efficiency, low-income, and research and development programs are evaluated in terms of program **outputs** (measures of program activity such as customers served), **outcomes** (measures of outcomes such as kWh savings and air emissions reductions); and **impacts** (measures of longer-term behavioral changes). Table S-1 presents a summary of selected outputs and outcomes to date.

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[1] Utility-managed programs are not evaluated as part of the **New York Energy $mart K** program evaluation.

[2] Previous evaluation reports are available at NYSERDA's web site: www.nyserda.org.

[3] State of New York Public Service Commission. January 26, 2001. *Order Continuing and Expanding the System Benefits Charge for Public Benefit Programs.* CASE 94-E-0952 - In the Matter of Competitive Opportunities Regarding Electric Service.

[4] New York State Energy Research and Development Authority (NYSERDA). *System Benefits Charge: Proposed Operating Plan for the **New York Energy $mart K** Programs (2001-2006).* February 15, 2001.

Table S-1: Selected New York Energy $mart K Outputs and Outcomes

• As of March 31, 2001, NYSERDA had issued 66 solicitations.
• As of March 31, 2001, approximately $169 million, or 93% of the three-year program budget had been committed. The Energy Efficiency program budget was 91% committed, the Low-Income budget was 79% committed, and the R&D budget had exceeded its budget by 15%.
• More than 1,680 allies are working with NYSERDA to carry out program objectives.
• Technical Assistance. As of March 31, the Technical Assistance program, along with the Flex Tech program and the Energy Audit Pilot program, had initiated 738 studies to date, representing an increase of 19% since the last quarterly report. Of the studies initiated, 289 have been completed, representing an increase of 39% since the last quarterly report.
• C/I New Construction. As of March 31, 2001, this program had enlisted 386 projects, representing a 38% increase from the last quarterly report. Over $18 million of incentives has been reserved to satisfy incentive applications. New project application rate is in excess of 30 per month.
• Residential Keep Cool. This program kicked off its Summer 2001 campaign on May 1st. During the first month, the program attracted approximately 5,700 calls to the hotline and more than 6,400 visits to the website. By the end of May 2001, 322 retailers and 100 drop off sites had signed up to participate, and more than 1,200 bounty applications had been received.
• Peak-load Reduction. As of March 31, 2001, this program had awarded over $2.6 million. As of end of June 2001, $16.8 million had been awarded for applications totaling 200 MW of peak demand reductions from short-term curtailment, emergency backup generators, and permanent measures.
• Cooling Recommissioning. This peak reduction program was initiated last summer. As of March 31, the program had awarded $3.4 million, enlisted 180 projects, completed 73 engineering studies, and had 55 projects in the measures installation stage.
• Standard Performance Contracting. As of March 31, the program had awarded $36.9 million in incentives and $2.9 million for program implementation. The total number of projects was 76 with 47 participating ESCOs. The anticipated MW reduction from this program by August 1, 2001 is 29 MW.
• Low-Income Direct Installation Program. As of March 31, 2001, more than 1,600 refrigerators, 9,500 CFLs, and 5,200 hard-wired fluorescent fixtures had been installed within individual units.
• Residential Lighting Catalog. As of May 2001, approximately 25,000 CFLs, 1,400 replacement lamps, 1,900 interior fixtures, 150 exterior fixtures, and 1,500 CFL torchieres had been ordered from the catalogue. Gross sales total more than $500,000, with NYSERDA buying down costs by about $250,000.
• **New York Energy $mart K** Loan Fund. As of March 31, 2001, the Loan Fund had received 62 applications for more than $5 million in energy efficiency capital improvements.

The anticipated energy, environmental, and economic outcomes from funds awarded to date, and from full subscription of the three-year SBC budget, are summarized in Table S-2. The anticipated outcomes from funds awarded to date include electricity savings of 846 million kWh annually and peak demand reduction potential of 219 MW. For full subscription, the anticipated electricity savings are 972 million kWh annually and 415 MW of peak demand reduction potential. The anticipated air emissions reductions from full subscription are 919 tons of nitrogen oxides (NO_X), 1,568 tons of sulfur dioxide (SO_2), and 660,519 tons of carbon dioxide (CO_2) annually. These emission reductions are equivalent to removing approximately 133,000 automobiles from New York's roads annually. Total consumer energy

savings associated with full subscription of the **New York Energy $mart K** programs is expected to be over $122 million annually.[5] The economic benefits from improving the efficiency of energy use, and reducing the amount of money leaving the State to pay for imported energy, are estimated to create 2,100 jobs in New York.[6]

Table S-2: Summary of Anticipated Energy, Environmental, and Economic Outcomes

Outcomes		Anticipated from Funds Awarded	Anticipated from Full Subscription of Three-Year Budget*
Annual Electricity Savings**		846 million kWh	972 million kWh
Summer Peak Demand Reduction Potential (MW)		219 MW	415 MW†
tBtu Savings***		11.0 tBtu	13.5 tBtu
Annual Energy Bill Reduction - all fuels ****		$97.1 million	$122.8 million
Environmental Benefits (emission reductions)	NO_X (tons per year)	800	919
	SO_2 (tons per year)	1,364	1,568
	CO_2 (tons per year)	574,607	660,519
Economic Benefits	Jobs Created (jobs created or sustained per year)	1,800	2,100

* Based on three-year program budget of $168.9 million.
** Including clean generation from wind and PV
*** All fuels including tBtu savings from the electricity generation source.
**** Includes bill savings from electricity, oil, and natural gas.
† The 415 MW of anticipated peak demand reduction includes 200 MW from applications to the Peak Load Reduction received as of mid-June 2001.

REPORT CONTENTS

Section 1 of this quarterly report presents detailed information on the financial status, solicitation and contracting process, and program outcomes of the **New York Energy $mart K** program through March 31, 2001. Section 2 highlights evaluation activities to date and also outlines a tentative schedule of the evaluation activities planned through December 2001, including plans for assessing causality and impact.

[5] This number includes electricity bill savings and identified oil and natural gas savings.

[6] These jobs are expected to be in New York's service and retail trade sectors and will be supported annually, for as long as implemented energy efficiency measures remain in effect.

Section 1

QUARTERLY PROCESS AND PROGRESS UPDATE

INTRODUCTION

This Section updates the implementation status of the **New York Energy $mart K** program since the last *New York Energy $mart K Quarterly Program Evaluation and Status Report*, dated March 2001, which provided results through December 30, 2000. This report updates the implementation status as of March 31, 2001.[7]

BUDGET STATUS

The three-year **New York Energy $mart K** budget, including accrued interest earnings through June 30, 2000, is $182.1 million.[8] Committed funds[9] represent nearly $170 million, or approximately 93% of the three-year budget. Committed funds by major budget categories are shown in Table 1-1.

Table 1-1: Budget Status by Program Area as of March 31, 2001 ($ million)

Program Area	3-year Budget	Committed	Committed as % of Budget	Balance
Energy Efficiency	$123.9	$112.7	91%	$9.7
Low-Income	$16.2	$12.8	79%	$3.4
R&D	$28.8	$33.2	115%	($4.4)
Environmental Disclosure	$2.9	$0.4	12%	$2.5
Metrics/Evaluation	$0.6	$0.6	100%	$0.0
Administration	$9.7	$8.9	92%	$0.8
TOTAL	$182.1	$168.6	93%	$13.6

In some cases, it appears that committed funds have either remained the same or decreased slightly since

[7] Where more current information was available at the time this report was prepared, that information is included and the date of the information is specified.

[8] The public benefit funds collected from utility companies are maintained in a separate bank account under the custody of the Commissioner of Taxation and Finance, NYSERDA's statutory fiscal agent. These funds remain invested until disbursed, consistent with investment guidelines approved by NYSERDA's Board and guidelines promulgated by the State Comptroller.

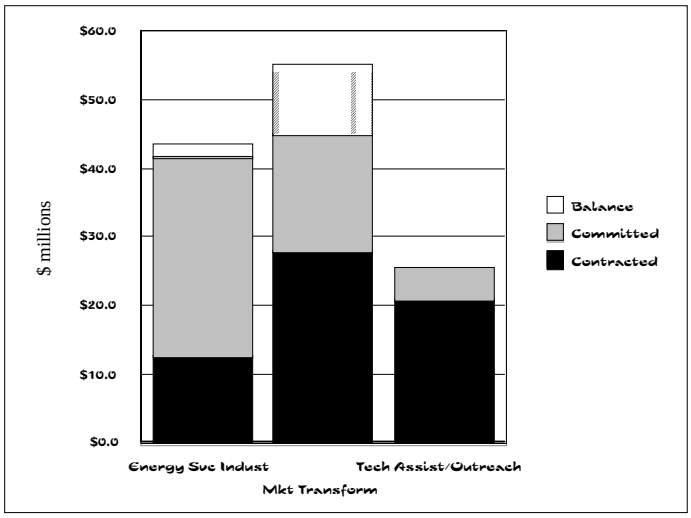
[9] Committed funds include expenditures to date, funding tied to purchase orders, contracts, and incentive applications pending award. More than $106 million of the committed funds were encumbered (contracted) by March 31, 2001. Approximately $47 million (approximately 44%) of the encumbered funds were invoiced as of March 31, 2001.

the last report. This result is due to committed funds now being defined more conservatively. Committed funds no longer include funding reserved for open incentive solicitations as in previous reporting.

Energy Efficiency Services

The three-year budget for Energy Efficiency Services was $123.9 million. To date, committed funds represent approximately 91% of the budget. This program area is subdivided into Energy Services Industry, Market Transformation, and Technical Assistance/Outreach. A financial summary by these program categories is presented in Figure 1-1.

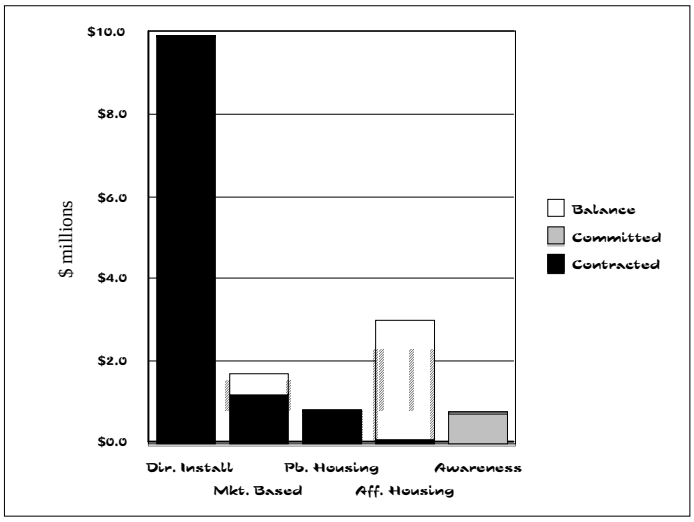
Figure 1-1: Financial Summary for Energy Efficiency Services



Low-Income Energy Affordability

Low-Income Energy Affordability, funded at $16.2 million, includes Direct Installation, Market- Based Strategies (Aggregation), Public Housing Coordination, Affordable Assisted Housing, and Public Awareness programs. Committed funds represent approximately 79% of the three-year budget. Of the $3.4 million that are uncommitted, $2.8 million in incentives from the Affordable Assisted Housing program is expected to be awarded to customers in the near future. A financial summary of the Low-Income program is shown in Figure 1-2.

Figure 1-2: Financial Summary for Low-Income



Research and Development

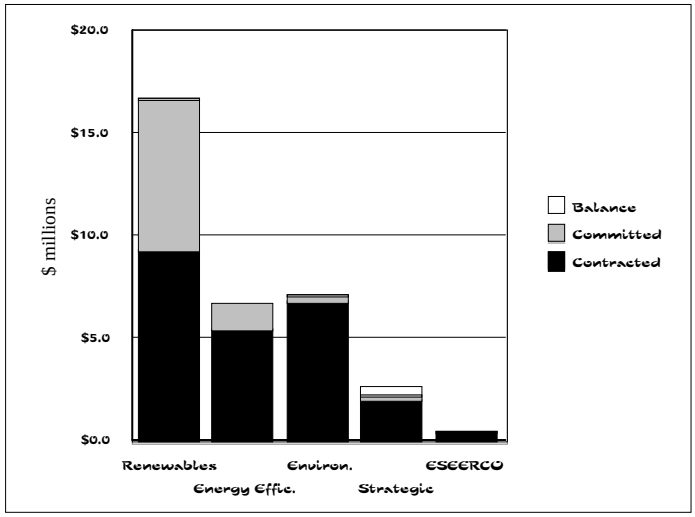
Research and Development (R&D), with a three-year budget of $28.8 million, includes Renewable Energy; Energy Efficiency R&D; Strategic R&D; Environmental Monitoring, Evaluation, and Protection; and projects transferred from the Empire State Electric Energy Research Corporation (ESEERCO). Committed funds have reached 115% of the three year program budget. A financial summary of the R&D programs is shown in Figure 1-3.

PROCESS SUMMARY

Solicitations Released

Program Implementation Solicitations. As of June 2001, total of 38 solicitations, comprising 18 Request for Proposals (RFPs) and 20 Program Opportunity Notices (PONs), have been issued to competitively select and hire contractors for program design or implementation. As of June 2001, all of these solicitations have closed. Nearly 500 proposals were received. Of these, nearly 400 have been reviewed and about 125 (31%) have been (or are soon expected to be) awarded contracts.

Figure 1-3: Financial Summary for R&D



Incentive Offerings. A total of 28 solicitations have been issued that offer financial incentives. As of June 2001, 22 have closed and six remain open.[10] The solicitations that have closed have yielded almost 700 applications, more than 86% of which have been (or are soon expected to be) approved for funding.

Program Process Cycle-Times

NYSERDA's **New York Energy $mart K** program solicitation process consists of three major phases, each of which is tracked for administrative efficiency. These phases are as follows.

Phase 1. The time from the Program Development Management Committee approval of the solicitation to release of the solicitation.

Phase 2. The time from solicitation release to the due date for proposals. This phase represents the amount of time that contractors or customers have to respond.

Phase 3. The time from the proposal submission date to the date of contract signing. A significant portion of this phase is spent on reaching agreements with proposers on specific work scopes and contract terms. Phase three is typically longer for PONs than RFPs because PONs involve multiple proposals, as high as 70 proposals from one solicitation, that are approved for funding at the same time and require contract agreements with numerous parties.

The median number of weeks for each of these three phases has been presented in past quarterly reports

[10] Incentive offerings open at this time are for Standard Performance Contracting, Institutional Performance Contract Assistance, New Construction, Premium Efficiency Motors, the Loan Fund, and Peak Load Reduction.

for RFPs and PONs. Cycle-time data has been found to change only incrementally from quarter to quarter as two or three new solicitations are included in the analysis. Declining trends have been noted in certain areas and highlighted in past reports. The next full reporting of cycle-time will appear in the December 2001 report, including a comparison of cycle times of solicitations from the first two years of **New York Energy $mart K** implementation with cycle-times from more recent solicitations.

During the past quarter, NYSERDA has undertaken an additional component of cycle-time analysis. In past reporting, the phase three cycle-time for incentives was calculated only for solicitations that called for detailed proposals that were competitively selected by a technical evaluation panel. For other types of incentive offerings, like the New Construction program, phase three entails an in-house review on a first-come first-served basis. NYSERDA has begun to track received dates and approval dates for this type of incentive offerings. Two such incentive offerings are the Peak Load Reduction program (PON 577) and the Technical Services program (PON 583). Initial findings are as follows:

- Peak Load Reduction: Of the 120 proposals received, 49 have resulted in signed agreements by mid-June 2001. The time elapsed between the proposal received date and the signing of a purchase order was a median of 3.4 weeks.

- Technical Assistance Program: This solicitation was released in January 2001. Customers submit an initial basic application which is reviewed by NYSERDA. Customers with valid applications are then contacted to develop a detailed statement of work. As of mid-May, nine applications out of 64 had resulted in signed purchase orders. As of mid-June, nearly 50 of the 64 applicants had been notified that their initial application had been accepted. The time elapsed between date of application receipt and purchase order signing was a median of 9.3 weeks. This median includes both the basic application and development of the statement of work.

PROGRESS SUMMARY

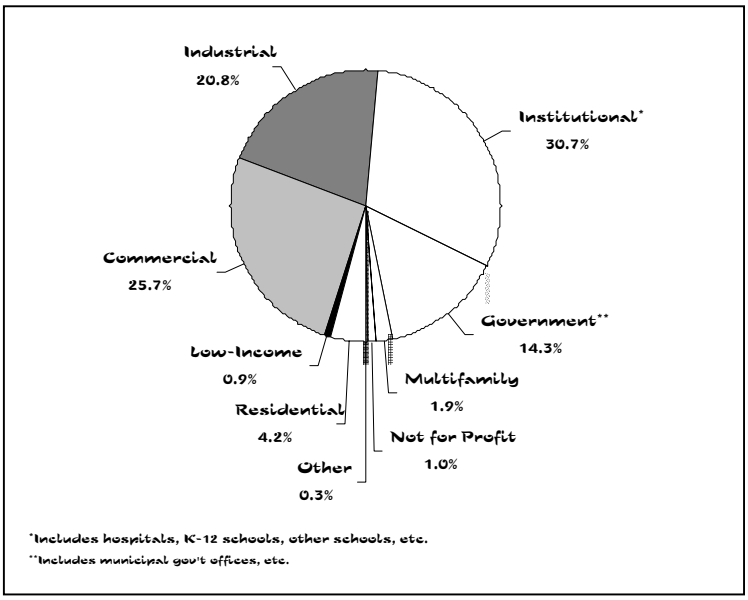
Funds Awarded and Anticipated Electricity and Demand Savings

Funds Awarded.[11] Funds awarded by individual programs is shown in Table 1-2. Total funds awarded as of March 31, 2001 is $147.2 million. Of this total, 72% was awarded through the energy efficiency services programs, 5% was awarded through the low-income programs, and 23% was awarded through the R&D programs.

Anticipated Electricity Savings. The anticipated electricity savings from funds awarded, also shown in Table 1-2, are 723 million kWh annually from energy efficiency services programs, 6.6 million kWh from low-income programs, and 115 million kWh of clean energy from wind and PV.[12] The anticipated summer peak demand reduction from funds awarded is nearly 211 MW from energy efficiency programs, .9 MW from low-income programs, and 6.8 MW from the R&D renewables program. As of May 15, 2001, 46 MW of demand reduction was determined to be installed.

Distribution of Electricity Savings by End-Use Sector. The distribution of annual electricity savings by end-use sector from funds awarded is shown in Figure 1-4.[13] The institutional, commercial, industrial, and government sectors represent approximately 92% of the kWh savings. The balance is represented by the residential sector, including low-income and multi-family. This distribution is expected to shift as more residential programs become fully operational. The distribution of savings is similar to that shown in the last report.

Figure 1-4: Distribution of Anticipated Annual kWh Savings by End Use Sector



[11] Awarded funds differs from the committed funding reported earlier in that awarded funds do not include funds committed to a contractor that has not been awarded to end-use customers.

[12] For a summary of the methodology used to calculated these electric and demand savings see the *September 2000 New York Energy $mart K Program Interim Evaluation and Status Report*, Table 4-7; page 4-30.

[13] The analysis of savings by sector excludes kWh savings from wind and photovoltaic (PV) since these technologies displace existing electric generation and do not reduce total electricity use in the State.

Table 1-2: Funds Awarded and Anticipated Annual Electricity and Peak Demand Savings (As of March 31, 2001)

	Funds Awarded (million $)	Anticipated Electricity Savings (million kWh)	Anticipated Demand Savings (MW)[1]
Energy Efficiency Services Programs			
Standard Performance Contract	$39.8	246.9	53.9
Institutional Perf. Contracting Assistance	$3.3	97.3	21.2
New Construction	$20.3	59.3	21.6
Premium-Efficiency Motors	$1.0	1.1	0.2
HVAC	$1.6	0.0	0.0
Small Commercial Lighting	$2.4	0.0	0.0
C/I Innovative Opportunities: Geothermal	$0.3	0.1	0.0
C/I Innovative Opportunities: Other	$2.3	N/A	N/A
Residential Appliance & Lighting and	$12.2	30.5	5.2
Keep Cool	$4.0	0.15	0.2
Residential New Construction	$0.2	0.0	0.0
Home Performance with ENERGY STAR®	$1.2	0.0	0.0
Residential Innovative Opportunities	$0.8	N/A	N/A
Loan Fund	$0.9 [1]	3.5	1.2
Multi-Family Loan Fund Demonstration	$0.07	0.0	0.0
C/I Technical Assistance	$9.1	226.9	60.3
Cooling Recomissioning	$3.4	57.0	11.2
Peak Load Reduction	$2.6	–	36.2[2]
Residential Comprehensive Energy	$0.7	0.8	0.4
Subtotal for Energy Efficiency	*$106.0*	*723.4*	*211.7*
Low-Income Programs			
Low-Income Direct Installation	$5.2	6.6	0.9
Low-Income Public Awareness	$0.7	N/A	N/A
Low-Income Aggregation	$1.2	N/A	N/A
Public Assisted Housing Programs	$0.9	–	–
Subtotal for Low Income	*$8.0*	*6.6*	*0.9*
R&D Programs			
Renewables	$16.6	115.5 [3]	6.8 [4]
Strategic & Energy Efficiency R&D	$9.0	TBD	TBD
Environmental Protection	$7.1	N/A	N/A
ESEERCO	$0.5	N/A	N/A
Subtotal for R&D	*$33.2*	*115.5*	*6.8*
Total for New York Energy $mart K	**$147.2**	**845.5**	**219.4**

– Denotes programs that are not yet operational.

(1) Awarded funds represent the dollar value of the interest rate reduction to the customer, and do not include funds that have been deposited into CDs with participating banks to write down interest rates. Awarded funds also include program implementation costs.

(2) Approximately 98% of the demand reduction is from funding allowing program participants to invoke load curtailment or emergency generator equipment in response to an Independent System Operator (ISO) emergency.

(3) Based on average capacity factors between 24 to 28% for wind and 16% for photovoltaics.

(4) Based on a 12% summer peak factor for wind and a 90% summer peak factor for photovoltaics.

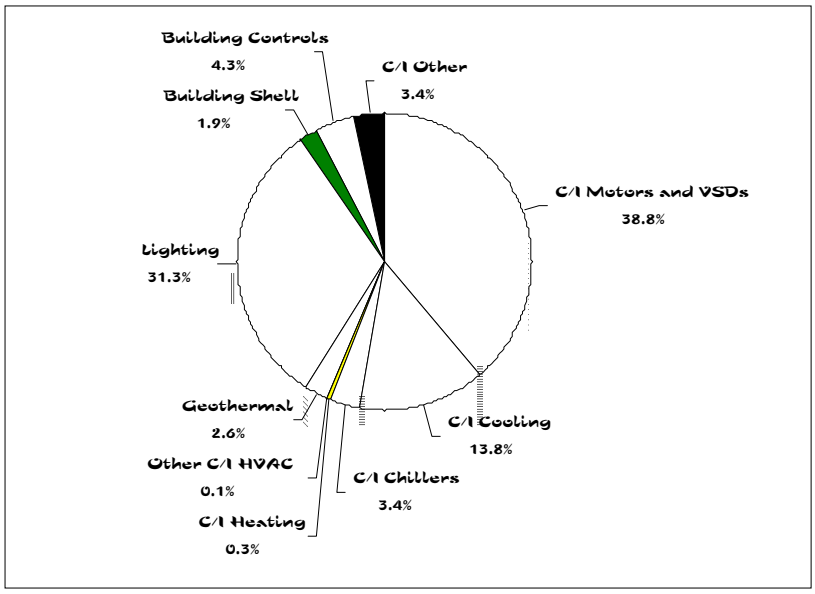
Electricity Savings by Measure. The proportion of kWh savings by measure for selected commercial and industrial (C/I) programs is presented in Table 1-3. The category of measures currently being tracked are shown across the top row of the table. For each program, the proportion of kWh savings represented by each measure category is shown. For example, for the Standard Performance Contracting program, 47% of the kWh savings will come from motors and variable-speed drive, 35% from lighting, and 18% from cooling measures.

Table 1-3: Anticipated Annual kWh Savings by Measure for Funds Awarded for Selected C/I Programs (in million kWh)

	Motors/VSDs	Cooling	Chillers	Heating	Other HVAC	Geothermal	Lighting	Bldg Shell	Bldg Controls	Other	Total
Std. Performance Contract	47%	18%					35%			0.4%	100%
New Construction	12%	7%	21%	2%	1%	16%	13%	12%	17%	0%	100%
Premium Efficiency Motors	100%										100%
Geothermal Heat Pumps						100%					100%
Cooling Recommissioning	30%	5%					35%		10%	20%	100%
TOTAL	**39%**	**14%**	**3%**	**0%**	**0%**	**3%**	**31%**	**2%**	**4%**	**3%**	**100%**

The distribution of kWh savings from C/I measures is shown graphically in Figure 1-5. Across the C/I programs, motors and variable-speed drives (VSD) represent 39% of the kWh savings, followed by lighting with 31%, followed by heating, ventilation and air conditioning (HVAC) equipment representing 20% of the kWh savings. The distribution of savings is consistent with the distribution shown in the last quarterly report. At this time, work is in progress to

Figure 1-5: Distribution of Anticipated Annual kWh Savings by Measure: C/I Programs



determine implementation rates and anticipated kWh savings by measures for the various technical assistance programs (Technical Assistance, Flex Tech, and Energy Audit Pilot). These programs provide recommendations on a wide range of measures and measure breakdown for these programs will be included in future reporting.

The proportion of electricity savings by measure for programs serving the residential sector (including Low-Income) is presented in Table 1-4 for those programs for which measure breakdowns are currently available. Of the approximately 37 million kWh of electricity savings that can be broken down by measure, residential appliances account for about 68% of the savings, followed by home lighting (19%) and electronics (13%). KWh savings by measure from the Loan Fund program will be included in future reporting.

Table 1-4: Percentage of Anticipated Annual Electricity Savings for Residential Programs (in million kWh), by End-Use Measure

	Lighting	Appliances	Electronics	Building Shell	Other	Total
Residential Appliance & Lighting and ENERGY STAR®	10%	74%	16%	–	–	100%
Keep Cool Program	–	100%	–	–	–	100%
Low-Income Direct	62%	38%	–	–	–	100%
TOTAL	**19%**	**68%**	**13%**	**–**	**–**	**100%**

Electricity Savings by Utility Service Area. The proportion of each individual program's kWh savings distributed by utility service area is presented in Table 1-5. The overall distribution of electricity savings by utility service area is depicted in Figure 1-6. Approximately 43% of the kWh reductions are represented in the Niagara Mohawk service, 32% in the Con Edison service area, 14% in the NYSEG service area, 6% in the Central Hudson service area, and 3% in the Orange & Rockland service area. The distribution of kWh savings is largely unchanged since the last report. Expansion of programs targeting smaller commercial customers (*i.e.* Small Commercial Lighting program) and various residential and low-income programs are expected to result in more savings in the upstate utility service areas.

Table 1-5: Distribution of Anticipated Electricity Savings by Utility Service Area (in million kWh)

	CHG&	ConEd	NYSEG	NMPC	O&R	RG&E	Multiple	Total
Energy Efficiency Services Programs								
Standard Performance Contract	2%	29%	12%	56%	1%	0%	0%	100%
Inst. Performance Contract	9%	7%	24%	52%	7%	1%	0%	100%
C/I New Construction	9%	37%	12%	35%	6%	0%	0%	100%
Premium Efficiency Motors	0%	7%	9%	63%	3%	0&	18%	100%
Loan Fund	0%	9%	3%	88%	0%	0%	0%	100%
Residential Appliances & Lighting	4%	26%	33%	17%	13%	0%	7%	100%
Keep Cool Program	14%	50%	19%	17%	0%	0%	0%	100%
Technical Assistance C/I Programs	7%	38%	12%	35%	3%	0%	6%	100
Cooling Recommissioning	2%	55%	9%	34%	0%	0%	0%	100
Residential Comprehensive Energy	0%	100%	0%	0%	0%	0%	0%	100
Low-Income Direct Installation	11%	85%	n/a	n/a	3%	0%	n/a	100%
TOTAL	**6%**	**32%**	**14%**	**43%**	**3%**	**0%**	**2%**	**100%**

Other Fuel Savings. Programs that are currently providing energy savings for fuels other than electricity include the technical assistance programs (Technical Assistance, Flex Tech, Energy Audit Pilot) and the geothermal heat pump project. Natural gas and oil savings from these programs are reported in Table 1-6. Studies conducted by these programs are expected to result in installed measures providing nearly 2.4 TBtu of natural gas savings and 760,000 mmBtu of oil savings. Future reports will include natural gas and oil savings from the Home Performance with ENERGY STAR® program which will identify energy savings from non-electric measures such as furnaces and boilers. Future reports will also include natural gas and oil savings from the **New York Energy $mart K** Loan Fund program which is providing reduced interest rate financing for measures that save on natural gas and oil.

Figure 1-6: Anticipated Annual kWh Savings by Utility Service Area

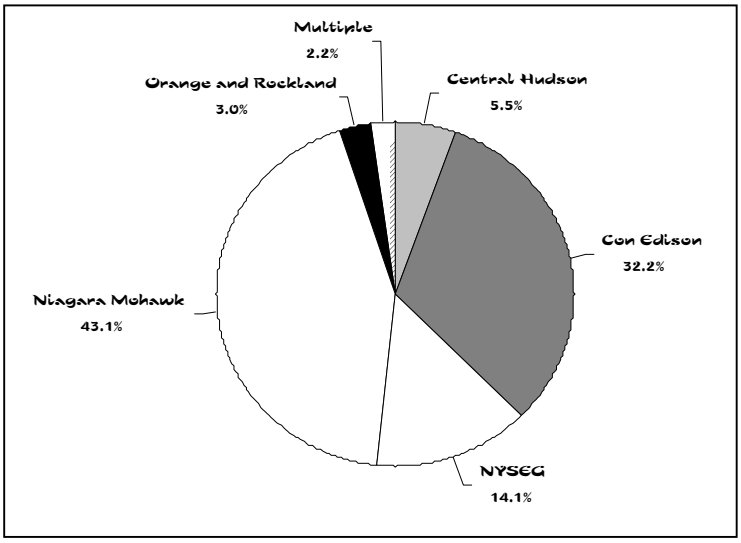


Table 1-6: Anticipated Natural Gas and Oil Savings From Funds Awarded

	Natural Gas		Oil	
	mmBtu	**($ Millions)**	**mmBtu**	**($ Millions)**
C/I Technical Assistance Programs	2,268,500	$12.7	756,167	$3.2
Geothermal Heat Pump Project*	129,249	$0.8	3,160	$0.01
Total	2,397,719	$13.5	759,327	$3.3

***** The natural gas and oil savings estimates for this program has been reduced since the last report due to lower than anticipated savings from recent projects.

Environmental and Economic Benefits. Anticipated reductions in nitrogen oxides (NOx), sulfur dioxide (SO_2), and carbon dioxide (CO_2) emissions are presented in Table 1-7 for programs that are currently operational and reporting energy savings. These reductions are based on annual electricity savings of 730 million kWh (from energy efficiency services and low-income programs), clean generation of 116 million kWh (from wind and PV), and natural gas and oil savings of nearly 3.2 tBtu. Collectively, the annual CO_2 reduction is equivalent to removing approximately 114,000 automobiles from New York's roadways.[14] The cost savings from reduced energy use (from electricity, oil, and natural gas bills) is expected to lead to the creation of about 1,800 jobs in New York's service and retail trade sectors.[15]

Table 1-7: Anticipated Emission Reductions from Programs Currently Reporting Energy Savings (in tons)

Primary Pollutant	From Electricity Savings (730 million kWh)	From Oil and Natural Gas Savings (3.2 tBtu)	From Clean Generation: Wind & PV (116 million kWh)	All Sources
NOx	548	166	87	800
SO_2	1,102	87	174	1,364
CO_2	321,935	201,772	50,891	574,607

The emission reductions expected once the total initial three-year budget is fully subscribed are shown in Table 1-8. These emission reductions are based on a straight-line extrapolation of energy savings from the unexpended three-year budget.[16] These projected savings are 839 million kWh of electricity savings, 3.6 tBtu of oil and natural gas savings, and 133 million kWh of clean generation. The combined annual

[14] Statewide tonnage caps on sulfur dioxide and nitrogen dioxide emissions from electricity generation sources limit the impacts of reduced electricity use on actual emission of these pollutants. However, reduced electricity use does result in lower environmental compliance costs for generation sources.

[15] These jobs will be supported annually for as long as the implemented energy efficiency measures remain in effect.

[16] The initial three-year budget is 87% expended.

CO_2 emission reductions are equivalent to removing nearly 133,000 automobiles from the road. The cost savings from reduced energy use (from electricity, oil, and natural gas bills) are expected to lead to the creation of about 2,100 jobs in New York's service and retail trade sectors once program funds are fully subscribed.

Table 1-8: Projected Emission Reductions for Full Subscription of Three-year Budget (in tons)

Primary Pollutant	From Electricity Savings (839 million kWh)	From Oil and Natural Gas Savings (3.6 tBtu)	From Clean Generation: Wind & PV (133 million kWh)	All Sources
NOx	629	190	100	919
SO_2	1,267	100	200	1,568
CO_2	370,050	231,922	58,547	660,519

Customers Served

The estimated number of customers served or impacted by the **New York Energy $mart K** programs is presented in Table 1-9 for various programs. Over 379,000 New York State residents have either participated or have been impacted by the **New York Energy $mart K** programs.

Table 1-9: Customers Served or Impacted by New York Energy $mart K

Program	End-use Customers Impacted	Customer Definition
Standard Performance Contract	140	Number of participating facilities receiving incentives for implementing efficiency measures in customer facilities.
Institutional Performance Contracting Assistance	147	Number of participating facilities receiving co-funding for Comprehensive Energy Audits.
C/I New Construction	386	Number of customer applications.
Loan Fund	62	Number of borrower applications for reduced interest financing for energy efficiency measures. Funds have been encumbered for 47 borrowers to date.
Premium Efficiency Motors	1,364	Number of CEE-qualified premium efficiency motors sold for which vendor incentives were provided.
Innovative Opportunities: C/I Geothermal Heat Pump	36	Number of participating facilities receiving design assistance for geothermal heat pumps.
Innovative Opportunities: Residential	17,589	Number of residential customers who have received home energy audit CDs through various means of distribution. There were also more than 19,500 user sessions on the on-line home energy audit tool.

Program	End-use Customers Impacted	Customer Definition
Residential Appliances & Lighting	~340,000	The estimated increase in ENERGY STAR® appliance and home electronic product sales within eligible geographic areas since program inception. Customers purchasing these products may have heard about the benefits of ENERGY STAR® through TV, radio, or print ads, or participating retailers.
Lighting Solutions Catalogue	6,338	Numbers of orders to the lighting catalogue through May 2001. Nearly 30,000 products were purchased.
Energy Star® Marketing Campaign	2,013	Number of halogen torchieres surrendered at trade-in events for which customers received a $10 discount on the purchase of a new ENERGY STAR® torchiere. There are also millions of individuals impacted by the mass-media advertising campaign.
Keep Cool Program	721	Number of residential old air conditioners turned in as of March 31, 2001. By that same date, 674 new ENERGY STAR® air conditioners had been purchased under the $75 bounty offer.
Technical Assistance	738	Number of participating facilities receiving 50% co-funding for energy audits.
Residential Comprehensive Energy Management	1,086	Number of multifamily residential units enlisted to receive sub-meters.
Cooling Recommissioning	73	Number of participating facilities.
Peak Load Reduction	154	Number of participating facilities.
Low-Income Direct Installation	8,505	Number of residential units being served by the program. A total of 5,432 units have been reviewed to receive electric measures. These tenants have also received information on improving energy efficiency in the home. Applications for an additional 3,073 units have been approved, bringing the total number of participating units to 8,505.
Photovoltaic Programs	11	Customers in the PV on Buildings program. The participants receive about $5000 per kW. The size of the projects range from 40 to 260 kW.
TOTAL	379,363	This represents a 33.9% increase from the March 2001 Quarterly report.

Funds Awarded By Sector

Table 1-10 presents a sector breakdown of incentives funds awarded for programs that provide funding to multiple sectors. The New Construction and Technical Assistance programs are attracting a high proportion of institutional customers, each program having 40% representation in that sector. The Loan Fund is attracting a high proportion of multi-family owners with 42% representation in that sector. The Peak Load Reduction is attracting mostly commercial and industrial customers, with 95% representation in that sector.

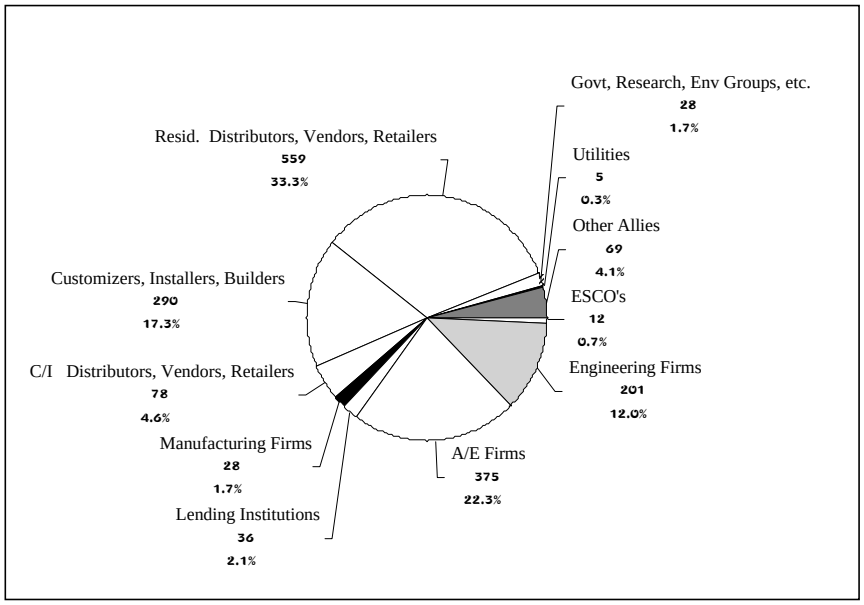
Table 1-10: Sector Distribution of Funds Awarded by Programs

	Comm.	Indust.	Govt.	Inst.	Non-Profit	Multi-Fam.
Energy Efficiency Services						
Standard Performance Contract	33%	38%	9%	18%	0%	1%
Institutional Performance Contracting Assistance	–	–	31%	69%	–	–
New Construction	35%	6%	10%	40%	0%	8%
Loan Fund	26%	21%	0%	0%	0%	42%
Geothermal Heat Pumps (C/I Innovative Opportunity)	29%	0%	11%	33%	8%	19%
Technical Assistnace	21%	17%	15%	40%	3%	4%
Cooling Recomissioning	70%	25%	0%	5%	0%	0%
Peak Load Reduction	55%	18%	12%	15%	0%	0%

Program Allies

More than 1,680 allies are currently participating in the **New York Energy $mart K** program. Program allies are market actors that have a material interest in the **New York Energy $mart K** program, including engineers performing facility audits; firms that install measures; other midstream actors such as builders, building owners, and lenders; and research and environmental groups. The number of participating allies has risen by nearly 20% (from approximately 1,400) since the last report. The percentage of participating allies by type is presented in Figure 1-7.[17]

FIGURE 1-7: New York Energy $mart K Allies by Type



[17] Customer counts provided earlier are tracked independently from program allies since customers have little continued interest in a program, except to the extent that they refer other customers to the programs, once they are served. Program allies have a continued interest in programs, and their participation is critical in transforming markets to higher levels of efficiency.

External Funding

The **New York Energy $mart K** program has attracted significant private funding, including matching funds and new private investment, as illustrated in Table 1-11 for those programs that are currently operational and are known to have external contributions.

Table 1-11: Anticipated Private Funding Contribution for Currently Operational Programs

		[1] **Funds Awarded ($ million)**	[2] **Anticipated External Spending ($ million)**	[3] **Ratio of External Spending to New York Energy $mart K Funds [2] ÷ [1]**
Energy Efficiency Services				
Standard Performance Contract		$39.8	$143.2 (1)	3.6:1
Institutional Performance Contracting Assistance		$3.3	$60.2 (2)	18.2:1
New Construction		$20.3	$18.5 (3)	0.9:1
Premium Efficiency Motors		$1.0	$0.3 (3)	0.3:1
C/I Innovative Opportunities	Geothermal Heat Pump project	$0.3	$31.6 (4)	105:1
	Other Innovative Opportunities Projects	$2.3	$0.3	0.1:1
Residential Appliance & Lighting and ENERGY STAR®		$12.2	$27.4 (5)	2.2:1
Keep Cool Program		$4.0	$0.25 (6)	0.1:1
New York Energy $mart K Loan Fund		$0.9	TBD	TBD
Home Performance with ENERGY STAR®		$1.2	$0.2	0.2:1
Cooling Recommissioning Program		$3.4	$0.84	0.2:1
C/I Technical Assistance Programs		$9.1	$140.6 (2)	15:1
Residential Comprehensive Energy Management		$0.7	$0.2	0.3:1
Peak Load Management		$2.6	$1.7	0.7:1
Low-Income				
Direct Installation		$5.2	$1.3 (7)	0.3:1
Research and Development				
Renewable	Wind	$7.3	$31.2	4.3:1
	PV	$5.0	$5.1	1:1
	Willow Plantation	$0.9	$16.0	17.8:1
Environmental Monitoring, Evaluation and Protection		$6.9	$7.7	1.1:1
Energy Eff. & Strategic R&D		$9.0	$21.7	2.4:1
Total		**$141.2**	**$508.7**	**3.6:1**

(1) Estimated full cost of measures less SBC funding.
(2) Estimated full cost of measures assuming 2/3 of the audit recommendations are implemented.
(3) Estimated incremental cost of upgrading to higher-efficiency measures less SBC funding.
(4) Estimated full cost of recommended heat pumps assuming an implementation rate of 2/3 for the completed studies.
(5) For Appliances & Lighting this includes: (a) estimated incremental cost of ENERGY STAR® products for the reported increase in ENERGY STAR® product sales since program inception, (b) advertising spending by participants, (c) the value of torchieres purchased as a result of trade-in events less SBC funding, and (d) customer funding for purchases made through the Lighting Solutions Catalogue. For ENERGY STAR® Awareness this includes the dollar value of public service announcements, media relations and leveraged ad production costs.
(6) Estimated cost of new ENERGY STAR® air conditioners purchased under Keep Cool less SBC funding.
(7) Estimated contribution by the Weatherization Assistance Program (WAP) and participating building owners toward cost of electric reduction measures. Under the WAP program, additional investment in heating-related measures in these buildings totals more than $8 million.

The anticipated combined private sector investment, based on current program activity, is nearly $509 million, up from $426 million reported last quarter. The ratio of private spending to **New York Energy $mart K** program funding is approximately 3.6 to 1, meaning that for every $1 of **New York Energy $mart K** funds spent, $3.6 is spent or invested by program participants. This ratio is similar to that in the last report.

SELECTED PROGRAM UPDATES

Energy Efficiency Services Programs

Standard Performance Contracting.[18] Between January 20,1999 and March 30, 2001, the program has awarded $36.9 million in incentives and $2.9 million in implementation services. As of March 31, there were 176 projects and 47 participating ESCOs.

Cooling Recommissioning. This peak load reduction program was initiated in summer 2000. As of March 30, 2001, the program had awarded $3.4 million, enlisted 180 projects, completed 73 engineering studies, and has 55 projects in the measures installation stage. The anticipated load reduction from the program is 11.2 MW.

Peak-load Reduction. The Program Opportunity Notice (PON) for this program was released in January, 2001. This $13.9 million solicitation will co-fund permanent demand reduction measures as well as measures necessary to respond to the New York Independent System Operators's (NY ISO) Emergency Demand Response Program (EDRP).[19] As of end of June 2001, applications totaling approximately 200 MW of demand reductions from short-term curtailment, emergency back-up generators, and permanent measures had been received.

C/I New Construction. As of March 30, this program had enlisted 386 projects, up from 280 last quarter. Over $18 million of incentives had been reserved to satisfy incentive applications. New project application rate was in excess of 30 per month. A new solicitation, to be released in early July 2001, will provide expanded offerings to include incentives for advanced solar and daylighting measures, increased maximum project incentive from $250,000 to $400,000, and a more streamlined application process. The equipment replacement component of the program will be spun off to a separate program called Smart Equipment Choices.

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[18] As of July, 2001, the Standard Performance Contracting program will be called the Commercial/Industrial Performance program.

[19] The EDRP is a voluntary electricity curtailment program, available to NY ISO customers between May 1 and October 31, 2002. If called upon, participants will be paid the higher of $500 per MWh or the real-time zonal clearing price.

New York Energy $mart K Loan Fund. As of March 31, 2001, the Loan Fund had received 62 applications for more than $5 million in energy efficiency capital improvements. Funds had been encumbered for 47 of these applicants. NYSERDA has made some changes to the Loan Fund to make it more user-friendly for banks and customers. The CD deposit approach that NYSERDA initially offered to write down customer interest rates has been replaced with a simpler, lump-sum payment to banks to cover the rate reduction over the five-year term. Early indications are that banks prefer the lump-sum approach.

Residential Keep Cool. This program kicked off its Summer 2001 campaign on May 1, 2001. During the first months, the program attracted approximately 5,700 calls to the hotline and more than 6,400 visits to the website. By the end of May 2001, 322 retailers and 100 drop-off sites had signed up to participate, and more than 1,200 bounty applications had been received. The program is expected to far surpass last Summer's achievement of 674 air conditioner bounties.

Residential Lighting Catalog. Through the Residential Appliances & Lighting program's ENERGY STAR® Lighting Solutions Catalog, customers are provided discounted prices on compact fluorescent bulbs and lighting fixtures. Due to its popularity, the deadline for the catalogue offer was extended twice. As of May 2001, approximately 25,000 CFLs, 1,400 replacement lamps, 1,900 interior fixtures, 150 exterior fixtures, and 1,500 CFL torchieres had been ordered. Gross sales total more than $500,000, with NYSERDA buying down costs by about $250,000. NYSERDA is planning participant and non-participant surveys to assess past purchase practices, reasons for purchase, satisfaction, and barriers to more widespread use of energy-efficient lighting.

Home Performance with ENERGY STAR®. This program offers whole-house diagnostics, a network of certified building performance contractors and reduced-rate financing to enable homeowners to implement energy saving improvements. Program efforts picked up significantly in the first quarter of 2001. Advertisements and outreach are beginning to generate interest among consumers and contractors. By the end of March 2001, NYSERDA had fielded more than 900 calls to the call center, provided more than 750 informational videos and brochures to customers, and 30 brochures to contractors. As of March 31, 2001, eight contractor firms had become Building Performance Institute (BPI) accredited under the program. A total of 16 residential homes had received energy assessments.

Technical Assistance program. Three previously separate technical assistance programs, Energy Feasibility Studies, Energy Operations Management, and Rate Analysis and Aggregation, were combined into a single solicitation (PON 605-01), and will be tracked as a single program called Technical Assistance. This program, along with the Flex Tech program and the Energy Audit Pilot program, has awarded funds totaling $9.1 million as of March 31, 2001. A total of 738 studies have been initiated, up from 620 studies last quarter (increase of 19%). Of the studies initiated, 289 studies have been completed, up from 208 last quarter (increase of 39%).

Residential Comprehensive Energy Management (CEM). This program was created to provide incentives to building owners to install advanced meters (including submeters) in 1-4 family and multifamily (>4 units) dwellings. A short-tem goal of the program is to install meters in 3,000 multifamily units and in 300 1-4 family units. Another objective of the program is to aggregate data from the installed meters via a website, making it attractive for an energy service company (ESCO) to supply electricity and to provide innovative opportunities such as price responsive load management. To date, Harris Energy Systems, the implementation contractor for this program, has completed a baseline assessment of energy use in the residential sector. They found the average annual electricity use in New York State to be 7,708 kWh per household for 1-4 family homes and 3,083 kWh per household for multifamily homes. The average kWh per square foot was 3.854 for both 1-4 family and multifamily homes. The program is currently working in conjunction with an R&D program that provides the feasibility study and the regulatory/technical support necessary to prepare a building to apply for the incentives available under the CEM program. At this time, approximately 120 buildings from the R&D program, representing 14,200 units, have completed a feasibility study and are prepared to participate in the CEM program.

Low-Income Programs

Direct Installation. During the last quarter, more than 400 units were reviewed for appropriate electric reduction measures, bringing the total number of units reviewed to 3,460. As of March 31, 2001, more than 1,600 refrigerators, 9,500 CFLs, and 5,200 hard-wired fluorescent fixtures have been installed within individual units. An additional 2,500 common area and outdoor lighting fixtures have been installed.

Low-Income Public Awareness. The primary objective of this program is to inform New York's low-income consumers of the services and options available to them under the low-income energy efficiency, management, and affordability programs offered by NYSERDA, utility companies, and community-based organizations. This program commenced in May 2001. The Contractor's first task will be to conduct market research on current awareness and attitudes of low-income customers toward energy efficiency and affordability programs. This research effort will serve as the baseline from which to measure program effectiveness and will assist in directing the awareness campaign. The original program budget of $720,000 will be supplemented for a total budget of $1.4 million. This increase in funding will allow NYSERDA to conduct the campaign statewide, more effectively reaching and informing the low-income population through advertisements on television and in other media.

Publicly Assisted Housing. This program will increase affordability of housing for low-income residents by improving energy efficiency and energy management in the State's portfolio of publicly-assisted housing. By mid-March 2001, more than 60 buildings (representing over 31,000 units) had been entered into the program. Three audits were recently completed and financing packages are being developed. The **New York Energy $mart K** contribution to the planned work is expected to range from 5-50% of

the total costs.

R&D Programs

Renewables Program. In addition to the 11.5 MW wind plant installed in Madison County, construction is about to commence on a 30 MW wind plant in the Town of Fenner. This facility is expected to be operational by Fall of 2001. The Renewables program will also be releasing solicitations to expand the demand and supply of renewable energy in the State. These solicitations include an incentive program to reward green power marketers (incentives of $3.3 million in Year 1), the development of a renewable energy credit accounting and trading system ($650,000), and a program to develop and disseminate reliable technical information on renewable power to increase awareness and knowledge of renewable power applications ($1.55 million for 5 years).

Environmental Monitoring, Evaluation and Protection (EMEP) Program. A solicitation was released in March 2001 for $1 million to fund ongoing, critical, environmental monitoring and analysis projects as well as new environmental monitoring initiatives. Fifteen proposals were received and are under review. In addition, strategic planning efforts are underway to prioritize research needs in the areas of acid deposition/mercury pollution and health effects of fine particles and ozone. The next EMEP conference entitled Environmental Monitoring, Evaluation and Protection in New York: Linking Science and Policy will be held September 24-25, 2001 in Albany.

Strategic and Energy Efficiency R&D. In January 2001, 11 proposals were received in response to the Enabling Technology for Price Sensitive Load Management solicitation. Seven proposers were eventually selected to demonstrate innovative technologies to facilitate emergency curtailment notification and price signals between NYISO and curtailment service providers/load serving entities.

A solicitation for demonstrations or feasibility studies of distributed generation and combined heat and power (CHP) was announced on March 7, 2001. By the May 31, 2001 closing date, 88 proposals were received. The potential demand reduction from these proposals is in the range of 20 to 50 MW.

CONCLUSION

This Section has presented the implementation status of the **New York Energy $mart K** program through March 31, 2001. The next section of this report summarizes NYSERDA's ongoing activities for evaluating the **New York Energy $mart K** program.

Section 2

EVALUATION ACTIVITIES UPDATE

This Section provides a status summary of current and upcoming activities for the evaluation of the **New York Energy $mart K** program.

UPDATE OF ACTIVITIES

The following is a list of current evaluation activities.

Electricity Savings Review. NYSERDA's evaluation assistance contractor, GDS Associates, Inc., is leading an effort to review the methods being used to determine electricity and demand savings for each of the **New York Energy $mart K** programs. This task was initiated in the Fall of 2000. To date, reviews have been completed for the Premium Efficiency Motors and the Residential Appliances and Lighting (including Keep Cool) programs. Drafts of the New Construction, Wind, Peak Load Reduction, and Technical Assistance programs are under review. Overall, GDS has found that NYSERDA is estimating energy and demand savings in a reasonable manner that is consistent with the body of knowledge in the area. Low-Income Direct Installation, Renewables, and Loan Fund programs will be reviewed in the upcoming months.

Benefit/Cost Assessment. A benefit/cost (B/C) assessment of the **New York Energy $mart K** program is being conducted to update the cost effectiveness screening of individual measures (e.g., lighting, HVAC, compact fluorescent bulbs, etc.) and to assess the cost effectiveness of the portfolio of programs.

Causality Assessment. A methodology has been developed to address how different sources and types of evidence can be used to assess the degree of influence that implementation activities have had on causing market changes (*i.e.* changes in supplier and customer behaviors).

Portfolio Case Study. A case study, capturing the synergies that exist between **New York Energy $mart K** programs is in the research stage. The case study, which will describe how different programs work together to serve market participants and address market transformation objectives, is being conducted by Oak Ridge National Laboratory (ORNL).

Evaluation Surveys. A number of surveys have been, or are soon to be implemented.

- *Loan Fund Program Participant Survey*. A survey of participating lenders is expected to be fielded by the end of June, with results available by September 2001.

- *Loan Fund Program Non-Participant Survey*. A telephone survey of non-participating lenders is expected to be fielded by the end of June, with results available by September 2001.

- *Direct Installation Program Building Owner Participant Survey.* A telephone survey of participating building owners is expected to be fielded by the end of June, with results available by September 2001.

- *Lighting Catalogue Participant and Non-Participant Survey.* A draft survey targeted to New Yorker's who had received the Lighting Catalogue is being developed. It is expected that an RFP will be issued mid-Summer to request assistance in fielding this survey effort.

- *Technical Assistance Program Participant Survey.* A survey to assess implementation rates of recommended measures, cost effectiveness, and program satisfaction is planned for Summer 2001.

- *Process Interviews.* Process interviews with contractors participating in various programs is expected to be conducted in the Fall of 2001.

Evaluation Coordination with LIPA. Since the last reporting, NYSERDA has continued to coordinate its evaluation activities with those of the Long Island Power Authority's (LIPA) energy-efficiency programs. For example, a survey to evaluate the lighting catalogue is being jointly developed.

EVALUATION SCHEDULE

This report updated program results as of March 31, 2001. In the upcoming months, the following evaluation reports will be released:

- September 2001 - Quarterly Evaluation and Status Report of the **New York Energy $mart K** Program. This report will update program results as of June 30, 2001.

- December 2001 **- New York Energy $mart K** Evaluation and Status Report. This report will close out the reporting of the original three-year SBC budget and also include activities under the extended program. The report will include an assessment of outputs, outcomes, impacts, process evaluations, program summaries, case studies, and a causality assessment.