



NYSERDA

New York's Regional Greenhouse Gas Initiative-Funded Programs Status Report

Quarter Ending December 31, 2017

Final Report

NYSERDA's Promise to New Yorkers:

NYSERDA provides resources, expertise, and objective information so New Yorkers can make confident, informed energy decisions.

Mission Statement:

Advance innovative energy solutions in ways that improve New York's economy and environment.

Vision Statement:

Serve as a catalyst – advancing energy innovation, technology, and investment; transforming New York's economy; and empowering people to choose clean and efficient energy as part of their everyday lives.

**New York's Regional Greenhouse Gas
Initiative-Funded Programs Status Report
Quarter Ending December 31, 2017**

Final Report

Prepared by:

New York State Energy Research and Development Authority

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Acronyms and Abbreviations

AHPwES	Assisted Home Performance with ENERGY STAR®
CBO	constituency-based organization
CGC	Cleaner, Greener Communities
CO2	carbon dioxide
CO2e	carbon dioxide equivalents
EEPS	Energy Efficiency Portfolio Standard
EPA	U.S. Environmental Protection Agency
GHG	greenhouse gas
GJGNY	Green Jobs - Green New York
HPwES	Home Performance with ENERGY STAR®
kW	kilowatt
kWh	kilowatt-hour
LIPA	Long Island Power Authority
MMBtu	million British thermal units
MPP	Multifamily Performance Program
MW	megawatt
MWh	megawatt-hour
OBR	On-Bill Recovery Financing Program
PON	Program Opportunity Notice
RGGI	Regional Greenhouse Gas Initiative
SBC	System Benefits Charge

1 Introduction

In New York State, the Regional Greenhouse Gas Initiative (RGGI) program has been implemented through two complementary regulations: The New York State Department of Environmental Conservation established the State's Carbon Dioxide (CO₂) Budget Trading Program (6 NYCRR Part 242, 6 NYCRR Part 200, General Provisions), and the New York State Energy Research and Development Authority (NYSERDA) established the CO₂ Allowance Auction Program (21 NYCRR Part 507). This report is prepared pursuant to the State's RGGI Investment Plan (2015 Operating Plan) and provides an update on the progress of programs through the quarter ending December 31, 2017. It contains an accounting of program spending; an estimate of program benefits; and a summary description of program activities, implementation, and evaluation. An amendment providing updated program descriptions and funding levels for the 2015 version of the Operating Plan was approved by NYSERDA's Board on June 18, 2015.

The State invests RGGI proceeds to support comprehensive strategies that best achieve the RGGI CO₂ emission reduction goals. These strategies aim to reduce global climate change and pollution through energy efficiency, renewable energy, and carbon abatement technology. Deploying commercially available renewable energy and energy efficiency technologies helps to reduce greenhouse gas (GHG) emissions from both electricity and other energy sources in the short term. To move the State toward a more sustainable future, RGGI funds are used to empower communities to make decisions that prompt the use of cleaner and more energy efficient technologies that lead to lower carbon emissions as well as economic and societal co-benefits. RGGI helps to build capacity for long-term carbon reduction by training workers and partnering with industry. Using innovative financing, RGGI supports the pursuit of cleaner, more efficient energy systems and encourages investment to stimulate entrepreneurial growth of clean energy companies. All of these activities use funds in ways that accelerate the uptake of low- to zero-emitting technologies.

2 Summary of Portfolio and Program Benefits

This section provides an overview of the expected quantifiable benefits with expended and encumbered funds through this quarter related to carbon dioxide equivalent (CO₂e) reductions, energy savings, and participant energy bill savings.¹ For more information on the methodology used to calculate CO₂e reductions and energy bill savings, see Appendix A. For a list of former program names, reference Appendix B. Appendix C shows the detailed benefit results.

NYSERDA begins tracking program benefits once project installation is complete and provides estimated benefits for projects under contract that are not yet operational (pipeline benefits). Estimated benefits are based on the expected lifetime benefits from installed and pipeline savings. The metrics presented in this section are estimates and not evaluated unless otherwise noted. Future evaluation and status reports will present the results as they are available. Program benefits are reported prior to the financial reporting of funds spent as fund transfers may lag behind the installation date. At this time, the program benefits include some projects that are jointly supported by other non-RGGI funding sources administered by NYSERDA.

The estimated cumulative annualized and expected lifetime benefits as of December 31, 2017, at the portfolio and program levels, are shown in Table 1 and Table 2, respectively.²

¹ These metrics represent the benefits that can be discretely counted at this time and typically associated with traditional deployment programs. These programs include Green Jobs - Green New York, Residential Efficiency Services, NY-Sun, Renewable Heat NY, and LIPA Efficiency and Renewable Energy. These metrics do not reflect emission reductions, participant bill savings, and other possible benefits resulting from non-deployment programs such as Transportation Research and Cleaner, Greener Communities. Therefore, the benefits associated with the overall RGGI portfolio are anticipated to be greater than the subset of programs represented here.

² Cumulative annual benefits are reflective of the annual impacts from all currently operational projects installed, projects under a signed contract and projects with an application received that are not yet operational since program inception. Expected lifetime benefits are reflective of the total impacts over the entire effective useful lifetime of the measures associated with all currently operational projects installed, projects under a signed contract and projects with an application received that are not yet operational since program inception. Please see Table A-4 in Appendix A for the measure-life assumptions.

Table 1. Summary of Expected Cumulative Portfolio Benefits through December 31, 2017

Benefits through December 31, 2017^a	Net Greenhouse Gas Emission Savings^b (Tons CO₂e^c)	Total Net Fuel Savings (MMBtu)	Net Efficiency Electricity Savings (MWh)	Net Renewable Energy Generation (MWh)	Total Net Electricity Savings/Generation (MWh)	Energy Bill Savings to Participating Customers (\$ Million)
Cumulative Annualized Installed Savings^d	850,386	3,039,495	642,462	307,948	950,411	\$232.4
Cumulative Annualized Pipeline Savings^e	28,368	166,719	11,716	18,311	30,027	\$7.6
Cumulative Annualized Committed Savings^f	878,754	3,206,214	654,178	326,259	980,437	\$240.0
Expected Lifetime Total Savings^g	16,275,075	61,064,490	11,131,921	7,216,669	18,348,590	\$4,709.5

- ^a Cross-program overlap for projects that received any combination of a Green Jobs - Green New York (GJGNY) assessment, a GJGNY loan, or a RGGI-funded incentive through the Home Performance with ENERGY STAR[®] Program, NY-Sun Program or Renewable Heat NY Program has been removed.
- ^b These emission reductions are associated with both electric and fossil-fuel saving measures. Under a cap-and-trade system, the total number of emission allowances is determined by regulation. Regulated entities can purchase allowances and collectively emit up to the cap that is currently in place. Therefore, in the near term, electric efficiency projects may not decrease the overall amount of emissions going into the atmosphere. However, electric efficiency projects will reduce end-user responsibility or footprint associated with emissions from electricity production.
- ^c CO₂e stands for carbon dioxide equivalent and describes the amount of CO₂ that would have the same global warming potential as a given mixture of gases based on factors published by the Intergovernmental Panel on Climate Change.
- ^d Inclusive of savings from all currently operational projects installed since program inception.
- ^e Inclusive of savings from all projects under a signed contract and projects with an application received that are not yet operational.
- ^f The sum of Installed Savings and Pipeline Savings.
- ^g The expected benefits over the lifetime of all operational projects, projects under a signed contract, and projects with an application received that are not yet operational. See Table A-4 in Appendix A for the measure-life assumptions.

Table 2. Summary of Expected Cumulative Annualized Program Benefits through December 31, 2017

Program	Costs (millions of dollars)		Net Energy Savings (Annualized MMBtu)			Net Electricity Savings or Renewable Energy Generation (Annualized MWh)			Net Greenhouse Gas Emission Savings ^a (Annualized Tons CO ₂ e ^b)			Cost Benefit Ratio (\$/Ton CO ₂ e)	
	Total Incentives ^c	Total Associated Costs ^d	Installed Savings ^e	Pipeline Savings ^f	Total Committed Savings ^g	Installed Savings ^e	Pipeline Savings ^f	Total Committed Savings ^g	Installed Savings ^e	Pipeline Savings ^f	Total Committed Savings ^g	\$/Ton CO ₂ e Savings ^h	\$/CO ₂ e EXPECTED LIFETIME Savings ⁱ
Green Jobs - Green New York													
One- to Four-Family Residential Buildings Program Assessments ^j	\$25.8	\$1.0	990,916	-	990,916	12,644	-	12,644	78,600	-	78,600	341	15
One-to Four-Family Residential Buildings Program Financing ^j	\$121.8	\$16.4	639,588	25,047	664,635	79,801	3,782	83,583	92,600	4,005	96,605	1,430	68
Multifamily Performance Program Assessments ^j	\$3.3	\$1.4	769,668	68,818	838,486	51,478	1,551	53,029	79,224	4,932	84,157	56	4
Small Commercial Energy Efficiency Program Financing ^j	\$1.7	\$0.3	7,731	-	7,731	760	-	760	930	-	930	2,109	123
Energy Efficiency													
LIPA Energy Efficiency and Renewable Energy Initiative	\$153.7	-	12,523	-	12,523	483,061	-	483,061	281,134	-	281,134	547	30
Multifamily Performance Program ^k	\$13.6	\$2.0	436,411	84,925	521,336	19,740	3,841	23,582	42,601	8,290	50,892	308	21
Multifamily Carbon Emissions Reduction Program ^{l,m}	\$5.7	\$0.2	-	-	-	-	-	-	45,151	-	45,151	129	10
EmPower New York	\$25.5	\$1.7	153,133	575	153,708	-	-	-	11,261	45	11,306	2,404	100
Home Performance with ENERGY STAR [®]	\$21.1	\$2.7	326,663	185	326,849	1,799	1	1,800	27,191	15	27,206	875	37
Green Residential Building Program	\$2.5	\$0.3	36,548	-	36,548	1,573	-	1,573	3,084	-	3,084	890	40
Solar Hot Water (Thermal) Program	\$4.2	\$0.1	14,217	299	14,515	22	0	22	1,057	22	1,080	3,998	200
Low-Rise Residential New Construction Program ⁿ	\$0.8	-	8,874	1,862	10,736	-	-	-	604	127	731	1,155	48
Renewable Energy													
Renewable Heat New York	\$8.7	\$1.2	3,869	141	4,010	616	21	637	1,899	66	1,965	5,022	251
NY-Sun Initiative	\$51.6	\$1.0	-	-	-	184,321	16,110	200,431	106,906	9,344	116,250	452	18
NYSERDA Solar Electric	\$5.2	\$0.1	-	-	-	2,040	-	2,040	1,183	-	1,183	4,495	180
Community Clean Energy													
Regional Economic Development & GHG Reduction ^o	\$0.8	\$8.7	-82,448	5,502	-76,946	-	3,735	3,735	35,140	2,490	37,630	253	14
Clean Energy Communities	\$12.2	-	347,688	-	347,688	149,822	-	149,822	108,792	-	108,792	112	7
Innovative GHG Abatement Strategies													
Charge NY	\$1.1	\$0.7	62,933	-	62,933	-3,566	-	-3,566	1,804	-	1,804	987	55
Clean Energy Fund													
Clean Energy Fund ^p	\$8.3	\$2.2	29,415	157,204	186,619	2,823	24,511	27,334	3,199	25,543	28,742	364	22
Cross-Program Overlap ^q	N/A	N/A	-828,759	-29,851	-858,610	-38,588	-2,452	-41,040	-83,368	-3,505	-86,873	N/A	N/A
TOTAL Annualized Cumulative Benefits^r	\$467.5	\$39.9	2,928,970	314,706	3,243,676	951,913	51,101	1,003,014	838,995	51,373	890,368	570	N/A
TOTAL Expected Lifetime Cumulative Benefits^r	\$467.5	\$39.9	56,501,457	5,054,079	61,555,536	17,750,808	967,129	18,717,937	15,581,294	911,494	16,492,788	N/A	31

Table notes are on the next page

Table 2 continued

- ^a These emission reductions are associated with both electric and fossil-fuel saving measures. Under a cap-and-trade system, the total number of emission allowances is determined by regulation. Regulated entities can purchase allowances and collectively emit up to the cap that is currently in place. Therefore, in the near term, electric efficiency projects may not decrease the overall amount of emissions going into the atmosphere. However, electric efficiency projects will reduce end users' responsibility or footprint associated with emissions from electricity production.
- ^b CO₂e stands for carbon dioxide equivalent and describes the amount of CO₂ that would have the same global warming potential as a given mixture of gases based on factors published by the Intergovernmental Panel on Climate Change.
- ^c Inclusive of incentive dollars for expenditures, encumbrances, and contract pre-encumbrances.
- ^d Inclusive of all non-incentive expenditures.
- ^e Inclusive of savings from all currently operational projects installed since program inception.
- ^f Inclusive of savings from all projects under a signed contract and projects with an application received that are not yet operational.
- ^g The sum of Installed Savings and Pipeline Savings.
- ^h The sum of Total Incentives and Total Associated Costs divided by Total Committed Savings.
- ⁱ The sum of Total Incentives and Total Associated Costs divided by the Expected Lifetime Total Committed Savings. Inclusive of cross-program overlap
- ^j The benefits for this program include some projects that have also been supported by other non-RGGI NYSERDA funding sources. The decrease in installed MWh this quarter is due to a change in methodology from reporting the savings from measures as a result of an energy audit to only reporting the measures actually installed.
- ^k The benefits for this program have been evaluated and will be adjusted in future reports.
- ^l The Multifamily Carbon Emissions Reduction Program is a fuel-switching program and does not claim any energy or bill savings.
- ^m The benefits presented for this program have been adjusted based on results of an impact evaluation completed in October, 2015. For additional information, see the "Program Evaluation" Section (4.7), in this report.
- ⁿ The electricity savings for the Low-Rise Residential New Construction Program (LRNC) are supported with non-RGGI funding sources. Prior RGGI Status Reports erroneously included the electricity savings from the LRNC program as a RGGI-funded benefit.
- ^o The Regional Economic Development and GHG Reduction program consists of 15 unique projects. The costs for all 15 projects are included in this table although only a subset of these projects report quantifiable energy benefits. The negative MMBtu savings are due to a manufacturing project that switched from burning #6 residual oil to natural gas and a transportation project that switched from burning diesel fuel to compressed natural gas (CNG). CNG is slightly less efficient than diesel from an energy perspective but results in carbon emission reductions.
- ^p These figures represent a proportional allocation of benefits relative to the percent of RGGI contributions to the total approved CEF budget.
- ^q Cross-program overlap accounts for projects that received any combination of a GJGNY assessment, a GJGNY loan, or a RGGI-funded incentive through the Home Performance with ENERGY STAR® Program, NY-Sun Program or Renewable Heat NY Program.
- ^r Totals may not sum exactly due to rounding.

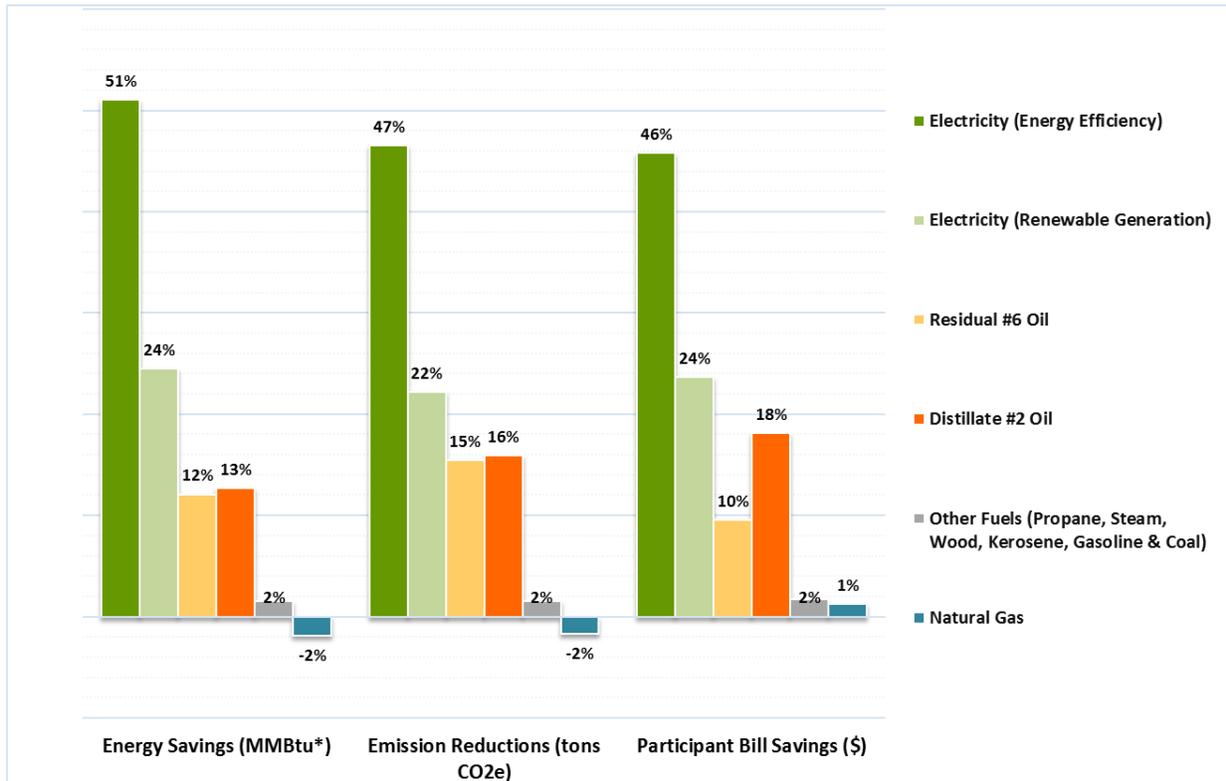
Investment benefits are further compared by fuel type in Figure 1. Figure 1 shows energy savings, emission reductions, and participant energy bill savings realized through RGGI-funded projects by project fuel type as of December 31, 2017.

Key observations during this quarter:

- Electric energy efficiency comprised 51% of energy savings, 47% of emission reductions, and 46% of participant bill savings.
- Renewable electric generation comprised 24% of energy savings, 22% of emission reductions, and 24% of participant bill savings.
- Distillate #2 oil comprised 13% of energy savings, 16% of emission reductions, and 18% of participant bill savings.
- Residual #6 oil comprised 12% of energy savings, 15% of emission reductions, and 10% of participant bill savings.
- Due to fuel-switching, natural gas use comprised -2% of energy savings, -2% of emission reductions, and 1% of participant bill savings.
- Other fuels (including propane, steam, wood, kerosene, and coal) comprised 2% of energy savings, 2% of emission reductions, and 2% of participant bill savings.

To highlight the diversity and effectiveness of the RGGI portfolio, this report includes success stories of projects advancing the previously stated strategies.

Figure 1. Percent Contribution by Fuel Type for Energy Savings, Emission Reductions, and Bill Savings through December 31, 2017³



- * To convert to source MMBtu, the kWh savings, and generation for the electric measures were adjusted to account for savings at the source of generation. This approach enables an order of magnitude comparison between electric and fuel energy savings/generation. The source factor used is 8,697 Btu/kWh, which is based on a three-year rolling average (2013, 2014, and 2015) of the amount of fossil fuel energy generated to produce electricity over the three-year period and includes a line loss factor of 7.2%.
- * Percent of overall energy saved may differ from percent of emission reductions and percent of bill savings for each fuel type, depending on how polluting and expensive the fuel type is (e.g., dirtier and more expensive), distillate #2 oil achieves a larger share of the emission reductions and bill savings than it does of the energy savings.

³ Columns may not sum exactly to 100% due to rounding.

3 Funds

3.1 Proceeds

As of December 31, 2017, NYS sold more than 345 million CO₂ allowances and received more than \$1,088 million in auction proceeds. In addition, more than \$13.1 million in interest was earned on the RGGI portfolio and nearly \$2 million in interest was earned on the Green Jobs - Green New York (GJGNY) program. More than \$13 million in interest earnings were allocated on the RGGI portfolio and nearly \$2 million in interest earnings were allocated to the GJGNY program. The allocated interest earnings are reinvested for program implementation and distributed across various RGGI programs. Detailed auction proceeds and total funds for NYS RGGI are presented in Appendix D and Appendix E, respectively. Total NYS RGGI funds are listed in Table 3, and detailed auction proceeds for NYS RGGI are visually displayed in Figure 2.

Table 3. New York State's RGGI Auction Results and Funds through December 31, 2017^a

Source: RGGI, Inc. and NYSEERDA

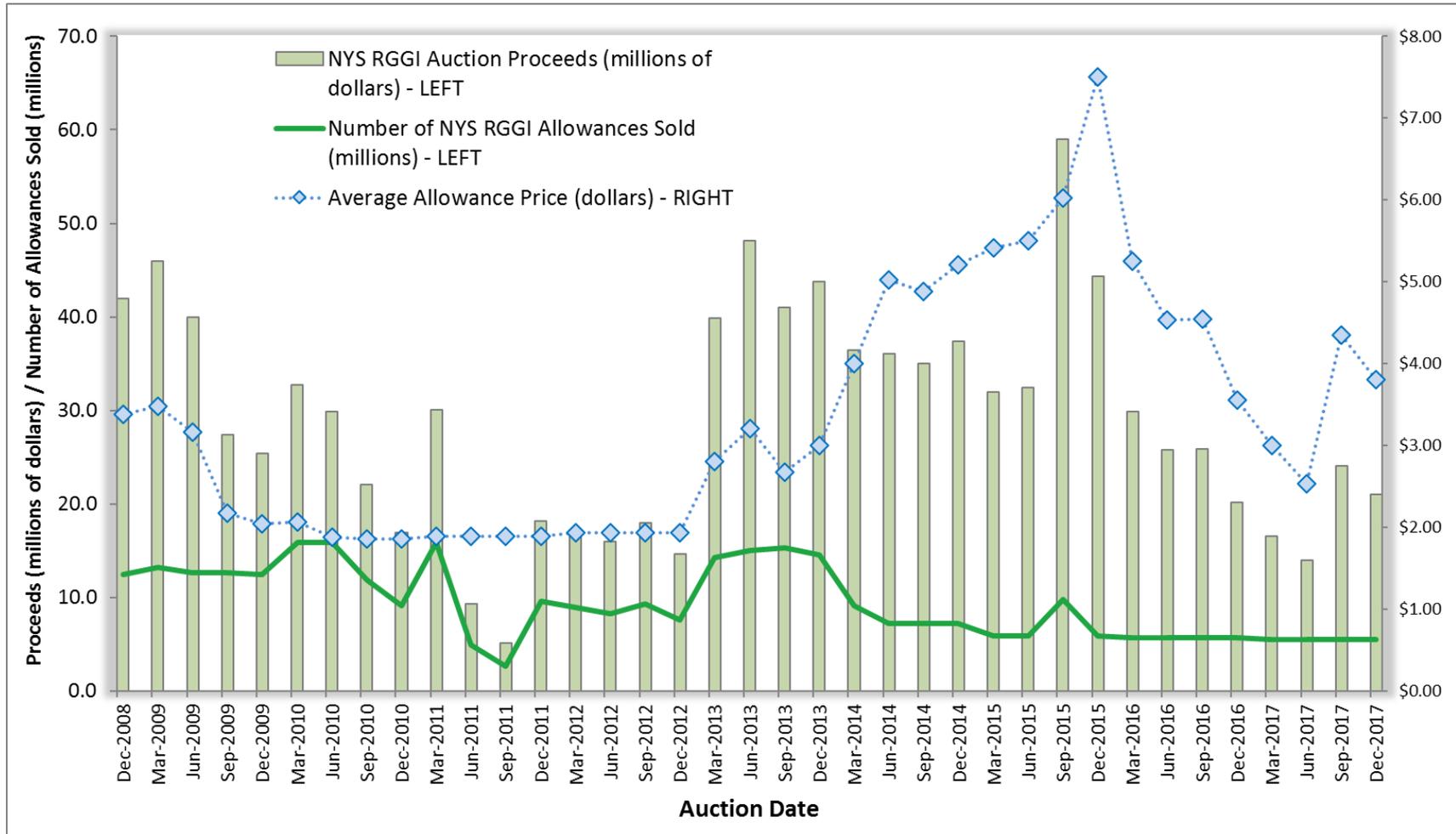
Fund Category	NYS Allowances Sold	Cumulative Funds
First Control Period Total	144,305,904	\$336,282,535
Second Control Period Total	128,764,643	\$391,950,232
Third Control Period Total	72,401,365	\$345,078,005
RGGI Auction Proceeds	345,471,912	\$1,073,310,772
RGGI Portfolio Interest Earnings		\$13,151,561
GJGNY Program Interest Earnings		\$1,993,273
TOTAL Funds^b		\$1,088,455,606

^a The first control period for fossil fuel-fired electric generators took effect on January 1, 2009 and concluded on December 31, 2011. The second control period took effect on January 1, 2012 and concluded on December 31, 2014. The third control period took effect on January 1, 2015 and extends through December 31, 2018.

^b RGGI program budgets have been increased based on anticipated auction revenues from the approved FY 2017–2018 Operating Plan. These amounts have been allocated but not received due to the timing of receipt of the proceeds.

Figure 2. New York State's RGGI Auction Results through December 31, 2017

Source: RGGI, Inc.



3.2 Budget

Financial data for the approved RGGI programs through December 31, 2017 are presented in Table 4 through Table 6. Table 4 presents the current expended, encumbered, and committed funds for each program and reflects how the more than \$1,189 million of approved funds are distributed across the eight major program areas and other costs:

- Renewable Energy
- Energy Efficiency
- Innovation GHG Abatement Strategies
- Community Clean Energy
- GJGNY
- NY Green Bank
- Clean Energy Fund
- Clean Energy Standard

Table 5 and Table 6 present the financial data for the approved GJGNY program and NY Green Bank, respectively, through December 31, 2017.

Table 4. Available Funding and Financial Status through December 31, 2017 (millions of dollars)

Source: NYSERDA

	Budgeted Funds ^a	Expended Funds ^b	Open Encumbrances ^c	Pre-Encumbrances ^d	Committed Funds ^e	Remaining Balance ^f
Renewable Energy						
Renewable Heat NY	10.3	7.4	2.3	0.3	10.0	0.3
NY-Sun	82.5	45.8	5.7	1.2	52.7	29.8
NYSERDA Solar Electric Programs	5.3	5.3	0.03	-	5.3	-
NY Generation Attribute Tracking	0.8	0.2	0.6	-	0.8	-
Advanced Renewable Energy	2.9	2.8	-	-	2.8	0.02
Total Renewable Energy	101.8	61.5	8.6	1.5	71.6	30.2
Energy Efficiency						
LIPA Energy Efficiency and Renewable Energy Initiative	153.7	136.4	17.3	-	153.7	-
Residential Efficiency Services	82.0	77.5	2.8	0.6	80.9	1.1
Municipal Water and Wastewater	1.2	1.2	-	-	1.2	-
Clean Energy Workforce Opportunity	15.0	15.0	-	-	15.0	-
Total Energy Efficiency	251.9	230.1	20.1	0.6	250.8	1.1
Innovative GHG Abatement Strategies						
Industrial Innovations	13.0	8.8	4.3	-	13.1	-
Climate Research and Analysis	8.7	7.5	1.2	-	8.7	-
Clean Energy Business Development	27.8	17.7	4.3	2.6	24.7	3.1
Charge NY	17.0	2.6	0.6	-	3.2	13.8
Transportation Research	3.9	3.2	0.4	0.5	4.0	-
Carbon Capture and Sequestration	1.0	1.0	-	-	1.0	-
Advanced Buildings	1.6	1.2	0.3	-	1.5	0.1
Competitive Greenhouse Gas Reduction Pilot	1.0	0.7	0.3	-	1.0	-
Brookhaven National Laboratory Ion Collider	25.0	11.5	13.5	-	25.0	-
Total Innovative GHG Abatement Strategies	99.1	54.2	24.9	3.1	82.2	17.0
Community Clean Energy						
Climate Smart Communities	7.7	4.5	0.5	0.1	5.1	2.6
Economic Development Growth Extension	7.2	5.6	0.6	1.0	7.2	0.1
Cleaner, Greener Communities	99.1	43.1	45.3	10.8	99.1	0.003
Clean Energy Communities	2.8	0.02	0.1	1.0	1.1	1.7
Regional Economic Development and Greenhouse Gas Reductions	10.3	9.3	1.0	-	10.3	0.003
REV Campus Competition	3.0	0.7	2.3	-	3.0	-
Total Community Clean Energy	130.1	63.1	49.8	12.9	125.8	4.4
Other Costs ^g						
Deficit Reduction Plan (DRP) Transfer ^h	90.0	90.0	-	-	-	-
Con Edison Smart Grid Program ⁱ	21.9	21.9	-	-	21.9	-
Program Administration ^j	28.8	27.0	0.04	0.001	27.1	1.7
Metrics and Evaluations	11.8	4.3	1.4	-	5.7	6.1
RGGI Inc. Costs ^k	9.0	7.6	0.2	1.0	8.9	0.1
New York State Cost Recovery Fee	11.1	10.5	-	-	10.5	0.5
Unallocated Interest Earnings	-	-	-	-	-	-
Environmental Tax Credit	87.0	87.0	-	-	87.0	-
Electric Generation Facility Cessation Mitigation ^m	30.0	30.0	-	-	30.0	-
OTHER COSTS TOTAL	289.5	278.4	1.7	1.0	191.1	8.4
SUBTOTAL	872.4	687.2	105.1	19.1	721.5	61.0
Green Jobs - Green New York						
Green Jobs - Green New York	205.4	192.9	2.0	24.9	219.8	(-14.4) ^m
NY Green Bank						
NY Green Bank	52.9	51.9	-	-	51.9	1.0
Clean Energy Fund						
Clean Energy Fund	56.3	5.0	2.2	-	7.2	49.0
Clean Energy Standard						
Clean Energy Standard	0.7	-	-	-	-	0.7
TOTAL ⁿ	1,187.7	937.1	109.3	44.1	1,000.4	111.8

Table notes are on the next page

Table 4 continued

- ^a Includes auction proceeds and allocated interest on the RGGI and GJGNY portfolios. The allocation is consistent with the budget presented in the Operating Plan.
- ^b Invoices processed for payment by NYSERDA.
- ^c Remaining funding obligated under a contract, purchase order, or incentive award.
- ^d Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates, adjusted so that the sum of the project commitments does not exceed Budgeted Funds. NYSERDA's annual audited financial statements may reflect project commitments in excess of Budgeted Funds. These commitments are expected to decrease over time due to project attrition and differences in estimated versus actual costs.
- ^e The sum of Expended, Encumbered, and Pre-Encumbered funds.
- ^f The difference between Budgeted Funds and Committed Funds.
- ^g The values for Program Administration, Metrics and Evaluation, and the NYS Cost Recovery Fee represent aggregate funds and commitments for RGGI-funded activities, NOT including GJGNY. For information on GJGNY finances, refer to Table 5.
- ^h On December 4, 2009, NYS enacted numerous deficit reduction measures that included the transfer of \$90 million in RGGI auction proceeds to the General Fund following the global financial crisis.
- ⁱ On December 22, 2009, NYSERDA's Board approved a proposed consent decree that resolves the legal challenge to the State's RGGI program. In October 2010, State Supreme Court Judge Thomas J. McNamara signed a Stipulation and Order of Discontinuance signed by all the parties, thereby formally ending the litigation. The parties to the consent decree presently estimate that the total commensurate benefit for the calendar years 2009–2017 is \$20.8 million and agreed to dedicate such funds for the development of smart grid technologies in the Con Edison territory. The budget reflects allocations that are intended to fund NYSERDA's estimated liability for each calendar year control period consistent with the timing of estimated cash payments due to Con Edison. NYSERDA is also responsible for certain additional costs that may be incurred through 2017. NYSERDA's annual audited financial statements show an amount expended of \$18 million to reflect these additional estimated costs that were required to be recorded.
- ^j Includes NYSERDA's upfront administrative expenses related to the development and implementation of the CO₂ Budget Trading Program, the CO₂ Allowance Auction program, and the Operating Plan.
- ^k The first-year budget includes RGGI Inc. start-up costs and the State's share of ongoing RGGI Inc. expenses. RGGI Inc. is a nonprofit corporation created to support development and implementation of the CO₂ Budget Trading Program.
- ^l The Electric Generation Facility Cessation Mitigation Program was enacted in the 2015-2016 New York State Budget and is designed to support communities that are transitioning local economies that have been reliant on fossil fuel power plants as a source of financial support. For more information see the Final 2016 RGGI Operating Plan Amendment at: nyscrda.ny.gov/Researchers-and-Policymakers/Regional-Greenhouse-Gas-Initiative/Useful-Documents
- ^m The Residential Financing figures include certain loans issued, but where proceeds from bonds to finance the pledged loans is received subsequently. The Residential Financing figures also include pre-encumbrances for approved loans not yet issued, which will be funded from additional funds to be transferred to GJGNY and not yet reflected in the Budgeted funds shown in this table.
- ⁿ Totals may not sum exactly due to rounding.

Table 5. Green Jobs - Green New York Available Funding and Financial Status through December 31, 2017 (millions of dollars)

	Budgeted Funds ^a	Expended Funds ^b	Open Encumbrances ^c	Pre-Encumbrances ^d	Committed Funds ^e	Remaining Balance ^f
Workforce Development, Outreach and Marketing						
Workforce Development	7.3	6.7	0.1	-	6.8	0.5
Outreach and Marketing	15.9	15.8	0.01	0.04	15.9	0.02
Total Workforce Development, Outreach and Marketing	23.2	22.5	0.1	0.04	22.7	0.5
Residential						
Energy Assessment Incentive	26.9	25.8	-	0.01	25.8	1.1
Implementation Costs	1.0	1.0	-	-	1.0	-
Financing: Loans	112.2	258.1	-	24.0	282.1	
Financing: Loan Repayments	-	(23.4)	-	-	(23.4)	
Financing: Implementation Costs	-	13.8	0.3	0.5	14.6	
Financing: Bond Proceeds	-	(110.3)	-	-	(110.3)	
Financing: Bond Issue Costs	-	3.1	0.2	0.01	3.3	
Financing: Short Term Note	-	(30.0)	-	-	(30.0)	
Total Financing	112.2	111.2	0.5	24.5	136.2	(-24.0)^g
Total Residential	140.1	138.0	0.5	24.5	163.0	(-22.9)^g
Multifamily						
Energy Assessments	3.3	3.1	0.2	-	3.3	0.01
Implementation Costs	1.4	1.4	-	-	1.4	-
Financing: Loans	3.5	3.9	-	-	3.9	
Financing: Loan Repayments	-	(2.7)	-	-	(2.7)	
Financing: Implementation Costs	0.3	0.1	0.1	-	0.3	
Total Financing	3.8	1.3	0.1	-	1.4	2.4
Total Multifamily	8.5	5.8	0.3	-	6.1	2.4
Small Commercial						
Energy Assessments	8.6	7.0	-	-	7.0	1.6
Implementation Costs	1.0	0.9	0.001	0.03	0.9	0.1
Financing: Loans	3.8	2.3	-	-	2.3	
Financing: Loan Repayments	-	(0.6)	-	-	(0.6)	
Financing: Implementation Costs	0.3	0.3	0.2	0.4	0.9	
Total Financing	4.1	2.0	0.2	0.4	2.5	1.5
Total Small Commercial	13.7	9.9	0.2	0.4	10.5	3.2
SUBTOTAL	185.6	176.2	1.2	24.9	202.3	(-16.8)^g
Other Costs						
Program Administration	11.8	11.0	0.1	-	11.1	0.7
Program Evaluation	5.6	3.4	0.7	-	4.1	1.5
New York State Cost Recovery Fee	2.5	2.3	-	-	2.3	0.2
Unallocated Interest Earnings	-	-	-	-	-	-
OTHER COSTS TOTAL	19.8	16.7	0.8	-	17.5	2.3
TOTAL ^h	205.4	192.9	2.0	24.9	219.8	(-14.4)^g

^a Includes auction proceeds and allocated interest on the GJGNY funds.

The allocation is consistent with the budget presented in the RGGI Operating Plan.

^b Invoices processed for payment by NYSERDA.

^c Remaining funding obligated under a contract, purchase order, or incentive award.

^d Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates, adjusted so that the sum of the project commitments does not exceed Budgeted Funds. NYSERDA's annual audited financial statements may reflect project commitments in excess of Budgeted Funds. These commitments are expected to decrease over time due to project attrition and differences in estimated versus actual costs.

^e The sum of Expended, Encumbered, and Pre-Encumbered funds.

^f The difference between Budgeted Funds and Committed Funds.

^g The Residential Financing figures include certain loans issued, but where proceeds from bonds to finance the pledged loans is received subsequently. The Residential Financing figures also includes pre-encumbrances for approved loans not yet issued, which will be funded from additional funds to be transferred to GJGNY and not yet reflected in the Budgeted funds shown in this table.

^h Totals may not sum exactly due to rounding.

**Table 6. NY Green Bank Available Funding and Financial Status through December 31, 2017
(thousands of dollars)**

	Budgeted Funds ^a	Expenses and Loan Assets ^b	Open Encumbrances ^c	Pre-Encumbrances	Committed Funds ^d	Remaining Balance ^e
Program Costs						
NY Green Bank	47,567	47,567	-	-	47,567	0
SUBTOTAL	47,567	47,567	-	-	47,567	0
Other Costs						
Program Administration	4,234	4,234	-	-	4,234	-
Program Evaluation	969	10	-	-	10	959
New York State Cost Recovery Fee	156	89	-	-	89	67
OTHER COSTS TOTAL	5,359	4,333	-	-	4,333	1,026
TOTAL^f	52,926	51,901	-	-	51,901	1,026

- ^a The allocation is consistent with the budget presented in the RGGI Operating Plan. NY Green Bank funding being reported here is only NY Green Bank funds that were transferred from RGGI. The actual NY Green Bank budget is higher.
- ^b Expenses and Loan Assets means, in any period, the aggregate funds that have been advanced by NY Green Bank subject to the terms of executed investment and financing agreements that remain in force during that period, expressed in dollars. Expenses and Loan Assets reflect only funds actually advanced. Many transactions involve provision of credit enhancements by NY Green Bank that, by their nature, are contingent obligations not generally intended to be fully drawn against or funded. In addition, many NY Green Bank investments are “delayed draw” in that funds are not deployed until project sponsors meet certain development milestones over a time period necessary to originate, develop and construct a large number of smaller, distributed, clean energy projects.
- ^c Open Encumbrances means, in any period, the aggregate funds to be provided by NY Green Bank pursuant to executed investment and financing agreements that remain in force during that period, without such funds having been deployed, expressed in dollars.
- ^d The sum of Expenses and Loan Assets, Open Encumbrances, and Pre-Encumbrances.
- ^e The difference between Budgeted Funds and Committed Funds.
- ^f Totals may not sum exactly due to rounding.

4 Program Descriptions and Accomplishments

4.1 Renewable Energy

4.1.1 Renewable Heat NY

The Renewable Heat NY initiative is a long-term commitment to help the high efficiency, low-emission biomass heating industry reach scale. The long-term market development strategy for Renewable Heat NY includes the following objectives:

- Raise consumer awareness.
- Develop large-scale anchor customers to expand the wood pellet bulk delivery market.
- Promote supply chain development including workforce training and support for product development, manufacturing, laboratory and field testing, and equipment certification.
- Leverage NYSERDA's issuance of the Biomass Heating Roadmap to accelerate the use of biomass for heating using the most efficient low-emission technologies.
- Provide financial incentives to consumers for advanced efficiency and low-emission technologies to reduce upfront costs in the early years, which will phase down as the market achieves scale and upfront costs decrease.
- Provide support so that sustainable forestry practices are available and followed by small and large landowners.

In many respects, developing this market will inherently require capturing the benefits of local scale. Installation and pellet supply economics will demonstrate an economic service radius effect; workforce development and customer awareness will show gains from local density. Consequently, this initiative seeks to develop and expand clusters of activity, thereby meeting the overarching goal of supporting the high-efficiency and low-emission biomass heating industry in NYS.

Renewable Heat NY is providing supply chain and service network development (i.e., workforce development, training, and research and development), along with consumer incentives and financing. These activities are not geared toward resource acquisition, but rather will position the market to be sustainable over the long term. There will be a reduction in investments of incentives and staff resources as the private market develops.

Key accomplishments as of this quarter:

- Twenty-three new research projects have been contracted as a result of proposals received from PON 3027: Energy and Environmental Performance of Biomass-Fired Heating Equipment. These projects are addressing needs identified through the Renewable Heat NY program, and support the development and advancement of a high-efficiency, low-emissions biomass thermal industry in NYS.
- NYSERDA's training service provider conducted one online and two in-person training sessions this quarter. A recording of the online training is being made available online. Enrollment of qualified installers is ongoing.
- The installation of 11 pellet stoves; six projects are in process. Two residential cordwood boiler installations have been completed.
- Ongoing feasibility studies and reviews by technical consultants related to development of large commercial projects. Three large commercial pellet boiler projects are in-process.

4.1.2 NY-Sun Initiative

The NY-Sun initiative is driving the growth of the solar industry and makes solar technology more affordable for all New Yorkers. The program provides declining incentives for the installation of systems and works to reduce solar electric balance-of-system costs through technology advancements, streamlined processes, and customer aggregation models. The goal is to achieve a sustainable solar industry that does not depend on incentives.

Community Solar NY, a component of the NY-Sun initiative, seeks to empower community projects across NYS through aggregation, group purchasing, and other existing and emerging strategies to make solar more accessible and affordable. The program will support projects organized by school districts, municipalities, nonprofit organizations, and other community institutions.

In August 2014, NY-Sun became a statewide program. RGGI funding enabled customers of the Long Island Power Authority (LIPA), NYPA, and municipal power companies. NY-Sun supports end-use solar installations for commercial, industrial, and residential customers as well as electric utility applications to improve the performance of distribution circuits and reduce peak electric load in critical load pockets. These projects assist NYS communities that empower clean energy, healthy communities, and economic development.

Key accomplishments as of this quarter:

- The application for communities to participate in the fourth round of Solarize (Community Solar NY) opened in Q4 2017. The new round will include campaigns with a focus on community solar projects. Campaigns will launch during Q1 and Q2 of 2018. Results for the third round of Solarize campaigns will be reported during Q1.
- Statewide uptake for the Affordable Solar Residential Onsite program, which provides additional incentives for on-site residential projects for low- to moderate-income homeowners, was comparable to Q4 of 2016. Through Q4 2017, 10 installations have been completed in Long Island with RGGI funding.
- The Affordable Solar Predevelopment and Technical Assistance program, which provides funding to support the development of community solar projects serving low- to moderate-income households as well as solar serving multifamily affordable housing properties, approved eight project applications through Q4 2017, with six predevelopment projects under contract statewide. Of these, one contracted predevelopment project is located in Long Island and funded by RGGI.
 - Due to the continued growth of the Long Island residential solar market, the final residential MW Block for that region filled in April 2016 and the incentive program closed. A total of 19,406 solar electric systems installations through December 31, 2017 on Long Island through PON 2112 and the Solar Pioneer Programs.

4.1.2.1 NYSERDA Solar Electric Program

NYSERDA's Solar Electric Program focuses on reducing GHG emissions in the long term by helping to establish a sustainable market for solar energy statewide that includes targeted financial incentives. These RGGI funds supplement and do not supplant Renewable Portfolio Standard (RPS) funds, supporting installation of systems in regions that do not pay into the RPS.

Key accomplishments as of this quarter:

- A total of 201 solar electric systems were installed outside of Long Island using RGGI funding through December 31, 2017.

4.1.3 New York Generation Attribute Tracking (NYGATS)

NYSERDA established the New York Generation Attribute Tracking System (NYGATS) to record electricity generation attribute information within NYS and process generation attribute information from energy imported and consumed within the State, as a basis for creating tradable generation attribute certificates. Through NYGATS, entities can verify and substantiate ownership of renewable energy certificates to either support regulatory compliance, to validate environmental attributes in trading markets, or substantiate the fulfillment and verification of voluntary green market product claims. NYGATS also characterizes the attributes of electricity imports and exports and has the

capability to interface and exchange information with other certificate tracking systems. The system is used for the creation of annual disclosure labels for New York Load Serving Entities (LSE) under the Environmental Disclosure Program (EDP), for generation projects to apply for eligibility under Tier 1 of the Clean Energy Standard (CES), for LSEs to substantiate compliance under the CES, and for CES progress reporting. Additionally, NYGATS certificates are the instrument to be received by the utilities in exchange for providing the environmental value component of the Value of Distributed Energy Resources (VDER) Phase 1 Value Stack tariff. As previously ordered by the Public Service Commission, this project is also supported with System Benefits Charge (SBC) environmental disclosure program funding.

Key accomplishments as of this quarter:

- Settlement of 2016 generation and load data was accomplished in NYGATS. The settlement process calculates the fuel sources and emissions profile for electricity consumed in NYS. This data is used to create EDP labels for LSEs, which can be retrieved from NYGATS and distributed to customers. Creation of EDP labels in NYGATS eliminated the Conversion Transaction reporting requirement and reduced the timeline for label creation by eight months as compared to 2015. Several publicly available reports were updated with 2016 settlement data. These include the EDP Label Report, the Import and System Fuel Mixes Report, and the Import and System Mix Emissions Report.
- Revisions to the NYGATS Operating Rules were published. The currently available version includes revisions to the Operating Rules that reflect improvements to NYGATS based upon stakeholder feedback and upgrades related to the CES and the VDER proceedings.
- Modifications to NYGATS to support the CES and VDER are in development for release throughout 2018.

4.1.4 Advanced Renewable Energy Program

The Advanced Renewable Energy Program supports projects that foster the market introduction of a broad range of promising new and advanced renewable energy technologies, including advanced biomass, tidal, and offshore wind technologies.

Key accomplishments as of this quarter:

- GridMarket LLC completed conducting a small research project to analyze the characteristics of building load profiles using 15-minute interval meter data in the Con Edison distribution area and evaluating the potential benefits to customers and the grid of applying energy storage technologies to modify load and integrate with renewable generation. NYSERDA received the final report.

- An Offshore Wind Cost Benefit Study was completed. It assessed the potential costs, ratepayer impacts, environmental benefits, economic benefits, and impacts (job and other macroeconomic impacts) to New York State associated with plausible scenarios of future offshore wind energy deployment in the New York Bight through 2025.
- The Offshore Wind Master Plan, that is funded through the Clean Energy Fund, will include cost studies that build on the work completed for the Offshore Wind Cost Benefit Study.

4.2 Energy Efficiency

4.2.1 LIPA Energy Efficiency and Renewable Energy Initiative

The RGGI funds provided to LIPA ensure that businesses and consumers on Long Island have access to similar clean energy and energy efficiency opportunities available throughout the State and help advance statewide efforts toward achieving the clean energy goals of the 2015 New York State Energy Plan. The funds provided to LIPA have traditionally supported solar incentive programs consistent with the statewide NY-Sun program, but have more recently supported energy efficiency programs administered by PSEG Long Island. During 2016, LIPA, NYSERDA and PSEGLI collaborated to launch new approaches envisioned under REV to support market transformation objectives while also achieving greater carbon emissions reductions. Funding and reporting requirements are established through a Memorandum of Understanding between NYSERDA and LIPA. Following are the results from the fourth quarter of 2017.

Total 2017 fourth quarter rebate spending totaled \$10.1 million against total budgeted RGGI funds of \$34.6 million, resulting in 54,996 MWh savings. The majority of the spending (\$6.6 million) consisted of payments to businesses through PSEGLI's Commercial Efficiency Program (CEP). PSEGLI's Cool Homes central air conditioner program and PSEGLI's Efficient Products program were among the supported residential programs. The Efficient Products program includes support of LED light bulbs, pool pumps, appliance recycling, and room air conditioners.

PSEGLI implemented new initiatives in support of REV. Recently, Long Island has been recognized as the first region of the State where all 18 Clean Energy Community grant awards have been claimed, with each community earning the designation as a Clean Energy Community. PSEG Long Island will continue to coordinate with NYSERDA around supporting communities by promoting the grant projects that will result from these awards. Combined Heat and Power is another innovative measure that PSEGLI is implementing. Eight projects have been pre-approved, with anticipated savings of 10,140 MWh and total estimated rebate of \$2.3 million. Additionally, the Home Energy Management program was launched in the third quarter of 2017. The program consists of Home Energy Reports that will be sent to 340,000

residential customers and an interactive portal, which provides a disaggregation of electric usage and savings tips. The program was enhanced in the fourth quarter to include a Home Energy Analyzer wherein customers input home profile information for a customized energy plan. An enhanced Marketplace information and listing of energy efficiency products and services that the customer can purchase is in planning in addition to High Usage Alerts, which consist of advance notifications to alert customers of potential high usage.

Key accomplishments as of this quarter:

- More than \$6.6 million in rebates were paid to Long Island businesses, saving 22,658 MWh as part of PSEGLI's Commercial Efficiency Program as incentive for 880 energy efficiency projects installing measures such as lighting, HVAC systems, and efficient motors.
- During the fourth quarter of 2017, PSEGLI Residential Efficient Products program resulted in saving 30,828 MWh for total incentive payments of \$1.98 million, including rebates of \$1.4 million to PSEGLI residential customers for the purchase of light bulbs at local retailers. The remaining incentives were paid for efficient product measures such as catalog LED light bulbs, pool pumps, appliance recycling, and room air conditioners
- PSEGLI residential customers were provided more than \$484 thousand in incentives to install 1,264 energy efficient central air conditioning projects as part of PSEGLI's Cool Homes program, saving 662 MWh in Q4 2017.

4.2.2 Residential Efficiency Services

NYSERDA currently offers a suite of programs that provide comprehensive energy efficiency services for single and multifamily existing buildings and new construction, including low-income households. In addition to energy savings, these programs provide significant health and safety benefits through comprehensive testing and verification, improved air quality, and improved comfort. Previously, RGGI funds were used to fill gaps in residential energy efficiency services, offering incentives to implement energy efficiency measures related to petroleum fuel opportunities, or opportunities on Long Island and municipal electric districts, which were not supported through the Energy Efficiency Portfolio Standard (EEPS). However, the Clean Energy Fund initiatives are fuel neutral, and the Long Island Power Authority now administers more comprehensive residential energy efficiency programs; therefore, RGGI funds are used to support petroleum fuel opportunities for customers of municipal electric utilities. Coordination of RGGI funds with programs offered by municipal electric utilities allows for efficiency contractors to provide comprehensive energy efficiency services to the home, expands the number of households served, and ensures that opportunities for carbon reduction measures are not lost.

4.2.2.1 Multifamily Performance Program

The Multifamily Performance Program (MPP) serves residential buildings with five or more units. Funds are targeted at efficiency measures that help to reduce on-site oil, non-firm natural gas, steam, and propane energy demand in multi-unit residential buildings. All buildings receive program support for energy assessments to determine cost-effective measures, expected energy savings, and installation costs. Projects also receive implementation incentives to support the installation of measures identified by program supported assessments.

Key accomplishments as of this quarter:

- Through December 31, 2017, 146 energy efficiency projects were completed, representing efficiency upgrades to 33,227 units.

4.2.2.2 Multifamily Carbon Emission Reduction Program

This program is now closed. Refer to Appendix F: Closed RGGI-Funded Programs and Completed Evaluations for more information.

4.2.2.3 EmPower New York

NYSERDA's EmPower New York (EmPower) program offers no-cost energy efficiency services to low-income (i.e., HEAP-eligible) homeowners and renters. These services include electric reduction and home performance measures such as appliance replacement, energy-efficient lighting, insulation, and air sealing. On-site energy education offers customers additional strategies for managing their energy costs. Services are provided by participating contractors that are Building Performance Institute GoldStar Contractors. Currently, 159 EmPower contractors are assisting in RGGI-funded projects.

Historically, EmPower used RGGI funding to serve low-income applicants who heat with oil and propane and were ineligible for EEPS funding. Currently, RGGI funds continue to support petroleum fuel efficiency measures in households served by municipal electric utilities. These energy efficiency measures aid in the reduction of GHG emissions and provide long-term carbon reductions.

Key accomplishments as of this quarter:

- Across the State, 22 households were served during this quarter, bringing the total to 6,948 households served under EmPower New York to date with RGGI funding through December 31, 2017.

4.2.2.4 Green Residential Buildings Program

This program is now closed. Refer to Appendix F: Closed RGGI-Funded Programs and Completed Evaluations for more information.

4.2.2.5 Home Performance with ENERGY STAR® (HPwES)

Home Performance with ENERGY STAR® (HPwES) is a comprehensive energy efficiency services program for existing one- to four-family homes and low-rise⁴ residential buildings. The program uses a network of Building Performance Institute (BPI) GoldStar contractors to perform diagnostic testing on the home, recommend improvements, determine the payback period for those improvements, and install improvements selected by the homeowner. As of December 31, 2017, 176 contractors are active in HPwES.

The program uses RGGI funds for municipal electric households for oil and propane efficiency measures, such as replacing inefficient oil and propane heating equipment, air sealing and insulation, and other measures that have a direct impact on reducing GHG emissions from oil and propane consumption. Income-qualified homeowners are eligible for incentives to make energy improvements. HPwES applicants may also qualify for GJGNY assessment and financing programs.

Key accomplishments as of this quarter:

- During this quarter 30 energy efficiency projects were completed at a contracted value of \$212.5 thousand, bringing the total to 9,379 energy efficiency projects completed at a contracted value of \$91.4 million.
- Of these projects, 43% were Assisted HPwES, which serves homeowners with incomes less than 80% of area median income.
- In Q4 2017, 2% of all HPwES projects were RGGI funded.

⁴ HPwES low-rise buildings encompass buildings with three stories or less, with eight units or less, and are constructed using building techniques common to one- to four-family homes. They must be served by residential-scale heating equipment with a maximum rating of 300,000 Btu. Taller residential buildings that fit these criteria are also eligible. Examples include brownstones, row housing, and other urban-style buildings.

4.2.2.6 Solar Thermal Incentive Program

NYSERDA's Solar Thermal Incentive Program incentivizes the installation of solar thermal technologies to produce hot water to displace electric heated hot water systems. Approximately 100 contractors participate in this program. Accounting for funding from the Renewable Portfolio Standard program to displace electrically heated domestic hot water, RGGI support for the Solar Thermal Incentive Program to use heating fuels other than electricity. GJGNY financing is also available for these projects.

The revised program, released on March 20, 2015, provides cash incentives for the installation of new solar thermal (hot water) systems by an eligible installer or contractor. Incentives are available on a first-come, first-served basis. Incentives are applied to the total project cost based on displaced kWh. The program allows combination systems (systems that provide domestic hot water and space heating); however, incentives are only provided on the portion of the solar thermal system output that offsets hot water production.

Key accomplishments as of this quarter:

- Program funds are winding down; no new solar thermal hot water system was installed during this quarter. Only five funded projects remain in the existing program, potentially adding 816 MMBtu's.
- In total, 13,753 MMBtu's have been saved through 177 projects and their solar thermal contribution to domestic hot water.⁵

4.2.2.7 Low-rise Residential New Construction Program

NYSERDA's Low-rise Residential New Construction Program⁶ (LRNCP) includes the New York ENERGY STAR[®] Certified Homes Program and the New York Energy \$mart designation for certain low-rise, multi-unit buildings and gut rehabilitation projects. Funded primarily through the Energy Efficiency Portfolio Standard, this program is designed and intended to encourage the construction of new single-family homes and low-rise residential dwelling units that operate more energy efficiently and reduce long-term GHG emissions, are more durable, and provide a healthier environment for their

⁵ Installed MMBtu's decreased from prior period due to lagged data and/or QA/QC.

⁶ Low-rise residential new construction is a dwelling unit(s) contained within residential buildings of not more than three stories in height. Additionally, residential buildings that are more than three stories in height and determined to be eligible to participate in the EPA's ENERGY STAR[®] Certified Homes program are considered for eligibility on a case-by-case basis. Dwelling units "gut-rehabbed" or fully rehabilitated are also considered by NYSERDA for eligibility on a case-by-case basis.

occupants. Starting in July 2013, RGGI funded the MMBtu-savings component of the LRNCP incentive for projects using propane or oil as the primary heating fuel. Although more than 165 builders participate in this program statewide, 24 builders have constructed homes eligible for RGGI incentives so far. RGGI funds have been fully committed as of Q3, 2015.

Key accomplishments as of this quarter:

- The cumulative total of new dwelling units constructed to date remains the same as last quarter at 262.
- The total private sector funds leveraged to date is \$1,038,718.

4.2.3 Municipal Water and Wastewater Program

This program is now closed. Refer to Appendix F: Closed RGGI-Funded Programs and Completed Evaluations for more information.

4.3 Innovative GHG Abatement Strategies

4.3.1 Industrial Innovations Program

The Industrial Innovations program is a longer-term program that supports development and demonstration of technologies with substantial GHG reduction potential and technologies relevant to NYS manufacturing industries and building systems. Funded projects will focus mainly on innovations that reduce the use of fossil fuels, have high replication potential for the State's manufacturing base, and are likely to be cost-effective. Projects will focus on technical innovations, including thermal-efficiency improvements for fossil fuel-based and alternative processes that eliminate the use of fossil fuels directly and indirectly for technologies that bring about thermal destruction of byproducts. Projects also may include changes in material input and development of advanced controls, provided they directly bring about GHG reduction.

In 2014, two Manufacturing Innovations solicitations were issued: PON 2858 (Ultraviolet Light and Electron Beam Process Innovation and Market Transformation [UV/EB]) and PON 2927 (Transformative Technologies for Energy-Efficient Manufacturing [TTEEM]). These solicitations sought to advance the materials, methods, and machine tools used to mass-produce cleantech products, and thus reduce the GHG footprint of factories producing cleantech products, as well as reduce the cost of goods. Key accomplishments as of this quarter:

- Progress is being made by a Rochester-based company, Sweetwater Energy, toward pioneering a decentralized system to make low-cost nonfood sugar to be used as feedstock for biofuels (importantly, the materials used to produce the sugar are what most of us would consider part of the waste stream: cornstalks and husks and throwaway wood pieces from sawmills, to name a few). Numerous modular sites are being developed across New York State, each in close proximity to biomass supplies. Site #1 is operational and performing as expected. Site #2 is in design, and Site #3 is in the advanced planning stage. The sites are intentionally being developed sequentially, so lessons learned during development can iteratively inform improvements to be incorporated during development of subsequent sites, to ultimately yield an optimized model facility.
- Projects in progress from previous quarters continued to make advancements during this quarter.

4.3.2 Climate Research and Analysis Program

The Climate Research and Analysis Program supports research studies, demonstrations, policy research and analyses, and outreach and education efforts. Through these activities, the program addresses critical climate change related problems facing the State and the region, including the needs of environmental justice communities.

Key accomplishments as of this quarter:

- Work has continued on the climate change adaptation research projects. Several projects, including one on the impacts of power outages on health and one on coastal marsh migration under sea level rise, have been completed and are in the final stages of report preparation. Several others, covering the topics of future flooding and climate change impacts on buildings, have been extended to allow for additional work.
- Through the Community Risk and Resiliency Act (CRRA) process, the DEC previously adopted the NYSERDA-supported ClimAID projections for NYS as the official sea level rise projections for the State. NYSERDA staff continued to participate in an interagency working group to coordinate efforts on CRRA. NYSERDA will continue to engage with this group, offering suggestions and support when appropriate.
- Discussions are continuing with the U.S. Climate Alliance, including coordination with past and ongoing NYSERDA and NYS climate research and the potential for building a clearinghouse for that national entity based on the New York Climate Change Science Clearinghouse.

4.3.3 Clean Energy Business Development

The Clean Energy Business Development program seeks to support emerging business opportunities in clean energy and environmental technologies while maintaining the goal of carbon mitigation.

Key elements of the program include:

- Providing financial support to leverage private investment in early-stage and growth-stage clean energy companies in NYS and accelerate the market introduction of innovative energy efficiency, renewable energy, or carbon abatement technologies.
- Advancing the transition of clean energy technologies or technologies that improve the energy efficiency of industrial processes from the development/demonstration stage to the launch of commercial-scale manufacturing or application.
- Developing and supporting a portfolio of programs designed to translate clean energy technology research into commercially viable business enterprises.

As part of the effort to bring private investment to early-stage clean energy companies in NYS, NYSERDA is working with the impact investment group, Investors' Circle to develop a local network in New York City, which has been branded as Investors' Circle New York (IC NY). The group held monthly meetings/events to bring together the impact/social investing community in the New York metropolitan area, introduce clean energy investment opportunities to IC NY members, and provide feedback to the clean energy companies on how to successfully pitch to the impact/social investing community. IC NY is working to form and grow an effective and sustainable local network that will foster early-stage and growth-stage impact/social investments in clean energy companies in NYS. Additionally, IC NY worked to create stronger ties to key segments of the impact/social investor community, including foundations, family offices, sovereign wealth funds, and high-net-worth individuals.

Energy storage is an enabling technology important to the market penetration and value of intermittent renewable energy resources such as solar and wind. Financial support for the New York Battery and Energy Storage Technology Consortium (NY-BEST) Test and Commercialization Center in Rochester is partially provided by RGGI. The Center is a wholly owned subsidiary of NY-BEST and operated by DNV GL. The lab's grand opening occurred on April 30, 2014 and conducted the first test on May 28, 2014. In addition, in March 2015, the BTCC received American Association for Laboratory Accreditation for International Organization for Standardization (ISO) 17025 Lab Quality.

76West is an initiative focused on clean energy business development in the Southern Tier. As outlined in the 2015 State of the State address, this \$20 million investment will catalyze a clean energy business cluster that builds on the local strengths and assets of the Southern Tier.

The Photovoltaic Manufacturing Consortium (PVMC) is a \$5 million effort with more than 40 industrial collaborators as members or affiliates. Its goal is to accelerate the development, commercialization, manufacturing, field testing, and deployment of next-generation solar electric and lightweight photovoltaic systems.

Key accomplishments as of this quarter:

- Investors' Circle New York continued to hold monthly meetings for the impact/social investment community in metropolitan New York. In addition, Investors' Circle New York held a roadshow event on October 2, 2017 in Syracuse, NY to better engage and network with prospective and active impact/social investors across Upstate New York.
- The second round of the 76West Clean Energy Business Competition was launched on December 1, 2016 and applications were due on March 13, 2017. The semifinals of the competition were held on July 11, 2017 in Alfred, NY and the finals were held on July 13, 2017 in Corning, NY. The winners were announced at an awards ceremony on August 16, 2017 in Binghamton, NY. Five agreements have been fully executed and one agreement is pending as of December 31, 2017.

4.3.4 Charge NY

Charge NY will pursue three main strategies to promote plug-in electric vehicle (PEV) adoption by consumers across New York. First, NYSERDA will develop and implement a rebate program for PEVs starting in 2017, accelerating purchases by reducing higher upfront costs. Second, NYSERDA will invest in marketing and awareness-building activities to build interest in PEVs among the general public. A focus on building greater public knowledge and awareness of the capabilities of PEVs is essential to spur more private investment in PEV purchases and charging stations. This work may also include other market development activities, such as policy and business model development studies that support new ways for critical stakeholders, such as utilities, local governments, and car dealers, to get involved in the PEV market. Third, NYSERDA will also support the installation of PEV charging stations at workplaces, municipal lots, and multi-family buildings—location types proven to be effective drivers for PEV adoption based on usage data reported from previous installations. Regions of the State that have seen faster PEV adoption will be identified for additional charging station support, which ensure that investments in infrastructure support areas with the greatest potential for additional PEV drivers. Charge NY will also initiate the deployment of a network of direct current fast charge stations across the State.

Key accomplishments as of this quarter:

- In March 2017, NYSERDA launched the Drive Clean Rebate program for electric vehicles, providing up to \$2,000 per vehicle for qualifying purchases. Through December 2017, NYSERDA issued more than 4,500 rebates.
- NYSERDA is preparing to launch a brand-neutral PEV consumer awareness campaign in collaboration with other Northeast states and 17 automakers. The campaign is expected to launch in 2018.
- NYSERDA's charging station deployment program is under development, with a request for proposals expected to be released in 2018.

4.3.5 Transportation Research

The goal of the Transportation Research Program is to commercialize technologies, products, systems, and services that provide superior GHG reduction. Activities include product development, performance validation, field testing, policy development, and business assistance to help emerging technologies achieve successful commercialization.

Key accomplishments as of this quarter:

- Unique Energy Solutions is completing the assembly of its upfitted all-electric UPS delivery truck. It is expected to begin in-service testing in New York City in March 2018. UPS continues to be very interested in the technology and committed to purchasing 12 additional units for further testing.
- Mobile Fleet, Inc. continues to work on the design of its anti-idling product and is making steady progress.
- Volpe, the National Transportation Systems Center, U.S. Department of Transportation is finalizing its developing recommendations for future NYSERDA Smart Mobility activities. The project is expected to be completed in early 2018.

Projects that were part of the Locomotive Idle Reduction Program (partially RGGI funded), which installed U.S. Environmental Protection Agency (EPA) SmartWay-verified idle reduction equipment on locomotives, remain in use and are reducing fuel use and emissions while saving the short line railroads money.

4.3.6 Carbon Capture, Recycling, and Sequestration

This program is now closed. Refer to Appendix F: Closed RGGI-Funded Programs and Completed Evaluations for more information.

4.3.7 Advanced Buildings

GHG emissions associated with the building electric and fossil fuel use are a major contributor of GHG emissions. The goal of the Advanced Buildings Program is to drive technology development and commercialization of innovative building technologies for existing buildings and new construction that offer greater energy efficiency, accelerate the integration of renewables into buildings, offer resiliency, and enable net zero energy building.

Key accomplishments as of this quarter:

- The final report for the Energiesprong/Transition Zero assessment has been completed. The report will be made public and used to drive interest in RetrofitNY.

4.3.8 Competitive Greenhouse Gas Reduction Pilot

This pilot program was initiated to support market-ready projects that reduce GHG emissions at electric generating facilities in the State. The projects selected were based on a combination of requested dollar-per-ton GHG emission reduction, expected level of GHG emission reduction, and the technical merit/replication of the project across the power plant fleet in NYS. It was anticipated that projects could include, but not be limited to, supply-side energy efficiency and advanced controls resulting in cost-effective GHG emissions reductions.

Key accomplishments as of this quarter:

- Both projects awarded under this program continue operating with improved performance. The Caithness Long Island Energy Center CGGR project completed its first full year of operation this year and resulted in a 143% improvement in emissions rate reduction post modification. The Con Ed East River Generating Station CGGR project continued to deliver emissions benefits in its second year of operation and realized a 393% improvement. In its first year of operation their project resulted in an 83% improvement in emissions rate reduction post modification.
- Due to historic poor participation in this pilot program, the program was terminated and no further requests for proposal will be sought. The two projects awarded under the first program request for proposals will continue to be managed to verify performance.

4.3.9 Brookhaven National Laboratory Ion Collider

Cornell University (CU) and the Brookhaven National Laboratory (BNL) are designing, building and commissioning the Cornell-BNL ERL Test Accelerator (CBETA), a 4-pass, 150 MeV electron Energy Recovery Linac that is a prototype for advanced technology to be used in the future BNL eRHIC accelerator.

This pilot-scale facility is located at Cornell University where all field testing/validation will occur. The work is being conducted at Cornell to fully leverage an existing \$32 million facility located on Cornell's campus. This results in significant overall cost savings for the ERL project.

BNL will manage all aspects of the initiative and serve as the project Contractor. The contract cost to NYSERDA is \$25 million and the project is expected to complete by April 2020.

Timely and successful testing/validation of the pilot-scale ERL will allow BNL to submit a competitive proposal to the Department of Energy to secure an award to build and operate an electron-ion collider on BNL's campus that includes a full-scale ERL as a major sub-system component of the eRHIC accelerator.

Key accomplishments as of this quarter:

- The first production (Halbach - FFAG) magnet testing was completed successfully on December 21, 2017, 10 days ahead of plan.
- The project continues to move forward quickly in production mode and in preparation for both the Fractional Arc Test and construction of the full machine. While engineering work remains and extends through the next quarter, many procurements are arriving and being prepared for installation. The focus in the next quarter is readiness for the Fractional Arc Test, which will occur in the first third of 2018, with an associated technical milestone on April 30, 2018.

4.4 Community Clean Energy

4.4.1 Climate Smart Communities

This program is now closed. Refer to Appendix F: Closed RGGI-Funded Programs and Completed Evaluations for more information.

4.4.2 Economic Development Growth Extension Program (EDGE)

This program is now closed. Refer to Appendix F: Closed RGGI-Funded Programs and Completed Evaluations for more information.

4.4.3 Cleaner, Greener Communities

Governor Cuomo announced the Cleaner, Greener Communities (CGC) program in his 2011 State of the State address. In coordination with the Climate Smart Communities program, this program provides support for development and implementation of a variety of sustainability strategies to help ensure that the State's ongoing investments in infrastructure aid for moving communities and the State as a whole toward a self-sustaining, more environmentally sound future. The program encourages communities to use public-private partnerships and develop regional sustainable growth strategies in areas such as energy efficiency, renewable energy, low-carbon transportation, and other carbon reductions.

The program emphasizes activities associated with smart growth, creation of green jobs, building green infrastructure, investing in environmental justice communities, and strengthening environmental protection. A process evaluation was completed in the second quarter of 2017, revealing opportunities for communities to implement plans to achieve their sustainability goals. Refer to Appendix F: Closed RGGI-Funded Programs and Completed Evaluations for more information.

Key accomplishments as of this quarter:

- NYSERDA executed all contracts for CGC Round 2.
- NYSERDA is negotiating contracts for the third round of funding (\$25 million) for Phase II of the CGC program, which includes 17 projects. Twelve contracts have been executed and five are still under negotiation.

4.4.4 Regional Economic Development and Greenhouse Gas Reduction Program

The Regional Economic Development and Greenhouse Gas Reduction (REDGHG) Program supports projects identified as priority initiatives consistent with Governor Cuomo's REDC initiative and are not provided financial support by other NYSERDA programs or initiatives. REDGHG provides cost-share funding for energy efficiency, clean and renewable energy, and/or innovative carbon abatement projects that address the regional priorities of the REDCs, results in strategic investments, and builds the capacity within the region to participate in the State's clean energy economy. REDGHG focuses on several end uses, including transportation, manufacturing and industrial process, buildings, agriculture, municipal processes, renewable electric generation, and district energy.

4.4.5 Reforming the Energy Vision Campus Competition Program

Governor Cuomo's Energy to Lead Competition is a competitive solicitation issued by NYSERDA that challenges colleges and student-led coalitions across the State to develop and implement plans to advance clean energy on their campuses or in their local communities in new ways. The three groups that propose the best solutions for an innovative clean energy project in energy efficiency, renewables or GHG emission reduction will win \$1 million each to help implement their plans. The request for proposals for the Energy to Lead Competition was released January 22, 2016. Three informational webinars were held, and NYSERDA posted answers to frequently asked questions on their website.

Teams are to submit plans for projects demonstrating innovations in one or more of the following:

- Business model: a new way of paying for a project, lowering costs, or creating new revenue streams.
- Community engagement: an approach to build on an on-campus project to advance clean energy in the surrounding community.
- Curriculum integration: a model for integrating project construction, implementation, or operations into student coursework, workforce training, or internships.

Proposals for the Energy to Lead Competition were due April 4, 2016. NYSERDA received 40 proposals from 33 institutions. The three winning institutions and their proposed projects were announced on May 16, 2016, and are as follows:

- Bard College’s “Micro Hydro for Macro Impact” project will use local dams to develop micro hydropower. The project is expected to avoid 335 metric tons of GHG emissions annually, equivalent to taking 70 cars off the road.
- The University at Buffalo will implement the “Localizing Buffalo’s Renewable Energy Future” project, which will install 100 MW of clean solar power throughout the city. The implementation involves partnership with the City of Buffalo and several not-for-profit and educational partners.
- Broome Community College’s “Geothermal Learning Laboratory” project includes installing a closed loop geothermal system that uses the heat energy stored in the earth; real-time, public data-sharing about the system’s operations; and development of hands-on, geothermal material for secondary schools.

Key accomplishments as of this quarter:

- Work has begun assembling the University at Buffalo’s Garden, Relax or Work (GRoW) Home, the institution’s sustainable living project which took second-place at the U.S. Department of Energy’s 2015 Solar Decathlon. The GRoW Home is being temporarily sited on the South Campus; permanent installation is anticipated to begin in 2018, with the GRoW Home situated adjacent to an existing solar PV array. Once permanently installed, the GRoW Home will act as a center clean energy exhibition and discussion for the on- and off-campus community.
- Broome Community College held a groundbreaking ceremony on September 21, 2017 to mark the start of construction on the Paul and Mary Calice and Mildred Barton Advanced Manufacturing Center, which will house the Energy to Lead-funded geothermal heating and cooling system and Geothermal Learning Laboratory.
- Bard College has completed initial ecologic and technical assessments on three locations identified as potentially viable sites for implementation of micro hydropower. Recommendations from these assessments are being discussed with key community and institutional stakeholders. Next steps for each site will be established in Q1 2018.

4.4.6 Clean Energy Communities

In the Fall of 2015, NYSERDA, through the third and final round of the CGC program, awarded three contracts for regionally-based outreach and technical assistance services to support NYSERDA’s new Clean Energy Communities program. These services expand upon the efforts undertaken previously through Climate Smart Communities (CSC) and Economic Development Growth Extension (EDGE). In addition, communities that receive the Clean Energy Communities designation will be eligible to apply for grants to implement innovative clean energy projects.

The statewide Clean Energy Communities program, which is co-funded through the Clean Energy Fund (CEF), supports local governments with a common platform and the coaching, facilitation, technical assistance, and expertise for implementing the local-level policies and planning needed to drive future clean energy market activities. These local-level actions roll-up and help to deliver the regional sustainable growth strategies encouraged by the CGC program, consistent with the regional sustainability and economic development plans. The Clean Energy Communities program also complements the Department of Environmental Conservation's Climate Smart Communities (CSC) Certification Program by providing assistance to communities working toward certification.

Key accomplishments as of this quarter:

- Clean Energy Communities Coordinators helped 289 communities complete and submit 811 High Impact Actions, 656 of which were completed after program launch, through the Clean Energy Communities program.
- 123 communities completed at least four High Impact Actions and became designated Clean Energy Communities.

4.4.7 Community Energy Engagement

In November of 2017, NYSERDA launched its Community Energy Engagement program, which is cofounded through the Clean Energy Fund (CEF), to build awareness and increase uptake of local renewable and energy efficiency solutions. Through this program, trusted, local organizations will conduct energy awareness and education with residential, multifamily, and small business customers, with an emphasis on increasing the amount of funding and financing leveraged for the completion of clean energy projects. Additionally, the initiative focuses on improving energy affordability and increasing deployment of distributed energy resources for community members of all income levels, with a focus on low- to moderate-income (LMI) households and communities.

Success Story 1:

New York supports communities using clean energy

RGGI funds continue to support the Clean Energy Communities initiative which recognizes local government leaders throughout the state for implementing energy efficiency, renewable energy and sustainable development projects in their communities. Recent municipalities that earned the Clean Energy Community designation include the City of Ithaca, Sullivan County, City of Geneva, Town of Ulysses and Village of Churchville. Once they receive the designation, communities often have the opportunity to apply for funding for additional clean energy projects.

Ten competitively selected organizations will provide engagement services in each of the 10 Economic Development Regions, as defined by Empire State Development. These organizations will deploy trusted, local Community Energy Advisers who engage with residents, small businesses, and multifamily building owners on how to reduce energy use and greenhouse gas emissions. By engaging directly with residents, small business, and multifamily building owners, Community Energy Advisers will help increase energy literacy and local understanding of the value of clean energy and reduced energy use. The face-to-face approach and focus on low- to moderate-income residents and communities will ensure the Community Energy Engagement program makes the greatest impact.

Key accomplishments as of this quarter:

- NYSERDA executed contracts for eight of the 10 Economic Development Regions and awarded contracts to the remaining two organizations for the Mid-Hudson and North Country Regions. NYSERDA anticipates execution of these two remaining contracts in Q1 2018.

4.5 Green Jobs - Green New York

Green Jobs - Green New York (GJGNY) provides funding for energy assessments, low-cost financing for energy upgrades, and technical and financial support to develop a clean energy workforce. GJGNY is a statewide effort to strengthen communities through energy efficiency and uses constituency-based organizations (CBOs) to support program outreach in underserved communities. GJGNY enables New Yorkers to make a significant difference in homes, businesses, and neighborhoods—making them more comfortable, sustainable, and economically sound. GJGNY is administered by NYSERDA and made available by the Green Jobs - Green New York Act of 2009. The GJGNY 2016 Annual Report, issued in September 2016, presents financial data for the approved GJGNY programs through June 30, 2016.

The Act allocated \$112 million in funding from the State's share of the RGGI to support GJGNY. In consultation with the GJGNY Advisory Council, NYSERDA sub allocated the funding, including interest earnings, across the various program components prescribed by the GJGNY Act. In addition to the RGGI funds, NYSERDA received a U.S. Department of Energy Better Buildings grant in the amount of \$40 million, of which \$18.6 million supports GJGNY financing or outreach. On occasion, NYSERDA also supplemented the GJGNY program funding with additional RGGI funds to ensure uninterrupted program services where needed.

By far the greatest demand for GJGNY funding generates from the residential revolving loan fund, with issued loans totaling its original allocation in less than three years. The residential revolving loan fund is now maintained primarily through proceeds from the sale of bonds, along with limited RGGI funds. More details regarding the bond issuance process and sustainability of the loan fund are in the Annual Report.

Funding allocated to individual components of GJGNY is nearly fully committed or expended. In order to maintain required elements of the Act, NYSERDA included GJGNY initiatives in the planning of the CEF.⁷ NYSERDA is working with stakeholders to incorporate lessons learned from GJGNY into CEF planning to ensure benefits from the GJGNY initiatives continue, particularly those benefitting the LMI sector.

4.5.1 Assessments

One- to Four-Family Residential Buildings Program Assessments

HPwES is a comprehensive energy efficiency services program for existing one- to four-family homes. Participating Building Performance Institute (BPI) GoldStar contractors conduct comprehensive home energy assessments and upgrades. Free and reduced-cost home energy assessments are available to homeowners in NYS through GJGNY funding, which drives increased participation in this program and cuts additional GHG emissions.

Effective for new applications submitted as of January 1, 2017, GJGNY funded audits in territories not covered by the Clean Energy Fund or PSEG Long Island's HPwES Program, specifically municipal electric territories. NYSERDA's Home Performance with ENERGY STAR[®] Program is using Clean Energy Funds for home energy assessments in participating electric utility territories and are reported separately.

⁷ The CEF, one of Reforming the Energy Vision's (REV) three strategic pillars, is designed to deliver on the State's commitment to reduce ratepayer collections, drive economic development, and accelerate the use of clean energy and energy innovation. It will reshape the State's energy efficiency, clean energy, and energy innovation programs. Visit nysERDA.ny.gov/About/Clean-Energy-Fund for more details regarding CEF planning.

Key accomplishments as of this quarter:

- A total of 73 GJGNY funded assessments were completed this quarter, bringing the total to 99,322 residential GJGNY assessments completed with RGGI funds; 92,268 (93%) were provided at no cost to the customer.
- Of the 36,512 completed residential units served through HPwES resulting from a GJGNY assessment and/or GJGNY financing, 12,557 (34%) units are associated with income-qualified assisted HPwES customers.
- Constituency-based organizations assisted with the completion of 2,836 units, 7% of all completed GJGNY residential retrofits.

Multifamily Performance Program Assessments

Through GJGNY, the Multifamily Performance Program provides financing and co-funding for comprehensive energy assessments and the development of an Energy Reduction Plan, serving market-rate and low- to moderate-income residential buildings with five or more units to increase adoption of clean energy in NYS. The needs of the multifamily sector are addressed by working with developers, building owners, and their representatives to improve the energy efficiency, health, safety, and security of multifamily residential buildings, targeting potential participants who are committed to the implementation of energy-related improvements. NYSERDA offers incentives to install eligible measures outlined within the plan. Each incentive is subject to funding availability from the EEPS or RGGI. Per-unit incentives are available for projects predicted to achieve the 15% energy reduction threshold. Additional performance payments apply to eligible projects that predict and achieve savings of more than 20%.

Key accomplishments as of this quarter:

- A total of 324 assessments were completed through December 31, 2017; of these, 56% are associated with affordable housing.
- Of the 37,587 residential units served with installed measures, 20,933 (56%) units are associated with affordable housing.

Small Commercial Energy Efficiency Program Assessments

The GJGNY Small Commercial Energy Efficiency Program stopped accepting applications on December 31, 2016 and wrapped up all program activities in the first quarter of 2017. This program offered energy assessments and technical assistance to help small businesses and not-for-profit organizations improve their energy efficiency and reduce their energy costs to support the goal of increasing clean energy project adoption statewide. The program offered free energy assessments,

along with technical assistance, to help identify economically viable improvements that may yield substantial annual energy savings. GJGNY offered energy assessments to small businesses and not-for-profits with an average electric demand of 100 kW or less and 10 employees or fewer. “Regional firms were competitively selected by NYSERDA to provide assessments and technical assistance within this program opportunity.

Key accomplishments as of this quarter:

- Through program end February 2017, a total of 3,367 GJGNY-funded assessments had been completed.
- The 2015 Small Commercial Energy Efficiency Program Impact Evaluation reported 44% of the energy savings recommended through program audits were implemented, resulting in an estimated total of 1,481 GJGNY-funded completed projects through February 28, 2017.

4.5.2 Financing

One- to Four-Family Residential Financing

GJGNY financing is available to participants in HPwES, NY-Sun and Renewable Heat NY Program to finance the installation of eligible energy efficiency and renewable energy improvements with energy savings helping to pay for the cost of the work. The Smart Energy Loan and the innovative On-Bill Recovery (OBR) Loan are the two financing options available through GJGNY, which enable more projects resulting in greater reductions of GHG emissions. Lower interest rates are available for qualifying low- to moderate-income households.

Key accomplishments as of this quarter:

- A total of 21,759 loans have been issued totaling \$260.2 million.
- Assisted HPwES customers make up 35.8% of the Home Performance loans issued, representing 26.7% of the total loan funds.
- Through December 31, 2017, a total of 7,436 OBR Loans have closed, valued at approximately \$104.9 million.
- Through December 31, 2017, of the total 21,759 loans closed, 6,960 are solar electric loans valued at approximately \$117.3 million.
- Through December 31, 2017, there are 34 renewable heat or solar thermal loans of which 18% represent assisted customers.

Multifamily Performance Program Financing

Launched in 2011, financing through the Multifamily Performance Program under GJGNY includes programs and incentives for owners, facility managers, developers, and condo/co-op boards of multifamily buildings with five or more units to support the goal of increased clean energy adoption statewide. These programs make it easier to assess, fund, implement, and measure energy efficiency upgrades that improve building performance and reduce costs. Participation loans are available through the program in which a participating lender issues a loan to a multifamily building owner for a qualifying energy efficiency project, with NYSERDA participating in the funding of 50% of the loan (up to a maximum of \$5,000 per unit or \$500,000 per building) at 2% interest, and the lender setting the interest rate on its share of the loan.

Key accomplishments as of this quarter:

- Through December 31, 2017, 23 loans closed totaling \$12.1 million. NYSERDA's share of the total loan value is \$3.9 million.

Small Commercial Energy Efficiency Program Financing

The GJGNY Small Commercial Energy Efficiency Program offers low-interest financing to help small businesses and not-for-profit organizations improve their energy efficiency and reduce their energy costs to support the goal of increased clean energy adoption statewide. In June 2011, NYSERDA launched the Participation Loan product to small business and not-for-profit customers. NYSERDA provides 50% of the loan principal, up to \$50,000, at 2% interest and the participating lender provides the remaining loan principal at its market interest rate. In June 2012, NYSERDA launched the OBR Loan for small business and not-for-profit customers, making a NYSERDA loan available for up to \$50,000 at 2.5% interest to finance recommended energy efficiency improvements. Customers can then repay their loan through a charge on their utility bill. Fourteen lenders agreed to offer either Participation Loans or OBR loans.

Key accomplishments as of this quarter:

- A total of 40 OBR Loans have been closed with a total value of \$1,259,209, which represents 92% of the total financing value of \$1,362,349.
- A total of 31 Participation Loans have closed with a value of \$2,075,344. NYSERDA's share of the total value is \$984,462.

4.5.3 Workforce Development, Outreach, and Marketing

Workforce Development

The GJGNY Workforce Training and Development (WFD) initiative complements other NYSERDA and NYS Department of Labor programs targeted at preparing individuals for energy efficiency, solar thermal, and solar electric careers in NYS. WFD programs also help to build the State's capacity for long-term carbon reduction and facilitate energy education programs that will help build a clean energy future. Specifically, WFD efforts under GJGNY seek to expand energy-specific content in NYS Registered Apprenticeship and third-party accredited building trades programs. Expectations are to increase access to technical training workshops for skills enhancement and certification, and to bridge the gap between training and employment through on-the-job training incentives for businesses seeking to hire and train new workers while reaching out to low-income communities to expand training opportunities.

From the program's inception through December 31, 2017, 3,919 New Yorkers were trained in a range of energy efficiency and renewable energy courses.

While most GJGNY-funded training partnership agreements ended by December 2016, NYSERDA entered into an agreement with Green City Force (GCF), a Brooklyn-based provider of training and job placement support to disadvantaged young adults, in April 2017. Prior to the latest investment of GJGNY funding, GCF was under contract to offer clean energy training and internships to 75 program participants through a contract funded under the SBC. The addition of \$60,000 in GJGNY funding allowed GCF to expand its network of employer partners resulting in additional opportunities for internships, apprenticeships, and job placement for program participants and alumni. Additionally, participants and alumni now receive assistance with resume development, job readiness coaching, and job search assistance as well as support services including referrals to subsidized child care services and transportation assistance.

- GJGNY funding is being used to support resume development, job readiness, and job searching and two full time Career and Alumni Managers have been hired to support program participants and graduates.

- The first cohort of 35 students under this agreement graduated on June 1, 2017. A new cohort of 23 members began their training on November 1, with an anticipated completion date of mid-February. Targeted recruitment has been from the Mayor's Action Plan sites, the 15 highest-crime New York City Housing Authority (NYCHA) developments. To date, 32 graduates have been placed in clean energy sector jobs, two have been placed in jobs outside the clean energy sector, and one is still searching for work.
 - As part of their service training, the team engaged in intensive work in Brownsville, Brooklyn, in partnership with the Mayor's Office, surveying residents on ways to improve the recycling system in their community. Students are building a data collection and management skill set that is transferable to a wide range of multifamily clean energy work. At the same time, a major development in 2017 has been the GCF social enterprise (hiring hall) activities for alumni.
 - One of the GCF program alumni is also a leading member of the EmPower team who often mentors current GCF corps members and recent graduates. Additionally, a GCF graduate from Van Dyke House in Brownsville, is currently attending training to secure an apprenticeship with the Local 3 Electrical Union.

Outreach and Marketing

GJGNY provided for community-based outreach, enabled one-to-one assistance with the process of participating in the program to deliver services in underserved communities. GJGNY provided outreach services in targeted communities through CBOs, which located residents, businesses, not-for-profits, multifamily building owners, and potential workforce candidates to participate in the program. The results of the outreach efforts were detailed in the last report which identified what strategies worked best for their teams. Although not under contract anymore, some of the applicants to the Home Performance program still cite the CBO's as how they first learned about the program. Although potential customers may have learned of the Home Performance program in the summer, they may not have seriously considered their options until winter set in and they are reminded of their heating issues. The NYC Retrofit Accelerator, funded through the NYSEERDA Cleaner, Greener Communities funds, was instrumental in referring inquiries from one- to four-family owners to NYSEERDA until the Clean Energy Engagement (CEE) program was rolled out in the NYC area. The CEE picked up where the GJGNY CBO program left off to provide a local outreach source.

The GJGNY CBO contracts were extended for one month to July 31, 2018 to close out and provide coverage until the, new outreach program, Community Energy Engagement Program (RFP 3588), was underway. Only ANCA and RUPCO contracts were extended for three months while a second CEE solicitation was issued to seek coverage in the North Country and Mid-Hudson regions. For additional information about that program refer to section 4.4.7.

4.6 NY Green Bank

NY Green Bank, a division of NYSERDA, is a \$1 billion investment vehicle established to attract private sector capital to accelerate clean energy deployment in NYS. NY Green Bank works to increase the size, volume, and breadth of clean energy investment activity throughout the State, expand the base of investors focused on NYS clean energy, and increase clean energy participants' access to capital. To do so, NY Green Bank collaborates with the private sector to develop transaction structures and methodologies that overcome typical clean energy investment barriers. NY Green Bank focuses on opportunities that create attractive precedents, standardized practices, and roadmaps that capital providers can willingly replicate and scale. As funders "crowd in" to a particular area within the clean energy landscape, NY Green Bank moves on to other areas that have attracted less investor interest.

To solve client problems in real-time and address capital provider needs, NY Green Bank operates comfortably within private sector time horizons and commercial norms. Visit www.greenbank.ny.gov for more information on NY Green Bank's growing portfolio and how industry participants and capital providers can do business with NY Green Bank.

Key accomplishments as of this quarter:

- Executed and closed two transactions totaling \$16.6 million contributing to NY Green Bank's overall investments to date of \$457.5 million across various technologies and financing arrangements.
- Continued to grow NY Green Bank revenues.
- Through ongoing business development activities, achieved an active pipeline of potential investments progressing towards close at the end of the quarter of \$673.2 million.
- Filed quarterly Metrics Report with the PSC on November 14, 2017.

4.7 Program Evaluation

Several RGGI evaluation studies are underway or in the planning stages as of the fourth quarter of 2017. The study objectives and timing are discussed in the following sections. Other study plans are also in development and will be detailed in future quarterly reports. The following types of evaluation activities are being performed:

- **Impact Evaluation** measures the outcomes and benefits of a program, calculates the cost-effectiveness of the program, and compares the outcomes to the program goals.
- **Market Evaluation** develops an understanding of markets and market actors, provides information to support program design and delivery, and tracks changes in markets over time.

- **Process Evaluation** reviews oversight and operations, gauges customer satisfaction, and recommends process and efficiency improvements.
- **Logic Model Reports** inform evaluation work by documenting the relationships between program activities; activity outputs; and the short-, medium-, and long-term outcomes the program intends to induce.
- **Evaluation Readiness Reviews**⁸ help identify whether a program has various factors in place that will ensure an evaluation is justified, feasible, and likely to provide useful information.

In addition, two major baseline studies received support from RGGI evaluation funds and are described herein.

4.7.1 Evaluation of Energy Efficiency and Other Deployment Programs

Home Performance with Energy Star[®]: The Green Jobs - Green New York (GJGNY) audit program was started in 2010 to provide homeowners in New York free or reduced cost energy audits and encourage installation of energy efficiency measures through the Home Performance with ENERGY STAR[®] (HPwES) Program. Customers who choose to install measures suggested in the audit can elect to either use a NYSERDA Home Performance contractor through HPwES or install measures on their own. This second type of customer, a GJGNY audit-only recipient who installs measures outside of the HPwES Program, generates savings; however, these savings are not captured or recorded as contributing toward the State's energy goals. NYSERDA is reviewing the cost effectiveness and overall added value of conducting a second evaluation of GJGNY-funded audit-only projects for studies completed between 2014 and 2016 to estimate these savings.

A billing analysis of Home Performance GJGNY On-Bill Recovery projects is in the planning phase. As appropriate, future results will be summarized in this report.

Industrial Innovations: Evaluation plans for this program may be considered in the future.

⁸ Formerly known as Evaluability Assessment.

4.7.2 Baseline Studies

NYSERDA has undertaken two major baseline studies to assess residential and commercial markets across a broad range of customer segments and energy measures. The goals of these studies are 1) to better understand building stock and associated energy use, including saturations of energy-consuming measures, penetrations of energy-efficient equipment, building characteristics and energy management practices; and 2) use this information to estimate the technical, economic, and achievable energy efficiency opportunities in NYS in the next three and five years. Although these large studies are supported by SBC funding, RGGI funds are supplementing the budget to allow for robust data collection on fuel measures.

The Residential Baseline study was completed in the fourth quarter of 2014. The final report is available on NYSERDA's website and the data set is available on Open NY.⁹ Scoping has begun on an update to this baseline study. The Commercial Baseline study is underway with an anticipated completion date of 2018.

⁹ Residential Statewide Baseline Study of New York State, nyserderda.ny.gov/Residential-Statewide-Baseline-Study-of-New-York-State.aspx and the associated data on Open NY (<https://data.ny.gov/en/browse?q=RSBS>)

Appendix A: Savings Calculations Methodology

This appendix describes the general methods and assumptions used to calculate the energy savings, emission reductions, bill savings, and cost-effectiveness metrics presented in this report.

A.1 Energy Savings

Annual energy savings values are based on the past performance of publicly funded energy efficiency programs and information obtained from various sources of technical literature.

A.2 CO₂ Reductions

Emissions factors translate the energy savings data into annual GHG emissions reduction values.

The GHGs evaluated in the report include carbon dioxide, methane, and nitrous oxide. Because each of these gases has a different global warming potential,¹⁰ emissions for gases other than carbon dioxide are converted into carbon dioxide equivalent units (CO₂e) through multiplication with their appropriate Intergovernmental Panel on Climate Change (IPCC) global warming potential value,¹¹ shown in Table A-1.

Table A-1. Global Warming Potentials

These values represent a 100-year time horizon.

Source: Intergovernmental Panel on Climate Change. 1995. Second Assessment: Climate Change.

Gas	Global Warming Potential
Carbon dioxide (CO ₂)	1
Methane (CH ₄)	21
Nitrous Oxide (N ₂ O)	310

¹⁰ A global warming potential is a measure that estimates how much a given mass of a GHG contributes to global warming. Calculations span over a specific time interval, which is 100 years for the IPCC Second Assessment Report values.

¹¹ Intergovernmental Panel on Climate Change. 1995. Second Assessment: Climate Change 1995. According to EPA guidance, this inventory uses potentials from the IPCC Second Assessment report, rather than values from the more current Third Assessment: Climate Change 2001 report. The DEC regulation Part 242 1.2 (49) uses the Third Assessment values. Reconciliation between these two methodologies will be investigated as part of the program implementation and evaluation process.

NYSERDA uses the emission factors shown in Table A-2 to calculate emissions from on-site fuel combustion derived from the EPA emission coefficients. The CO₂e values represent aggregate CO₂, CH₄, and N₂O emissions. If a program covers more than one sector, then the estimated reduction is based on a calculated average emission factor for the affected sectors.

Table A-2. Fuel Combustion Emission Factors by Sector¹²

	Transport (lb CO ₂ e/MMBtu)	Residential (lb CO ₂ e/MMBtu)	Commercial (lb CO ₂ e/MMBtu)	Industrial (lb CO ₂ e/MMBtu)
Coal	N/A	224.8	211.4	203.7
Natural Gas	117.2	117.2	117.2	114.5
#2 Oil/Distillate/Diesel	163.0	162.9	162.9	162.9
#6 Oil/Residual	N/A	N/A	166.0	166.0
Kerosene	N/A	161.2	161.2	161.2
Propane	136.1	136.1	136.1	136.1
Gasoline	158.0	N/A	N/A	N/A
Aviation Fuel	159.2	N/A	N/A	N/A
Wood	N/A	18.2	18.2	4.1
Steam	N/A	106.1	106.1	N/A

A marginal emission factor of 1,160 pounds of CO₂e/MWh estimates emission reductions associated with electricity use reductions for all sectors.¹³ Although electricity savings may not lead to near-term emission reductions under the RGGI CO₂ cap, savings will potentially reduce imports of electricity to NYS; the demand for CO₂ allowances, leading to a possible future reduction in the cap; and the carbon-footprint of end-users, as they will be responsible for a smaller percent of the emissions associated with electricity production.

¹² Beginning with Q4 2016, NYSERDA updated emission factors for natural gas, #2 oil, #6 oil, kerosene, propane, wood and steam to be consistent with emission factors used in the updated NYS Greenhouse Gas Inventory (nyserdera.ny.gov/About/Publications/EA-Reports-and-Studies/Energy-Statistics). These factors are derived from EPA’s February 2016 State Inventory Tool release (<https://www.epa.gov/statelocalclimate/state-inventory-and-projection-tool>). Steam emission factors have been updated to be consistent with New York City’s updated Greenhouse Gas Inventory (http://www1.nyc.gov/assets/sustainability/downloads/pdf/publications/NYC_GHG_Inventory_2014.pdf)

¹³ With the submittal of its Clean Energy Fund Investment Plan Budget Accounting and Benefits Chapter on February 22, 2016, NYSERDA adopted the NYS Public Service Commission’s recommendation in its January 21, 2016 Order Establishing the Benefit Cost Analysis Framework that New York’s GHG emissions factor methodology shift from an average grid emission profile to a marginal grid emission profile. Due to this shift, beginning in 2016, New York’s factor to calculate GHG emissions reductions has changed from 625 pounds CO₂e/MWh to 1,160 pounds CO₂e/MWh. The emissions reductions calculated for this report reflect the new factor of 1,160 pounds CO₂e/MWh.

A.3 Bill Savings

Annual bill savings values for each program are estimated by multiplying the energy savings by sector-specific fuel price data.

Table A-3 shows fuel prices by sector. Electricity and natural gas prices represent average values for six service territories weighted by the percentage of RGGI projects located in each utility area, excluding basic service charges.

Table A-3. Fuel Prices by Sector^a

Sector	Electricity (\$/kWh)	Natural Gas (\$/MMBtu)	Fuel Oil / Distillate (\$/MMBtu)	Propane (\$/MMBtu)
Residential	0.18	8.57	27.54	37.01
Commercial	0.16	5.09	21.77	25.07
Industrial	0.12	5.09	22.74	31.04
Transportation	0.05	N/A	26.93	N/A
C&I	0.14	5.09	22.23	28.06

Sector	Residual (\$/MMBtu)	Kerosene (\$/MMBtu)	Wood (\$/Cord)	Coal (\$/MMBtu)	Gasoline (\$/MMBtu)
Residential	N/A	29.84	7.83	N/A	N/A
Commercial	14.75	29.84	N/A	5.78	N/A
Industrial	14.75	24.64	N/A	4.24	N/A
Transportation	N/A	N/A	N/A	N/A	N/A
C&I	14.75	27.24	N/A	5.01	28.36

For electricity and natural gas, prices are an average of July 2012 and January 2013 prices as reported by the NYS Department of Public Service billing data

<http://www3.dps.ny.gov/W/PSCWeb.nsf/All/C56A606DB183531F852576A50069A75D?OpenDocument>
 For all other fuel types, prices reflect 2014 retail prices as reported in NYSERDA's *Patterns and Trends-NYS Energy Profiles: 1997-2014* (NYSERDA 2016).

Table A-4. Program Measure Life Assumptions

Average savings-weighted measure life, shown by program, is used to calculate expected lifetime benefits.

Program	Electricity Measure Life	Fuels Measure Life
GJGNY - Single-Family Residential Assessment Component	18	24
GJGNY - Single-Family Residential Loan Component	19	23
GJGNY - Multifamily Residential Assessment Component	13	15
GJGNY - Small Commercial Loan Component	13	21
RGGI - Multifamily Performance Program	13	15
RGGI - Multifamily Carbon Emissions Reduction Program	N/A	13
RGGI - EmPower New York	N/A	24
RGGI - Home Performance with ENERGY STAR®	18	24
RGGI - Green Residential Building Program	18	24
RGGI - Solar Thermal Incentive Program	N/A	20
RGGI - Low-rise Residential New Construction Program	18	24
RGGI - NYSERDA Solar Photovoltaic Initiative	25	N/A
RGGI – Cleaner, Greener Communities	15	15
RHNY - Boilers	20	20
RHNY - Pellet Stoves	20	20
LIPA Efficiency	18	NA
LIPA Photovoltaic and Efficiency Initiative	25	N/A
Regional Economic Development and GHG Reduction	18	18
Charge NY	10	10

Appendix B: Former Program Names

Table B-1. Former Program Names

Current Program Name	Formerly Known As
Residential Efficiency Services	Residential Space and Water Heating
Municipal Water and Wastewater	Water and Wastewater Efficiency; Water and Wastewater Energy Efficiency
Industrial Innovations	Industrial Process Improvements; Advanced Building Systems and Industrial Process Improvements
Transportation Research	Advanced Transportation Development
Clean Energy Business Development	Clean Technology and Industrial Development
Power Systems	Advanced Power Technology Program (AFTP)

Appendix C: Summary of Portfolio Benefits

Table C-1. Summary of Portfolio Benefits

Quarter End Date	Quarter	Cumulative Annual Installed MMBtu	Cumulative Annual Installed MWh Saved	Cumulative Annual Installed MWh Generated	Cumulative Annual Tons of CO ₂ e Mitigated	Cumulative Annual Bill Savings Realized by Participating Customers (\$)
6/30/2010	Qrt 2	3,409	4,371	-	2,100	700,000
9/30/2010	Qrt 3	47,332	4,371	-	5,630	1,200,000
12/31/2010	Qrt 4	91,471	838	4,316	9,310	2,900,000
3/31/2011	Qrt 1	115,763	1,213	3,903	10,950	2,700,000
6/30/2011	Qrt 2	152,501	5,233	3,992	15,553	4,000,000
9/30/2011	Qrt 3	197,622	6,473	4,205	17,874	4,600,000
12/31/2011	Qrt 4	256,980	8,126	4,218	23,805	6,000,000
3/31/2012	Qrt 1	318,273	13,363	4,218	31,194	7,800,000
6/30/2012	Qrt 2	411,462	13,702	4,248	40,368	9,400,000
9/30/2012	Qrt 3	519,144	15,023	4,278	51,353	10,700,000
12/31/2012	Qrt 4	577,025	16,895	4,345	56,764	12,000,000
3/31/2013	Qrt 1	651,564	18,206	4,305	60,349	16,300,000
6/30/2013	Qrt 2	770,186	20,038	4,386	69,068	18,100,000
9/30/2013	Qrt 3	889,027	24,385	16,710	96,916	21,200,000
12/31/2013	Qrt 4	985,379	26,545	16,752	100,934	23,100,000
3/31/2014	Qrt 1	1,089,306	28,206	16,752	108,844	25,500,000
6/30/2014	Qrt 2	1,174,186	28,697	20,331	115,852	27,700,000
9/30/2014	Qrt 3	1,301,751	32,481	20,331	127,880	31,600,000
12/31/2014	Qrt 4	1,503,898	115,024	44,470	178,048	53,400,000
3/31/2015	Qrt 1	1,614,354	120,453	54,642	191,322	58,500,000
6/30/2015	Qrt 2	1,726,165	165,092	78,093	216,657	75,105,825
9/30/2015	Qrt 3	1,894,278	207,154	97,314	245,176	89,706,416
12/31/2015	Qrt 4	2,025,159	236,298	120,506	277,276	102,222,096
3/31/2016	Qrt 1	2,079,825	237,147	178,908	488,278	117,000,474
6/30/2016	Qrt 2	2,131,898	252,067	183,534	490,159	140,543,911
9/30/2016	Qrt 3	2,197,233	251,124 ¹⁴	198,807	502,987	144,247,847
12/31/2016	Qrt 4	2,378,290	383,344	234,123	617,467	170,237,928
3/31/2017	Qrt 1	2,841,408	537,096	323,360	782,374	215,524,461
6/30/2017	Qrt 2	3,001,469	603,222	290,788	812,802	221,504,805
9/30/2017	Qrt 3	2,910,280	606,696	304,616	818,343	224,464,655
12/31/2017	Qrt 4	3,039,495	642,462	307,948	850,386	232,412,465

¹⁴ The decrease in Cumulative Annual Installed MWh Saved is due to a change in methodology for the GJGNY Multifamily Performance Program, from reporting the savings from measures as a result of an energy audit to only reporting the measures actually installed.

Table C-2. Summary of Fuel Savings by Type

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu)^a
6/30/2010	Qrt 2	Diesel	-	
6/30/2010	Qrt 2	Gasoline	-	
6/30/2010	Qrt 2	Natural Gas	-	
6/30/2010	Qrt 2	Oil	3,409	
6/30/2010	Qrt 2	Propane	-	
9/30/2010	Qrt 3	Diesel	-	
9/30/2010	Qrt 3	Gasoline	-	
9/30/2010	Qrt 3	Natural Gas	-	
9/30/2010	Qrt 3	Oil	47,332	
9/30/2010	Qrt 3	Propane	-	
12/31/2010	Qrt 4	Diesel	-	
12/31/2010	Qrt 4	Gasoline	-	
12/31/2010	Qrt 4	Natural Gas	3,926	
12/31/2010	Qrt 4	Oil	74,691	
12/31/2010	Qrt 4	Propane	301	
12/31/2010	Qrt 4	Steam	12,553	
3/31/2011	Qrt 1	Diesel	-	
3/31/2011	Qrt 1	Gasoline	-	
3/31/2011	Qrt 1	Natural Gas	18,206	
3/31/2011	Qrt 1	Oil	85,998	
3/31/2011	Qrt 1	Propane	1,280	
3/31/2011	Qrt 1	Steam	10157	
3/31/2011	Qrt 1	Wood	122	
6/30/2011	Qrt 2	Diesel	-	
6/30/2011	Qrt 2	Gasoline	-	
6/30/2011	Qrt 2	Kerosene	27	
6/30/2011	Qrt 2	Natural Gas	20481	
6/30/2011	Qrt 2	Oil	118,963	
6/30/2011	Qrt 2	Propane	2,272	
6/30/2011	Qrt 2	Steam	10,557	
6/30/2011	Qrt 2	Wood	201	
9/30/2011	Qrt 3	Diesel	-	
9/30/2011	Qrt 3	Gasoline	-	
9/30/2011	Qrt 3	Kerosene	208	
9/30/2011	Qrt 3	Natural Gas	40,683	
9/30/2011	Qrt 3	Oil	140,917	
9/30/2011	Qrt 3	Propane	4,818	

Table C-2 continued

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
9/30/2011	Qrt 3	Steam	10,557	
9/30/2011	Qrt 3	Wood	439	
12/31/2011	Qrt 4	Diesel	-	
12/31/2011	Qrt 4	Gasoline	-	
12/31/2011	Qrt 4	Kerosene	285	
12/31/2011	Qrt 4	Natural Gas	88,439	
12/31/2011	Qrt 4	Oil	150,163	
12/31/2011	Qrt 4	Propane	7,344	
12/31/2011	Qrt 4	Steam	10,157	
12/31/2011	Qrt 4	Wood	592	
3/31/2012	Qrt 1	Diesel	-	
3/31/2012	Qrt 1	Gasoline	-	
3/31/2012	Qrt 1	Kerosene	285	
3/31/2012	Qrt 1	Natural Gas	108635	
3/31/2012	Qrt 1	Oil	186,637	
3/31/2012	Qrt 1	Propane	11,810	
3/31/2012	Qrt 1	Steam	10,157	
3/31/2012	Qrt 1	Wood	749	
6/30/2012	Qrt 2	Diesel	-	
6/30/2012	Qrt 2	Gasoline	-	
6/30/2012	Qrt 2	Kerosene	285	
6/30/2012	Qrt 2	Natural Gas	140,597	
6/30/2012	Qrt 2	Oil	246,477	
6/30/2012	Qrt 2	Propane	12,798	
6/30/2012	Qrt 2	Steam	10,157	
6/30/2012	Qrt 2	Wood	1,000	
6/30/2012	Qrt 2	Residual Oil	144	
9/30/2012	Qrt 3	Diesel	-	
9/30/2012	Qrt 3	Gasoline	-	
9/30/2012	Qrt 3	Kerosene	285	
9/30/2012	Qrt 3	Natural Gas	183,379	
9/30/2012	Qrt 3	Oil	303,649	
9/30/2012	Qrt 3	Propane	14,187	
9/30/2012	Qrt 3	Residual Oil	144	
9/30/2012	Qrt 3	Steam	15,901	
9/30/2012	Qrt 3	Wood	1,599	
12/31/2012	Qrt 4	Diesel	-	
12/31/2012	Qrt 4	Gasoline	-	

Table C-2 continued

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
12/31/2012	Qrt 4	Kerosene	1,026	
12/31/2012	Qrt 4	Natural Gas	203,118	
12/31/2012	Qrt 4	Oil	337,096	
12/31/2012	Qrt 4	Propane	16,593	
12/31/2012	Qrt 4	Residual Oil	144	
12/31/2012	Qrt 4	Steam	15,969	
12/31/2012	Qrt 4	Wood	3,079	
3/31/2013	Qrt 1	Diesel	-	-
3/31/2013	Qrt 1	Gasoline	-	-
3/31/2013	Qrt 1	Kerosene	1,359	353
3/31/2013	Qrt 1	Natural Gas	231,225	90,488
3/31/2013	Qrt 1	Oil	378,533	317,149
3/31/2013	Qrt 1	Propane	18,848	7,747
3/31/2013	Qrt 1	Steam	15,969	37,123
3/31/2013	Qrt 1	Wood	5,129	1,338
3/31/2013	Qrt 1	Residual Oil	144	27
3/31/2013	Qrt 1	Coal	357	-
6/30/2013	Qrt 2	Diesel	-	-
6/30/2013	Qrt 2	Gasoline	-	-
6/30/2013	Qrt 2	Kerosene	1,270	138
6/30/2013	Qrt 2	Natural Gas	313,287	76,148
6/30/2013	Qrt 2	Oil	411,518	262,809
6/30/2013	Qrt 2	Propane	21,051	7,341
6/30/2013	Qrt 2	Steam	15,969	30,232
6/30/2013	Qrt 2	Wood	6,550	935
6/30/2013	Qrt 2	Residual Oil	144	20
6/30/2013	Qrt 2	Coal	397	-
9/30/2013	Qrt 3	Diesel	-	-
9/30/2013	Qrt 3	Gasoline	-	-
9/30/2013	Qrt 3	Kerosene	1,365	356
9/30/2013	Qrt 3	Natural Gas	415,512	182,146
9/30/2013	Qrt 3	Oil	424,549	239,750
9/30/2013	Qrt 3	Propane	23,656	24,099
9/30/2013	Qrt 3	Steam	15,969	13,112
9/30/2013	Qrt 3	Wood	7,497	2,203
9/30/2013	Qrt 3	Residual Oil	144	-
9/30/2013	Qrt 3	Coal	335	-
12/31/2013	Qrt 4	Diesel	-	-

Table C-2 continued

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
12/31/2013	Qrt 4	Gasoline	-	-
12/31/2013	Qrt 4	Kerosene	1,490	203
12/31/2013	Qrt 4	Natural Gas	466,754	128,549
12/31/2013	Qrt 4	Oil	466,125	236,933
12/31/2013	Qrt 4	Propane	25,403	5,491
12/31/2013	Qrt 4	Steam	15,969	15,977
12/31/2013	Qrt 4	Wood	8,981	1,111
12/31/2013	Qrt 4	Residual Oil	144	-
12/31/2013	Qrt 1	Coal	514	-
3/31/2014	Qrt 1	Diesel	-	-
3/31/2014	Qrt 1	Gasoline	-	-
3/31/2014	Qrt 1	Kerosene	1,594	80
3/31/2014	Qrt 1	Natural Gas	509,205	130,012
3/31/2014	Qrt 1	Oil	523,876	228,057
3/31/2014	Qrt 1	Propane	27,788	5,869
3/31/2014	Qrt 1	Steam	15,969	14,733
3/31/2014	Qrt 1	Wood	10,270	580
3/31/2014	Qrt 1	Residual Oil	144	-
3/31/2014	Qrt 1	Coal	458	-
6/30/2014	Qrt 2	Diesel	-	-
6/30/2014	Qrt 2	Gasoline	-	-
6/30/2014	Qrt 2	Kerosene	1,715	56
6/30/2014	Qrt 2	Natural Gas	545,195	126,749
6/30/2014	Qrt 2	Oil	569,438	225,510
6/30/2014	Qrt 2	Propane	28,521	4,969
6/30/2014	Qrt 2	Steam	15,969	14,733
6/30/2014	Qrt 2	Wood	12,322	654
6/30/2014	Qrt 2	Residual Oil	144	-
6/30/2014	Qrt 2	Coal	882	-
9/30/2014	Qrt 3	Diesel	-	-
9/30/2014	Qrt 3	Gasoline	-	-
9/30/2014	Qrt 3	Kerosene	2,494	706
9/30/2014	Qrt 3	Natural Gas	526,170	184,391
9/30/2014	Qrt 3	Oil	723,190	381,324
9/30/2014	Qrt 3	Propane	17,860	28,153
9/30/2014	Qrt 3	Steam	15,969	18,269
9/30/2014	Qrt 3	Wood	14,952	4,079
9/30/2014	Qrt 3	Residual Oil	-	-

Table C-2 continued

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
9/30/2014	Qrt 3	Coal	1,115	86
12/31/2014	Qrt 4	Diesel	-	-
12/31/2014	Qrt 4	Gasoline	-	-
12/31/2014	Qrt 4	Kerosene	2,602	669
12/31/2014	Qrt 4	Natural Gas	644,280	219,296
12/31/2014	Qrt 4	Oil	804,029	433,001
12/31/2014	Qrt 4	Propane	17,967	8,699
12/31/2014	Qrt 4	Steam	15,969	18,269
12/31/2014	Qrt 4	Wood	17,801	4,351
12/31/2014	Qrt 4	Residual Oil	-	-
12/31/2014	Qrt 4	Coal	1,249	313
3/31/2015	Qrt 1	Diesel	-	-
3/31/2015	Qrt 1	Gasoline	-	-
3/31/2015	Qrt 1	Kerosene	3,104	792
3/31/2015	Qrt 1	Natural Gas	671,315	301,729
3/31/2015	Qrt 1	Oil	885,524	498,536
3/31/2015	Qrt 1	Propane	19,357	17,177
3/31/2015	Qrt 1	Steam	15,969	19,056
3/31/2015	Qrt 1	Wood	17,781	4,380
3/31/2015	Qrt 1	Residual Oil	-	-
3/31/2015	Qrt 1	Coal	1,305	315
6/30/2015	Qrt 2	Diesel	-	-
6/30/2015	Qrt 2	Gasoline	-	-
6/30/2015	Qrt 2	Kerosene	3,763	770
6/30/2015	Qrt 2	Natural Gas	694,322	220,988
6/30/2015	Qrt 2	Oil	955,804	501,564
6/30/2015	Qrt 2	Propane	22,091	67,535
6/30/2015	Qrt 2	Steam	15,969	16,372
6/30/2015	Qrt 2	Wood	20,558	20,411
6/30/2015	Qrt 2	Residual Oil	-	-
6/30/2015	Qrt 2	Coal	1,442	285
9/30/2015	Qrt 3	Diesel	-	-
9/30/2015	Qrt 3	Gasoline	-	-
9/30/2015	Qrt 3	Kerosene	4,063	875
9/30/2015	Qrt 3	Natural Gas	786,147	224,883
9/30/2015	Qrt 3	Oil	1,019,266	404,798
9/30/2015	Qrt 3	Propane	24,464	51,936
9/30/2015	Qrt 3	Steam	15,969	11,899

Table C-2 continued

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
9/30/2015	Qrt 3	Wood	23,371	21,323
9/30/2015	Qrt 3	Residual Oil	-	-
9/30/2015	Qrt 3	Coal	1,627	326
12/31/2015	Qrt 4	Diesel	-	-
12/31/2015	Qrt 4	Gasoline	-	-
12/31/2015	Qrt 4	Kerosene	4,581	783
12/31/2015	Qrt 4	Natural Gas	829,928	202,156
12/31/2015	Qrt 4	Oil	1,116,994	376,191
12/31/2015	Qrt 4	Propane	28,612	10,054
12/31/2015	Qrt 4	Steam	15,969	12,272
12/31/2015	Qrt 4	Wood	26,889	4,736
12/31/2015	Qrt 4	Residual Oil	-	-
12/31/2015	Qrt 4	Coal	2,186	319
3/31/2016	Qrt 1	Diesel	-	-
3/31/2016	Qrt 1	Gasoline	-	-
3/31/2016	Qrt 1	Kerosene	5,172	866
3/31/2016	Qrt 1	Natural Gas	692,629	193,265
3/31/2016	Qrt 1	Oil	1,297,717	291,552
3/31/2016	Qrt 1	Propane	28,921	9,236
3/31/2016	Qrt 1	Steam	23,849	12,023
3/31/2016	Qrt 1	Wood	29,115	4,429
3/31/2016	Qrt 1	Residual Oil	-	-
3/31/2016	Qrt 1	Coal	2,422	326
6/30/2016	Qrt 2	Diesel	-	-
6/30/2016	Qrt 2	Gasoline	-	-
6/30/2016	Qrt 2	Kerosene	5,530	673
6/30/2016	Qrt 2	Natural Gas	(803,957)	181,393
6/30/2016	Qrt 2	Oil	1,343,608	265,944
6/30/2016	Qrt 2	Propane	30,397	5,654
6/30/2016	Qrt 2	Steam	23,849	13,273
6/30/2016	Qrt 2	Wood	29,946	3,406
6/30/2016	Qrt 2	Residual Oil	1,500,062	-
6/30/2016	Qrt 2	Coal	2,462	250
9/30/2016	Qrt 3	Diesel	-	-
9/30/2016	Qrt 3	Gasoline	-	-
9/30/2016	Qrt 3	Kerosene	5,863	302
9/30/2016	Qrt 3	Natural Gas	(767,716)	199,946
9/30/2016	Qrt 3	Oil	1,373,947	254,114

Table C-2 continued

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
9/30/2016	Qrt 3	Propane	30,903	10,000
9/30/2016	Qrt 3	Steam	21,663	9,325
9/30/2016	Qrt 3	Wood	30,049	3,377
9/30/2016	Qrt 3	Residual Oil	1,500,062	-
9/30/2016	Qrt 3	Coal	2,462	116
12/31/2016	Qrt 4	Diesel	-	-
12/31/2016	Qrt 4	Gasoline	1,190	-
12/31/2016	Qrt 4	Kerosene	6,611	421
12/31/2016	Qrt 4	Natural Gas	(626,814)	152,521
12/31/2016	Qrt 4	Oil	1,415,357	184,861
12/31/2016	Qrt 4	Propane	32,516	3,724
12/31/2016	Qrt 4	Steam	21,663	7,978
12/31/2016	Qrt 4	Wood	25,089	893
12/31/2016	Qrt 4	Residual Oil	1,500,062	-
12/31/2016	Qrt 4	Coal	2,616	127
3/31/2017	Qrt 1	Diesel	-	-
3/31/2017	Qrt 1	Gasoline	986	-
3/31/2017	Qrt 1	Kerosene	7,595	243
3/31/2017	Qrt 1	Natural Gas	(239,961)	127,311
3/31/2017	Qrt 1	Oil	1,486,761	116,157
3/31/2017	Qrt 1	Propane	34,141	5,575
3/31/2017	Qrt 1	Steam	21,663	6,255
3/31/2017	Qrt 1	Wood	18,271	(215)
3/31/2017	Qrt 1	Residual Oil	1,563,332	-
3/31/2017	Qrt 1	Coal	2,619	47,323
6/30/2017	Qrt 2	Diesel	-	-
6/30/2017	Qrt 2	Gasoline	22,986	-
6/30/2017	Qrt 2	Kerosene	8,160	228
6/30/2017	Qrt 2	Natural Gas	(204,725)	190,835
6/30/2017	Qrt 2	Oil	1,600,554	100,523
6/30/2017	Qrt 2	Propane	35,401	10,609
6/30/2017	Qrt 2	Steam	21,678	4,660
6/30/2017	Qrt 2	Wood	14,722	(6)
6/30/2017	Qrt 2	Residual Oil	1,500,062	-
6/30/2017	Qrt 2	Coal	2,631	66,179
9/30/2017	Qrt 3	Diesel	-	-
9/30/2017	Qrt 3	Gasoline	47,973	-
9/30/2017	Qrt 3	Kerosene	8,493	167

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu)^a
9/30/2017	Qrt 3	Natural Gas	(278,856)	351,749
9/30/2017	Qrt 3	Oil	1,557,812	209,256
9/30/2017	Qrt 3	Propane	35,638	2,707
9/30/2017	Qrt 3	Steam	21,678	17,094
9/30/2017	Qrt 3	Wood	14,997	(612)
9/30/2017	Qrt 3	Residual Oil	1,500,062	130
9/30/2017	Qrt 3	Coal	2,663	73,810
12/31/2017	Qrt 4	Diesel	-	-
12/31/2017	Qrt 4	Gasoline	71,532	32
12/31/2017	Qrt 4	Kerosene	8,653	136
12/31/2017	Qrt 4	Natural Gas	(231,077)	110,132
12/31/2017	Qrt 4	Oil	1,575,698	51,393
12/31/2017	Qrt 4	Propane	35,179	1,965
12/31/2017	Qrt 4	Steam	21,688	3,324
12/31/2017	Qrt 4	Wood	15,308	(384)
12/31/2017	Qrt 4	Residual Oil	1,500,062	101
12/31/2017	Qrt 4	Coal	42,451	20

^a Tracked beginning first quarter of 2013

Appendix D: NYS RGGI Auction Proceeds

Table D-1. NYS RGGI Auction Proceeds^a

Auction Date	Control Period	Clearing Price	New York State Allowances Sold	New York State Auction Proceeds
12/17/2008	First	\$3.38	12,422,161	\$41,986,904
3/18/2009	First	\$3.51	12,422,161	\$43,601,785
3/18/2009	Second	\$3.05	776,385	\$2,367,974
6/17/2009	First	\$3.23	11,861,849	\$38,313,772
6/17/2009	Second	\$2.06	776,385	\$1,599,353
9/9/2009	First	\$2.19	11,861,849	\$25,977,449
9/9/2009	Second	\$1.87	776,385	\$1,451,840
12/2/2009	First	\$2.05	11,861,850	\$24,316,793
12/2/2009	Second	\$1.86	571,423	\$1,062,847
3/10/2010	First	\$2.07	15,136,022	\$31,331,566
3/10/2010	Second	\$1.86	740,167	\$1,376,711
6/9/2010	First	\$1.88	15,136,022	\$28,455,721
6/9/2010	Second	\$1.86	756,801	\$1,407,650
9/8/2010	First	\$1.86	11,421,736	\$21,244,429
9/8/2010	Second	\$1.86	464,418	\$863,817
12/1/2010	First	\$1.86	8,678,724	\$16,142,427
12/1/2010	Second	\$1.86	41,863	\$771,645
3/9/2011	First	\$1.89	15,153,524	\$28,640,160
3/9/2011	Second	\$1.89	757,676	\$1,432,008
6/8/2011	First	\$1.89	4,519,648	\$8,542,135
6/8/2011	Second	\$1.89	383,114	\$724,085
9/7/2011	First	\$1.89	2,689,151	\$5,082,495
12/7/2011	First	\$1.89	9,621,954	\$18,185,493
3/14/2012	Second	\$1.93	8,895,733	\$17,168,765
6/6/2012	Second	\$1.93	8,265,426	\$15,952,272
9/5/2012	Second	\$1.93	9,315,659	\$17,979,222
12/5/2012	Second	\$1.93	7,568,550	\$14,607,302
3/13/2013	Second	\$2.80	14,252,818	\$39,907,890
6/5/2013	First	\$3.21	750,000	\$2,407,500
6/5/2013	Second	\$3.20	14,252,818	\$45,751,546
9/4/2013	First	\$3.21	769,253	\$2,053,906
9/4/2013	Second	\$3.20	14,578,296	\$38,924,050
12/4/2013	Second	\$3.00	14,578,295	\$43,734,885
3/5/2014	Second	\$4.00	9,119,837	\$36,479,348
6/4/2014	Second	\$5.02	7,173,198	\$36,009,454
9/3/2014	Second	\$4.88	7,173,198	\$35,005,206
12/3/2014	Second	\$5.21	7,173,198	\$37,372,362

Table D-1. continued

Auction Date	Control Period	Clearing Price	New York State Allowances Sold	New York State Auction Proceeds
3/11/2015	Third	\$5.41	5,906,447	\$31,953,878
6/3/2015	Third	\$5.50	5,906,446	\$32,485,453
9/9/2015	Third	\$6.02	9,799,723	\$58,994,332
12/2/2015	Third	\$7.50	5,906,446	\$44,298,345
3/9/2016	Third	\$5.25	5,691,771	\$29,881,798
6/1/2016	Third	\$4.53	5,691,771	\$25,783,723
9/7/2016	Third	\$4.54	5,691,771	\$25,840,640
12/7/2016	Third	\$3.55	5,691,770	\$20,205,784
3/8/2017	Third	\$3.00	5,528,805	\$16,586,415
6/07/2017	Third	\$2.53	5,528,805	\$13,987,877
9/7/2017	Third	\$4.35	5,528,805	\$24,050,302
12/8/2018	Third	\$3.80	5,528,805	\$21,009,459
First Control Period Total			144,305,904	\$336,282,535
Second Control Period Total			128,764,643	\$391,950,232
Third Control Period Total			72,401,365	\$345,078,005
TOTAL			345,471,912	\$1,073,310,772

- a NYS did not offer allowances for sale in the RGGI auction held on December 25, 2008, where the clearing price for 2009 vintage allowances was \$3.07. The first control period for fossil-fuel fired electric generators took effect on January 1, 2009 and concluded on December 31, 2011. The second control period took effect on January 1, 2012 and concluded on December 31, 2014. The third control period took effect on January 1, 2015 and extends through December 31, 2018.

Appendix E: Total NYS RGGI Funds

Table E-1. NYS RGGI Funds

Quarter End Date	Quarter	Fund Category	Cumulative Funds (\$)
9/30/2010	Qrt 3	Interest Allocated to the RGGI Portfolio	\$940,276
9/30/2010	Qrt 3	RGGI Auction Proceeds	\$265,358,611
12/31/2010	Qrt 4	Interest Allocated to the RGGI Portfolio	\$940,276
12/31/2010	Qrt 4	RGGI Auction Proceeds	\$282,272,683
3/31/2011	Qrt 1	Interest Allocated to the RGGI Portfolio	\$940,276
3/31/2011	Qrt 1	RGGI Auction Proceeds	\$312,344,851
6/30/2011	Qrt 2	Interest Allocated to the RGGI Portfolio	\$1,034,063
6/30/2011	Qrt 2	RGGI Auction Proceeds	\$321,611,071
9/30/2011	Qrt 3	Interest Allocated to the RGGI Portfolio	\$1,034,063
9/30/2011	Qrt 3	RGGI Auction Proceeds	\$326,693,566
12/31/2011	Qrt 4	Interest Allocated to the RGGI Portfolio	\$1,034,063
12/31/2011	Qrt 4	RGGI Auction Proceeds	\$344,879,060
3/31/2012	Qrt 1	Interest Allocated to the RGGI Portfolio	\$1,998,557
3/31/2012	Qrt 1	RGGI Auction Proceeds	\$362,047,824
6/30/2012	Qrt 2	Interest Allocated to the RGGI Portfolio	\$1,998,557
6/30/2012	Qrt 2	RGGI Auction Proceeds	\$378,000,097
9/30/2012	Qrt 3	Interest Allocated to the RGGI Portfolio	\$1,998,557
9/30/2012	Qrt 3	RGGI Auction Proceeds	\$395,979,318
12/31/2012	Qrt 4	Interest Allocated to the RGGI Portfolio	\$3,026,525
12/31/2012	Qrt 4	Interest Allocated to the GJGNY Program	\$770,000
12/31/2012	Qrt 4	RGGI Auction Proceeds	\$410,586,620
3/31/2013	Qrt 1	Interest Allocated to the RGGI Portfolio	\$3,026,525
3/31/2013	Qrt 1	Interest Allocated to the GJGNY Program	\$770,000
3/31/2013	Qrt 1	RGGI Auction Proceeds	\$450,494,510
6/30/2013	Qrt 2	Interest Allocated to the RGGI Portfolio	\$3,026,525
6/30/2013	Qrt 2	Interest Allocated to the GJGNY Program	\$770,000
6/30/2013	Qrt 2	RGGI Auction Proceeds	\$498,653,556
9/30/2013	Qrt 3	Interest Allocated to the RGGI Portfolio	\$3,026,525
9/30/2013	Qrt 3	Interest Allocated to the GJGNY Program	\$770,000
9/30/2013	Qrt 3	RGGI Auction Proceeds	\$539,631,512
12/31/2013	Qrt 4	Interest Allocated to the RGGI Portfolio	\$3,026,525
12/31/2013	Qrt 4	Interest Allocated to the GJGNY Program	\$770,000

Table E-1. continued

Quarter End Date	Quarter	Fund Category	Cumulative Funds (\$)
12/31/2013	Qrt 4	RGGI Auction Proceeds	\$587,162,922
3/31/2014	Qrt 1	Interest Allocated to the RGGI Portfolio	\$4,400,174
3/31/2014	Qrt 1	Interest Allocated to the GJGNY Program	\$770,000
3/31/2014	Qrt 1	RGGI Auction Proceeds	\$619,845,745
6/30/2014	Qrt 2	Interest Allocated to the RGGI Portfolio	\$4,400,174
6/30/2014	Qrt 2	Interest Allocated to the GJGNY Program	\$770,000
6/30/2014	Qrt 2	RGGI Auction Proceeds	\$655,855,199
9/30/2014	Qrt 3	Interest Allocated to the RGGI Portfolio	\$4,400,174
9/30/2014	Qrt 3	Interest Allocated to the GJGNY Program	\$770,000
9/30/2014	Qrt 3	RGGI Auction Proceeds	\$690,860,405
12/31/2014	Qrt 4	Interest Allocated to the RGGI Portfolio	\$4,400,174
12/31/2014	Qrt 4	Interest Allocated to the GJGNY Program	\$770,000
12/31/2014	Qrt 4	RGGI Auction Proceeds	\$728,232,767
3/31/2015	Qrt 1	Interest Allocated to the RGGI Portfolio	\$5,900,174
3/31/2015	Qrt 1	Interest Allocated to the GJGNY Program	\$1,779,747
3/31/2015	Qrt 1	RGGI Auction Proceeds	\$760,186,645
6/30/2015	Qrt 2	Interest Allocated to the RGGI Portfolio	\$5,900,174
6/30/2015	Qrt 2	Interest Allocated to the GJGNY Program	\$1,779,747
6/30/2015	Qrt 2	RGGI Auction Proceeds	\$792,672,098
9/30/2015	Qrt 3	Interest Allocated to the RGGI Portfolio	\$5,900,174
9/30/2015	Qrt 3	Interest Allocated to the GJGNY Program	\$1,779,747
9/30/2015	Qrt 3	RGGI Auction Proceeds	\$851,666,430
12/31/2015	Qrt 4	Interest Allocated to the RGGI Portfolio	\$5,900,174
12/31/2015	Qrt 4	Interest Allocated to the GJGNY Program	\$1,779,747
12/31/2015	Qrt 4	RGGI Auction Proceeds	\$895,964,775
3/31/2016	Qrt 1	Interest Allocated to the RGGI Portfolio	\$9,067,174
3/31/2016	Qrt 1	Interest Allocated to the GJGNY Program	\$1,779,747
3/31/2016	Qrt 1	RGGI Auction Proceeds	\$925,846,573
6/30/2016	Qrt 2	Interest Allocated to the RGGI Portfolio	\$10,733,145
6/30/2016	Qrt 2	Interest Allocated to the GJGNY Program	\$1,879,665
6/30/2016	Qrt 2	RGGI Auction Proceeds	\$964,243,106
9/30/2016	Qrt 3	Interest Allocated to the RGGI Portfolio	\$12,388,468
9/30/2016	Qrt 3	Interest Allocated to the GJGNY Program	\$1,894,084
12/31/2016	Qrt 4	Interest Allocated to the RGGI Portfolio	\$12,752,158
12/31/2016	Qrt 4	Interest Allocated to the GJGNY Program	\$1,930,606

Table E-1. continued

Quarter End Date	Quarter	Fund Category	Cumulative Funds (\$)
12/31/2016	Qrt 4	RGGI Auction Proceeds	\$997,676,720
3/31/2017	Qrt 1	Interest Allocated to the RGGI Portfolio	\$12,947,487
3/31/2017	Qrt 1	Interest Allocated to the GJGNY Program	\$1,963,338
3/31/2017	Qrt 1	RGGI Auction Proceeds	\$1,014,263,135
06/30/2017	Qrt 2	Interest Allocated to the RGGI Portfolio	\$13,151,561
06/30/2017	Qrt 2	Interest Allocated to the GJGNY Program	\$1,993,273
06/30/2017	Qrt 2	RGGI Auction Proceeds	\$1,043,395,845
09/30/2017	Qrt 3	Interest Allocated to the RGGI Portfolio	\$13,151,561
09/30/2017	Qrt 3	Interest Allocated to the GJGNY Program	\$1,993,273
09/30/2017	Qrt 3	RGGI Auction Proceeds	\$1,067,446,147
12/31/2017	Qrt 4	Interest Allocated to the RGGI Portfolio	\$13,151,561
12/31/2017	Qrt 4	Interest Allocated to the GJGNY Program	\$1,993,273
12/31/2017	Qrt 4	RGGI Auction Proceeds	\$1,088,455,606

Appendix F: Closed RGGI-Funded Programs and Completed Evaluations

F.1 Closed Programs

F.1.1 Green Residential Buildings Program (GRBP)

The Green Residential Building Program (GRBP), established under Public Authorities Law 1872, was a market transformation initiative designed to change the building practices of the residential construction industry for single-family and multifamily homes with up to 11 dwelling units. The GRBP offered incentives to owners who obtain a certification stating that their newly constructed residences meet or exceed Leadership in Energy and Environmental Design (LEED[®]) or National Green Building Standard guidelines, as well as other GRBP program-specific energy efficiency and health and safety requirements. Buildings meeting GRBP requirements will help reduce energy use and GHG emissions, save water and other natural resources, use sustainable building materials, reduce waste, and improve indoor air quality. A total of 69 contractors participated in this program. Per the enabling law, the application deadline was October 31, 2013; therefore, the program is now closed to new applications. The following data represent only those projects where RGGI funded the incentive, which represents 82% of the program activity.

Key accomplishments:

- In total, 440 RGGI-funded projects were completed.

F.1.2 Carbon Capture, Recycling, and Sequestration

This program area aims to build the State's capacity for long-term GHG emissions reduction by researching strategies to prevent emissions from releasing into the atmosphere. The program focuses on the following:

- Assessing and demonstrating carbon capture, reuse, compression, and transport technologies.
- Characterizing and testing the State's geological sequestration potential.
- Supporting the development of carbon capture and sequestration demonstration projects in the State.

The program's largest supported project was TriCarb, located in Rockland County, NY. TriCarb leveraged NYSERDA funding with more than \$8 million of U.S. Department of Energy funds to investigate the potential for geological sequestration in the Newark Basin.

F.1.3 Municipal Water and Wastewater Program

The Municipal Water and Wastewater Program provided a unique opportunity to coordinate RGGI climate change goals and funding with American Recovery and Reinvestment Act (ARRA) and EPA goals and funding while installing infrastructure to improve the environment and keep NYS waters clean and healthy. This program was co-managed by the NYS Environmental Facilities Corporation and NYSERDA. The Corporation secured ARRA and Green Project Reserve Funds from the EPA to bolster efforts to finance wastewater infrastructure via the Clean Water State Revolving Fund Program. Wastewater plants installed through the program are energy-efficient, thus minimizing carbon emissions and improving their economic and environmental performance.

Selected projects received RGGI-funded technical analyses to identify costs and savings associated with energy efficiency, process improvement, and carbon abatement opportunities in support of EPA-funded grants and financing for plant upgrades. The program was one of five national recipients of the States Stepping Forward Program Award for excellence by the American Council for an Energy-Efficient Economy.

Key accomplishments:

- Technical energy analyses completed for projects in 59 communities.
- Through January 2017:
 - Communities have installed systems resulting in annual savings of 19,503 MWh and 51,425 MMBtu.
 - New York City was still installing systems which will result in additional annual savings of 13,336 MWh.

F.1.4 Multifamily Carbon Emission Reduction Program

The Multifamily Carbon Emissions Reduction Program (MCERP) provided financial assistance and technical support to owners of multifamily buildings converting their heating systems from #6 fuel oil to cleaner fuel alternatives. Less carbon-intensive fuels include ultra-low sulfur #2 fuel oil, biodiesel and biodiesel blends, natural gas, and renewable energy (geothermal and solar thermal). MCERP was positioned to encourage early adoption of New York City's phase-out of #6 oil and, as such, contributed to an overall improvement in NYC's air quality. Converting #6 fuel oil-heated buildings to cleaner fuels reduces carbon emissions, improves air quality, and produces positive public health benefits. City-wide conversions resulted in 69% and 23% reductions in airborne sulfur dioxide and soot concentrations, respectively. These benefits are concentrated in low-income areas of NYC, where poor air quality leads to higher rates of asthma and other respiratory illnesses, especially in children and the elderly.

Key accomplishments:

- In total, 144 multifamily buildings converted from burning #6 oil to cleaner alternatives, primarily natural gas or a blend of natural gas and #2 oil, through the Multifamily Carbon Emissions Reduction Program.

F.1.5 Economic Development Growth Extension Program (EDGE)

The EDGE Program facilitated by Regional Outreach Contractors performs on-the-ground outreach, education, and marketing of NYSERDA program opportunities to residents, businesses, institutions, and local governments across the State to promote the value of energy efficiency, sustainable growth practices, clean energy technologies, and innovations using carefully constructed public-private partnerships. The program aligns with Governor Cuomo's Regional Economic Development Council (REDC) initiative and provides direct support to advance the strategic priorities and regionally significant projects identified in each region. NYSERDA is providing a greater level of education and adoption of energy efficiency and renewable energy practices at the community level.

The EDGE Program concluded April 30, 2016. In August of 2016, NYSERDA launched the Clean Energy Communities Program, which builds upon the successes of the EDGE Program. The Clean Energy Community Program provides grants, direct technical support to communities, and recognition to local governments that demonstrate leadership in the area of clean energy.

Key accomplishments:

- A total of 1,102 partnerships were developed that may help identify and assist in customer engagement.
- A total of 1,489 public outreach activities, such as events, presentations, or other speaking engagements were conducted.
- A total of 4,117 projects were referred to various NYSERDA programs.
- A total of 3,215 project referrals from partners were received.

F.1.6 Emerging Technology/Accelerated Commercialization Program

NYSERDA's Emerging Technology/Accelerated Commercialization (ETAC) initiative seeks to accelerate market uptake of commercially available, but underused building technologies and strategies, in the residential sector that will deliver significant and measurable energy savings and GHG emissions reductions. While NYSERDA recognizes the significant value in the ETAC program and its alignment with RGGI investment objectives, funds previously allocated to this program were repurposed for other initiatives. The ETAC program continues to seek to identify and overcome barriers to full market adoption of new and/or underutilized technologies through other NYSERDA program resources.

F.1.7 Climate Smart Communities

Established in 2009, the Climate Smart Communities Program is comprised of a network of local governments across the State that have committed, by adopting the Climate Smart Communities Pledge, to reduce GHG emissions and better prepare for unavoidable changes in climate. In addition to NYSERDA, the CSC program works in partnership with five other State agencies: The Department of Environmental Conservation, the Department of State, the Public Service Commission, the Department of Transportation, and the Department of Health.

In March 2011, NYSERDA issued a competitive solicitation to select contractors for a three-year CSC Regional Coordinators Pilot Program. The goal of this pilot program is to create and implement a strategic plan for engaging local governments in the CSC program, producing measurable results for climate protection and adaptation within each region, and developing important elements of guidance for local governments. The main outreach and technical assistance components of the three-year pilot program ended in November 2015. NYSERDA will continue to offer similar outreach and technical assistance to communities through the new Clean Energy Communities program, which launched in August of 2016. In the meantime, NYSERDA is working with utilities to ensure communities have access to their aggregated energy use data for clean energy and sustainability planning purposes.

Key accomplishments as of this quarter:

- NYSERDA is continuing to work with the Joint Utilities to develop a path forward to building out the Utility Energy Registry, a statewide platform designed to collect aggregated energy use data for communities on an ongoing basis.

F.2 Completed Evaluations

F.2.1. Green Jobs - Green New York Jobs Quantification Study

This study quantified the direct, indirect, and induced jobs created/retained from the GJGNY program, including those in disadvantaged communities. The study also examined changes in worker skill level and wages resulting from GJGNY. NYSERDA issued the final reports for both phases of the study in November 2013. Both Phase 1 and Phase 2 reports are posted on NYSERDA's website.¹⁵ An update to the 2013 study was completed in two phases in the fourth quarter of 2016 and is available on NYSERDA's website.¹⁶

F.2.2. Multifamily Performance Program Process/Market Evaluation

A major Process/Market Evaluation of the SBC/EEPS-funded MPP was undertaken to assess the RGGI fuel efficiency incentive activity and GJGNY assessment/loan activity. This study was finalized in the third quarter of 2014 and published on the NYSERDA website.¹⁷

¹⁵ The GJGNY jobs quantification studies, Phase 1 and Phase 2, are on NYSERDA's website: [nyserdera.ny.gov/Publications/Program-Planning-Status-and-Evaluation-Reports/NYE\\$-Evaluation-Contractor-Reports/2013-Reports/NMR-Group.aspx](http://nyserdera.ny.gov/Publications/Program-Planning-Status-and-Evaluation-Reports/NYE$-Evaluation-Contractor-Reports/2013-Reports/NMR-Group.aspx)

¹⁶ Assessment of Job Impacts of the Green Jobs-Green New York Program (Phase 1), nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/GJGNY-Jobs-Analysis-Phase-I.pdf. Economic Impacts of the Green Jobs-Green New York Program (Phase 2), nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/GJGNY-Jobs-Analysis-Phase-II.pdf

¹⁷ Multifamily Performance Program/Process Evaluation and Market Characterization, nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2014ContractorReports/2014-MPP-Process-Evaluation.pdf

F.2.3. Multifamily Performance Program Impact Evaluation

A major impact evaluation of the SBC/EEPS-funded MPP assessed the effects of RGGI fuel efficiency incentives. The work included measurement and verification of energy savings, and attribution analysis of projects completed from 2009 through 2011. The finalized study is available on NYSERDA's website.¹⁸

F.2.4. Economic Development Growth Extension Process Evaluation

A process evaluation for this program was finalized in the third quarter of 2015 and published on the NYSERDA website.¹⁹

F.2.5. Multifamily Carbon Emission Reduction Program

An impact evaluation for this program measured and verified the energy and emission effects attributable to the program. This evaluation was completed in the fourth quarter of 2015. The final report is available on NYSERDA's website.²⁰

F.2.6. GJGNY Small Commercial Energy Efficiency Program

NYSERDA conducted an impact evaluation to quantify the measure adoption rate over time and the degree to which the audit program influenced participants' decision-making regarding recommended measures they have installed. The study was finalized in December 2015 and reported 44% of the recommended energy savings were implemented. The final report is available NYSERDA's website.²¹

¹⁸ Multifamily Performance Program Impact Evaluation (2009–2011), nyserda.ny.gov/About/Publications/Program-Planning-Status-and-Evaluation-Reports/Evaluation-Contractor-Reports/2015-Reports

¹⁹ Economic Development Growth Extension Process Evaluation, nyserda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2015ContractorReports/economic-development-growth-extension-process-evaluation.pdf

²⁰ RGGI Multifamily Carbon Emissions Reduction Program Impact Evaluation (2011–2012); nyserda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2015ContractorReports/MCERP_IMPT_RP_FINAL.pdf

²¹ GJGNY Small Commercial Energy Efficiency Program, nyserda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2015ContractorReports/2015-Small-Comm-Impact-Evaluation-July-2010-December-2013.pdf

F.2.7. Cleaner Greener Communities Program

A process evaluation of NYSERDA's CGC program was completed in two waves and finalized in the second quarter of 2016. Wave One of this evaluation research was completed revealing a number of opportunities for NYSERDA to help regions implement their Phase I plans and achieve their sustainability goals. Wave Two revealed opportunities for communities to overcome common barriers to engaging in efficiency and sustainability activity and to encourage further investment in sustainability across the State's diverse regions. A summary of the findings from Waves One and Two are posted on NYSERDA's website.²²

F.2.8. GJGNY Constituency-Based Organization Program

The assessment of CBO-related activities is complete. This assessment was coordinated with HPwES process evaluation and includes surveys with CBO-affiliated HPwES participants, partial participants (GJGNY audit recipients), and contractors. This study was finalized in the fourth quarter of 2015 and is available on NYSERDA's website.²³

F.2.9. Home Performance with ENERGY STAR Program

A Process/Market Evaluation of the SBC/EEPS-funded HPwES was utilized to assess the RGGI fuel efficiency incentive activity and GJGNY assessment/loan activity. This Process/Market Evaluation study was completed in Q4 2015 and is available on NYSERDA's website.²⁴

²² Wave 1 Study: nyserda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2014ContractorReports/2016-Cleaner-Greener-Communities-Market-Evaluation-Wave1-Findings.pdf. Wave 2 Study: nyserda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/2016-Cleaner-Greener-Communities-Market-Evaluation-Wave2.pdf

²³ GJGNY CBO Program, nyserda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/GJGNY-CBO-Outreach-Program-Process-Evaluation.pdf

²⁴ Home Performance with ENERGY STAR® Process Evaluation/Market Characterization Assessment Final Report (2012-2013), nyserda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2015ContractorReports/2012-2013-HPwES-Process-Evaluation-Market-Characterization-Assessment-FinalReport.pdf

Home Performance with ENERGY STAR® Program: An Impact Evaluation of the Green Jobs - Green New York “assessment only” participants was completed in the fourth quarter of 2016. This evaluation assessed the impacts of those who received a GJGNY-funded audit and installed measures on their own in the absence of incentives.²⁵

The impact evaluation of HPwES unregulated fuels²⁶ projects was finalized in the fourth quarter of 2016 and published on NYSERDA’s website.²⁷ The projects (completed in 2011 through 2013) encompassed cost-effective oil and propane efficiency measures, such as replacing inefficient oil and propane heating equipment and other measures that have a direct impact on reducing GHG emissions from oil and propane consumption.

F. 2.10. Green Jobs - Green New York Jobs Quantification Study

Green Jobs - Green New York Jobs Quantification Study: An update to the 2013 study on this topic was completed in the fourth quarter of 2016. This study quantified direct, indirect, and induced jobs created or retained from the GJGNY program, including those in disadvantaged communities. The study examined changes in worker skill level and wages resulting from GJGNY. The results of the two phases of this study are available on NYSERDA’s website.²⁸

²⁵ Home Performance with ENERGY STAR Program Impact Evaluation Report, Green Jobs - Green New York Audit-Only Impact Evaluation (PY 2010-2013), nysesda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/HPwES-IE-Report-Vol4.pdf

²⁶ “Unregulated fuels” refer to fossil fuels (i.e., primarily fuel oil, propane, and kerosene) that are not provided by a regulated utility.

²⁷ Home Performance with ENERGY ASTAR: Unregulated Fuels Impact Evaluation (2011–2013), nysesda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/HPwES-unregulated-fuels-impact-evaluation.pdf

²⁸ Assessment of Job Impacts of the Green Jobs - Green New York Program (Phase 1), nysesda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/GJGNY-Jobs-Analysis-Phase-I.pdf
Economic Impacts of the Green Jobs - Green New York Program (Phase 2), nysesda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/GJGNY-Jobs-Analysis-Phase-II.pdf

F.2.11. Advanced Transportation Research Program

A Logic Model for this program was completed in Q3 2015 and published on the NYSERDA website.²⁹ Six Impact/Market Impact case studies for a select group of program-supported technologies were completed in Q1 2017 and published on the NYSERDA website.^{30,31,32,33,34,35}

F.2.12. Community Solar NY Program

A Logic Model report for this program was finalized in Q3 2015 and published on the NYSERDA website.³⁶

F.2.13 Residential Non-Energy Impact Study

A study was conducted to identify and quantify measurable non-energy effects from residential programs, including HPwES and the Green Residential Building Program. This study was jointly supported with RGGI and other NYSERDA funds. The major results show that insulation, ENERGY STAR® home design, and air sealing measures are the readiest for a cost-effective primary research effort to further substantiate their related NEI values for enhancing program design, marketing efforts, and cost-benefit analysis. The study was finalized in Q1 2017 and is posted on NYSERDA's website.³⁷

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- ²⁹ NYSERDA Transportation Program Logic Model Report, nyserd.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2015ContractorReports/2015-Transportation-LM-Report.pdf
- ³⁰ nyserd.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/2016-Transportation-Case-Study-Buffalo-Niagara-Medical-Campus.pdf
- ³¹ nyserd.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/2016-transportation-case-study-electric-refrigeration.pdf
- ³² nyserd.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/Alstom-Transportation-cs.pdf
- ³³ nyserd.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/Saab-Sensis-Advanced-Airport-Departure-Manager-Transportation-cs.PDF?la=en
- ³⁴ nyserd.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/Adaptive-Control-Decision-Support-System-Traffic-Management-Transportation-cs.pdf
- ³⁵ nyserd.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/Transportation-Case-Study-Report-Leviton.pdf
- ³⁶ Community Solar NY Program: Final Initiative-Level Logic Model Report, nyserd.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2015ContractorReports/2015-Community-Solar-NY-Final-Initiative-Level-Logic-Model-Report.pdf
- ³⁷ Quantification of Non-Energy Impacts for Residential Programs Phase 1: Final Report, nyserd.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/SmallResidential-NEI-PhaseI.pdf

F.2.14. Wastewater Energy Efficiency Program

An impact evaluation of the Wastewater Efficiency Program was completed in the first quarter of 2017. The Program provided objective and customized energy-related information and opportunities to customers that targeted the customer's specific energy and business needs. The impact evaluation confirmed the study-recommended savings that customers adopted. The study is available on NYSERDA's website.³⁸

F.2.15. Advanced Transportation Research

An impact evaluation of the Wastewater: A Logic Model for this program was completed in Q3 2015 and is posted on NYSERDA website.³⁹

F.2.16. Advanced Transportation Research

A Market Characterization Assessment of the Transportation Program was completed in the second quarter of 2017. This assessment focused on three areas: electric vehicles, public transportation, and mobility management. "Mobility management" encompasses a variety of strategies designed to reduce transportation demand and congestion, including intelligent and adaptive transportation systems and transportation demand management. This market assessment includes a description of the current state of the clean transportation market in New York State and the identification of remaining barriers to adoption in key market segments that will be used for planning and strategy development by the Transportation Program. The findings of this assessment are provided a five-volume market characterization analysis of clean transportation in New York State and available on the NYSERDA website.⁴⁰

³⁸ Wastewater Efficiency Program Impact Evaluation (2009–2011), nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/WWEP-Impact-Evaluation-Final-Report.pdf

³⁹ NYSERDA Transportation Program Logic Model Report, nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2015ContractorReports/2015-Transportation-LM-Report.pdf

⁴⁰ Clean Transportation Market Characterization Study, nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/Clean-Transportation-Market-Characterization-Study-Vol2.pdf. Additional volumes of this study, including the Executive Summary, Electric Vehicles and Transportation Demand Management Market Characterization and Baseline Assessments and report appendices can be found here under the Clean Transportation Market Characterization Study heading: nyserdera.ny.gov/About/Publications/Program-Planning-Status-and-Evaluation-Reports/Evaluation-Contractor-Reports/2017-Reports

F.2.16. Clean Energy Business Development

A Market Characterization of NYSERDA's Clean Energy Business Development (CEBD) program was finalized in the second quarter of 2017. This evaluation research found the NYS cleantech ecosystem is vibrant, with many active early-stage companies commercializing cleantech innovations, and a rich array of resources is available to support the NYS entrepreneurial ecosystem. While there are many early-stage companies, they face significant hurdles in growing at the speed and scale that may be possible. Access to resources is uneven and can be time-consuming, which can impede company growth. A summary of the findings from this research are posted on NYSERDA's website.⁴¹

F.2.17. Power Systems Program

An Impact Evaluation of the Clean Power Technology Innovation (CPTI) program, previously known as the Power Systems program, was completed in the second quarter of 2017. This evaluation was conducted in two phases. Phase 1 included a review of the contracts funded by CPTI to better understand the scope of funding recipients and to prioritize activities for Phase 2. The Phase 2 research consisted of an in-depth investigation of three Core Product technologies identified during Phase 1: PV, wind, and energy storage. The maturation of the products funded by the program, as well as the grantees' perceptions of the value of NYSERDA funding, operational activities, and project support were evaluated. Findings from this research are posted on NYSERDA's website.⁴²

⁴¹ NYSERDA Innovation Capacity and Business Development (ICBD) program (formerly the Clean Energy Business Development program) market characterization and assessment report, nyserda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/ICBD-MCA-Final-Report.pdf.

⁴² NYSERDA Power Systems Program and Clean Power Technology Innovation Program: Impact Evaluation, nyserda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/2017-05-CleanPowerTechnologyInnovationImpactEvaluationReport.pdf.

NYSERDA, a public benefit corporation, offers objective information and analysis, innovative programs, technical expertise, and support to help New Yorkers increase energy efficiency, save money, use renewable energy, and reduce reliance on fossil fuels. NYSERDA professionals work to protect the environment and create clean-energy jobs. NYSERDA has been developing partnerships to advance innovative energy solutions in New York State since 1975.

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