

New York State Energy Research and Development Authority

Green Jobs — Green New York

Annual Report

Month Ending July 31, 2012



October 2012

nyserda
Energy . Innovation . Sustainability

NYSERDA's Promise to New Yorkers:

New Yorkers can count on NYSERDA for objective, reliable, energy-related solutions delivered by accessible, dedicated professionals.

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

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

Our Core Values: Objectivity, integrity, public service, and innovation.

Our Portfolios

NYSERDA programs are organized into five portfolios, each representing a complementary group of offerings with common areas of energy-related focus and objectives.

Energy Efficiency & Renewable Programs

Helping New York to achieve its aggressive clean energy goals – including programs for consumers (commercial, municipal, institutional, industrial, residential, and transportation), renewable power suppliers, and programs designed to support market transformation.

Energy Technology Innovation & Business Development

Helping to stimulate a vibrant innovation ecosystem and a clean energy economy in New York – including programs to support product research, development, and demonstrations, clean-energy business development, and the knowledge-based community at the Saratoga Technology + Energy Park®.

Energy Education and Workforce Development

Helping to build a generation of New Yorkers ready to lead and work in a clean energy economy – including consumer behavior, youth education, and workforce development and training programs for existing and emerging technologies.

Energy and the Environment

Helping to assess and mitigate the environmental impacts of energy production and use – including environmental research and development, regional initiatives to improve environmental sustainability, and West Valley Site Management.

Energy Data, Planning and Policy

Helping to ensure that policy-makers and consumers have objective and reliable information to make informed energy decisions – including State Energy Planning, policy analysis to support the Regional Greenhouse Gas Initiative, and other energy initiatives; and a range of energy data reporting including *Patterns and Trends*.

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I. Executive Summary

Ramping up the rate of participation in energy-efficiency projects is recognized as a means to boost New York State's economy, by reducing household and business energy bills and by creating job opportunities. Both are particularly important in distressed communities. Energy efficiency is also recognized as one of the most cost-effective means to reduce greenhouse gas emissions.

On October 9, 2009, the Green Jobs-Green New York Act of 2009 ("the Act," A.8901/S.5888 and chapter amendment A.9031/S.6032) was signed into law. The Act directs NYSERDA to:

- Establish a revolving loan fund to provide loans to finance the cost of approved qualified energy-efficiency services for residential, multifamily, and non-residential structures
- Pursue the feasibility of other innovative financing mechanisms
- issue one or more competitive opportunities to solicit applications from partnerships or consortia composed of constituency-based organizations (CBO) that can connect community members to the program
- Target communities in areas where energy costs are particularly high in relation to a measure of median household income as determined by NYSERDA, or that have been designated as a nonattainment area for one or more pollutants pursuant to section 107 of the federal Clean Air Act
- Give preference in awards to applicants that include significant participation by minority- and women-owned business enterprises and/or to applications to serve economically distressed communities
- Establish standards for energy audits based on building type and other relevant considerations
- Establish a schedule of fees for energy audits, including a sliding scale by which audit fees shall be waived for residential applicants based on median county income
- Enter into contracts to provide employment and training services to support the Green Jobs-Green New York Program (GJGNY)
- Establish an Advisory Council; and
- Provide annual reports to the Governor, Senate and Assembly

On August 4, 2011, Governor Andrew Cuomo signed the Power NY Act of 2011, which established an on-bill recovery (OBR) financing mechanism for GJGNY project financing, and increased the maximum loan limits for residential and small business/not-for-profit GJGNY loans, subject to certain project payback criteria. While the original legislation called for the OBR Loans to be available by May 2012, working with the utilities and Department of Public Service staff, NYSERDA was able to implement OBR Loans for residential consumers commencing January 30, 2012. In April 2012, an amendment to the GJGNY law (Public Authorities Law § 1896(5)) made additional changes to improve the OBR financing mechanism.

This report is prepared pursuant to section 1899 of the Act and provides an update on the progress and achievements of the program through July 31, 2012. This is the third Annual Report submitted for the program.

a. Planning Process

NYSERDA's planning process involved significant input from program stakeholders, various interested parties and the general public, and NYSERDA continues to meet with stakeholders through the Advisory Council on a quarterly basis. NYSERDA provides monthly written reports to Advisory Council members, as well as ad hoc reports as needed. The general public is able to participate in Advisory Council meetings, and also has access to the GJGNY Web site for materials and videos of Advisory Council meetings, monthly reports and ad hoc reports.

While the working groups originally established to support the development of Operating Plans for each sector no longer meet regularly, NYSERDA held regular meetings with utility representatives and Department of Public Service staff to support the implementation of OBR financing in the residential sector. The group consists of NYSERDA staff, the GJGNY residential loan originator, the implementation contractor for the program, Home Performance Contractors represented by Efficiency First and the Building Performance Contractors Association, and select other stakeholders. Solutions identified by the group have been successfully implemented and have had immediate positive impacts on program delivery and participation.

b. Funding Status

The Act allocates \$112 million in funding from New York State's share of the Regional Greenhouse Gas Initiative (RGGI) to support the program. Improvements identified through the audits, when implemented, will reduce electricity consumption and on-site emissions due to the burning of fossil fuels. NYSERDA has further allocated the funding, which now also includes interest earnings, as shown in Table 1.1.

Table 1.1: Funding

Program Area	Budget ²
Workforce Development	\$8,000,000
Outreach & Marketing	10,510,000
One-to-Four Family Homes ¹	39,248,533
Multifamily ¹	15,992,550
Small Business/Not-For-Profit ¹	23,674,917
Program Administration	7,840,000
Program Evaluation	5,600,000
NYS Cost Recovery Fee	1,904,000
Unallocated Interest Earnings	443,159
Total	\$113,213,159
¹ Budgets include costs of audits, implementation and financing for the respective sector. Additional details on these costs are provided in sections VII-IX.	
² Includes cumulative interest through 07/31/2012 of \$1,213,159 of which \$770,000 has already been allocated for program purposes.	

As of July 31, 2012, \$36.8 million has been expended; an additional \$13.9 million is contractually obligated (encumbered); and \$4.2 million is in negotiation with selected contractors (committed). Approximately \$50.8 million of the \$113.2 million budget was allocated to the Revolving Loan Fund across all sectors, and \$34.7 million is currently available for new loans. In the fall of 2012, NYSERDA expects to issue bonds that will allow for replenishing of the loan fund. Of the \$20.5 million initially allocated to energy audit subsidies, \$10.0 remains available.

In addition, to the RGGI funds above, NYSERDA received a U.S. Department of Energy (DOE) Better Buildings grant in the amount of \$40 million, of which \$18.6 million will be used to support GJGNY financing or outreach.

Additional details regarding funding status can be found within sections IV-X of this report.

c. Workforce Training and Development

NYSERDA has issued a total of seven Program Opportunity Notices (PON) and Requests for Proposals (RFP) designed to advance the workforce development goals of GJGNY. Projects support the training objectives of the Act, including, but not limited to: 1) incremental occupational training to unemployed workers; 2) work readiness and entry-level technical training; 3) apprenticeship and labor-management certification training; 4) skills development for incumbent workers; 5) skills development for new workers to support advancement and improve employee retention; and 6) inventory of curriculum related to the objectives of GJGNY, as well as qualitative research designed to assess skills gaps as identified by employers.

GJGNY workforce development activities are expanding New York State's capacity to deliver training services by working with community-based training organizations and existing training

centers, providing much-needed training equipment and tools, and minimizing barriers to delivering field testing and certification exams. The initiative also provides direct-entry, on-the-job, apprenticeship and internship incentives to help defray costs of bringing on new hires.

As a result of the solicitations, 26 contracts have been awarded for infrastructure, curriculum, and certification/accreditation development and technical support, representing \$2.5 million in contract funding. Thirty-two contracts, totaling in excess of \$1.0 million, have been awarded to support apprenticeships and internships. In addition, more than \$77,000 has been provided to individuals and companies to help offset costs of certification, contractor accreditation, and equipment purchases.

Work under this initiative is closely coordinated with the New York State Department of Labor (DOL), New York State Division of Homes and Community Renewal (HCR), New York State Office of Temporary and Disability Assistance (OTDA) and others, leveraging State, federal and local funds where possible.

d. Outreach, Education and Marketing

The Program is designed to deliver services in targeted communities through CBOs that targets residents, small businesses, not-for-profit organizations (NFP), multifamily building owners, and potential workforce participants in designated communities. CBOs will encourage participation in energy-efficiency programs, facilitate awareness of workforce training opportunities, and assist with enrollment in those efforts. RFP 2038 – Green Jobs Green New York Outreach Program was released in November 2010 and competitively selected 14 CBOs to support GJGNY OEM. RFP 2327 – Green Jobs-Green New York Outreach Program was released in June 2011 to fill gaps from the previous solicitation; four new contracts and one contract expansion were awarded.

Three CBOs are also under contract to implement aggregation pilots as part of their initiative. Aggregation is the process of identifying a group of homeowners who agree up-front to have the same contractor or contractor team perform their audits and any resulting work. Aggregation is expected to result in more efficient use of contractor resources and reduced need for contractor marketing. Participating contractors agree to provide certain community benefits, which may include living wages and benefits for workers, local hiring, and preferential pricing.

In addition, NYSERDA competitively procured a marketing contractor, Brand|Cool, to develop and execute a Statewide integrated marketing and communication program to support GJGNY. Based on secondary research completed in the previous reporting period, which compiles findings on consumer attitudes and trends; residential contractor research; and residential and small business on-line focus groups, Brand|Cool created new messaging for the various sectors.

GJGNY messaging was integrated into existing program marketing, and additional materials have been developed where needed. Contractor case studies have been produced to highlight successful home-performance businesses, supporting additional contractor recruitment.

Media coverage of the program, prompted by press releases, has been generally positive.

e. Energy Retrofits & Financing

GJGNY audits and unsecured financing for the residential sector were launched in November 2010 through NYSERDA's Home Performance with ENERGY STAR®(HPwES) program, with more than 21,000 audits completed to date. Nearly 40 percent of the homeowners who complete an audit go on to have energy efficiency work completed through the program. OBR became available in January 2012, with customer billing first appearing on utility bills starting in June 2012. In the six months since its introduction, OBR has quickly become the financing mechanism of choice for the residential sector, surpassing unsecured financing in applications per month since February 2012. In total, 133 OBR Loans, totaling \$1.3 million, have been issued through July 31, 2012. In addition, NYSERDA has developed alternative screening criteria for loan qualifications, enabling more households to participate in the program. Applications approved based on the alternative criteria make up approximately eight percent of the approved applications since Nov 2010. In recent months, more than 30 percent of all HPwES projects have taken advantage of the program financing. Health and safety measures compose over five percent of the total homeowner investment in home performance work over the life of the program. In the past 12 months, 15 percent of projects included some level of investment in health and safety measures.

GJGNY audits have been available in the multifamily sector since September 2010, while financing was launched in June 2011. GJGNY audits were launched for the Small Business/Not-For-Profit sector in January 2011; financing became available for this sector in June 2011.

Details regarding program activity are included in *Section VII, One- to Four-Family Residential Buildings*; *Section VIII, Multifamily Buildings*; and *Section IX, Small Business and Not-for-Profit*.

f. Program Evaluation

Since the approval of the GJGNY Evaluation Operating plan, NYSERDA has engaged its third-party evaluation contractors to further develop and begin implementing evaluation plans for GJGNY programs. Because not all GJGNY program plans were finalized or implemented concurrently, early discussions between evaluation staff, program staff, and the evaluation contractors identified the need for initial work to focus on residential single-family homes. A major market characterization study to be used as a baseline and process evaluation is nearly completed for the residential one- to four-family program component.

g. Conclusion

GJGNY has experienced positive growth over the past year, and the newly introduced OBR financing has seen immediate popularity as a financing choice. Most CBO outreach programs are well underway. The number of completed residential audits since November 2010 associated with CBO outreach activity is steadily growing, and the ability of contractors to convert audits into projects remains strong. Outreach to multifamily building owners and managers, small businesses and not-for-profit organizations are growing as well, and audits are underway in those sectors. The enhanced outreach performed by the CBOs, new marketing campaigns, and new marketing tools for contractors are expected to increase program production and facilitate the creation of jobs in communities that have not historically participated in energy-efficiency programs. The work accomplished and energy savings achieved through the program is equivalent to removing more than 16,000 tons of carbon dioxide annually. Still, the true degree of success will be demonstrated over the next two years, as programs improve their traction in the marketplace. NYSERDA will evaluate the effectiveness of the program and, with the input of the Advisory Council, make adjustments as necessary to maximize program benefits.

II. Introduction

Ramping up the rate of participation in energy-efficiency projects is recognized as a means to boost New York State's economy, by reducing household and business energy bills and by creating job opportunities, particularly in distressed communities, where so much energy-efficiency work is needed. Energy efficiency is also recognized as one of the most cost-effective means to reduce greenhouse gas emissions. To successfully grow the energy-efficiency services industry, there must be investments on many fronts – homeowner and building-owner investments in their property, business investments in cost-effective process improvements, public and private investments in creating the service delivery infrastructure, as well as public and private investments in educating consumers on the benefits of energy efficiency and program opportunities. Significant public investment is occurring in New York State through resources such as the System Benefits Charge (SBC), Energy Efficiency Portfolio Standard (EEPS), and Regional Greenhouse Gas Initiative (RGGI); and federal resources such as the Weatherization Assistance Program (WAP), and the American Recovery & Reinvestment Act (ARRA). In addition, New York State residents and businesses are making significant investments in energy efficiency, sometimes paying as much as 90 to 100 percent of the cost of work or products supported by public programs. The level of investment is commendable and necessary to overcome the energy challenges we face and to attain the State's aggressive energy and environmental goals.

On October 9, 2009, the Green Jobs-Green New York Act of 2009 ("the Act", A.8901/S.5888 and chapter amendment A.9031/S.6032) was signed into law.

The Act directs NYSERDA to:

- Establish a revolving loan fund to provide loans to finance the cost of approved qualified energy-efficiency services for residential, multifamily, and non-residential structures
- Pursue the feasibility of other innovative financing mechanisms
- Issue one or more competitive opportunities to solicit applications from partnerships or consortia composed of constituency-based organizations that can connect community members to the program
- Target communities in areas where energy costs are particularly high, in relation to a measure of median household income as determined by NYSERDA, or that have been designated as a nonattainment area for one or more pollutants, pursuant to section 107 of the federal Clean Air Act
- Give preference to applicants for competitive outreach awards that include significant participation by minority- and women-owned business enterprises and/or to applications to serve economically distressed communities
- Establish standards for energy audits, based on building type and other relevant considerations
- Establish a schedule of fees for energy audits, including a sliding scale by which audit fees shall be waived for residential applicants based on median county income
- Enter into contracts to provide employment and training services to support Green Jobs-Green New York
- Establish an Advisory Council
- Provide annual reports to the Governor, Senate, and Assembly

In May 2010, NYSERDA was also awarded federal funds through the competitive "Better Buildings" initiative to support the revolving loan fund established through GJGNY. The status of that initiative is described in Section IV, Funding.

On August 4, 2011, Governor Andrew Cuomo signed the Power NY Act of 2011 into law. A component of the Power NY Act authorized an OBR financing mechanism for GJGNY project financing, and increased the maximum loan limits for GJGNY. While the original legislation called for OBR Loans to be made available by May 2012, working with the involved utilities and staff from the Department of Public Service, NYSERDA was able to launch OBR loans for residential

consumers commencing January 30, 2012. In April 2012, an amendment to the GJGNY law (Public Authorities Law § 1896(5)) made additional changes to improve the OBR financing mechanism, by replacing the filing of a mortgage with the filing of a declaration pursuant to Article 9 of the Real Property Law, serving as notification of the existence of the OBR Loan. Full text of the Act is provided on NYSERDA's Web site at

<http://www.nyserda.ny.gov/en/Programs/Green-Jobs-Green-New-York-Planning/Green-Job-Green-New-York.aspx>.

NYSERDA administers GJGNY in consultation with an Advisory Council including representatives of the Department of Labor (DOL), Long Island Power Authority (LIPA), Homes and Community Renewal (HCR), Office of Temporary and Disability Assistance (OTDA), Department of Public Service (DPS), New York Power Authority (NYPA), Department of Economic Development (DED), Department of Environmental Conservation (DEC), Department of State (DOS), and numerous other stakeholders as identified in the Act. The Advisory Council, along with several stakeholder working groups, met at least monthly in 2010, during the planning and initial rollout phases of GJGNY. The Advisory Council continues to meet quarterly to discuss program progress and to provide input on opportunities for improvement. Advisory Council meetings are open to the public, and documentation of the meetings is posted on NYSERDA's Web site at

<http://www.nyserda.ny.gov/Page-Sections/Green-Jobs-Green-New-York-Planning/Advisory-Council/Meetings.aspx>.

This report is prepared pursuant to section 1899 of the Act and provides an update on the progress and achievements of the program through July 31, 2012. This is the third Annual Report submitted for the program.

III. Advisory Council and Public Input

NYSERDA's planning process involved significant input from the general public, various interested parties and program stakeholders. NYSERDA developed and received regular input from an Advisory Council, along with stakeholder working groups that were instrumental in developing program component Operating Plans. The general public was able to participate in Advisory Council meetings, and also had access to the GJGNY Web site where materials and videos of Advisory Council meetings were posted, and links were provided for comments.

a. Advisory Council Members

The Advisory Council consists of eleven Ex-Officio Members and Appointed Members representing the following: Constituency-Based Community Groups; Consumer Advocates on utility and housing issues; Community-Based Workforce Development Groups; Unions, including Building Trades and Property Services; Home Performance Contractors; Large-Scale Construction Contractors and Investment Market Experts. Members of the Advisory Council are listed in Table 3.1.

Table 3.1: GJGNY Advisory Council Members

Name	Title	Term Expires
Francis J. Murray, Jr.	President and CEO, NYSERDA (Chair)	n/a
Kenneth Adams	President and CEO, New York State Empire State Development	n/a
Elizabeth R. Berlin	Executive Deputy Commissioner, The State Office of Temporary and Disability Assistance	n/a
Garry A. Brown	Chairman, New York State Department of Public Service	n/a
Michael D. Hervey	Chief Operating Officer and CEO, Long Island Power Authority	n/a
Joseph Martens	Commissioner, New York State Department of Environmental Conservation	n/a
Cesar A. Perales	Secretary of State	n/a
Gil C. Quiniones	President and CEO, New York State Power Authority	n/a
Peter M. Rivera	Commissioner, New York State Department of Labor	n/a
Darryl C. Towns	Commissioner and CEO, New York State Homes and Community Renewal	n/a
James Barry	SEIU 32BJ	12/31/2013
Chuck Bell	Consumers Union	12/31/2012
Les Bluestone	Blue Sea Construction	12/31/2012
Judy Butler	Butler Building Performance	12/31/2012
Trial Case	City University of New York (CUNY)	12/31/2013
Richard Cherry	Community Environmental Center (CEC)	12/31/2013
Sammy Chu	Suffolk County Department of Labor	12/31/2013
Donna De Costanzo	Natural Resources Defense Council (NRDC)	12/31/2013
Dr. Charles S. Dedrick	Capital Region BOCES	12/31/2012
Kate Fish	Adirondack North Country Association Program	12/31/2013
Dave Hepinstall	Association for Energy Affordability	12/31/2012
Alan Hipps	Housing Assistance Program of Essex County	12/31/2012
David Johnson	Laborers International Union of North America (LIUNA)	12/31/2012
William Johnson	Green America Public Private Partnership	12/31/2012
Dan Kartzman	Powersmith	12/31/2013
Jennifer Keida	Standard Insulation Co. Inc.	12/31/2012
Dick Kornbluth	Building Performance Contractors Association	12/31/2013
Dr. Andrew Matonak	Hudson Valley Community College	12/31/2012
Jackson Morris	Pace Climate and Energy Center	12/31/2012
Ed Murphy	Workforce Development Institute (WDI)	12/31/2013
Anthony Ng	Center for Working Families	12/31/2013
Kevin Rooney	Oil Heat Institute of Long Island	12/31/2013
Hugo Salinas	New York Energy Conservation	12/31/2013
Kate Shackford	Bronx Overall Economic Development Corporation	12/31/2012
Eric Walker	PUSH Buffalo	12/31/2013
Michael Weisberg	Hudson Valley Commercial Bank	12/31/2013

As previously reported, the GJGNY Advisory Council held meetings every three to four weeks during its first nine months. As the GJGNY program began its deployment phases, meetings of the Advisory Council changed to a quarterly schedule, and monthly written reports were added to ensure Advisory Council members were up-to-date on important milestones, achievements or issues. The Advisory Council met on September 14, 2011; December 6, 2011; March 22, 2012;

June 26, 2012; and September 13, 2012. Agendas for the Advisory Council Meetings are provided in *Attachment 1, Advisory Council Meeting Agendas*. Each Advisory Council Meeting included an opportunity for public input.

b. Working Groups

NYSERDA established six distinct working groups early in the planning process to address specific areas of focus in the development of GJGNY.

During the reporting period, a working group was established to support the implementation of OBR Financing. The group includes NYSERDA staff, utility representatives and Department of Public Service staff. The group met regularly to discuss requirements and processes for successful implementation of the program. The group continues to receive monthly reports on program status. NYSERDA also works closely with the financing implementation contractors and financial consultants to develop strategies for portfolio development, loan applicant qualification criteria, and loan fund securitization.

In addition, NYSERDA is part of a collaborative group including Home Performance Contractors, LIPA, and National Grid to discuss challenges and mitigation strategies related to delivering the program in the one- to four-family sector. Members of the group also review documents and program tools, and prepare training and information for other program participants.

Through the work of these groups, and in collaboration with other stakeholders, NYSERDA has been able to provide significant streamlining and improvements to program delivery in the residential sector. Specific examples include the following:

- A financial pro-forma that calculates loan repayment requirements for varying terms and loan amounts, and screens for compliance with eligibility criteria for unsecured loans and OBR loans
- Improved loan and assisted subsidy application forms simplify the application process
- New guidelines for cooperative advertising that reduce administrative burden and offer incentives for a broader range of marketing activities

c. Web sites

To ensure transparency in the planning process and inform members of the public about GJGNY, a section of NYSERDA's Web site was dedicated to GJGNY, including a direct link from its home page. The site can be viewed at <http://www.nyserda.ny.gov/greenny>. All GJGNY related documents, including Frequently Asked Questions, Advisory Council meeting materials and videos, Operating Plans, and monthly updates are posted to the Web site.

The GJGNY Web site also includes a link to the GreenCareersNY Web site that was developed in collaboration with DOL and several other state agencies. GreenCareersNY was launched under GJGNY to match job seekers with green job and training opportunities. The Web site is a portal to help visitors find information on a variety of green jobs topics, including information about green jobs and careers, how to get training, and incentives for training. Each section of the portal is designed to meet the needs of job seekers, businesses, or workforce professionals. This site supports not only GJGNY, but all green career opportunities throughout the state. It can be viewed at <http://www.greencareersny.com/>.

IV. Funding

This section provides information on the various sources of funding for the GJGNY program, status of commitment and expenditure of funds, and contracts entered into through the program to support the project financing initiatives. The Act allocated \$112 million in funding from New York State’s share of the Regional Greenhouse Gas Initiative to support the program. NYSERDA has allocated the funding, including interest earnings, as indicated in Table 4.1.

Table 4.1: GJGNY Budget as of July 31, 2012

Program Area	Budget*	Expended	Loan Repayments	Encumbered	Committed	Balance
Workforce Development	\$8,000,000	\$1,104,710		\$2,452,564	\$172,830	\$4,269,896
Outreach & Marketing	10,510,000	3,165,577		6,754,439	411,001	178,983
Single Family Homes	39,248,533	22,869,631	\$1,361,010	65,462	607,519	17,066,931
Multifamily	15,992,550	2,827,105	35,714	550,749	792,920	11,857,490
Small Business/Not-For-Profit	23,674,917	1,737,828	2,180	2,717,739	194,000	19,027,530
Program Administration	7,840,000	3,860,977				3,979,023
Program Evaluation	5,600,000	712,830		1,369,590	500,000	3,017,580
NYS Cost Recovery Fee	1,904,000	510,067				1,393,933
Unallocated Interest Earnings	443,159					443,159
Total	\$113,213,159	\$36,788,725	\$1,398,904	\$13,910,543	\$2,678,270	\$61,234,525
*Includes cumulative interest through 07/31/2012 of \$1,213,159, of which \$770,000 has already been allocated for program purposes.						
<i>Expended: Contractor Invoices processed for payment by NYSERDA.</i>						
<i>Encumbered: Remaining funding obligated under a contract, purchase order or incentive award.</i>						
<i>Committed: Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates.</i>						
<i>Balance: Budget minus Expended, Encumbered, Committed plus Loan Repayments.</i>						

a. DOE Grant Award

In May 2010, NYSERDA received the competitive award from the DOE Energy Efficiency Conservation Block Grant, Better Buildings Program (EECBG) to leverage new and existing energy-efficiency retrofit and finance programs to create large-scale sustainable approaches to financing energy efficiency across the state. From the total award of \$40 million, New York City received a sub-award of \$21.4 million to support financing to commercial customers. An additional \$5 million was sub-granted to a coalition of Long Island towns, through Community Development Center of Long Island, to support energy efficiency outreach programs to encourage energy-efficiency retrofits, with financing provided through GJGNY (\$2 million of the sub-grant is being used for loan loss reserve for loans issued.) NYSERDA's \$13.6 million portion of the grant is being used to support energy-efficiency financing through the GJGNY program and to leverage private capital.

Consistent with the DOE grant requirement, no less than 60 percent of the NYSERDA/State funding of \$13,600,000 (equaling \$8,160,000) must be sub-granted to small municipalities not eligible for EECBG funding. The Bedford/Westchester Consortium Pilot Financing Program, partners in the proposal to DOE, will use \$1,267,864 of the award to administer their own pilot financing program through GJGNY. A competitive solicitation was released in March 2011 for \$6,892,135 which resulted in eight awards: seven to municipalities that will serve as host communities for the GJGNY Revolving Loan Fund, and one to Oswego County for \$744,825 to administer their own small commercial loan fund. The municipalities awarded as GJGNY host communities will use approximately \$614,730 for outreach and marketing efforts in their regions, and have re-granted approximately \$5.5 million to NYSERDA: \$5,032,581 to GJGNY Revolving Loan Fund loan loss reserves and \$500,000 for system upgrades to support OBR financing. See Table 4.2 for a list of the awardees' grant amounts prior to re-grants.

Table 4.2: Recipients of GJGNY Host Community Awards

Region	Award Recipient	Award*
Capital	Schenectady County	\$965,437
Central	Oswego County (Small Commercial Energy Efficiency Loan Fund)	744,825
Finger Lakes	Chautauqua County	875,534
Long Island	Town of East Hampton	775,234
Mid Hudson	Bedford NWEAC	832,787
Mohawk Valley	City of Rome	484,048
North County	Town of Clayton	544,251
Southern Tier	Broome County	725,059
Western	Chautauqua County	944,961
Sub Total		\$6,892,136
Town of Bedford/ Westchester Consortium Pilot Financing Program		1,267,865
Total		\$8,160,000

*Numbers may not add to total due to rounding.

The remaining 40 percent of the NYSERDA/State grant will be used directly by NYSERDA to support GJGNY. A breakdown of the entire budget for this grant funding is provided in Table 4.3:

Table 4.3: U.S. DOE Grant Funding Budget

Grants	New York City	Long Island Consortium	NYSERDA		Total
			Direct	Small Municipalities	
New York City Financing to Commercial Customers	\$21,400,000				\$21,400,000
Long Island Towns Outreach		\$3,000,000			3,000,000
Town of Bedford/Westchester Consortium Pilot Financing Program				\$1,267,864	1,267,864
Oswego County (Small Commercial Energy-Efficiency Loan Fund)				\$744,825	\$744,825
Outreach by local government host communities				\$614,730	614,730
GJGNY loan loss/debt service reserves		2,000,000	1,980,000	\$5,032,581	9,012,581
GJGNY small business energy audit subsidies			1,700,000		1,700,000
Upgrades to support on-bill recovery financing			400,000	500,000	900,000
Sub-totals	\$21,400,000	\$5,000,000	\$4,080,000	\$8,160,000	\$38,640,000
NYSERDA administration			1,360,000		1,360,000
Total	\$21,400,000	\$5,000,000	\$13,600,000		\$40,000,000

b. Revolving Loan Fund

NYSERDA has established a Revolving Loan Fund to support energy-efficiency financing for owners of one- to four-family residential buildings, multifamily buildings, and buildings occupied by small businesses and not-for-profit organizations. The GJGNY Act requires the initial balance of the residential account to be at least 50 percent of the total balance. NYSERDA has initially allocated the financing across the sectors as represented in Table 4.4.

Table 4.4: Revolving Loan Fund Budget by Sector

Program Area	Budget	Loans Issued	Loan Repayments	Encumbered	Committed	Balance
Single-Family Homes	\$26,692,533	\$16,490,625	\$1,361,010			\$11,592,918
Multifamily	11,142,550	500,000	35,714		500,000	10,178,261
Small Business/ Not-For-Profit	13,034,917	28,500	2,180	36,060		12,972,537
Total	\$50,870,000	\$17,019,125	\$1,398,904	\$36,060	\$500,000	\$34,713,719

Pursuant to the GJGNY Act, loans were initially limited to not more than \$13,000 per applicant for one-to four-family residential structures and \$26,000 per applicant for small business and not-for-profit structures. The Power NY Act of 2011 raises the maximum loan amount to \$25,000 for residential structures and \$50,000 for small business and not-for-profit structures, provided that the project payback is 15 years or less. NYSERDA has established programmatic limits for multifamily structures, not to exceed \$5,000 per unit and \$500,000 per building.

To pursue financing through the Revolving Loan Fund, a customer must have a qualified energy audit that identifies energy-efficiency services to be undertaken. Subject to the loan caps, the amount eligible for financing will be the total project cost minus any NYSERDA utility or other incentives or rebates that are available. The total cost of the project may include the removal of equipment or systems to be replaced, the purchase and installation of new systems or equipment, the purchase and installation of any required ancillary equipment and related services, including health and safety, and the customer's expense for an energy audit.

1. One- to Four-Family Homes Energy-Efficiency Financing

The program offers two types of loans for one- to four-family residential energy-efficiency improvements. An unsecured consumer loan financing product was launched on November 15, 2010. This loan requires the consumer to make monthly loan payments directly to NYSERDA's master loan servicer, Concord Servicing Corporation. On January 30, 2012, NYSERDA launched OBR Loans, as authorized by the Power NY Act of 2011 (implemented prior to the May 30, 2012 implementation required by the

statute). This loan allows consumers to repay the loan through an installment charge on a bill from one of the involved electric or gas utilities (Central Hudson, Con Edison, Long Island Power Authority (LIPA), National Grid upstate, New York State Electric and Gas Corporation, Rochester Gas and Electric Corporation, and Orange and Rockland Utilities). The utilities then remit repayments to NYSERDA's master loan servicer, who coordinates data communications with each utility.

Initially, these loans are originating statewide through Energy Finance Solutions (EFS), a not-for-profit energy-efficiency lending organization competitively selected by NYSERDA, to provide residential financing for the HPwES program. EFS reviews loan applications and originates loans pursuant to loan underwriting criteria established by NYSERDA. EFS closes on the loan, disburses loan proceeds to the contractor, submits the loan to NYSERDA's master loan servicer, Concord Servicing Corporation, to determine conformance with NYSERDA's loan underwriting standards, and then NYSERDA reimburses EFS for the loan disbursement from the Revolving Loan Fund. Concord is responsible for borrower billing and collections on the loan portfolio, and also monitors the origination processes on a sample basis to ensure conformance to standards. Plans are being made to issue a solicitation during 2012 to qualify additional financial institutions to originate residential loans.

Further details of financing for the one- to four-family homes sector are found in *Section VII, One- to Four-Family Residential Buildings*.

2. Multifamily Building Energy-Efficiency Financing

The program offers two types of loans for energy-efficiency improvements in multifamily buildings. Through a participation loan, launched in June 2011, a participating lender issues a loan for a qualifying energy-efficiency project, and NYSERDA participates in the funding of 50 percent of the loan (up to a maximum of \$5,000 per unit or \$500,000 per building) at zero percent interest with the lender setting the interest rate on its share of the loan. The lender is responsible for collecting loan repayments and remitting to NYSERDA its proportionate share. NYSERDA is also developing OBR Loans for multifamily buildings to create a program that complements the participation loan. Further details of the financing available to this sector are found in *Section VIII, Multifamily Buildings*.

3. Small Business/Not-for-Profit Energy-Efficiency Financing

The program offers two types of loans for energy-efficiency improvements in small business and not-for-profit structures. Through a participation loan, launched in June 2011, a participating lender issues a loan for a qualifying energy-efficiency project and NYSERDA participates in the funding of 50 percent of the loan (up to a maximum of

\$50,000) at 0 percent interest (with the lender setting the interest rate on its share of the loan). The lender is responsible for collecting loan repayments and remitting to NYSERDA its proportionate share. The participating lender is responsible for loan underwriting pursuant to its standards, and NYSERDA and the lender share in a pro-rata basis on any loan defaults. In July 2012, NYSERDA launched OBR Loans. This approach allows the same participating lenders to originate an OBR Loan on NYSERDA's behalf, using NYSERDA loan underwriting standards. The loans are issued at an interest rate of 2.5 percent for a maximum loan amount of \$50,000. The loan is repaid to NYSERDA through an installment charge on the participating utility electric/gas utility bill, remitted to NYSERDA's master loan servicer.

Further details of financing available to this sector are found in *Section IX, Small Business and Not-For-Profit*.

c. Qualified Energy Conservation Bonds (QECB)

NYSERDA was designated as New York State's administrator for the allocation of federally authorized Qualified Energy Conservation Bonds (QECB), which are tax-subsidy bonds that may be issued for certain qualifying purposes. The State received a total QECB bond volume cap authorization of \$202.2 million, of which approximately \$182.1 million was sub-allocated on a per capita basis, to 39 large local government counties, cities and towns (with a population in excess of 100,000), resulting in about \$20.1 million available for State Government purposes. The initial State Government purposes allocation grew to about \$24.4 million with QECB allocations to municipalities that were waived and reverted to the State.

The State Government purposes allocation will be used to support bonds issued to finance GJGNY residential energy-efficiency loans (both Unsecured Loans and OBR Loans) issued and initially funded through the Revolving Loan Fund. These tax-subsidy bonds offer a lower financing cost, allowing the residential energy-efficiency loans to be offered at a lower interest rate to borrowers. The initial interest rate set on residential loans (3.99%/3.49% for Unsecured Loans, and 2.99% for OBR Loans) was based on financing these loans through tax-subsidy QECB bonds. Once this bond allocation is exhausted, the loan interest rate will be raised and NYSERDA projects interest rates will be about 5 to 6%.

d. Property Assessed Clean Energy (PACE) Financing

PACE financing permits the cost of comprehensive energy-efficiency retrofit projects to be paid through a tax assessment on the property. The future of PACE financing for residential projects was cast in doubt in July 2010, when the Federal Housing Finance Agency (FHFA) and the Office of the Comptroller of the Currency concluded that the senior-lien residential PACE programs violate standard mortgage provisions and trigger a mortgage default. As a result of these

developments, NYSERDA put on hold its plan for residential energy-efficiency financing using a PACE-type financing approach, pending resolution of these issues by the federal government. Meanwhile, the ability to develop PACE financing with a primary lien with not-for-profit mortgagees not eligible for FHFA mortgages continues to be explored by the Town of Bedford. Should the issues raised by federal regulators be resolved, State legislative amendments will be required, authorizing municipalities to enter into agreements with NYSERDA and to use funding provided by NYSERDA.

e. PowerSaver Loans

On April 21, 2011, the U.S. Department of Housing and Urban Development (HUD) announced that Energy Finance Solutions (EFS), in partnership with NYSERDA, was approved under a pilot program for providing energy-efficiency improvement loans under a new federally-insured loan program from the Federal Housing Administration (FHA) known as FHA PowerSaver. NYSERDA will integrate PowerSaver loans into GJGNY as an additional financing option available to consumers. Under the two-year pilot program, FHA insures lenders against the risk of default on qualifying loans. The loans are available for single-family, owner-occupied homes, with a maximum loan amount of \$25,000 and a maximum term of 15 years. Loans may be issued on an unsecured basis if under \$7,500, but must be secured by a mortgage with not less than a second lien if over \$7,500. Loan underwriting is performed by the lender and must conform to HUD's underwriting standards. EFS and NYSERDA proposed to offer PowerSaver loans on a statewide basis as secured mortgage loans and as companions to the Unsecured Loans currently being offered through GJGNY.

Implementation of the PowerSaver loans was initially put on hold due to implementation of residential OBR Loans. Once the OBR Loans were implemented, it did not appear to be beneficial in continuing with plans to implement PowerSaver loans through the GJGNY program due to the added origination costs for issuing PowerSaver loans. Further, offering the PowerSaver loans as mortgage loans would limit contractors' ability to communicate with consumers about the loan product under federal and State mortgage loan regulations. As a result, NYSERDA does not anticipate offering PowerSaver loans through the GJGNY program at this time.

f. Contracts Entered Into

In 2009, NYSERDA competitively selected EFS to provide residential energy-efficiency financing through its HPwES program, and the contract was amended to provide for origination services for loans issued through the GJGNY program upon passage of the legislation. A competitive solicitation issued in March 2011 resulted in the selection of Concord Servicing Corporation to provide master loan servicing. NYSERDA entered into an interim contract with NY Title Research Corporation to perform property searches and to file mortgage/declaration documents to

support OBR Loans; a solicitation is expected to be issued during 2012 to award contracts on a regional basis to provide these services.

NYSERDA competitively retained a financial advisor, Lamont Financial Services, to provide services for program design and to provide advice on financial structures. NYSERDA also competitively selected Hawkins, Delafield and Wood as its bond counsel to provide legal advice on financial matters, legislation, program design and structures for financing. Additionally, NYSERDA entered into a contract with the Energy Programs Consortium to support development of a multistate financing structure for unsecured energy-efficiency financing that will facilitate the securitization of such loans, in which it may participate. Funding amounts for these contracts are detailed in Table 4.5.

Table 4.5: Financing Contracts ¹

PO#	Contractor	Description	PO Amount	Expended	Encumbered	Committed
Contract # 15518	Wisconsin Energy Conservation Corporation (Energy Finance Solutions)	Loan origination services	N/A	\$372,298		
21769	Concord Servicing Co	Interim loan servicing for GJGNY	N/A	22,825		
20822	Concord Servicing Corporation	Master Loan Servicer for GJGNY	N/A	75,673		
	NY Title Research Corporation	Property searches and document filing to support On-Bill Recovery Loans	50,000	38,500	\$11,500	
18591	Hawkins Delafield & Wood	Legal financial advisory services for GJGNY	180,000	156,213	23,787	
19923	Lamont Financial Services	Financial Advisor Services	228,100	228,100		
20662	Energy Programs Consortium	Energy Programs Consortium-Phase I	12,500	12,500		
	Citigroup Global Markets, Inc.; Jeffries & Company, Inc.; and Samuel A. Ramirez & Co., Inc. ²	Bond underwriting services				
Total			\$470,600	\$906,109	\$35,287	\$0

PO#	Contractor	Description	PO Amount	Expended	Encumbered	Committed
¹ Contract funding amounts listed in Table 4.5 are total amounts. Due to the fact that these services are provided across the One-to-Four-Family Homes, Multifamily, and Small Business/Not-For-Profit sectors, the prorated share of these contracts is also provided in the Contract Funding Tables in sections VII, VIII, and IX. ² Expenditures will be based on a percentage of the amount of funds bonded. <i>Expended: Contractor Invoices processed for payment by NYSERDA.</i> <i>Encumbered: Remaining funding obligated under a contract, purchase order or incentive award.</i> <i>Committed: Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates.</i>						

g. On-Bill-Recovery Financing Annual Report

The Power New York Act of 2011 requires certain additional reporting regarding OBR Financing as of June 30th. The report is provided as Appendix 1.

V. Workforce Training and Development

The Workforce Training and Development initiative builds on existing NYSERDA, DOL, and other programs targeted at preparing individuals for clean energy careers in New York State. In particular, workforce development efforts have been expanded to more directly address disadvantaged and emerging workers, pathways-out-of-poverty, and establishing career pathways. In coordination with the DOL, NYSERDA also supports efforts to support business growth, encourage the hiring of new entrants to the workforce, and to advance incumbent workers through on-the-job training and apprenticeship opportunities. Implementation of the approved GJGNY Workforce Development Operating Plan began in mid-2010 and was initially presented in the 2010 GJGNY Annual Report. Following is an update on progress since the last reporting period.

a. Workforce Training and Development Solicitations

NYSERDA has issued a total of seven Program Opportunity Notices (PON) and Requests for Proposals (RFP) designed to advance the workforce development goals of GJGNY. NYSERDA funds projects that support the Workforce Development Operating Plan and the workforce training objectives of the Act, including, but not limited to: 1) incremental occupational training to unemployed workers; 2) work readiness and entry-level technical training to individuals; 3) apprenticeship and labor-management certification training; 4) skills development for incumbent GJGNY workers; 5) skills development for new GJGNY workers to advance workers and improve employee retention; and 6) inventory of curriculum related to the objectives of GJGNY, as well as qualitative research designed to assess skills gaps as identified by employers.

GJGNY workforce development activities are expanding New York State's capacity to deliver training services by working with community-based training organizations, expanding existing training centers, providing much-needed training equipment and tools, and minimizing barriers

to delivering field testing and certification examinations. The initiative is also providing direct-entry, on-the-job, apprenticeship, and internship incentives to help defray the costs associated with bringing on new hires.

The following provides an overview and status update on GJGNY Workforce Development solicitations and resulting contracts:

- **PON 1816 - Workforce Development Training Partnerships for Energy Efficiency:** PON 1816, issued December 2010, included several funding components: career pathways for engaging disadvantaged communities, technical training, certification reimbursement and internships and apprenticeship support. \$1.65 million in GJGNY funds were added to the existing Energy-Efficiency Portfolio Standard (EEPS)-funded PON 1816, an open enrollment solicitation, in order to leverage existing career pathways (GJGNY Worker Readiness) efforts, support infrastructure for field testing, and provide certification, accreditation and equipment reimbursement. Workforce Development training partnerships, under PON 1816 GJGNY Worker Readiness, are well under way with some partnerships completing contracted activities. The Syracuse University Southside Innovation Center, Solar One, and Northern Manhattan Improvement Corporation have all completed contracted activity and continue to monitor the retention of students placed in employment opportunities. Also under PON 1816, NYSERDA has negotiated four contracts for lab houses, located at community colleges, independent training centers, and Board of Cooperative Education Services (BOCES) around the state. The lab houses can provide realistic simulation of conditions expected in homes, and a means to expand New York State's capacity for hands-on training and field testing of skills.

- **PON 1817 -Energy Efficiency Career Pathways Training and Technical Training:** PON 1817, issued June 2010, included \$600,000 in GJGNY funds to support the development of training for Small Commercial Energy Auditing and for Oil Heat Efficiency training. As a result of this competitively bid solicitation, one contract for Oil Heat Efficiency and two contracts for Small Commercial Energy Auditing curriculum development and training were issued.
 - **Oil Heat Technician Training:** Curriculum is being finalized to incorporate BPI specific guidelines into the existing oil heat technician training, with an emphasis on whole building science and energy efficiency, combustion efficiency, advanced oil tank installation, and combustion and air venting. Five sets of trainings are currently scheduled, with a National Oilheat Research Alliance (NORA) Silver Certification Review (guidance on basic design, safety and repair of oilheating equipment) and a Tank Installation Review in each set.

- **Small Commercial Energy Auditing Training:** Curriculum is under development for The City University of New York (CUNY). Planning for curriculum development is underway at the State University of New York (SUNY) Stony Brook. Small Commercial Energy Auditing Training will be based on existing American Society of Heating, Refrigerating, and Air Conditioning Engineers (ASHRAE) standards for Level 1 and Level 2 auditing.
- **PON 2011: Solar Thermal Training:** PON 2011, issued in May 2010, offered \$300,000 in GJGNY funds to develop Solar Thermal Training or Solar Thermal modules to integrate with existing Energy-Efficiency training including: curriculum development, equipment, code official training, and assistance to apply for the Interstate Renewable Energy Council Institute for Sustainable Power Quality (IREC ISPQ) accreditation. A total of four contracts have been executed with Ulster County BOCES, Sullivan County BOCES, Monroe Community College and SUNY Canton. All of these training partners have installed equipment and are either offering classes, or will begin offering classes in fall 2012. Monroe Community College, in particular, has an impressive solar thermal training lab. Examples of classes being offered at the schools include Solar Thermal Basics and Solar Thermal Installer Training.
- **RFP 2014: Contractor Exchange Workshops:** RFP 2014, issued August 2010, offered \$150,000 to hold Contractor Exchange Workshops. The goal of these workshops was to help improve the business development and management skills of contractors to improve their profitability and to better prepare them to become participating Home Performance Contractors. The primary Contractor, the Building Performance Institute (BPI), held a total of five Contractor Exchange Workshops in Rochester, Albany, Tarrytown, Buffalo, and Long Island. These workshops were held between June 2011 and May 2012 and altogether, more than 300 contractors attended.
- **PON 2032: Technical Workshops/Expand BPI Field Exam Capacity/Certification Standards:** PON 2032, released in March 2012, will include \$1.48 million to develop technical workshops; fund training centers to expand BPI field exam capabilities; and develop certification standards. This PON has three funding categories: Hands-on Technical Workshops; Expanding BPI Exam Capacity; and Oil and Gas Furnace Installation certification standards. Several proposals have been received to date under PON 2032 and contract negotiations are underway with several proposers.
- **PON 2033: Internships/Apprenticeships/On-the-Job Training:** PON 2033, issued June 2011, provides \$2.625 million to recruit entry-level workers, support businesses hiring Green Jobs Work Readiness graduates, and enhance standards for the NYS Registered Apprenticeship Programs and building trades programs to include weatherization and certified energy-efficiency technicians for GJGNY. Under Category A, Curriculum Development for NYS Registered Apprenticeship Programs or Third-Party Accredited

Building Trades Programs, NYSERDA has awarded contracts to Solar One for Green Building Operations and Maintenance, the Urban League of Rochester for enhancement of their Construction Technology program, and to the Local 32BJ Thomas Shortman Training Fund for an enhanced BPI Multifamily Building Analyst training program. Under Category B, On-the-job Training, NYSERDA has received 68 “intent to apply” forms, which are the first step in a process that, when completed, results in a NYSERDA partner or contractor hiring a candidate for on-the-job training and employment. After the initial email intent to apply, if the Applicant is found to be eligible and in good standing, the process continues with DOL performing due diligence on the Applicant and then work begins between DOL’s Business Services Representative and the Applicant to match their needs with the skills of the employee pool on the One-Stop Lists. Candidates are interviewed, and job offers are made. A completed application approved by DOL returns to NYSERDA, and a contract is produced.

To date, 65 people have been hired from DOL’s One-Stop Lists, and approximately \$600,000 has been awarded. Businesses can receive 50 percent of the wages that they pay the employee during training, with a maximum award per trainee of \$15,000, and a maximum award per business of \$150,000. Businesses are also eligible for \$4,000, per trainee, for off-site classroom training, up to a total of \$30,000.

- **RFP 2034 - Green Jobs-Green New York: Curriculum Inventory, Assessment, and Curriculum Updates:** RFP 2034, issued July 2010, offered \$475,000 to conduct a curriculum inventory, contractor needs assessment, and curriculum updates. The curriculum inventory and contractor needs assessment were awarded to Pace University, which has now completed qualitative and quantitative research and is compiling a final report to be issued in fall 2012.

b. Coordination with New York State Department of Labor

1. NY Youth Works

Governor Andrew M. Cuomo signed the New York Youth Works Program into law on December 9, 2011 to encourage businesses to hire unemployed, disadvantaged youth. Funding was provided under the New York Youth Works Program to facilitate the availability of work-ready-certified youth for employment. This funding targeted 12 areas of New York State: the cities of Albany, Buffalo, New York, Rochester, Schenectady, Syracuse, Mount Vernon, New Rochelle, Utica and Yonkers; and the Towns of Brookhaven and Hempstead. The funding is administered through the DOL. Earlier this year, DOL issued two Requests for Applications (RFA) and one RFP, in parallel, to expedite efforts to train and place youths through the NY Youth Works Program.

Organizations could apply under all three solicitations. The two RFAs (RFA T-1 for job placement and RFA T-2 for job training and placement) provided opportunities to contract with entities quickly (less than \$50,000). The job training and placement RFP was identical to the one of the RFAs (T-2), but could provide up to \$200,000. A total of \$8 million in DOL funding was available through the three solicitations. DOL received a total of 177 proposals requesting \$12.7 million under the three solicitations and 144 of these proposals were deemed fundable by DOL for a total of \$11.29 million.

DOL sought NYSERDA support for proposals that were identified as having an energy efficiency or “green” focus. Of the 24 proposals with a “green” focus forwarded to NYSERDA, four aligned with the goals of GJGNY. \$455,700 was reprogrammed from PON 2033 Category B (OJT) to support the following agreements:

- Urban League of Rochester: Hands-on construction and green building training and pre-apprenticeship certificate training developed by the Home Builders Institute (two separate agreements)
- Northeast Parent and Child Society: Training leading to energy-efficiency certification and clean energy sales training
- Henkels & McCoy, Inc. (STRIVE International): Green construction coupled with training leading to energy-efficiency certifications

2. *One-Stop Operating System (OSOS) Access*

The Workforce Development team continues to collaborate with the statewide network of Constituency-Based Organizations (CBO) in providing consumer workforce outreach under GJGNY. NYSERDA is working with the DOL to facilitate CBO access to DOL’s One-Stop Operating System (OSOS), in order to connect qualified job seekers with employers in the clean energy field. For staff, being able to enter data directly in the OSOS would not only facilitate worker connections, but would allow for more accurate tracking of workforce leads as they are placed in training and, ultimately, jobs. PUSH Buffalo is the first CBO to gain access to the system and will be able to match candidates to job openings. After a pilot period, access will be expanded to all CBOs performing workforce outreach. These connections are of increasing importance as NYSERDA seeks to support the Governor’s NY Youth Works initiative being implemented by the DOL.

DOL has modified the OSOS so that someone entering a new trainee in the system can identify him/her as being affiliated with a CBO referral or with a GJGNY training program. Better coordination with DOL means that NYSERDA will be better equipped to track energy-efficiency training and job placement.

3. Green Jobs Study and Pace University Research Under GJGNY

As part of the American Recovery and Reinvestment Act of 2009, the DOL was awarded a \$1.1 million grant from the U.S. Department of Labor to conduct research on the green labor market in New York State. This research goes hand-in-hand with New York State's commitment to increasing energy efficiency and maximizing growth in its clean energy sector, in keeping with the Energy-Efficiency Portfolio Standard; the Renewable Portfolio Standards; the Regional Greenhouse Gas Initiative; and the State Energy Plan. As one part of the study, the DOL and its research partners surveyed 20,000 businesses in the fall of 2010 to determine the number and types of green jobs in the State. DOL has summarized its findings and published its report, the *New York Green Jobs Study*¹, in May 2011.

The DOL data is being used to support the training inventory, needs assessment, and curriculum updates to be implemented by the contract awarded to Pace University under NYSERDA's RFP 2034-GJGNY Training Inventory, Assessment, and Curriculum Updates. The breadth of information in the DOL report provided a comprehensive inventory of statewide training programs and generalized contractor needs that Pace University will utilize in completing a skills gap analysis in support of GJGNY. The Pace team has worked closely with the DOL Bureau of Labor Statistics to ensure that data translates between reports. DOL has been forthcoming with lessons learned from the research project and has provided valuable feedback that has allowed Pace to better assess gaps between training and employment. Under the GJGNY research, Pace completed its quantitative and qualitative analysis using focus groups and phone interviews with training providers, contractors working under GJGNY, and CBOs performing outreach under the program. The final report is expected this fall and will be posted on NYSERDA and DOL's jointly managed www.greencareersny.com.

4. Additional Coordination

NYSERDA continues to work with DOL on NY Youth Works and to leverage State and federal funds to develop training opportunities for the unemployed, new and emerging workers through the DOL One-Stop Career Centers and the State's Workforce Investment Boards. The DOL One-Stop Career Centers assist jobseekers to identify career goals and locate appropriate training and certificate programs to meet these goals. For example, under PON 2033, which was developed cooperatively with DOL, NYSERDA contractors are working with DOL's Business Service Representatives and One-Stop Centers to match jobseekers with jobs in energy efficiency. NYSERDA continues to collaborate with DOL to establish a comprehensive workforce development program for

¹ New York State Department of Labor- Division of Research & Statistics. 2011. *New York State Green Jobs Study, a Report for New York State*. <http://www.labor.ny.gov/stats/green/index.shtm>

New York that supports existing and planned energy-efficiency programs, and further leverages the "pathways out of poverty" program to engage disadvantaged communities. DOL funding can provide training to new and emerging workers to prepare them with skills necessary for entry-level employment, while NYSERDA funding can provide more focused and specialized training related to energy-efficiency programs.

c. Budget

Table 5.1: Workforce Development Program Area Budget

Component	Budget	Expended	Encumbered	Committed	Balance
Equipment and Training Infrastructure	\$2,405,730				\$1,697,731
Contracts		\$97,185	\$492,917	\$109,185	
Incentives		8,712	0	0	
Certifications and Company Accreditation	900,000				579,919
Contracts		59,721	190,279	0	
Incentives		70,083	0	0	
Apprenticeships/Internships	2,639,250	314,729	704,798	63,645	1,556,078
Curriculum	1,775,000	409,280	1,059,551	0	306,169
Conferences and Technical	280,020	145,000	5,020	0	130,000
Total	\$8,000,000	*\$1,104,709	*\$2,452,564	\$172,830	\$4,269,899
<p>*Does not add up due to rounding. <i>Expended: Contractor Invoices processed for payment by NYSERDA.</i> <i>Encumbered: Remaining funding obligated under a contract, purchase order or incentive award.</i> <i>Committed: Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates.</i></p>					

d. Contracts Entered into

External contracts related to the implementation of the GJGNY Program are detailed in Table 5.2.

Table 5.2: Workforce Contracts

PO #	Vendor Name	Description	PO Amount	Expended	Encumbered	Committed
25586	Audio-Video Corporation	Smart Board & Document Reader for Video Conferencing	\$23,136	\$23,136	\$0	\$0
18854	BPCA NYS Inc.	PO for GJGNY research/training survey	25,000	25,000	0	0
20750	NYS Department of Labor	Co-funding for a Tandberg video conferencing system	46,000	46,000	0	0
23343	Meeting Industry Experts Inc.	Meeting Planning Services	13,610	3,049	10,561	0
24370	Clinton Essex Warren Washington	Lab Houses to Support GJGNY Training	134,045	0	134,045	0
24375	Green Jobs Training Center	Lab Houses to Support GJGNY Training	0	0	0	109,185
24390	Northeast Parent & Child Society Inc.	Lab Houses to Support GJGNY Training	143,117	0	143,117	0
24393	Integral Building & Design Inc.	Lab Houses to Support GJGNY Training	205,194	0	205,194	0
TOTAL EQUIPMENT & TRAINING INFRASTRUCTURE			\$590,102	\$97,185	\$492,917	\$109,185
PO #	Contractor	Description	PO Amount	Expended	Encumbered	Committed
15610	North American Board of Certified Energy Professionals (NABCEP)	Solar Thermal Certifications	\$200,000	\$9,722	\$190,279	\$0
18675	NABCEP	PO for company accreditation	49,999	49,999	0	0
TOTAL CERTIFICATION AND COMPANY ACCREDITATION			\$249,999	\$59,721	\$190,279	\$0
PO #	Contractor	Description	PO Amount	Expended	Encumbered	Committed
23668	Anodyne Solutions	GJGNY OJT Training	\$49,071	\$37,223	\$11,848	\$0
27313	Coler Natural	GJGNY OJT Training	7,280	7,280	0	0
23749	True Energy Solutions	GJGNY OJT Training	29,690	17,458	12,232	0
23871	Woodbridge Construction Inc.	GJGNY OJT Training	12,387	12,366	21	0
23872	Energy Savers Inc.	GJGNY OJT Training	6,700	6,700	0	0
23911	The Radiant Store	GJGNY OJT Training	25,080	18,840	6,240	0
23987	Prospect Development & Const.	GJGNY OJT Training	20,000	20,000	0	0
24663	K & L Green Operations LLC	GJGNY OJT Training	46,800	45,147	1,653	13,874
24761	CNY Solar Inc.	GJGNY OJT Training	7,280	5,180	2,100	0

PO #	Vendor Name	Description	PO Amount	Expended	Encumbered	Committed
24810	Apex Engineering PC	GJGNY OJT Training	49,302	22,376	26,926	0
25047	Home Energy Consultants Inc.	GJGNY OJT Training	6,500	5,277	1,223	0
25444	CNC Coatings Corp.	GJGNY OJT Training	10,000	10,000	0	0
25657	Radiant Drywall & Insulation Corp.	GJGNY OJT Training	39,400	34,808	4,592	0
25658	Mirabito Energy Products	GJGNY OJT Training	7,020	0	7,020	0
25786	Urban League of Rochester NY Inc.	GJGNY OJT Training	50,000	22,549	27,451	0
26139	Dundon Insulation Inc.	GJGNY OJT Training	9,240	4,204	5,037	0
26268	Dunn Electric Supply	GJGNY OJT Training	7,139	0	7,139	0
26277	Halcyon Inc.	GJGNY OJT Training	59,000	3,231	55,769	0
26336	Kalex Energy Company Inc.	GJGNY OJT Training	10,056	600	9,456	0
26426	New York Homeowners Construction Co. LLC	GJGNY OJT Training	6,480	0	6,480	0
27052	New Buffalo Impact Inc.	GJGNY OJT Training	16,640	12,000	4,640	6,916
27053	Opportunities for Otsego Inc.	GJGNY OJT Training	5,507	0	5,507	0
27416	All Star Energy Inc.-Home Comfort	GJGNY OJT Training	9,930	6,667	3,263	0
27471	Jonathan Norton	GJGNY OJT Training	32,004	2,988	29,017	0
27473	Standard Insulating Company	GJGNY OJT Training	30,288	0	30,288	0
27741	Local 32BJ Thomas Shotman Training School	GJGNY OJT Training	289,245	0	289,245	0
27744	Tech Home Electric LLC	GJGNY OJT Training	13,425	5,588	7,838	8,320
28130	Home Performance Technologies	GJGNY OJT Training	27,690	0	27,690	0
28576	Integral Building & Design Inc.	GJGNY OJT Training	0	0	0	24,135
28590	Ecologic Home	GJGNY OJT Training	0	0	0	10,400
27701	CleanTech Rocks LLC	Stakeholder Survey for NYSERDA Workforce Development and Training Programs	14,250	14,250	0	0
26514	CEC Stuyvesant Cove Inc.	PON 2033	122,125	0	122,125	0
TOTAL APPRENTICESHIPS/INTERNSHIPS			\$1,019,527	\$314,729	\$704,798	\$63,645

PO #	Vendor Name	Description	PO Amount	Expended	Encumbered	Committed
21080	Conservation Services Group	GJGNY Outreach through CBOs	\$108,324	\$84,949	\$23,374	\$0
20830	Community Power Network of NYS Inc.	Oil Heat Training	290,173	20,758	269,415	0
20834	Green Light New York Inc.	Career to Pathways	10,875	674	10,201	0
20835	Research Foundation of SUNY	Solar Thermal Training	159,313	0	159,313	0
20837	Research Foundation-CUNY	Career Pathways	102,865	0	102,865	0
20717	Sullivan County BOCES	Solar Thermal Training	48,000	0	48,000	0
20718	Ulster County BOCES	Solar Thermal Training	52,000	0	52,000	0
20719	Monroe Community College	Solar Thermal Training	75,000	43,551	31,449	0
20698	Research Foundation of SUNY	Solar Thermal Training	125,000	25,370	99,630	0
21775	Northern Manhattan Improvement Corp.	Worker Readiness	50,000	50,000	0	0
21983	CEC Stuyvesant Cove Inc.	Worker Readiness	76,099	75,574	525	0
22456	The Outsource Center LLC	Worker Readiness	40,567	40,567	0	0
23959	Syracuse University	Worker Readiness	24,047	24,047	0	0
24207	Wayne Finger Lakes BOCES	Worker Readiness	31,568	0	31,568	0
20919	Pace Energy Project	Curriculum Assessment	275,000	43,790	231,210	0
TOTAL CURRICULUM			\$1,468,831	\$409,281	\$1,059,551	\$0
PO #	Vendor Name	Description	PO Amount	Expended	Encumbered	Committed
21067	Building Performance Institute Inc.	Workforce Homeowner/Community Outreach and Contractor Exchange	\$150,020	\$145,000	\$5,020	\$0
TOTAL CONFERENCES/TECHNICAL			\$150,020	\$145,000	\$5,020	\$0
<p><i>Expended: Contractor Invoices processed for payment by NYSERDA.</i></p> <p><i>Encumbered: Remaining funding obligated under a contract, purchase order or incentive award.</i></p> <p><i>Committed: Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates.</i></p>						

VI. Outreach and Marketing

GJGNY provides for community-based outreach, enabling one-on-one assistance with the process of participating in the Program. This, combined with statewide marketing, is expected to increase the reach of the program, particularly among disadvantaged populations and those not traditionally participating in energy-efficiency programs. The following is an update on progress since the last reporting period.

a. Outreach through Constituency-based Organizations (CBO)

The GJGNY Program is designed to deliver services in targeted communities through CBOs. CBOs target residents, businesses, Not-For-Profits (NFP), multifamily building owners, and potential workforce participants. CBOs encourage participation in energy efficiency programs, facilitate awareness of workforce training opportunities available through the GJGNY program, and assist with enrollment in those efforts. Fourteen CBOs were selected through RFP 2038—Green Jobs Green New York Outreach Program, which was released in November 2010.

Table 6.1: CBOs Selected through RFP 2038

CBO	Target Region
Pathstone Corporation (Pathstone)	Finger Lakes
Northeast Parent and Child Society (NEP&C)	Capital Region
Affordable Housing Partnership of the Capital Region (AHP)	Capital Region
Adirondack North Country Association (ANCA)	North Country
Bronx Overall Economic Development Corporation (BOEDC)	Bronx
Neighborhood Housing Services of Staten Island (NHS- SI)	Kings and Richmond Counties
El Puente	Kings and Richmond Counties
Downtown Manhattan Community Development (DMCDC)	New York County
Asian Americans for Equality (AAFE)	Queens County
Rural Ulster Preservation Company (RUPCO)	Mid-Hudson and Westchester County
Long Island Progressive Coalition (LIPC)	Long Island
Public Policy and Education Fund Central (PPEF-Central)	Central New York
Public Policy and Education Fund Southern Tier (PPEF-ST)	Southern Tier
People United for Sustainable Housing (PUSH)	Western New York

A second RFP (RFP 2327 Green Jobs Green New York Outreach Program) was released in June 2011 to fill gaps from the previous solicitation. There were four new CBOs selected through RFP 2327, and the service territory for a CBO selected through RFP 2038 (Pathstone) was expanded.

Table 6.2: CBOs Selected through RFP 2327

CBO	Target Region
PathStone Corporation	Finger Lakes
Northwest Bronx Community and Clergy Coalition (NWBCC)	Bronx
Civic Association Serving Harlem (CASH)	New York
Make the Road New York	Kings and Richmond
Neighborhood Housing Services of Jamaica, Inc. (NHS-J)	Queens

1. Training and Implementation Contractor

Conservation Services Group (CSG) was selected as the GJGNY Training and Implementation Contractor (TIC) to support and provide structured training for the CBOs; to provide geographic coordination and support of CBO Outreach programs; to enable effective communication across all regions; to track CBO goals including recruiting efforts; to assess and fulfill CBO needs; to assist in planning and coordinating events, if necessary; to trace progress of referrals made to GJGNY; to perform data gathering; and to provide regular reporting of program activities and results to NYSERDA.

CSG worked with NYSERDA staff on the development of the curriculum for a two-day CBO training session for those CBOs selected for outreach activities. Training was held in November (upstate CBOs) and December (downstate CBOs), 2011. CSG also developed the SharePoint Portal described below.

2. SharePoint Portal

In order to support the CBO outreach effort, a SharePoint site was developed that serves as a central communication tool and reporting mechanism for participating organizations and program administrators. The site is password protected and accessible to NYSERDA staff, CSG, NYSERDA's marketing contractor (Brand | Cool), and the CBOs.

The SharePoint site enables CBOs to access and download program information and materials, to upload information such as reports and leads, and to converse about the program and its deployment. The site is a critical tool for the implementation of the GJGNY Outreach Program. CSG worked with NYSERDA to ensure the information gathered from CBOs on the site integrates with the Comprehensive Residential Information System (CRIS) programmatic database system. CBOs are required to report and track leads, audits, and retrofits in the CRIS system.

The CBO SharePoint site is being used as a central communication area to support the participating CBOs and allows the program staff and CBOs to do the following:

- Use the Document Library to share documents, such as materials and presentation slides from the training sessions, recorded webinars, aggregation documents, reporting and invoicing templates, and approved marketing language and logos.
 - Download files to be saved to a local computer.
 - Upload new documents such as press releases, Web copy, and marketing materials for review. Once the appropriate administrator has approved each document, the files are made available to all SharePoint site users.
- Participate in a real-time group Discussion Board, created to provide a venue for online discussions and to promote an open dialogue among project participants.

Through the portal's Discussion Board, CBO staff members may pose questions that are visible to all site users.

- Post internal announcements, such as training classes, upcoming Webinars, programmatic updates, and multimedia resources available to assist CBOs in their outreach efforts.
- Post categorized links to a variety of online resources, such as NYSERDA documents and programmatic information.

The SharePoint portal is also used as a common mechanism to track program metrics such as referrals/leads, audits, retrofits, events, and workforce recruitment, across all CBOs. Although each CBO may use a separate Customer Relations Management Tool internally, a uniform method to track the progress of various customers or clients was necessary to facilitate program administration. Each CBO is tasked with entering customer information into the corresponding SharePoint list and updating the records on a regular basis. CBOs are also able to view information in the CRIS database to track progress through the program

3. CBO Training

Initial training delivered to the CBOs in November and December 2011 included: information on GJGNY program components (residential, multifamily, NFP, and small commercial energy audits); financing mechanisms; job training opportunities, organizations, and partners; outreach strategies; program delivery protocols and procedures; program policies and performance standards; marketing materials and strategies; guidance and tools to assist in the targeting of homeowners for GJGNY projects; interview techniques; forms and other necessary program materials; effective resource management; invoicing and fiscal responsibilities; monitoring; regional alliance development; and other relevant information necessary to ensure that GJGNY program goals are reached.

To provide the CBOs with a deeper understanding of the programs, the following special sessions were held:

- CSG presented *Home Performance from a Contractor's Perspective*, which addressed the role of the implementation contractor's technical representatives, program quality control procedures, HPwES contractor recruitment, and programmatic barriers.
- Northeast Parent and Child Society presented on creating and supporting job training opportunities, organizations, and partners.
- An Outreach Round Table was convened to provide examples of energy-efficiency outreach initiatives.
- The Consumer Union, the publisher of Consumer Reports, presented a session called *Financial Literacy*. This session addressed understanding your financial status, available financial resources for consumers, budgeting, and problem resolution.

Other presentations included Introduction to Using SharePoint, Administration and Contract Reporting Requirements, and CBO Roles and Responsibilities.

All training presentations and materials are available on the CBO SharePoint Web site for review and as a refresher for staff, as necessary.

A second general CBO training session was held on June 29. The training focused on CBO progress to date, reconciling leads in SharePoint with NYSERDA's Comprehensive Residential Information System (CRIS) database, CBO customer relationship management systems, and required NYSERDA paperwork for the residential program. The training session used a combination of regional presentations and Web-broadcasted presentations. A wide range of topics were covered throughout the meeting, and each CBO was given the opportunity to present on its best practices, successes, and struggles to date.

NYSERDA also provides monthly Webinars for all the CBOs to keep them abreast of program changes and other necessary and important information. During the year the following Webinars were conducted:

- *Basics of Building Science* Webinar on 11/17/2011 and 11/18/2011:
 - Air, heat, and moisture transfer mechanisms and driving forces
 - Basic mechanical system interaction with the thermal envelope
 - Basics of a home assessment
 - The use of diagnostic tools
- *CBO NYSERDA Marketing* webinar on 1/17/2012:
 - Introduction to NYSERDA's Online Marketing Material Order Tool
 - Adding events to NYSERDA's Web site
 - Requesting NYSERDA staff at events using NYSERDA's Event Request form
- *Administration and Contract Reporting Requirements* Webinar on 1/19/2012:
 - Monthly reporting using SharePoint
 - NYSERDA's narrative reporting requirements
 - Monthly invoicing process
- *Comprehensive Residential Information System (CRIS) Introduction/Training* on 1/20/2012:
 - Introduction to the database
 - Tracking residential customers
 - Matching residential leads with NYSERDA's system and SharePoint to support CBO performance payments
- *Solar Thermal and Renewable Energy* training on 2/16/2012:
 - Introduction to NYSERDA's PON 2149-Solar Thermal (ST) Incentive Program
 - Qualifications to be a NYSERDA ST Installer
 - Customer ST incentives and guidelines
- *Workforce Development* training on 3/15/2012:
 - PON 2033
 - NYSERDA funding opportunities regarding tuition reimbursement

- NY Youth Works (DOL). Presenters included:
 - Northeast Parent and Child Society (NEPC): NEPC prescreening protocols and overview of the skills for which employers are looking; and
 - Radiant Store: Employer perspective on using PON 2033 funding.
- *Outreach Strategies and Prescreening* training on 4/19/2012 hosted by CSG:
 - GJGNY Southern Tier Region CBO. Presenters included:
 - Binghamton Regional Sustainability Coalition
 - Public Policy Education Fund; and
 - Cornell Cooperative Extension of Tompkins County.
 - Contractor Perspective
 - Snug Planet (Home Performance Contractor)
 - National Example
 - Groundswell (formerly WeatherizeDC)
- *More on Outreach and Prescreening Methods and HPwES Contractor Perspective* on 5/17/2012:
 - GJGNY Long Island Region CBO
 - Long Island Progressive Coalition (LIPC)
 - Home Performance Technologies (Home Performance Contractor)

4. Aggregation

Aggregation is a “collection of eligible homes brought to the GJGNY Program by a CBO, under contract with NYSERDA to perform Customer Outreach services, and who have agreed, up-front, to use the same contractor or contractor team to perform audits and retrofit work.” Several CBOs indicated in their proposals to NYSERDA that they were interested in implementing aggregation pilots within their outreach region. Each CBO created a plan identifying the neighborhoods in which the respective CBO would focus aggregation, minimum number of households to be included in an aggregation, strategies to provide pricing economies of scale, process for assigning aggregations to participating Home Performance Contractors, timelines for contractors to complete work, and other aspects of the pilot. Contractors interested in providing services to an aggregated group of households, and benefiting from receiving a list of ready customers located within a small area, must also agree to provide community benefits, such as local hiring, employee training, or living wages, in exchange for those advantages. The nature of the community benefits is unique to each region and was developed by the CBOs in coordination with regional contractors.

Aggregation pilots are being implemented by three of the 18 participating CBOs:

- People United for Sustainable Housing (PUSH)
- Public Policy and Education Fund of New York (Central New York) (PPEF Central)
- Long Island Progressive Coalition (LIPC)

After progress is made in these three regions, all CBOs will be eligible to deploy an aggregation pilot if they desire. In addition, any participating CBOs can withdraw from participation.

NYSERDA and CSG held a series of meetings and calls with each CBO interested in pursuing an aggregation pilot in the weeks following the initial training sessions. CBOs are tasked with recruiting HPwES contractors into the pilot, and each contractor must sign an Aggregation Addendum to that contractor's program participation agreement.

The Aggregation Addendum exists as a contract between the participating Home Performance Contractors and NYSERDA, and documents the rules of the particular aggregation pilot, including the community benefits to be provided by contractors, such as wage rates or employee benefits and training.

The DOL agreed to assist NYSERDA in monitoring the wage reporting and benefits. To assist the contractors in understanding their requirements, NYSERDA hosted a Home Performance Aggregation Contractor DOL Training, during which the DOL presented information on creating a certified payroll report, public works and aggregation, Aggregation Pilot rights and responsibilities, and the process for filing reports with the Department of Labor. This training was held at the Buffalo Employment and Training Center on April 26, 2012, in Buffalo and was telecast to the Syracuse and Long Island offices, so that contractors in the Central and Long Island region could participate. An Aggregation Payroll Reporting and Certification form was created for the contractors and is based on the DOL PW-12 form.

Following the DOL wage reporting training, NYSERDA held sessions with the participating Home Performance Contractors to assist the contractors in understanding and completing the contractor addendum attachments.

NYSERDA also organized in-person CBO Outreach Staff Aggregation Training after the contractor sessions. This training was mandatory for all CBO staff supporting the aggregation pilot. The purpose of the training was to explain how projects move through HPwES pipeline and to answer questions on NYSERDA's procedures.

Each CBO is actively recruiting customers, prescreening for project applicability and ability to finance, submitting GJGNY audit applications, and working to pre-qualify customers for financing. CSG is working closely with the CBOs to assist them with this process and to provide training and support.

PUSH began its aggregation pilot on May 14, 2012. PUSH is marketing its aggregation program as the "PUSH Green Friends and Neighbors Program." PUSH Green held its

contractor lottery on June 11, 2012, and assigned the first three aggregation bundles, which ranged in size from eight to 12 customers each. Nine customers in the first bundle have completed audits, and the CBO states that all nine appear to be heading toward contracted work. PUSH's contractors and contracting teams have agreed to compensate all employees at a minimum wage of \$13.30 per hour not inclusive of benefits. The contractor or contracting teams agrees to provide a package of health and other benefits worth at least \$3.70 per hour.

At the end of July, 2012, LIPC had three aggregation bundles totaling 13 customers. One audit was completed. The LIPC Aggregation contractors and contracting teams agreed to compensate all employees a minimum wage of \$18.30 per hour not inclusive of benefits, and a package of health and other benefits (or cash equivalency) worth at least \$5.42 per hour.

On May 16, 2012, Onondaga County and PPEF Central officially launched their Aggregation Pilot to the public. PPEF Central had 36 customers marked for aggregation. Minimum wage for contractors and teams is \$13.30 per hour not inclusive of benefits. Benefits are worth \$3.70 per hour.

By June 30, 2012, the following HPwES Contractors were signed up to participate in the Green Jobs-Green New York Aggregation Pilot Program:

- Long Island Region-Long Island Progressive Coalition (LIPC):
 - Best Built Contracting, Ltd.
 - Community Environmental Center, Inc.
 - Home Performance Technologies
 - K & L Green Operations LLC dba Powersmith
- Western Region-People for Sustainable Housing (PUSH):
 - Buffalo Energy
 - Cortese Brothers Construction, Inc.
 - EcoLogic Home
 - Ivy Lea Construction, Inc.
 - New Buffalo Impact, Inc.
 - Warm & Fuzzy Home Heating & Cooling
- Central Region-Public Policy and Education Fund Central (PPEF Central):
 - Gomez Construction
 - Mitchell's Construction
 - TAG Mechanical Systems, Inc.

5. Workforce Training and Development Outreach

CBOs were also competitively selected to perform outreach to potential energy efficiency worker trainees. The CBOs work with the DOL One-Stop Career Centers and local training organizations to identify appropriate training programs for individuals,

particularly from disadvantaged communities. The CBOs also work with the One-Stop Career Centers and local contractors to identify jobs for trained individuals. Two downstate CBOs, Asian Americans for Equality (AAFE) and Downtown Manhattan Community Development Corporation (DMCDC), have translated workforce curriculum into Chinese. Both AAFE and DMCDC have translation activities in their work scopes to introduce new Chinese language materials for both workforce development and customer outreach. To train contractors and workforce recruits in its service territory, DMCDC worked with Taitem Engineering to translate its version of the Materials Procurement Training. Taitem is under contract to NYSERDA to provide partner training for the Multifamily Performance Program.

6. Summary of CBO Program Statistics

Statistics are extracted from SharePoint and the CRIS database for the period ending 7/31/2012, or are self reported where noted. Note that CBOs selected from the second solicitation had just begun their outreach efforts, and no data was available for them as of 7/31/2012.

Table 6.3 provides the results to date of CBO outreach for the one- to-four family sector.

Table 6.3: HPwES Program Totals by CBO as of 7/31/2012

CBO Name	Potential Leads ¹ Total to Date	Audits Completed Total to Date	Retrofits Completed Total to Date
AAFE	44	5	0
AHP	675	55	4
ANCA	270	11	0
BOEDC	677	43	0
El Puente	69	4	0
LIPC	352	63	27
NHS-SI	302	30	2
PathStone	494	27	3
PPEF-Central	812	50	0
PPEF-ST	2137	193	12
PUSH	1809	62	1
RUPCO	1204	115	4
Total	8845	658	53
¹ “Potential Leads” are individuals who have received information on NYSERDA programs through CBO outreach activities. CBOs continue to follow up to encourage participation and facilitate processes.			

Figure 6.1 illustrates the location of GJGNY Home Performance audit applications submitted as a result of CBO outreach activities, by CBO target area. As of July 2012, CBOs have generated nearly 2,000 audit applications, with more than 500 completed audits. The majority of the CBOs launched their full-scale outreach efforts at the beginning of January 2012. The numbers reflected in all charts represent approximately seven months of CBO outreach activity.

Tables 6.4 and 6.5 provide results to date for outreach to the multifamily, small business and not-for-profit sectors. Table 6.6 provides a summary of the outreach results to date for outreach supporting workforce development initiatives, such as recruiting new trainees or encouraging contractors to participate in the on-the-job training opportunities.

Figure 6.1: HPwES Audit Applications by CBO Target Region

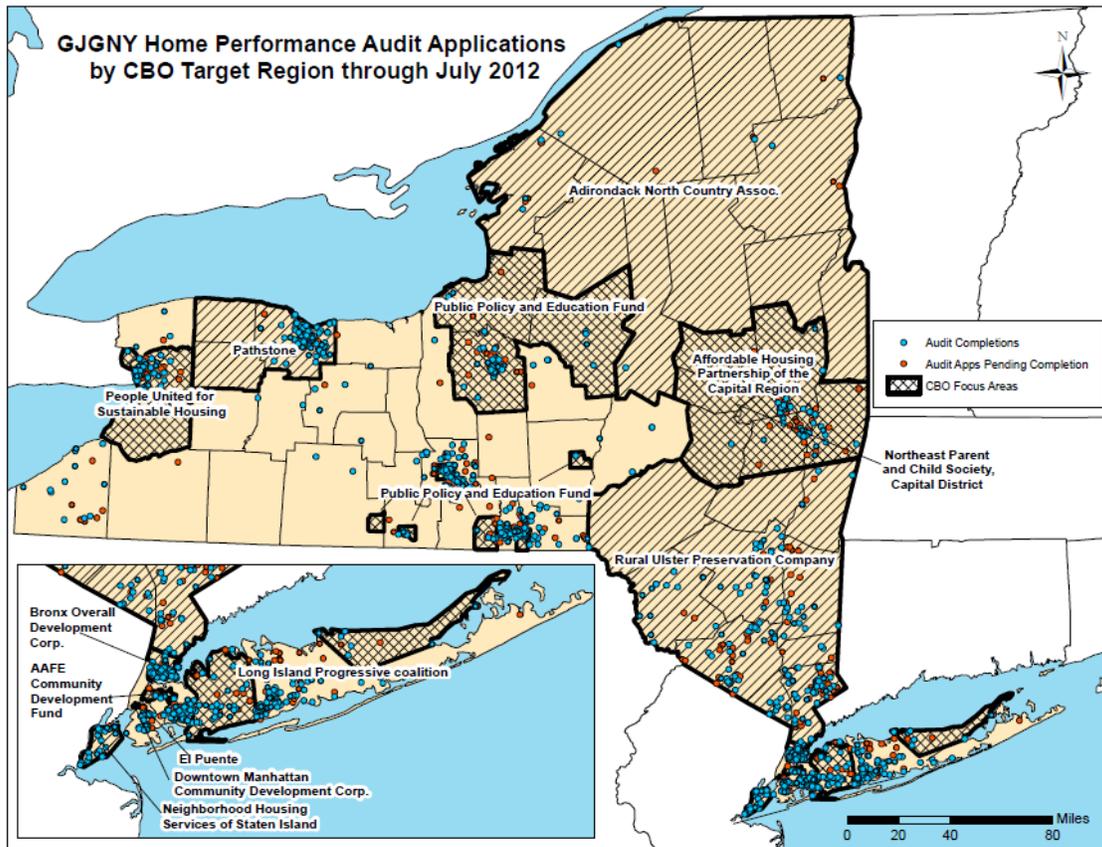


Table 6.4: Multifamily Performance Program Totals by CBO¹

CBO Name	Potential Leads ² Total to Date	Completed Energy Reduction Plans Total to Date	Completed/ Signed Exhibit C Total to Date
ANCA	1	-	-
BOEDC	0	-	-
DMCDC	52	-	-
El Puente	30	-	-
PathStone	1	-	-
PUSH	0	-	-
RUPCO	4	-	-
Total	88	-	-

¹Self-Reported Numbers

²“Potential Leads” are individuals who have received information on NYSERDA programs through CBO outreach activities. CBOs continue to follow up to encourage participation and facilitate processes.

Table 6.5: Small Business/Not-for-Profit Program Totals by CBO¹ as of 7/31/2012

CBO Name	Potential Leads ² Total to Date	Completed Audits Total to Date	Completed Retrofit/NYSERDA Financing/On-Bill Recovery Total to Date
ANCA	25	-	-
BOEDC	3	-	-
El Puente	6	-	-
PathStone	5	-	-
PPEF-Central	2	-	-
PPEF-ST	13	-	-
RUPCO	9	-	-
Totals	63	-	-

¹Self-Reported Numbers
²“Potential Leads” are individuals who have received information on NYSERDA programs through CBO outreach activities. CBOs continue to follow up to encourage participation and facilitate processes.

Table 6.6: Workforce Totals¹ as of 7/31/2012

Workforce	Potential Leads ² Total to date	Enrolled In training program Total to Date	Connected with Employers/Contractors Total to Date
Totals	434	125	31

¹Self-Reported Numbers. Five of the 31 connected to employers/contractors were PON2033 participants, and 15, are associated with Northeast Parent and Child workforce placements.
²“Potential Leads” are individuals who have received information on NYSERDA programs through CBO outreach activities. CBOs continue to follow up to encourage participation and facilitate processes.

Summary of CBO Event Statistics: Self-reported statistics are submitted by each CBO. Events are for the period of 6/1/2012 through 6/30/2012.

Table 6.7: CBO Event Totals as of 6/30/2012

CBO Name	Total to Date
AAFE	2
AHP	19
ANCA	14
BOEDC	0
DMCDC	1
El Puente	11
LIPC	21
NEPC	13
NHS-SI	5
PathStone	13
PPEF-Central	12
PPEF-Southern Tier	1
PUSH	29
RUPCO	48
Total	189

b. Marketing

In 2010, NYSERDA competitively procured a marketing contractor, Brand|Cool, to develop and execute a statewide integrated marketing and communication program to support GJGNY.

Brand|Cool completed a secondary research report that compiles findings on consumer attitudes and trends. The secondary research assists in understanding the market for the GJGNY program and the development of marketing materials and other strategic elements.

Residential contractor research was completed. The research involved in-depth interviews with participating Building Performance Institute (BPI)-accredited Home Performance Contractors, as well as non-accredited contractors and non-certified technicians, to probe their understanding of existing program components and to explore areas important to the conduct of their business. The interviews also probed the contractors' experiences with the various tools and program components available to them to determine what works well and areas in need of improvement. The study also looked at contractors' level of knowledge related to BPI certification and accreditation, the tools and programs available to those who are certified, and the reasons for not becoming BPI-certified or accredited. A short-term strategy for the GJGNY marketing program is to grow BPI accredited contractor coverage Statewide, particularly in areas where coverage is needed to serve targeted communities, address program growth and support workforce development goals.

Residential and small commercial consumer online focus groups were held. Online focus groups were used to provide feedback on a variety of topics related to energy use, to gauge attitudes toward energy efficiency, to identify barriers to participation, and to determine general

motivational factors. Focus groups included participants from a wide geographic range, assuring a relevant variety of locations from which to collect input.

Marketing Materials

The GJGNY marketing program focuses on contractor recruitment and promotion of core programs and services to residential, small business/not-for-profit, and multifamily customers. Marketing is used to build awareness and participation statewide, to support the face-to-face grassroots activities necessary to effectively penetrate challenging-to-reach communities and populations, and to deliver the education and support necessary to secure audits and convert to retrofits. Marketing also supports the recruitment of prospective BPI contractors, particularly in priority geographies with an insufficient number of accredited contractors to meet consumer demand.

The messaging framework for all the sectors was completed, and outreach and marketing strategies for all of the sectors were developed.

GJGNY residential marketing materials include a financing fact sheet, Web pages to support individual program components, and marketing materials to support the CBO Outreach program. Materials for the CBOs include a general GJGNY brochure, case study templates that can be co-branded and completed by the individual CBO, Frequently Asked Questions, Web copy (for placement on the CBO site), and email blast copy for use by the CBOs in an electronic campaign. Several of the marketing elements were made available in Chinese and Spanish. OBR financing language was added to the GJGNY marketing materials.

Several contractor recruitment pieces have been developed to help increase the number of active Home Performance Contractors in the HPwES program. A direct mail campaign was developed to reinvigorate contractors in the HPwES program that are currently inactive and to recruit other contractors—particularly in regions where numbers of participating contractors are limited. A contractor recruitment brochure was developed to assist potential contractors interested in becoming Home Performance Contractors. Five contractor case studies also were developed and focus on how current Home Performance Contractors have enhanced their business models by focusing on energy efficiency through the HPwES Program.

A Small Business/Not-for-Profit Marketing Plan was finalized. Early marketing tactics focused on generating awareness and interest in the program among the small business/NFP sectors. A direct marketing campaign to build awareness and generate leads for the program was executed. A Small Business NFP case study was developed to highlight customers participating in NYSERDA's FlexTech and Business Partners Programs. A newsletter (email format) was distributed through 219 various chambers and associations.

Staff pursued all relevant public relations (PR) opportunities.

c. Budget

Table 6.8: Outreach and Marketing Budget

Component	Budget	Expended	Encumbered	Committed	Balance
Delivered through CBOs	\$6,159,440	\$1,649,059	\$3,995,659	\$411,001	\$103,721
General Statewide Marketing	3,500,560	1,091,772	2,408,788		
Training and Implementation Contractor	850,000	424,746	349,991		75,263
Total	\$10,510,000	\$3,165,577	\$6,754,439	\$411,001	*\$178,983

*Numbers do not add up due to rounding
Expended: Contractor Invoices processed for payment by NYSERDA.
Encumbered: Remaining funding obligated under a contract, purchase order or incentive award.
Committed: Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates.

d. Contracts Entered Into

External contracts related to the implementation of the GJGNY Program are detailed below.

Table 6.9: Outreach and Marketing Contracts*

PO#	Contractor	Description	PO Amount	Expended	Encumbered	Committed
86201	Brand/Cool Marketing	GJGNY Marketing	\$3,498,860	1,090,072	\$2,408,788	
22725	Cision Public Relations	Services	1,700	1,700		
Total General Statewide Marketing			\$3,500,560	\$1,091,772	\$2,408,788	
21080	Conservation Services Group	Training and Implementation Contractor	\$850,000	\$424,746	\$349,991	
Total Training and Implementation			\$850,000	\$424,746	\$349,991	
22878	Public Policy and Education Fund of Central NY	RFP2038	\$385,422	\$131,411	\$254,011	
22879	Affordable Housing Partnership	RFP2038	338,920	109,653	229,266	
22884	Adirondack North Country	RFP2038	292,752	106,030	186,722	
22885	PPEF - Southern Tier	RFP2038	279,363	109,343	170,020	
22886	Northeast Parent and Child	RFP2038	44,770	12,979	31,791	
22887	Pathstone	RFP2038	521,605	124,216	397,389	\$100,852
22888	PUSH Buffalo	RFP2038	502,358	144,786	357,572	

PO#	Contractor	Description	PO Amount	Expended	Encumbered	Committed
22889	Bronx Overall Econ. Development Corp	RFP2038	511,460	188,049	323,411	
22890	Downtown Manhattan Development Corp	RFP2038	487,000	151,534	335,466	
22896	Neighborhood Housing Services SI	RFP2038	308,071	88,285	219,786	
22897	Rural Ulster	RFP2038	606,022	190,173	415,849	
22906	AAFE Community Development Fund	RFP 2038	410,000	104,851	305,149	
22908	Long Island Progressive Coalition	RFP 2038	371,975	133,931	238,044	
22909	El Puente	RFP2038	150,000	49,300	100,700	
24344	Northwest Bronx Community and Clergy Coalition	RFP 2327	85,000	4,517	80,483	
24342	Civic Association Serving Harlem	RFP 2327				175,000
24348	Make the Road New York	RFP 2327	350,000		350,000	
24346	Neighborhood Housing Services of Jamaica	RFP 2327				135,149
Total Delivered Through CBOs			\$5,644,718	\$1,649,059	\$3,995,659	\$411,001
*Numbers may not add up due to rounding						

VII. One- to Four-Family Residential Buildings

Implementation of the approved GJGNY One- to Four-Family Homes Operating Plan² began in the fourth quarter of 2010.

a. Target Audience

The GJGNY Act defines a residential structure as “a residential building that has four or fewer dwelling units.” The target audience for the sector is owners of buildings, with up to four residential dwelling units, with incomes above 60 percent of state median income. Those with lower incomes may be eligible for the federally-funded Weatherization Assistance Program or NYSERDA’s EmPower New York program through which services could be provided at no cost to the household, and should therefore not be targeted with this program—although they will not be turned away if they choose to participate. Building owners whose incomes are equal to or less than 80 percent of the State or area median income (S/AMI) may be eligible for a grant of 50 percent of the cost of the work to be performed, up to \$5,000 (or up to \$10,000 for buildings

² The GJGNY One-to-Four-Family Operating Plan was presented to the Advisory Council for comment and subsequently approved by NYSERDA’s Senior Management in November 2010.

with two to four units), from NYSERDA³. These households are a particular target of interest for GJGNY. Communities in areas where energy costs are high in relation to AMI, or those in non-attainment for one or more designated pollutants under the Federal Clean Air Act, are also targeted by the eighteen Constituency Based Organizations (CBOs) conducting outreach in selected communities across the State.

Services to the residential sector are delivered through the successful existing program, HPwES. HPwES is a “whole house” program that uses building science to identify and install cost-effective measures to reduce energy consumption in New York State’s one-to-four-family residential structures. Contractors perform a comprehensive home energy assessment (audit), including health and safety testing, prior to performing work, and also “test out” of the house after work is complete to ensure a safe and healthy environment after installation of energy-efficiency measures. The program offers low-interest financing and homeowner cash-back incentives to encourage comprehensive work scopes, including a higher incentive level for those households qualifying for the “Assisted” component of the program. Participating households typically reduce their total energy use by 25 to 30 percent after a participating contractor has completed work on the home.

The GJGNY supported free/reduced-cost energy audits and low-interest financing components of HPwES were launched on November 15, 2010.

Owners of residential buildings seeking services from the program can participate through one of two ways: 1) as individual owners, or 2) as a participant in a CBO-organized aggregation.

1. Individual Owner Approach

Owners of residential buildings with four units or less interested in receiving a free or reduced cost audit can download an HPwES Residential Audit Application from www.nyserda.ny.gov or call 1-877-NY-SMART to request an audit application be mailed; or to obtain an audit application from a participating contractor or a CBO. The application is submitted to the application processing center by mail, fax or email scan file. The application must be accompanied by a copy of a recent utility bill with a minimum of 12 months of usage history. Where the primary heating fuel is from a non-utility provider, a 12 to 24 month billing history for the heating fuel is required. A copy of the Audit Application can be found in Attachment 2: *Residential Audit Application*.

An applicant who is eligible for a free or reduced-cost audit will receive a reservation number from the application processing center with the estimated level of audit subsidy that will be paid, by NYSERDA, to the contractor for a completed audit. The final amount to be paid to the contractor will be based on verification, by the contractor, of the

³ These incentives are provided through an EEPS-, SBC-, or RGGI-funded HPwES Program.

number of units or square footage of the residence. The reservation number will be valid for a single audit to be completed within 90 days of issuance of the reservation. If the reservation is not used within that period, it will be eligible for reissuance if audit funds remain available.

2. Aggregation Approach

Aggregation “is a collection of eligible homes brought to the GJGNY Program by a CBO, under contract with NYSERDA to perform Customer Outreach services, and who have agreed, up-front, to use the same contractor or contractor team to perform audits and retrofit work.” Aggregation pilots are being implemented by three of the 18 participating CBOs. Each CBO created a plan that identifies the neighborhoods where that CBO would focus aggregation, minimum number of households to be included in an aggregation, strategies to provide pricing economies of scale, process for assigning aggregations to participating contractors, timelines for contractors to complete work, and other aspects of the pilot. Contractors interested in providing services to an aggregated group of households, and benefiting from receiving a list of ready customers located within a small area, must also agree to provide community benefits, such as local hiring, employee training, or living wages, in exchange for those advantages. The nature of the community benefits is unique to each region and was developed by the CBOs in coordination with regional contractors.

CBOs are tasked with recruiting Home Performance Contractors into the pilot, and each contractor must sign an Aggregation Addendum to its program participation agreement. The Aggregation Addendum exists as a contract between the participating Home Performance Contractors and NYSERDA and documents the rules of the particular aggregation pilot, including the community benefits to be provided by contractors, such as wage rates or employee benefits and training. Several participating HPwES contractors in each of the three aggregation regions have signed the Aggregation Addendum and are participating in the pilots.

More information on Aggregation can be found in section 6.a.4.

b. Standards for Energy Audits and Development of Workscopes

Energy audits and energy services for GJGNY are delivered by participating HPwES contractors possessing Partnership Agreements with NYSERDA. Partnership Agreements used in the HPwES program have been updated to reflect new requirements of GJGNY. The HPwES Partnership Agreement is posted on NYSERDA’s Web site.

Contractors delivering audits and performing services must be accredited by the Building Performance Institute (BPI), in accordance with NYSERDA's Partnership Agreement. BPI accreditation includes a review of certain business standards and practices, in addition to technical certification requirements.

To qualify for HPwES program incentives and financing, eligible measures must meet the program minimum efficiency and cost-effectiveness requirements. Through June 30, 2012, the cost-effectiveness standard for GJGNY financing was that the energy cost savings over the useful life of the measures need to exceed the amount borrowed. In response to the record low natural gas prices, the cost-effectiveness standard for natural gas projects using the Unsecured Loan was adjusted to require the estimated savings to cover at least 80 percent of the total loan payment. Contractors can elect to remove 15 percent, up to \$2,000, of the cost of associated health and safety measures and qualified accessories to meet the cost-effectiveness requirements for the Unsecured Loans. For OBR Loans the monthly loan installment payment may not exceed one-twelfth of the estimated annual energy savings over the term of the loan from the improvements. Please refer to Attachment 3: *NY Home Performance with ENERGY STAR Eligible Measures and Accessories List* for additional details.

NYSERDA performs quality assurance inspections on approximately 15 percent of projects to ensure contractor work meets program standards. In addition, BPI performs quality assurance inspections to ensure work meets BPI technical standards. If projects fail to meet standards, BPI and/or NYSERDA follow up with the contractor to ensure remediation takes place. Failure to meet BPI and program standards may result in probation, suspension, loss of accreditation and/or removal from the HPwES program, in accordance with BPI and NYSERDA processes.

c. Energy Audit Fees

The GJGNY legislation requires the program to make energy audits available to residential buildings with one-to-four units. The fee for energy audits must be waived for New York State households that have a demonstrated income that is 200 percent of the median county household income or less. In households with income from 201 to 400 percent of the median county household income, the applicant "shall pay a pro rata percentage of the audit fees." Only those households that have a county median income above 400 percent "pay the full fees." HPwES has integrated the free and sliding-scale audits into the current structure by making payments directly to participating contractors.

The GJGNY audit fee for a single family building with less than 3,500 square feet of above-grade conditioned space is \$250, as described in the table below.

Table 7.1: Audit Fee for Single Units Homes Under 3,500 Square Feet

Single Unit HPwES Audit Fees (under 3,500 square feet of above grade conditioned space)		
Household Income	Cost to Customer	NYSERDA Payment to Contractor
≤200% AMI	-0-	\$250
201 – 250% AMI	\$50	\$200
251 – 300% AMI	\$100	\$150
301 – 350% AMI	\$150	\$100
351 – 400% AMI	\$200	\$50
≥401% AMI	Market Rate	\$0

Residential buildings with two to four dwelling units and single units over 3,500 square feet of above-grade conditioned space are eligible for a \$400 audit fee, as described in the table below.

Table 7.2: Audit Fee for 2-4 Units and Single Units Over 3,500 Square Feet

HPwES Audit Fees for 2-4 Units and Single Units over 3,500 square feet of above-grade conditioned space		
Household Income	Cost to Customer	NYSERDA Payment to Contractor
≤200% AMI	\$0	\$400
201 – 250% AMI	\$80	\$320
251 – 300% AMI	\$160	\$240
301 – 350% AMI	\$240	\$160
351 – 400% AMI	\$320	\$80
≥401% AMI	Market Rate	\$0

d. Audit Completions and Conversion to Project Completions

The GJGNY free or reduced-cost energy audit has proven to be very popular with consumers and contractors. Through July 31, 2012, there have been a total of 30,712 applications with more than 28,831 approved, and an average of more than 1,400 per month. Contractors are using the audit as very effective sales and marketing tool. More than 21,000 audits have been completed, resulting in 5,868 contracts for energy upgrades; of those, 5,484 projects are complete. It's important to note that the average time lag from audit completion to completed work is 90 to 120 days. After accounting for the lag between completion of the audit and completion of work, the conversion rate from audit to work is more than 38 percent.

The success of this effort is attributed in large part to the experience and knowledge of the Home Performance Contractors. NYSERDA's HPwES program is the largest and longest-running

program of its kind in the U.S. and the focus for delivery of the residential components of GJGNY. The HPwES program uses building science and a whole-house approach to energy efficiency. The program is designed to reduce the energy use in the state's existing one- to four-family housing stock and to capture heating fuel and electricity-related savings. The need for improvements in the building shells and heating systems typically results in significant cost-effective fuel savings. Energy-efficiency improvements through this program include building shell measures, high-efficiency heating and cooling measures, ENERGY STAR appliances and lighting.

Contractors complete comprehensive home assessments for all homes enrolled in the program by taking an inventory of the current home conditions (including diagnostic testing of combustion appliances, and blower-door testing for air-infiltration rates), and develop a work scope for proposed improvements, including a cost and energy-savings estimate. The comprehensive home assessment allows the contractor to recommend improvements that are comprehensive, and that maximize the energy savings achieved in every home.

HPwES is a market transformation program that uses Building Performance Institute (BPI)-accredited contracting firms to install comprehensive energy-efficient improvements and technologies in one- to four-family homes and low-rise multi-unit residential buildings. The program is complemented by an aggressive workforce development initiative that strengthens the program delivery infrastructure through the training and accreditation of technicians. Marketing, outreach and education spur customer demand.

In addition to the cost-effective energy savings offered, the HPwES program also addresses residential health and safety issues pertaining to indoor air pollutants, focusing on carbon monoxide and other pollutants associated with combustion appliances, ventilation, and moisture control. This effort also increases the long-term durability of New York's housing stock by addressing such problems as ice-damming, mold and mildew.

There were 1,195 project completions attributable to GJGNY audits or financing during the first eight-and-a-half months following the launch of the program. In year two, there were 4,416 project completions. On an annualized basis this reflects a near doubling of performance over the earlier period. Nonetheless, current performance is below our earlier projections. The much warmer than average winter, much lower natural gas prices, and still weak economy have combined to make this a very challenging time for energy-efficiency work.

Despite these challenges, a good volume of work is proceeding, supported by the GJGNY financing options now available. More than 30 percent of projects completed in the three months ending July 31, 2012, included a GJGNY loan. The OBR Loan was introduced January 30, 2012, and despite early challenges related to mortgage requirements that were resolved with an amendment to the GJGNY Act in April 2012, they now represent the majority of GJGNY loans taken in the program, on average, per month.

Health and safety measures comprise over five percent of the total homeowner investment in Home Performance work over the life of the program. In the past 12 months, 15 percent of projects included some level of investment in health and safety measures.

NYSERDA continues to work closely with Home Performance Contractors, our implementation contractor and loan originator to streamline program processes, including project approvals and financing. Seven contractor Webinars have been held on wide range of subjects:

- September 8, 2011 - Measure level Total Resource Cost (TRC) Test requirements for insulation; program financing and federal funds for oil and propane measure
- October 13, 2011 - Updated Insulation Program Rule and introduction of TRC screening tool.
- January 4, 2012 - Revised Eligible Measures List, update to Insulation Program Rule, GJGNY financing, CBO outreach and aggregation, and low rise project funding.
- January 27, 2012 - OBR Loans, cost-effectiveness screening, Financing Worksheet Sales Tool, applying for GJGNY loans, improved loan pipeline report
- March 30, 2012 - Cost effectiveness rules amended to reflect amount of loan
- June 14, 2012 - New co-operative marketing program design presented
- July 13, 2012 - Efficiency First update, new credit application and assisted application with streamlined approach to documentation, revised cost-effectiveness standards for unsecured loans that offer consumers choice

e. Financing

An unsecured consumer loan financing product for energy-efficiency improvements to one- to-four-family homes was launched on November 15, 2010. Loan terms are offered for 5, 10 and 15 years, and for an amount not in excess of \$13,000 (the Power NY Act of 2011 increases this to \$25,000 for projects that meet higher cost-effectiveness standards). OBR Financing was launched in January 2012, four months ahead of the launch date required by the Power NY Act of 2011. Figures 7.1 and 7.2 illustrate the rapid growth in OBR Financing applications and loans issued since its introduction.

Figure 7.1: Unsecured and OBR Financing Applications

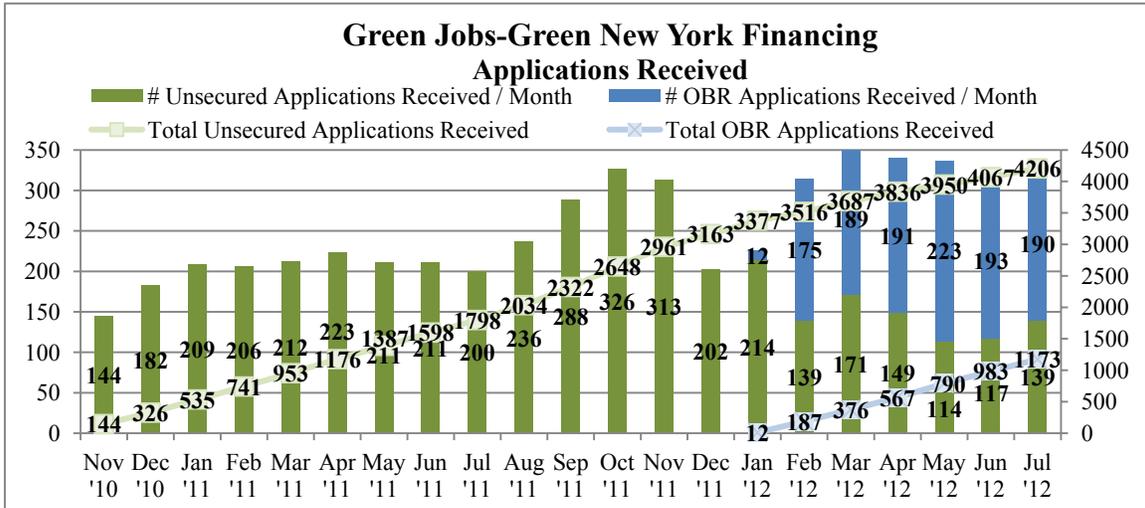


Figure 7.2: Unsecured and OBR Loans Issued

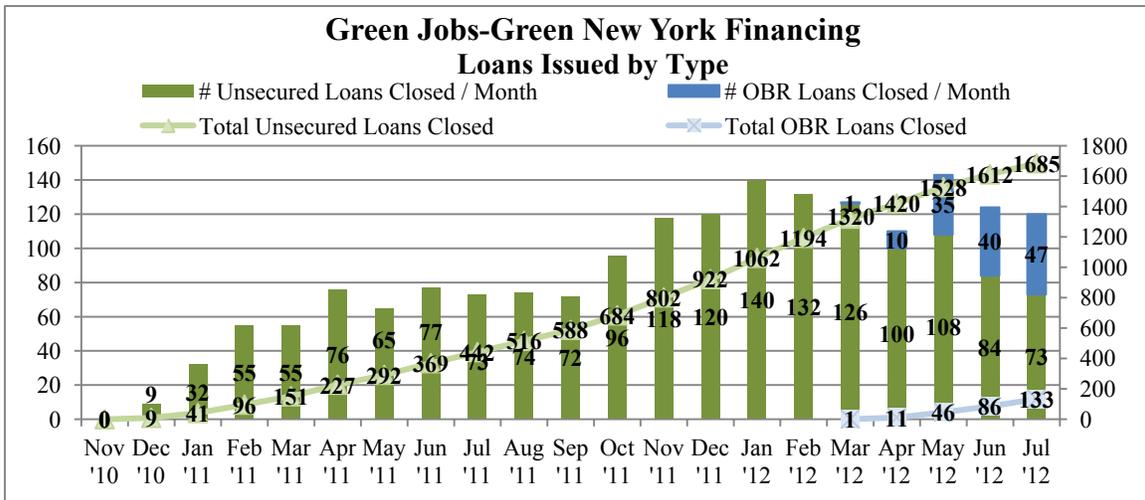


Table 7.3 summarizes loan underwriting standards used for both the Unsecured and OBR Loans. NYSERDA has modified loan underwriting standards four times since the launch of the program in an effort to address loan application denials, and, in a responsible manner, improve the penetration of financing to consumers who would not qualify using traditional underwriting standards.

The “Tier 1” loans use standard underwriting criteria relying primarily on FICO scores and debt-to-income ratios. “Tier 2” is an attempt to broaden those that qualify by eliminating credit score and substituting satisfactory energy bill and mortgage payment history.

Table 7.3: GJGN Loan Underwriting Standards as of July 31, 2012

Component	<p align="center">“Tier 1” Loans (Funded from Revolving Loan Fund, aggregated, and then financed through capital markets.)</p>	<p align="center">“Tier 2” Loans (Funded from Revolving Loan Fund, monitor for 2-3 yrs for acceptable repayment performance, and then financed through capital markets.)</p>
Minimum FICO or alternate	640 680 if self-employed for 2yrs+ 720 if self-employed < 2yrs	None, however a minimum score may apply based on the customer's debt-to-income ratio.
Utility and mortgage payment history	None	<p>Must meet each of the following criteria, if applicable:</p> <ul style="list-style-type: none"> • Current on all electric utility bills and natural gas utility bills (if applicable) associated with the installation property for at least 2 consecutive billing periods, during each of the last 2 years. If less than 2 years of history, must be current for nine of the last 12 months. • For applicants who heat with heating oil/propane with scheduled deliveries, current on account payments associated with the installation property for at least 2 consecutive months during each of the last 2 years. No payment history required for applicants who heat with oil/propane and are cash-on-delivery customers, receive service from different suppliers, or for applicants who heat with wood. • Current on all mortgage payments, if any, for the last year (minimum of 12 months of history required). No payment history required if applicant has no outstanding mortgage listed on his/her credit report. • For properties with tenant-paid energy bills, the owner shall be current on any and all energy bills associated with the owner’s home address, for at least 2 consecutive billing periods during each of the last 2 years (if less than 2 years of history, must be current for nine of the last 12 months). • No energy/mortgage payments more than 60 days late for the lesser of the last 2 yrs or the time of ownership. If applicant qualifies based on nine of past 12 mos. being current, the applicant may have energy bill payments that are more than 60 days past due, so long as such delinquency was not within the 12 mo. period that was reviewed. • A new homeowner may satisfy these requirements by providing history from a prior home.
Max Debt-to-Income ratio	Up to 50%	Up to 55% Up to 70% if FICO score of 680+ Waived for applicants who qualify for Assisted Home Performance with ENERGY STAR Subsidy (up to 50%/up to \$5,000/\$10,000 of cost)
Bankruptcy	No bankruptcy, foreclosure, or repossession within last 7 yrs	No bankruptcy, foreclosure, or repossession within last 5 yrs
Judgments	No combined outstanding collections, judgments or tax liens > \$2,500	

Figure 7.3 illustrates the impact of modifying the “Tier 2” standards, enabling more individuals to qualify for financing. “Tier 2” loans now consistently make up 10 to 15 percent of loans issued on a monthly basis.

Figure 7.3: GJGNY Loans Issued by Tier

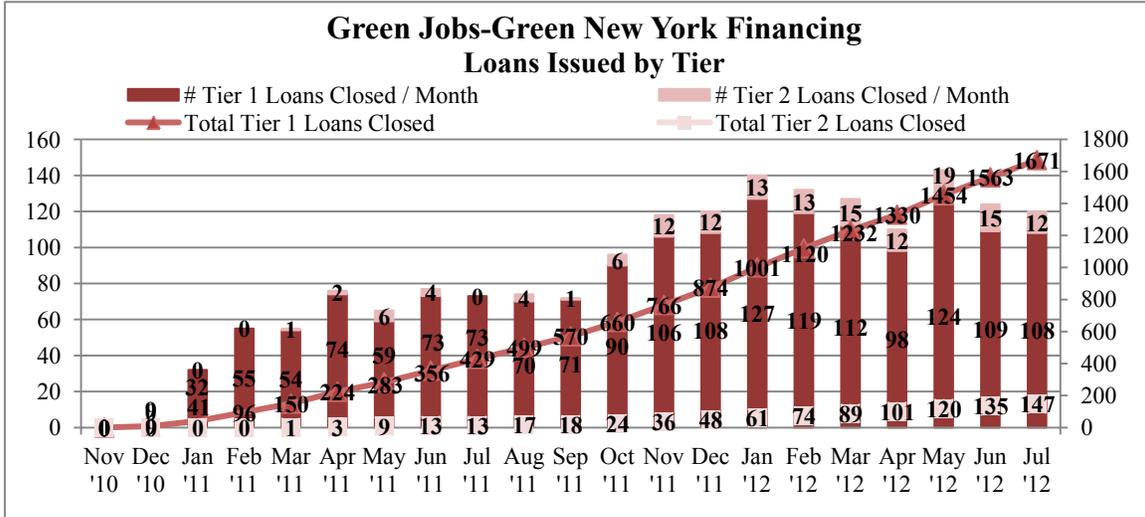


Table 7.4 summarizes loan applications and loans closed to date.

Table 7.4: GJGNY Residential Financing as of July 31, 2012

1- to 4- Family Homes		Loan Product	Applications Received	Applications Approved	Loans Closed*			
					Value	Total	Market Rate	Assisted
Tier 1	Program to Date	Unsecured	4,206	2,328	\$14,034,862	1,546	1,176	370
		On-Bill Recovery	1,173	645	1,266,974	125	111	14
Tier 2	Program to Date	Unsecured	245	204	1,326,856	139	72	67
		On-Bill Recovery	79	61	87,963	8	4	4
Program to Date		Unsecured	4,206	2,532	15,361,717	1,685	1,248	437
		On-Bill Recovery	1,173	706	1,354,937	133	115	18
Total			5,379	3,238	\$16,716,654	1,818	1,363	455
Unsecured		Financing Summary			On-Bill Recovery			
Tier 1	Tier 2				Tier 1	Tier 2		
1,546	139	Loans Closed**			125	8		
\$14,034,862	\$1,326,856	Value**			\$1,266,974	\$87,963		
\$9,078	\$9,546	Average Loan**			\$10,136	\$10,995		
11.5 Years	12.9 Years	Average Term**			14.4 Years	14.4 Years		

N/A	N/A	2.99%	100%	100%
81.24%	79.86%	3.49%**	N/A	N/A
18.76%	20.14%	3.99%**	N/A	N/A
65.19%	Approval Rate***		66.17%	
26.65%	Denial Rate***		26.99%	
8.16%	Denied Tier 1, didn't pursue Tier 2***		6.84%	
*The amount shown here is the total value of loans closed as of 7/31/12, which includes loans not yet invoiced as of 7/31/12				
**Refers to closed loans only				
**Does not include applications pending review or withdrawn.				
Tier 1 and Tier 2 Loans				
Unsecured	Reason for Denial		On-Bill Recovery	
40.20%	Debt Ratio		37.10%	
25.60%	Credit Score		39.90%	
16.40%	Bankruptcy/Foreclosure/Repo		12.50%	
15.40%	Collections/Judgments/Charge-offs		9.70%	
2.40%	Other		0.80%	
100%	Total		100%	

f. Additional NYSERDA Incentives

NYSERDA offers a consumer incentive to eligible households equal to ten percent of the cost of eligible measures. Availability of the incentive is subject to funding availability from the Energy Efficiency Portfolio Standard (EEPS) for pre-qualified electric and gas measures, and the Regional Greenhouse Gas Initiative (RGGI) for oil and propane measures. NYSERDA provides participating contractors with updates on funding availability and household eligibility as necessary.

In addition, building owners with incomes equal to or less than 80 percent of the state or area median income (S/AMI) may be eligible for a grant of 50 percent of the cost of eligible measures, up to \$5,000, (or up to \$10,000 for buildings with two to four units), through Assisted HPwES.

A comprehensive job scope incentive is available to contractors equal to five percent of the approved measures, up to \$500. Availability of the incentive is subject to funding availability from the EEPS for pre-qualified electric and gas measures, and RGGI for oil and propane measures. NYSERDA provides participating contractors with updates on funding availability as necessary.

g. Coordination with Other Program Administrators

NYSERDA continues to work with other program administrators, including investor-owned and municipal gas and electric utilities and the Long Island Power Authority (LIPA), to address coordination and minimize confusion where multiple incentive opportunities are available to residential customers. NYSERDA, in coordination with LIPA and National Grid, developed a Web-based tool that lists measure incentives available from each program administrator. The incentive analysis tool enables contractors to present customers with a scope of work that takes best advantage of available incentives.

Provided that the work performed to participate in a utility rebate program meets NYSERDA’s HPwES requirements and is accomplished by a participating Home Performance Contractor, the GJGNY loan may be used in coordination with the utility rebate. Likewise, the GJGNY loan may be used in coordination with the NYSERDA incentives. Nevertheless, although GJGNY loans may be combined with either the NYSERDA or the utility incentives, NYSERDA and utility incentives cannot be combined with each other on the same measure. Table 7.5 below presents an example of a work scope that includes measures eligible for utility incentives and GJGNY financing. The GJGNY loan amount is determined by “netting-out” all applicable utility or NYSERDA incentives at the measure level from the total cost of the work.

Table 7.5: Example Eligible Work Scope for GJGNY Financing

GJGNY Financing Work Scope			
Measure	Cost	Incentive	Source
Gas heating equipment	\$4,500	\$500	Utility
Central AC	\$3,000	\$400	Utility
Air Sealing	\$750	\$75	NYSERDA
Insulation	\$3,500	\$350	NYSERDA
Total Project Cost/Incentives	\$11,750	\$1,325	
Net Cost Eligible for Financing	\$10,425		

h. Budget, Goals, and Metrics

Table 7.6: One- to Four-Family Homes Program Area Budget

Component	Budget	Expended	Loan Repayments	Encumbered	Committed	Balance
Energy Audits	\$11,596,000	\$5,115,420		\$0	\$0	\$6,480,580
Audit Implementation and Quality Assurance	1,000,000	372,346		25,506	582,519	19,629
Financing	26,652,533					10,566,722
Loans		16,490,625	1,361,010	0	0	
Implementation		891,240		39,955	25,000	
Total	\$39,248,533	\$22,869,631	\$1,361,010	\$65,462	\$607,519	\$17,066,931

Expended: Contractor Invoices processed for payment by NYSERDA.
Encumbered: Remaining funding obligated under a contract, purchase order or incentive award.
Committed: Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates.

Table 7.7: One- to Four-Family Homes Program Goals & Metrics

Metric	Market Rate	Affordable	Total	Goals	Progress Toward Goals
Audit Applications			30,712		
Audits Complete			21,296	46,000	46%
Projects Contracted (units)			5,868		
Projects Completed (units)	3,978	1,506	5,484	15,000	37%
1st Year Net KWh Savings (installed)	1,403,299	889,355	2,292,654		
1st Year Net MMBtu Savings (installed)	134,226	53,676	187,902		
Estimated Annual Bill Savings (installed)	\$2,717,800	\$997,157	\$3,714,958		
Estimated Annual KWh Savings/unit (installed) ¹	353	591	418	688	61%
Estimated Annual MMBtu Savings/unit (installed) ¹	34	36	34	31	109%
Estimated Annual Dollar Savings/unit (installed) ¹	\$683	\$662	\$677	\$675	100%
Loans Issued/Closed (#)	1,363	455	1,818		
Value of Loans	\$13,563,621	\$3,153,033	² \$16,716,654		
Lifetime savings-Audit projects + Loan projects	\$72,378,684	\$28,180,721	\$100,559,405		
Lifetime savings-Loan only	\$34,971,037	\$1,409,756	\$36,380,794		

¹ Projects that receive GJGNY-supported audits and/or financing may also receive incentives through Energy Efficiency Portfolio Standard (EEPS) and/or utility programs, such that projects' energy savings may not all be attributable solely to GJGNY.
² The amount shown here is the total value of loans closed as of 7/31/12, which includes loans not yet invoiced as of 7/31/12.

The 5,611 completed units since program launch associated with a GJGNY audit or loan represent 5,459 projects. An additional 5,616 projects were completed during this period without the GJGNY audit or loan. This figure is due, at least in part, to the length of the project cycle between the audit, contract and completion of work, and represents for the most part projects that were initiated prior to November 2010. Since September 2011, 73 percent of the completed projects originated from a GJGNY audit.

Figure 7.4 illustrates the level of program baseline activity across the state in the calendar year prior to the launch of the audit component of GJGNY. In the year prior to November 15, 2010, 6,228 projects were completed across the State of New York. Figure 7.5 illustrates activity since the launch of GJGNY and shows the dramatic increase in activity in the downstate region, with better coverage in the lower Hudson Valley as well as the Southern Tier. It also illustrates the increase in Assisted HPwES projects, with recent activity resulting in a ten percent increase in Assisted HPwES projects as a percentage of all HPwES projects. A comparison of project completions, by region, is presented in Figure 7.6. This information will be useful in adjusting marketing and outreach to ensure target regions are participating in the program.

Figure 7.4: HPwES Project Locations in Year Prior to GJGNY Implementation (Baseline)

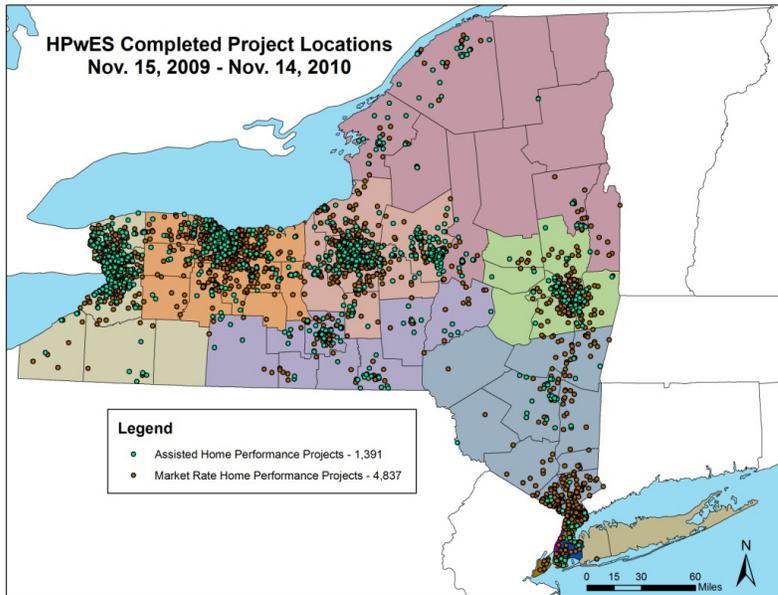


Figure 7.5: GJGNY HPwES Project Completions

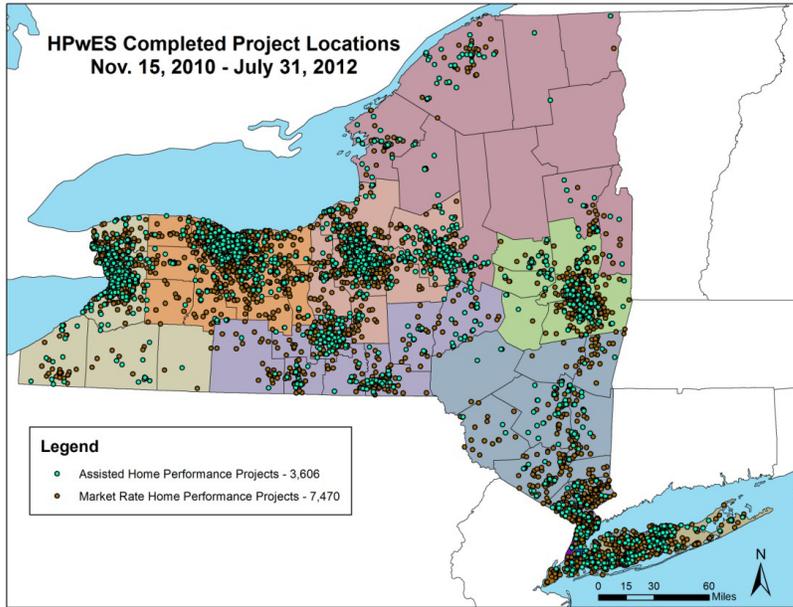


Figure 7.6: Project Completions by Region

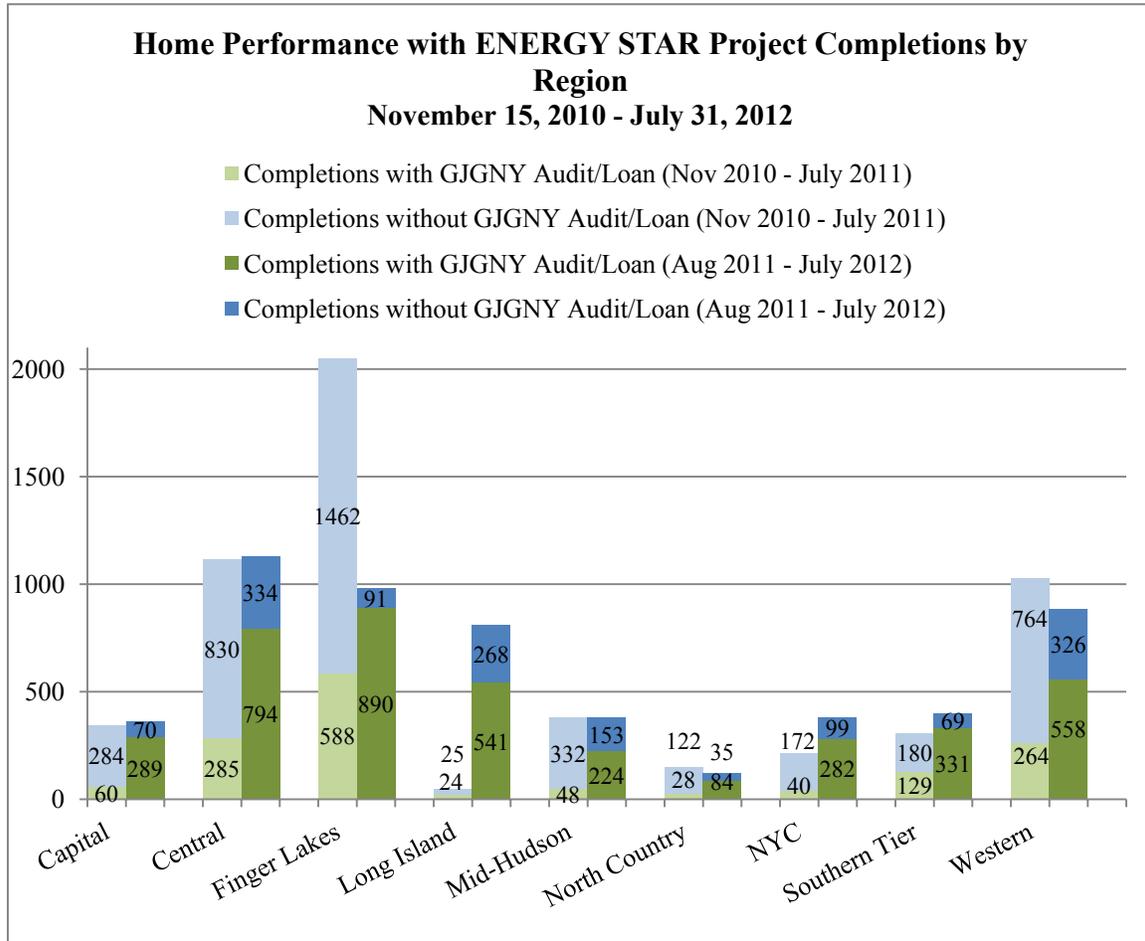
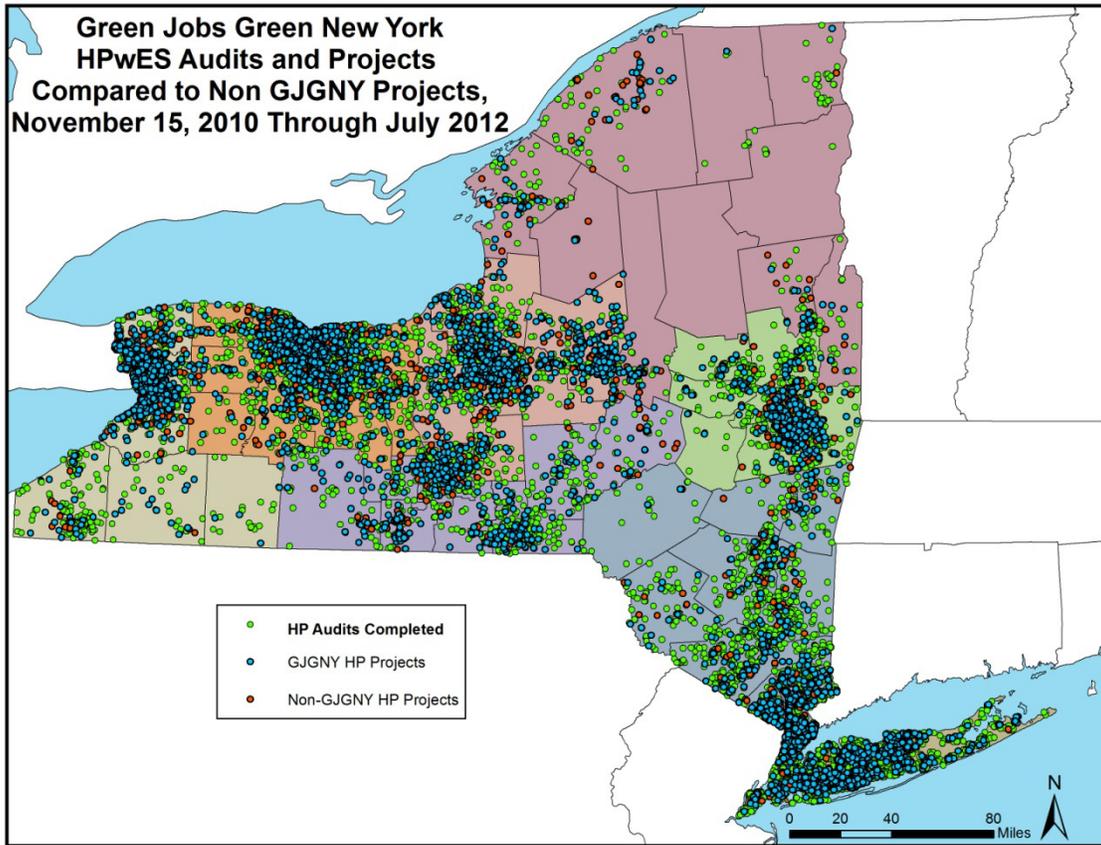


Figure 7.7 shows audit activity throughout the State, as compared to completed projects. It also demonstrates the expanded reach of the program as compared to the baseline, illustrating the potential additional work that could result from audits. Finally, it illustrates the expansion of the GJGNY program, as compared to work taking place without the benefit of the GJGNY audits or financing. Additional GIS maps will be developed with the input of the GIS working group to support program impact analysis. Figure 7.4 Green Jobs Green New York HPwES Audit and Project Completions.

Figure 7.7 GJGNY HPwES Audit and Project Completions.



i. Contracts Entered Into

External contracts related to the implementation of the GJGNY Program are detailed in Table 7.8.

Table 7.8: One- to Four-Family Homes Contracts*

PO#	Contractor	Description	PO Amount	Expended	Encumbered	Committed
20822	Concord Servicing Corporation	RES Master Loan Servicer for GJGNY	N/A	\$98,498	\$0	\$0
15518	Energy Finance Solutions	Origination Fees		353,940	0	0
		Accrued Interest		18,358	0	0
OBR Billing Agreements, no PO#	Central Hudson Gas & Electric	Utility Fees for OBR Loans		972	0	0
	Consolidated Edison			2,142	0	0
	LIPA			3,398	0	0
	Niagara Mohawk dba National Grid			5,566	0	0
	NYSEG			3,173	0	0
	Orange & Rockland Utilities			1,690	0	0
	Rochester Gas & Electric			160	0	0
27533	NY Title Research Corp.	OBR Last Owner Searches	50,000	38,500	11,500	0
Contract #28580	Zodiac Title Services	OBR Last Owner Searches	25,000	0	0	25,000
20662	Energy Programs Consortium	Phase I	6,250	6,250	0	0
18591	Hawkins Delafield & Wood	Legal financial advisory services for GJGNY	90,000	78,107	11,893	0
19923	Lamont Financial Services Corporation	Financial Advisor Services	152,050	152,050	0	0
PO-0000026143	Equifax Credit Marketing Services	Annual Subscription to CreditForecast.com	20,000	20,000		
PO- ST10743-1	Harris Beach PLLC	Bond Counsel	25,000	108,438	\$16,562	\$0
Total Financing Implementation			\$368,300	\$891,240	\$39,955	\$25,000
PO#	Contractor	Description	PO Amount	Expended	Encumbered	Committed
ST9802	Conservation Services Group	Energy Audit Implementation	\$390,852	\$368,970	\$21,881	\$32,516
Contract #27735	Conservation Services Group	Energy Audit Implementation	0	0	0	550,003
ST9940	Honeywell International Inc	Quality Assurance	7,000	3,375	3,625	
Total Audit Implementation			\$397,852	\$372,346	\$25,506	\$582,519
*Numbers may not add up due to rounding						

VIII. Multifamily Buildings

Implementation of the approved GJGNY Multifamily Buildings Operating Plan began in the third quarter of 2010.

a. Target Audience

The GJGNY Act defines a multifamily structure as "a multi-unit residential building with five or more dwelling units." A multifamily project may include a single multifamily structure or a group of multifamily structures.

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. The program identifies and targets those potential participants⁴ who are committed to the implementation of energy-related improvements. As part of the GJGNY marketing and outreach efforts, provisions have been made to encourage referrals from Community Based Organizations (CBO).

b. Implementation Strategy

GJGNY provides financing and co-funding for comprehensive energy audits and the development of an Energy Reduction Plan (ERP)⁵ through NYSERDA's Multifamily Performance Program (MPP). The availability of GJGNY co-funded audits began in September 2010 and GJGNY financing in the multifamily sector was launched in June 2011. MPP is a comprehensive program that serves market-rate and low-to-moderate income projects using a common process, and relies on a network of energy service contractors who have demonstrated their ability to provide building performance services to multifamily buildings. These contractors are identified as MPP Partners, and must be employed by MPP participants to complete specific building performance services.

NYSERDA manages GJGNY-funded services as a seamless part of the MPP process, regardless of whether participants intend to access MPP implementation incentives, utility program rebates, or other financial assistance, or simply intend to fund a portion or all of the energy-related improvements through GJGNY financing. To promote participation within the multifamily sector, NYSERDA uses a number of marketing and educational tools. For example, morning

⁴ Eligibility to apply and participate is limited to building owners and entities authorized by the owner to contract for the provision of qualified energy efficiency services. Singular-dwelling unit residents or owners are not eligible to separately participate.

⁵ An Energy Reduction Plan, the ERP, identifies the set of cost-effective energy-related improvements to be installed, and provides information necessary to guide installation of those measures. The ERP includes a detailed description of the proposed work scope, with the associated costs, projected energy saving, an outline for how costs will be financed, and a proposed schedule for construction.

presentations, or "Power Breakfasts," were offered Statewide to promote and educate the public about the suite of multifamily programs.

c. Audit Fees

Co-funding of the energy audit(s) and development of ERPs is offered in two tiers, based on household income, with a higher level of funding available to buildings that satisfy NYSERDA's affordable housing criteria. To be eligible as an affordable housing project, the applicant must document that at least 25 percent of the residential dwelling units are occupied by families earning no more than 80 percent of the state or area median income (whichever is higher). NYSERDA allows reliance upon certain proxies to document compliance with this definition. Those proxies are specified in the MPP program documentation. Current proxies include previously completed household income verification by housing regulators, such as the Housing and Community Renewal, NYC's Housing Preservation and Development (HPD), the NYS Housing Finance Agency, and the U.S. Department of Housing and Urban Development (HUD).

One ERP is developed per project; however, a single project may include multiple buildings. The co-funding amount is dependent on the size and complexity of the project, with higher co-funding offered if more than one unique energy audit must be conducted in support of a single project and the associated ERP. To be eligible to receive this co-funding and to access GJGNY financing, the participant must use an MPP Partner to complete the audit and ERP. The co-funding amount offered for completion of the audits and ERPs are listed in Table 8.1: GJGNY Multifamily Audit Incentives, and are specified in the MPP program documentation. Note that this incentive schedule was available during the time period covered by this annual report. The MPP incentives were being revised for the launch of version 5.0 of the program on July 16, 2012.

Table 8.1: GJGNY Multifamily Audit Incentives

Payment #1	Affordable Housing	Market-Rate Housing
Base Incentive (projects up to 30 units)	\$5,000 / project	\$2,500 / project
Base Incentive (projects from 31-500 units)	\$10,000 / project	\$5,000 / project
Incremental Incentive	\$20 / unit (over 100 units)	\$10 / unit (over 100 units)
Payment #1 is payable upon approval of the Energy Reduction Plan and associated documents, which must include documentation that the building has been benchmarked using the NYSERDA Benchmarking Tool. The list of required documents and additional information is located in NYSERDA's MPP Program Guidelines sections 2 and 3.		

d. Additional NYSERDA Incentives

NYSERDA offers additional incentives to install eligible measures outlined within the ERP. The incentive is subject to funding availability from the Energy Efficiency Portfolio Standard (EEPS) or Regional Green House Gas Initiative (RGGI). Incentives are paid at specified stages of the project's completion. Incentive amounts are detailed below in Table 8.2: Multifamily

Performance Program Incentive Schedule. Projects may also participate in NYSERDA’s RGGI-funded Multifamily Carbon Emission Reduction Program to receive an incentive for switching from #6 fuel oil to #2 fuel oil, a natural gas or biodiesel blend. Incentives are based on fuel conversion type. Projects participating may receive \$30 per ton of carbon saved, up to \$175,000.

Table 8.2: Multifamily Performance Program Incentive Schedule

Payment #2	Up to \$300/unit
Payable at 50% construction complete, based upon a successful Program inspection. The list of required documents and additional information is located in NYSERDA's MPP Program Guidelines section 4.	
Payment #3	Up to \$300/unit
Payable at substantial completion of construction, based upon a successful Program inspection, performance testing (as applicable), and verification of active utility accounts. The list of required documents and additional information is located in NYSERDA's MPP Program Guidelines section 4.	
Note: Incentive payments cannot exceed total cost of the project.	

The Multifamily Program also has incentives for those buildings participating in the Energy Reduction Master Meter Program. This program helps building owners install submeters in apartments, so residents have a better grasp of their energy consumption and ways to control it. As noted below participants in this program can also access GJGNY financing.

e. Financing

NYSERDA launched the GJGNY Multifamily Financing Program in June 2011. GJGNY financing is available to multifamily building owners with an approved Energy Reduction Plan. The financing program can also be used with the Energy Reduction Master Meter program. Building owners work with a commercial lender of their choice. NYSERDA enters into participation agreements with lenders in which NYSERDA provides 50 percent of the principal of the loan made to support the installation of the improvements contained in the pre-approval document, up to \$5,000 per apartment, or \$500,000 per building. The current NYSERDA interest rate is 0%. The lender provides the remaining principal of the loan at market rate. By participating in the loan program, New York State lenders will be able to offer blended interest rates at approximately half the market rate to their customers. The lender will then collect all loan payments and remit to NYSERDA its share of the loan. NYSERDA will then use these funds to continue further lending activities. One loan in the amount of \$500,000 (NYSERDA’s share) has been issued as of July 31, 2012.

NYSERDA is currently developing an additional GJGNY financing program for the multifamily building market. The new program is called the On-Bill Multifamily Financing Program. As in the GJGNY Multifamily Financing Program, multifamily building owners wishing to participate in the On-Bill program may borrow funds for energy-efficiency projects that result from an MPP ERP. The loans are paid back as part of the building owner’s utility bill and are structured so that projected energy savings meet or exceed monthly loan payments. Should the building be sold

during the repayment period, the loan can stay attached to the utility account and the new building owner will simply continue loan payments as part of the building’s utility bill.

f. Coordination with other Program Administrators

NYSERDA coordinates with the Housing and Community Renewal's Weatherization Assistance Program (WAP), NYC Housing Preservation and Development (HPD), the U.S. Department of Housing and Urban Development (HUD), and others to leverage additional funding, as appropriate.

NYSERDA continues to work with utility program administrators to address coordination issues and minimize confusion when multiple incentive opportunities are available to customers. If the multifamily building owner chooses not to participate in NYSERDA's MPP, the owner may elect to participate in a utility rebate program. In this case, the GJGNY loan may be used in coordination with the utility rebate(s), provided a building audit has been completed that meets MPP standards. Although GJGNY loans may be combined with either the NYSERDA or the utility incentives, NYSERDA and utility incentives cannot be combined with each other on the same measure. The GJGNY loan amount is determined by “netting-out” all applicable utility or NYSERDA incentives at the measure level from the total cost of the work.

g. Budget, Goals& Metrics

Table 8.3: Multifamily Buildings Program Area Budget

Component	Budget	Expended	Loan Repayments	Encumbered	Committed	Balance
Energy Audits	\$3,300,000	\$871,998		\$395,875	\$292,920	\$1,739,208
Implementation and Quality Assurance	1,400,000	1,390,917		143		8,939
Financing	11,292,550					10,109,344
Loans		500,000	\$35,714		500,000	
Implementation		64,190		154,730		
Total	\$15,992,550	\$2,827,105	\$35,714	\$550,748	\$792,920	\$11,857,491

*Expended: Contractor Invoices processed for payment by NYSERDA.
 Encumbered: Remaining funding obligated under a contract, purchase order or incentive award.
 Committed: Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates.*

Table 8.4: Multifamily Buildings Goals & Metrics

Metric	Market Rate	Affordable	Total	Goals	Progress Toward Goals
Audit Applications	66	69	135		
Audits Complete	48	53	101	500 Bldgs	20%
Projects Contracted (units)	16,562	12,612	29,174		
1st Year Net KWh Savings (committed) *	1,253,007	9,167,157	10,420,164		
1st Year Net MMBtu Savings (committed) *	56,429	98,585	155,014		
Estimated Annual Bill Savings (committed) *	\$1,760,323	\$3,356,820	\$5,117,143		
Projects Completed (units)	761	3,269	4,030		
1st Year Net KWh Savings (installed) *	87,816	7,244,965	7,332,781		
1st Year Net MMBtu Savings (installed) *	14,927	58,763	73,690		
Estimated Annual Bill Savings (installed) *	\$227,754	\$2,189,354	\$2,417,108		
Estimated Annual KWh Savings/unit (installed)	115	2216	1820	460	395%
Estimated Annual MMBtu Savings/unit (installed)	20	18	18	13	138%
Estimated Annual Dollar Savings/unit (installed)	\$299	\$670	\$600		
Loans Issued (#)	1				
Value of Loans (\$\$)	\$500,000				
Lifetime savings	\$2,564,563				
* Projects that receive GJGNY-supported audits and/or financing may also receive incentives through Energy Efficiency Portfolio Standard (EEPS), Regional Green House Gas Initiative (RGGI) and/or utility programs, such that projects' energy savings may not all be attributable solely to GJGNY.					

h. Contracts Entered Into

External contracts related to the implementation of the GJGNY Program are detailed in Table 8.5.

Table 8.5: Multifamily Contracts

PO#	Contractor	Description	PO Amount	Expended	Encumbered	Committed
18649	TRC Engineers Inc.	Program Implementer for Multifamily Building Performance Program	\$1,224,574	\$1,224,431	\$143	
ST-9941	Taitem Engineering PC		166,486	166,486		
Total Implementation and Quality Assurance**			\$1,391,060	\$1,390,917	\$143	0
18591	Hawkins Delafield & Wood	Legal financial advisory services for GJGNY	\$36,000	\$31,243	\$4,757	
19923	Lamont Financial Services	Financial Advisor Services	30,420	30,420		
20662	Energy Programs Consortium	Energy Programs Consortium- Phase I	2,500	2,500		
20822	Concord Servicing Corporation	MF Master Loan Servicer for GJGNY	N/A	27		
Total Financing Implementation			\$68,920	\$64,190	\$4,757	\$0
*Numbers may not add up due to rounding						
**The contracts in the table above are expiring. The MPP team is in the process of conducting solicitations selecting contractors to implement the GJGNY Multifamily Program						

IX. Small Business and Not-for-Profit

Implementation of the approved GJGNY Small Business/Not-for-Profit Operating Plan⁶ began in the first quarter of 2011.

a. Target Audience

In June 2011, the Small Business/ Not-for-Profit Energy-Efficiency Financing Program began offering Participation Loans to small businesses with 100 employees or fewer and not-for-profits, with any number of employees, which have Qualified Energy Audits⁷. Small businesses and not-for-profits must own, lease or manage the building that their organization uses or occupies and have the authority to contract for the provision of Qualified Energy-Efficiency

⁶ The GJGNY Small Business/Not-for-Profit Operating Plan was presented to the Advisory Council for comment and subsequently approved by NYSERDA's Senior Management in October 2010.

⁷ Qualified Energy Audits include either 1) a "Full Walkthrough Commercial Audit," which will provide customers with a thorough examination of energy use, a set of recommendations for Qualified Energy Efficiency Services, installation cost estimates, and associated energy and cost savings; or 2) a "Technology or Equipment Specific Commercial Audit," which will provide basic information on energy use, recommendations on one or more building systems, equipment replacement or upgrade opportunities.

Services⁸ to the building. If the small business or not-for-profit leases or manages all or part of a building it must obtain permission from the building owner to seek energy-efficiency financing through the Program.

In June 2012, the Program began offering OBR Loans to small businesses and not-for-profits that meet GJGNY eligibility requirements, have utility accounts with one of the following participating utilities: (Central Hudson, Con Edison, Long Island Power Authority, National Grid (upstate NY customers only), New York State Electric and Gas Corporation, Orange & Rockland, Rochester Gas and Electric), and meet NYSERDA's underwriting criteria.

b. Implementation Strategy

NYSERDA offers eligible small business and not-for-profit customers Qualified Energy Audits from competitively selected Qualified Energy Auditors⁹. Small business and not-for-profit customers may also obtain Qualified Energy Audits through utility service providers and other Qualified Energy Auditors. NYSERDA enters into agreements with lenders to provide small businesses and not-for-profits with access to low-interest energy-efficiency financing through either the Participation or OBR Loan product.

In February 2012, NYSERDA launched a project expeditor pilot to provide assistance to small business and not-for-profit customers to encourage implementation of energy audit recommendations. The project expeditors follow up with the customers who have received energy audits through NYSERDA to determine if they are eligible for financial incentives or energy-efficiency financing, help customers apply for available incentives and financing, verify that the technologies and services included in energy project proposals are consistent with technologies recommended in Qualified Energy Audits, and provide additional technical assistance as necessary. NYSERDA plans to use expeditor pilot results to develop future competitive solicitations for the small business and not-for-profit sector.

⁸ Qualified Energy Efficiency Services are modifications to non-residential structures based upon recommendations contained in a Qualified Energy Audit performed under a NYSERDA program, by a utility program, or by a Qualified Energy Auditor. Qualified Energy Efficiency Services may include prequalified and custom measures or services including but not limited to: heating, ventilation, air conditioning (HVAC), lighting, controls, building envelope, domestic or service hot water, solar thermal heat or hot water, or business processes (e.g. kitchens, laundries, air compression, etc.)

⁹ Qualified Energy Auditor is an individual who may work for a NYSERDA or utility-contracted entity, or its subcontractor, under a NYSERDA or utility commercial energy efficiency program; or is a Certified Energy Auditor (CEA) or Certified Energy Manager (CEM) through the Associated Energy Engineers (AEE), with at least two years experience conducting commercial energy audits, or is an individual who conducts commercial energy audits that are reviewed and approved by a CEA or CEM and has at least two years experience conducting commercial audits; or one who meets other criteria or requirements established by NYSERDA.

c. Audit Fees

NYSERDA offers free GJGNY energy audits Statewide for small businesses and not-for-profits with an average electric demand of 100kW or less and ten employees or fewer. A limited amount of federal American Recovery and Reinvestment Act (ARRA) funds were secured to provide free energy audits to small businesses and not-for-profits with more than ten employees and an average electric demand of 100 kW or less.

d. Financing

NYSERDA enters into agreements with lenders who wish to partner with NYSERDA to provide low-interest energy-efficiency financing to small business and not-for-profit customers through Participation Loans and OBR Loans.

1. Participation Loans

NYSERDA provides 50 percent of the principal of the loan, up to \$50,000, at 0% interest. The lender provides the remaining principal of the loan at market rate. Participating lenders collect loan payments from the customer and remit to NYSERDA its share of the loan. NYSERDA will use these funds to continue further lending activities. By participating in the program, lenders can offer energy efficiency financing to small business and not-for-profit customers at a reduced interest rate.

2. On-Bill Recovery Loans

Participating lenders can also originate OBR Loans on NYSERDA's behalf. Through this loan product, NYSERDA offers eligible small business and not-for-profit customers up to \$50,000, at 2.5% interest, to finance the cost of their energy-efficiency projects. Customers repay their OBR Loan through an installment charge on their utility bill. Lenders will earn a \$300 origination fee for each OBR Loan they originate on NYSERDA's behalf.

e. Additional NYSERDA Incentives

NYSERDA also offers SBC-eligible small business and not-for-profit customers incentives to reduce the cost of eligible Qualified Energy Efficiency Services. These services may include prequalified and custom measures or services, including but not limited to: heating, ventilation, and air conditioning (HVAC), lighting, building envelope or business processes (i.e. kitchens, laundries, air compression, etc.) The availability of incentives is subject to funding and performance requirements established in the Energy Efficiency Portfolio Standard (EEPS).

f. Coordination with other Program Administrators

New York State small businesses and not-for-profits may use Qualified Energy Audits provided by NYSERDA, utilities or a Qualified Auditor of their choice, as the basis to apply for energy-efficiency financing through the GJGNY Small Business/Not-for-Profit Energy-Efficiency Financing Program. Through the financing program, small businesses and not-for-profits are able to finance the cost of approved energy efficiency improvements that are not covered by estimated utility and NYSERDA incentives.

NYSERDA is coordinating with utilities to make them aware of the program and to incorporate the financing opportunity into marketing and outreach materials. NYSERDA is also working with LIPA to encourage project implementation in the LIPA service territory.

g. Budget, Goals & Metrics

Table 9.1: Small Business and Not-for-Profit Program Area Budget

Component	Budget	Expended	Loan Repayments	Encumbered	Committed	Balance
Energy Audits	\$5,600,000	\$1,511,784		\$2,335,986		\$1,752,230
Implementation and Quality Assurance	4,800,000	101,264		98,593	194,000	4,406,143
Financing	13,274,917					12,869,157
Loans		28,500	2,180	36,060		
Implementation		96,280		247,100		
Total	\$23,674,917	\$1,737,828	\$2,180	\$2,717,739	\$194,000	\$19,027,530

Expended: Contractor Invoices processed for payment by NYSERDA.

Encumbered: Remaining funding obligated under a contract, purchase order or incentive award.

Committed: Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates.

Table 9.2: Small Business and Not-for-Profit Energy Audit Goals & Metrics

Metric	Performance To-Date	Goals	Progress Toward Goals
Audit Applications	1355		
Audits Complete	1070	2,100	51%
Estimated Projects Completed ¹	214	1,296	17%
1st Year Net KWh Savings (audit recommended) ²	7,925,169		
1st Year Net KWh Savings (estimated installed) ³	1,585,034		
1st Year Net MMBtu Savings (audit recommended)	57,501		
1st Year Net MMBtu Savings (estimated installed)	11,500		
Estimated Annual Electric Bill Savings (audit recommended)	\$1,439,030		
Estimated Annual Electric Bill Savings (estimated)	\$287,806		

installed)			
Estimated Annual Fuel Bill Savings (audit recommended)	\$980,829		
Estimated Annual Fuel Bill Savings (estimated installed)	\$196,166		
Estimated Annual KWh Savings/project	7,407	18,000 kWh per year/ completed project	
Estimated Annual MMBtu Savings/project	54	160 MMBtu per year/ completed project	
Estimated Annual Dollar Savings/project	\$2,262	\$5,200 per year/ completed project	
Loans Issued (#)	2	1000	
Value of Loans	\$28,500		
<p>¹Projects that receive GJGNY-supported audits and/or financing may also receive incentives through Energy Efficiency Portfolio Standard (EEPS) and/or utility programs, such that projects' energy savings may not all be attributable solely to GJGNY.</p> <p>² Audit recommended savings represent the total potential energy and energy bill savings that could be achieved if all measures recommended in the audit are implemented.</p> <p>³ Based on preliminary findings from NYSERDA's expeditor pilot staff have found that approximately 20 percent of projects that receive energy audits are implemented. Estimated installed metrics reflects the total energy and energy bill savings expected based on a projected implementation rate of 20 percent.</p>			

h. Contracts Entered Into

External contracts related to the implementation of the GJGNY Program are detailed below.

Table 9.3: Small Business and Not-for-Profit Contracts*

PO#	Contractor	Description	PO Amount	Expended	Encumbered	Committed
ST9848-1	C.J. Brown Energy, P.C.	Energy Audit Contractor	\$975,001	\$151,709	\$823,292	
ST9849-1	L & S Energy Services, Inc.	Energy Audit Contractor	922,768	346,885	575,883	
ST9850-1	Daylight Savings Company, Inc.	Energy Audit Contractor	975,001	852,340	122,661	
ST9851-1	EME Consulting Engineering Group, LLC	Energy Audit Contractor	975,001	160,850	814,151	
Energy Audits Total			\$3,847,770	\$1,511,784	\$2,335,986	
24210	Kema Services Inc.	Energy Audit Support	\$49,857	\$49,857		
(contract # 27890)	Kema Services					\$50,000
(contract # 9806.1)	CDH Energy Corporation					19,000
(contract # 9809.1)	Clough Harbour & Associates LLP					58,000
(contract #	LaBella					19,000

PO#	Contractor	Description	PO Amount	Expended	Encumbered	Committed
ST9813.1)	Associates P.C.					
(contract #ST9814.1)	TRC Companies Inc.					48,000
27052	Novus Engineering, P.C.	Project Expeditor	50,000	14,901	\$35,099	
27726	Taitem Engineering, P.C.	Project Expeditor	50,000	29,470	20,530	
27661	Nexant, Inc.	Project Expeditor	50,000	7,036	42,964	
Implementation and Quality Assurance Total			\$199,857	\$101,264	\$98,593	\$194,000
18591	Hawkins Delafield & Wood	Legal financial advisory services for GJGNY	\$54,000	\$46,864	\$7,136	
19923	Lamont Financial Services	Financial Advisor Services	45,630	45,630		
20662	Energy Programs Consortium	Energy Programs Consortium-Phase I	3,750	3,750		
20822	Concord Servicing Corporation	EES Master Loan Servicer for GJGNY		36		
Financing Implementation Total			\$103,380	\$96,280	\$7,136	\$0
*Numbers may not add up due to rounding. Details related to expenditures/encumbrances for Audits and Financing for this sector may be found in the Budget table.						

i. Recommendations for Improvements

The GJGNY Act of 2009 (GJGNY Act) provides that NYSERDA may allocate GJGNY program funds for the provision of energy audits in non-residential properties that are used or occupied by a small business or not-for-profit corporation, but only if such entity has 10 or fewer employees. This constrains NYSERDA's ability to provide low- or no-cost energy audits to a relatively small subset of small business and not-for-profit customers in New York State. NYSERDA is leveraging a portion of its American Recovery and Reinvestment Act (ARRA) grant to provide energy audits to eligible small business and not-for-profit customers with more than 10 employees. However, this funding is temporary and will be exhausted in 2013.

The GJGNY Act provides that NYSERDA may offer energy-efficiency financing to eligible small business or not-for-profit applicants, which are defined as small business and not-for-profit organizations that own, lease, or manage a non-residential building and have the authority to contract for the provision of Qualified Energy Efficiency Services to the building. This constrains NYSERDA's ability to make low-interest energy-efficiency financing available to small businesses

and not-for-profits that lease space within a non-residential building but do not lease an entire building for their business or organization.

Additionally, the GJGNY Act caps the amount of financing available at \$50,000 per building owner, lessee or manager, as opposed to per eligible project. As a result, a building owner would forfeit some or all of his or her claim to the available \$50,000 in energy-efficiency financing if he or she were to allow one or more of his or her eligible small business or not-for-profit tenants to seek financing through the program. Moreover, each eligible small business or not-for-profit that leases space within a non-residential building would have to compete to finance energy-efficiency projects out of the \$50,000 in GJGNY financing available to the building owner, lessee or manager through the program.

Finally, preliminary program experience indicates that small business and not-for-profit customers lack up-front funds to support energy-efficiency studies or projects; consequently, \$50,000 may be insufficient financing for the scale of some small business and not-for-profit projects.

NYSERDA recommends that steps be considered to address these challenges.

X. Evaluation

Since the approval of the GJGNY Evaluation Operating plan, NYSERDA has engaged its third-party evaluation contractors to further develop and begin implementing evaluation plans for GJGNY programs. Because not all GJGNY program plans were finalized or implemented concurrently, early discussions between evaluation staff, program staff, and the evaluation contractors identified the need for initial work to focus on Residential One- to Four-Family Homes. A major market characterization study to be used as a baseline and process evaluation is nearly completed for the residential One- to Four-Family program component. This study is described in greater detail below. NYSERDA is also working with its evaluation contractors to plan and launch similar study efforts for the multifamily and small business program components.

This section describes evaluation activities that are currently completed, underway and planned. Future annual reports will provide updates to these activities and evaluation contractor reports will be posted on NYSERDA's Web site for public use once completed.

a. Completed Evaluation Activities

One of the first tasks outlined in the GJGNY Evaluation Operating Plan, development of a program theory and logic model report, was completed in September 2011 and summarized in the October 2011 GJGNY Annual Report. The full logic model document can be accessed via NYSERDA's Web site, and provides a "roadmap" for future program evaluation studies by

identifying key outputs, outcomes, indicators and research issues for each GJGNY program component.¹⁰ The logic model was used as a guide for the nearly complete GJGNY Residential One- to Four-Family Homes evaluation study and will similarly inform study plans for other program components as they are addressed.

b. Evaluation Activities Currently Underway

As noted above, the Residential Single-Family Homes program component is concurrently undergoing a process evaluation and a market characterization/assessment (MCA) study. These evaluations commenced in May 2011.

The process evaluation will help staff to understand program efficiency and effectiveness, the degree to which program activities are in alignment with program goals, the barriers to achievement of program goals, and the influence of program activities on participant and non-participant perceptions of the program. The objective of the MCA evaluation is to track changes in markets over time with a specific focus on market indicators that are likely to be impacted by program offerings. The MCA evaluation is designed to collect and compile descriptive data on the markets served or targeted by the program and describes and quantifies the various market actors and end users involved and their roles in decision making.

The MCA and Process evaluation is being led by NYSERDA's independent evaluation contractor, NMR Group (as a subcontractor to both Navigant Consulting and Research Into Action). Evaluation contractors have completed data collection and analysis and, in late June, delivered a draft report to NYSERDA for review. NYSERDA expects this report to be finalized during the third quarter of 2012.

The major components of the evaluation are described below in more detail.

1. Interim Findings

To understand the reasons for the high volume of project completions between January and March 2011, following the mid-November 2010 introduction of the GJGNY free or reduced-cost audits and financing, NMR conducted ten in-depth telephone interviews with program contractors. The interviews probed the participating contractors' understanding of their role, knowledge of program offerings, perceived reasons for the high project volumes during January to March 2011, program participation motivations and barriers, program strengths and opportunities for improvement, methods of financing used by consumers, and other factors influencing participation. These findings

¹⁰ <http://www.nyserda.ny.gov/Page-Sections/Program-Evaluation/NYERDA-Evaluation-Contractor-Reports/2011-Reports/~media/Files/EDPPP/Program%20Evaluation/2011ContractorReports/2011%20GJGNY%20PLM%20Final.ashx>

will be included in the complete analysis and report on the MCA and Process evaluation effort.

2. Program Staff and Implementation Contractor Interviews

NMR conducted open-ended interviews with 12 representatives from program staff, program implementation contractors, and utility program administrators. The MCA and Process topics covered in the interviews include, but are not limited to the following:

- Key roles and responsibilities of program implementation staff involved in program delivery;
- Coordination and protocols for internal NYSERDA program staff communications and for external communications with CBOs, utilities, contractors, etc.;
- Steps in enrollment, audits, project application and approval, financing application and approval, measure implementation, and project and participant tracking; and
- Identification of program activities, changes that have occurred, and rationales for those changes.

NMR worked closely with NYSERDA evaluation staff to coordinate interview question development, identify appropriate contacts to be interviewed, and conduct interviews. The findings of these in-depth interviews will be included in the final evaluation report.

3. Homeowner Surveys

The NMR evaluation team also conducted nearly 750 interviews with a sample of homeowners in the following categories:

- HPwES program participants who received audits with GJGNY financing and without GJGNY financing;
- Audit only customers who completed a GJGNY audit but did not go on to complete a HPwES project; and
- Non-participating end-use customers who own their own homes, have not participated in GJGNY or HPwES and have either done energy-efficient upgrades within the past year or are planning upgrades within the coming year.

The overall goals of the surveys were to understand attitudes toward energy efficiency and energy-efficiency upgrades, program awareness, and reasons for participating or not participating in the program.

The NMR team worked closely with NYSERDA evaluation and program staff to develop survey guides and identify statistically significant samples for the homeowner surveys. To estimate program uptake by region the sample was divided into regions: Upstate A, Upstate B, and Downstate. Additionally, an oversample of low- to moderate-income

households was incorporated. This oversample assisted in establishing a baseline for this target population. The data collection and analysis for this effort is complete and will be included in the final evaluation report.

4. Contractor Surveys

To understand their experience with the program, the NMR team conducted a telephone survey of 59 participating HPwES contractors. The telephone survey focused on several topics, including but not limited to the participating contractor's experience, motivations and barriers with program participation, market awareness of utility programs, the impact and influence of GJGNY on HPwES project volumes, customer participation motivations and barriers, the influence of GJGNY financing, and other factors influencing participation. The findings of these in-depth interviews will be included in the final evaluation report.

c. Evaluation Activities Planned

1. Residential Single-Family Homes

NMR had planned to conduct five in-depth interviews with CBOs. However, as of October 2011, a majority of the CBOs were not at the contract or implementation stage and, as a result, NYSERDA decided to exclude the GJGNY CBO interviews from the nearly complete evaluation. NYSERDA will work with its independent consultants to evaluate this component in future evaluation studies.

The future evaluation is expected to include interviews with the CBOs conducting customer outreach and training outreach, and will address topics that include but are not limited to:

- Experience with contracting process;
- Planned approach to implementing the GJGNY residential program elements;
- Level of market awareness and interest in GJGNY offerings, including free or reduced cost audits and financing;
- Difficulties encountered in program implementation and steps taken to overcome them; and
- Overall program strengths and areas for improvement.

2. Multifamily

Given the timing of the rollout and startup of the multifamily audit/financing component, a detailed evaluation was not conducted within this reporting period. The evaluation needs identified in the program logic model and identified in discussions with

program staff will be addressed in future evaluation studies. NYSERDA plans to undertake a full evaluation of its SBC-funded Multifamily Performance Program in the coming year, and GJGNY evaluation inquiries will be closely coordinated with this study effort to maximize efficiency and cost-effectiveness.

3. **Small Business and Not-for-Profit**

Given the timing of the rollout and startup of the Small Business/Not-for-Profit component, a detailed evaluation was not conducted within this reporting period. The evaluation needs identified in the program logic model and identified in discussions with program staff will be addressed in future evaluation studies. Plans are currently being developed with NYSERDA’s evaluation contractors.

4. **Workforce Development**

Given the timing of the rollout and startup of the Workforce Development component, a detailed evaluation was not conducted within this reporting period. The evaluation needs identified in the program logic model and identified in discussions with program staff will be addressed in future evaluation studies. Plans are currently being developed with NYSERDA’s evaluation contractors.

d. **Budget**

Table 10.1: Evaluation Budget

	Budget	Expended	Encumbered	Committed	Balance
Internal costs	\$5,600,000	\$305,548			\$3,017,580
Evaluation consultants		407,282	\$1,369,589	\$500,000	
Total	\$5,600,000	\$712,830	\$1,369,589	\$500,000	\$3,017,580

Expended: Contractor Invoices processed for payment by NYSERDA.

Encumbered: Remaining funding obligated under a contract, purchase order or incentive award.

Pre-encumbered: Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates.

e. **Contracts Entered Into**

External contracts related to the implementation of the GJGNY Program are detailed in Table 10.2.

Table 10.2: Evaluation Contracts

PO#	Contractor	Description	PO Amount	Expended	Encumbered	Committed
19112	Navigant Consulting	Market Characterization & Assessment Evaluation	\$189,757	\$189,757		
ST9835-1	Research Into Action	Process Assessment and Evaluation Management	80,042	52,797	27,245	
ST9836-1	Megdal & Associates	Impact Assessment	60,000		60,000	
ST9942-1	Apprise Incorporate	Survey Data Collection	114,995	114,995		
24594	NMR Group, Inc.	General Evaluation Assistance Contract	119,985	22,416	97,569	
ST9942	Apprise, Incorporated	Survey Data Collection	20,000	20,000		
29131	Research Into Action Inc.	Process and Market Assessment Evaluation	850,002	4,020	845,982	
29725	Abt SRBI Inc.	Survey data collection contractor for evaluation of NYSERDA Programs	326,480		326,480	
STD26397	Energy & Resource Solutions Inc.	Impact Evaluation Contractor				500,000
28232-2	ICF Resources LLC	Economic and Environmental Impacts Evaluation Contractor	15,610	3,297	12,313	
Total			\$1,776,871	\$407,282	\$1,369,589	\$500,000

Appendix 1: On-Bill Recovery Financing Annual Report

On-Bill Recovery Annual Report Narrative

The Green Jobs-Green New York (GJGNY) Act, enacted in October 2009, required NYSERDA to provide innovative financing mechanisms and a Revolving Loan Fund to support energy-efficiency retrofits in residential (1- to 4- family) homes, small business (100 employees or less) and not-for-profit facilities, and multifamily buildings (5 units or more). The Power NY Act of 2011, enacted August 4, 2011, authorized NYSERDA to offer loans through the GJGNY program repayable through an installment charge on the customer's electric or gas corporation utility bill. NYSERDA launched the residential component of On-Bill Recovery (OBR) on January 30, 2012, approximately four months ahead of schedule as required by the Power NY Act of 2011. Currently Energy Finance Solutions (EFS) is serving as OBR Loan Originator, Concord Servicing Corporation (Concord) is tracking OBR charges and NYSERDA loan installment repayments, and providing back-up collections and reporting, while Zodiac Title Services (Zodiac) is performing the last owner search and recording mortgages/declarations.

On February 16, 2012, the Governor introduced an amendment to the Power NY Act of 2011 substituting a declaration for the mortgage to provide notice to prospective purchasers when there is an existing OBR loan. The amendment required that NYSERDA record, in the office of the appropriate county or city recording officer, a declaration evidencing the existence of the loan, the total loan amount and term, and noting that the loan is repaid through a charge on the utility bill, which, if not fully satisfied prior to the sale or transfer of ownership, shall survive changes in ownership, tenancy or meter account responsibility. Consumers who applied for financing after February 16, 2012, signed both a mortgage and declaration in connection with the OBR loan and the mortgage was recorded. Effective with the enactment of the legislation on March 30, 2012, consumers were able to convert to a declaration and NYSERDA recorded the termination of the mortgage and recorded the declaration. Consumers who applied for OBR loans prior to February 17, 2012, were allowed to elect to proceed with a mortgage for the full term of the OBR loan or have the mortgage converted to a declaration.

To provide adequate time for the utilities to modify their billing systems to accommodate OBR, all parties agreed to delay the first appearance of the OBR installment charge until the first billing period in June. Consumers that closed loans before June incurred no interest charges and made no payments until June. Also in June, NYSERDA forwarded payment to the utilities of \$100 for each of the 88 closed loans and 1% of the loan amount as required by the Power NY Act.

NYSERDA is working in collaboration with the Department of Labor to quantify the job creation/retention impact of the GJGNY funding and program activities. NYSERDA's evaluation group will determine the effectiveness of GJGNY at increasing the number of skilled workers; advancing occupational skills and improving earnings; connecting trained workers to jobs; facilitating worker recruitment and hiring; and reaching disadvantaged workers and/or communities.

NYSERDA's evaluation group is also working with its independent consultants to complete a process evaluation and a market characterization/assessment (MCA) study of the 1-to-4 family homes components of GJGNY. NYSERDA is also working in with its evaluation contractors to plan and launch similar evaluation efforts for the multifamily, small business/not-for-profit, and Constituency Based Organization components of GJGNY.

Appendix 1

Annual On-Bill Recovery Report							
All OBR loans, energy savings and expenditures reported in this Appendix are included in the GJGNY Annual totals reported in the body of the report. Expenditures are pro-rated based on the percentage of OBR loans compared to the total GJGNY portfolio.							
Reporting period - January 30, 2012 through June 30, 2012		Residential		Small Business / Not-For-Profit		Multifamily	
		Customers	Dollars	Customers	Dollars	Customers	Dollars
Applicants	Received	983		0		0	
	Approved	581		0		0	
	Denied	315		0		0	
On-Bill Recovery Program	Total Loans Made	88	\$878,329	0	\$0	0	\$0
	Estimate of average project cost		\$9,981		\$0		\$0
Geographic Distribution of Closed Loans	Central Hudson Gas and Electric	4	\$56,701	0	\$0	0	\$0
	Consolidated Edison	12	\$109,860	0	\$0	0	\$0
	Long Island Power Authority	17	\$180,882	0	\$0	0	\$0
	National Grid	30	\$268,053	0	\$0	0	\$0
	New York State Electric and Gas Corporation	15	\$165,190	0	\$0	0	\$0
	Orange and Rockland Utilities	8	\$87,839	0	\$0	0	\$0
	Rochester Gas & Electric	2	\$9,803	0	\$0	0	\$0
	Total	88	\$878,329	0	\$0	0	\$0
Loans in Process (Includes Closed Loans)	Central Hudson Gas and Electric	34	\$452,292	0	\$0	0	\$0
	Consolidated Edison	49	\$667,007	0	\$0	0	\$0
	Long Island Power Authority	111	\$1,481,627	0	\$0	0	\$0
	National Grid	207	\$2,525,780	0	\$0	0	\$0
	New York State Electric and Gas Corporation	125	\$1,589,630	0	\$0	0	\$0
	Orange and Rockland Utilities	26	\$344,967	0	\$0	0	\$0
	Rochester Gas & Electric	17	\$207,801	0	\$0	0	\$0
	Total	569	\$7,269,104	0	\$0	0	\$0
Utility Progress towards Initial OBR Cap (.5%)	Central Hudson Gas and Electric	2.2%		0.0%		0.0%	
	Consolidated Edison	0.3%		0.0%		0.0%	
	Long Island Power Authority	2.0%		0.0%		0.0%	
	National Grid	2.5%		0.0%		0.0%	
	New York State Electric and Gas Corporation	2.7%		0.0%		0.0%	
	Orange and Rockland Utilities	2.3%		0.0%		0.0%	
	Rochester Gas & Electric	0.8%		0.0%		0.0%	
	Total	1.4%		0.0%		0.0%	
Utility Account Arrears > 60 Days	Central Hudson Gas and Electric	0		0		0	
	Consolidated Edison	0		0		0	
	Long Island Power Authority	0		0		0	
	National Grid	0		0		0	
	New York State Electric and Gas Corporation	0		0		0	
	Orange and Rockland Utilities	0		0		0	
	Rochester Gas & Electric	0		0		0	
	Total	0		0		0	
On-Bill Recovery Payment Arrears > 60 Days	Central Hudson Gas and Electric	0		0		0	
	Consolidated Edison	0		0		0	
	Long Island Power Authority	0		0		0	
	National Grid	0		0		0	
	New York State Electric and Gas Corporation	0		0		0	
	Orange and Rockland Utilities	0		0		0	
	Rochester Gas & Electric	0		0		0	
	Total	0		0		0	
Utility Service Terminated	Central Hudson Gas and Electric	0		0		0	
	Consolidated Edison	0		0		0	
	Long Island Power Authority	0		0		0	
	National Grid	0		0		0	
	New York State Electric and Gas Corporation	0		0		0	
	Orange and Rockland Utilities	0		0		0	
	Rochester Gas & Electric	0		0		0	
	Total	0		0		0	

Reporting period - January 30, 2012 through June 30, 2012		Residential		Small Business /		Multifamily	
		Units	Dollars	Units	Dollars	Units	Dollars
1st Year Energy Savings	Estimate of kWh savings	102,962.00	\$14,224	-	\$0	-	\$0
	Estimate of oil mmBtu savings	1,608.49	\$53,462	-	\$0	-	\$0
	Estimate of propane mmBtu savings	94.68	\$2,945	-	\$0	-	\$0
	Estimate of natural gas mmBtu savings	3,582.95	\$46,453	-	\$0	-	\$0
	Estimate of other mmBtu savings	-	\$0	-	\$0	-	\$0
	Total Dollar Savings		\$117,085		\$0		\$0
Lifetime Energy Savings	Estimate of kWh savings	1,813,614.00	\$311,990	-	\$0	-	\$0
	Estimate of oil mmBtu savings	40,948.07	\$1,315,283	-	\$0	-	\$0
	Estimate of propane mmBtu savings	2,348.05	\$72,693	-	\$0	-	\$0
	Estimate of natural gas mmBtu savings	86,247.55	\$1,071,041	-	\$0	-	\$0
	Estimate of other mmBtu savings	-	\$0	-	\$0	-	\$0
	Total Dollar Savings		\$2,771,006		\$0		\$0

OBR Expenditures through 6/30/12		
Program Area	Expended	
Administrative/General	\$175,158	
Marketing	\$133,441	
Evaluation	\$32,504	
NYS Cost Recovery Fee	\$22,408	
Audit Incentive	\$274,706	
Payment to Utilities (\$100 per loan & 1% of loan amount)	\$17,101	
OBR Loans	RES	\$878,329
	SB/NFP	\$0
	MR	\$0
	Total	\$878,329
Implementation/Services	RES	\$88,907
	SB/NFP	\$0
	MF	\$0
	Total	\$88,907
Total Expended	\$1,622,554.10	

Attachment 1: Advisory Council Meeting Agendas

AGENDA

GREEN JOBS GREEN NY (GJGNY) Advisory Council Meeting

September 14, 2011

1:00 pm

- | | | |
|-------|---|----------------------------|
| I. | Welcome and Introductions | Frank Murray |
| II. | Budget Adjustments | Karen Hamilton |
| III. | GJGNY Logic Model | Jen Meissner & Todd French |
| IV. | Annual Report | Peggie Neville |
| V. | Program Status Updates | |
| | a. Workforce Development | Adele Ferranti |
| | b. Outreach & Marketing | Sue Andrews |
| | c. Financing | Jeff Pitkin |
| | d. One- to Four-Family | Bryan Henderson |
| | e. Multifamily | Ed Morrison |
| | f. Small Business & Not-for-Profit | Marilyn Dare |
| VI. | Better Building Grant Activity - focus on Long Island | John Ahearn |
| VII. | Mapping of NYSERDA Residential Projects | Chris Coll |
| VIII. | Public Input | Frank Murray |
| IX. | Next Steps | Frank Murray |

AGENDA
Green Jobs Green New York (GJGNY) Advisory Council Meeting
December 6, 2011
1:00 p.m.

- | | | |
|------|----------------------------------|------------------|
| I. | Welcome and Introductions | Frank Murray |
| II. | Budget Update | Karen Hamilton |
| III. | On-Bill Financing Update | Jeff Pitkin |
| IV. | Status Updates | |
| | a. One- to Four-Family Homes | John Ahearn |
| | b. Outreach and Marketing | Sue Andrews |
| | c. Multifamily | Michael Colgrove |
| | d. Small Business/Not-for-Profit | Marilyn Dare |
| | e. Workforce Development | Rebecca Sterling |
| V. | Public Input | Frank Murray |
| VI. | Closing Remarks and Next Steps | Frank Murray |

AGENDA
Green Jobs Green New York (GJGNY) Advisory Council Meeting
March 22, 2012
1:00 pm

- | | | |
|------|----------------------------------|-------------------------------------|
| I. | Welcome and Introductions | Frank Murray |
| II. | Budget Adjustment | Karen Hamilton |
| III. | On-Bill Recovery | Jeff Pitkin |
| IV. | Status Updates | |
| | a. One- to Four-Family Homes | John Ahearn |
| | b. Outreach and Marketing | Sue Andrews & Mark Wyman |
| | c. Workforce Development | Amy Savoie (NYSDOL) & Vicki Colello |
| | d. Multifamily | Lee Butler |
| | e. Small Business/Not-for-Profit | Marilyn Dare & Kathryn Fantauzzi |
| V. | Public Input | Frank Murray |
| VI. | Closing Remarks and Next Steps | Frank Murray |
| | a. Next Meetings | |
| | 1. June 26, 2012, 1:00 pm | |
| | 2. September 13, 2012, 1:00 pm | |
| | 3. December 12, 2012, 1:00 pm | |

**Green Jobs Green New York (GJGNY)
Advisory Council Meeting Agenda**

June 26, 2012

1:00 pm

Call in number – 1-866-394-2346

Conference Code – 5819671375

- | | | |
|------|--------------------------------------|-----------------------------|
| I. | Welcome and Introductions | Karen Hamilton |
| II. | Financing Update | Jeff Pitkin |
| III. | Status Updates | |
| | a. One- to Four-Family Homes | John Ahearn |
| | 1. Update on Collaboration with LIPA | |
| | b. Outreach and Marketing | Sue Andrews and Mark Wyman |
| | 1. Aggregation Pilot | Clarke Gocker, PUSH Buffalo |
| | c. Workforce Development | Rebecca Sterling |
| | 1. DOL/Youthworks | |
| | d. Multifamily | Lee Butler |
| | e. Small Business/Not-for-Profit | Marilyn Dare |
| IV. | Annual Report | Peggie Neville |
| V. | Public Input | Karen Hamilton |
| VI. | Closing Remarks and Next Steps | Karen Hamilton |
| | a. Next Meetings | |
| | 1. September 13, 2012, 1:00 pm | |
| | 2. December 12, 2012, 1:00 pm | |

**Green Jobs Green New York (GJGNY)
Advisory Council Meeting Agenda
September 13, 2012
1:00 pm**

Meeting will be held at NYSERDA's Albany, New York City and Buffalo Offices as well as by conference call.

Call in number 1-866-394-2346, Conference Code 5819671375

Welcome and Introductions	Frank Murray
Budget Adjustment	Karen Hamilton
On-Bill Recovery Financing Update	Jeff Pitkin
Jobs and Workforce Development –	
- On-the-Job Training/Job Placement initiatives	Adele Ferranti
- Case Studies	Rebecca Sterling
- Discussion on Tracking and Counting Jobs	Jennifer Meissner
Evaluation - Presentation of Residential Process	Jennifer Meissner and
Evaluation and Market Characterization	Carley Murray
Comments on Draft Annual Report	Karen Hamilton
Public Input	Frank Murray
Closing Remarks and Next Steps	Frank Murray

New York State Energy Research and Development Authority

Albany

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**West Valley Site
Management Program**

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Attachment 2: Residential Audit Application

Most New Yorkers can have a comprehensive home energy assessment for free or at a reduced cost.

To qualify, you need to meet these four requirements:

1. You must own a 1-to-4 unit residential building.
2. Your total household income must meet the guidelines described below (see attached chart).
3. You must not have previously received a free or reduced-cost comprehensive home energy assessment on the building listed below.
4. You must provide a 12-24 month summary of the energy usage for your building. If you do not have access to a full year of data, you can provide the data you have, along with proof of the date of purchase for your home, unit, or building.

Approved applicants will receive a Reservation Number and information about terms and conditions. **Once approved, you will have 90 days to have your comprehensive home assessment completed** by a participating Home Performance with ENERGY STAR contractor. Free or reduced-cost comprehensive home energy assessments are available on a first-come, first-served basis while funding lasts.

APPLICANT INFORMATION *(Please complete all fields, sign and date this application)*

First Name	Middle Initial	Last Name	Check here if you are the building owner <input type="checkbox"/>
Building Address		City	County ZIP
Mailing Address <i>(if different than the above)</i>		Unit #	City County ZIP
Home Phone ()	Cell Phone ()	Email Address	
Residential Building Type <i>(5+ units do not qualify)</i> <input type="checkbox"/> Single Family <input type="checkbox"/> 2-Unit <input type="checkbox"/> 3-Unit <input type="checkbox"/> 4-Unit			Square Footage of Finished Portion of Building <i>(above grade)</i>

HOW DID YOU HEAR ABOUT HOME PERFORMANCE WITH ENERGY STAR? *(Select all that apply)*

Print Ad TV Radio Internet Home Show/Event Neighbor/Friend/Family
 Real Estate Professional Contractor NYSERDA Energy Smart Coordinator Town, Village, City, County
 Constituency-Based Organization CBO NAME: _____

PREFERRED METHOD OF PAY FOR YOUR ENERGY UPGRADES

On-Bill Recovery Loan Unsecured NYSERDA Loan Home Equity Loan Personal Loan Out of Pocket/Cash

HOUSEHOLD INCOME RANGE *(please refer to the attached household income chart)*

My total household income is:
 ≤ 200% AMI ≤ 250% AMI ≤ 300% AMI ≤ 350% AMI ≤ 400% AMI *Households with total income over 400% Area Median Income (AMI) do not qualify*

ENERGY SUPPLIER INFORMATION

Electric Utility _____ Account Number: _____
 Primary Heating Fuel Vendor _____ Gas Oil Propane Other _____ Account Number: _____
 Secondary Heating Fuel Vendor _____ Gas Oil Propane Other _____ Account Number: _____
 Average temperature you set your thermostat to during the winter _____ °F
 Does the building listed above have central air conditioning? Yes No

IMPORTANT: You must provide a record of the previous 12-24 months of electricity and primary heating fuel usage for your building. Your energy supplier can provide you with this information. If you do not have a full year of data because you purchased your home within the last 12 months, you can provide the data you have, along with proof of the date of purchase. If your heating fuel is provided by various suppliers and/or you do not have access to usage data, please provide an estimate of the heating fuel purchased over the past year.

ELIGIBILITY DECLARATION

I certify that I am the owner of the building listed above and the income of all the persons in my household is not more than the amount shown and that the other information I have given on this form is correct to the best of my knowledge and belief. I understand that my signature on this form gives permission for NYSERDA, or its designee, to verify my eligibility for a free/reduced cost NY Home Performance with ENERGY STAR home energy assessment. I understand that if I give false information or withhold information in order to make myself eligible for benefits that I am not entitled to, I can be prosecuted to the fullest extent of the law.

Applicant's Signature

Date

When complete, please mail, fax, or email the signed application and **all supporting documentation** to:

Please send a copy of my comprehensive home energy assessment Reservation Number to the Home Performance Contractor Listed Below:

Mail: **HPwES Energy Audit**
 PO Box 12129
 Albany, NY 12212

Fax: (866) 335-6306
 Email: HPwES-Audit@csggrp.com
 Questions: (855) 838-7818

Contractor Name

Email Address

Household Income Chart

NY Home Performance with ENERGY STAR Median Family Income 2012						
County Name	Median Household Income	200%	250%	300%	350%	400%
Albany	\$78,100	\$156,200	\$195,250	\$234,300	\$273,350	\$312,400
Allegany	\$53,200	\$106,400	\$133,000	\$159,600	\$186,200	\$212,800
Broome	\$61,800	\$123,600	\$154,500	\$185,400	\$216,300	\$247,200
Cattaraugus	\$53,000	\$106,000	\$132,500	\$159,000	\$185,500	\$212,000
Cayuga	\$62,000	\$124,000	\$155,000	\$186,000	\$217,000	\$248,000
Chautauqua	\$54,100	\$108,200	\$135,250	\$162,300	\$189,350	\$216,400
Chemung	\$56,900	\$113,800	\$142,250	\$170,700	\$199,150	\$227,600
Chenango	\$56,600	\$113,200	\$141,500	\$169,800	\$198,100	\$226,400
Clinton	\$63,300	\$126,600	\$158,250	\$189,900	\$221,550	\$253,200
Columbia	\$71,000	\$142,000	\$177,500	\$213,000	\$248,500	\$284,000
Cortland	\$59,800	\$119,600	\$149,500	\$179,400	\$209,300	\$239,200
Delaware	\$54,400	\$108,800	\$136,000	\$163,200	\$190,400	\$217,600
Dutchess	\$87,200	\$174,400	\$218,000	\$261,600	\$305,200	\$348,800
Erie	\$66,100	\$132,200	\$165,250	\$198,300	\$231,350	\$264,400
Essex	\$60,100	\$120,200	\$150,250	\$180,300	\$210,350	\$240,400
Franklin	\$52,100	\$104,200	\$130,250	\$156,300	\$182,350	\$208,400
Fulton	\$51,500	\$103,000	\$128,750	\$154,500	\$180,250	\$206,000
Genesee	\$60,800	\$121,600	\$152,000	\$182,400	\$212,800	\$243,200
Greene	\$59,000	\$118,000	\$147,500	\$177,000	\$206,500	\$236,000
Hamilton	\$59,800	\$119,600	\$149,500	\$179,400	\$209,300	\$239,200
Herkimer	\$58,800	\$117,600	\$147,000	\$176,400	\$205,800	\$235,200
Jefferson	\$54,800	\$109,600	\$137,000	\$164,400	\$191,800	\$219,200
Lewis	\$51,200	\$102,400	\$128,000	\$153,600	\$179,200	\$204,800
Livingston	\$68,700	\$137,400	\$171,750	\$206,100	\$240,450	\$274,800
Long Island						
Nassau & Suffolk	\$107,500	\$215,000	\$268,750	\$322,500	\$376,250	\$430,000
Madison	\$ 66,600	\$133,200	\$166,500	\$199,800	\$233,100	\$266,400
Monroe	\$ 68,700	\$137,400	\$171,750	\$206,100	\$240,450	\$274,800
Montgomery	\$ 56,800	\$113,600	\$142,000	\$170,400	\$198,800	\$227,200
New York City						
Bronx, Kings, New York, Queens, Richmond	\$ 65,000	\$130,000	\$162,500	\$195,000	\$227,500	\$260,000
Niagara	\$ 66,100	\$132,200	\$165,250	\$198,300	\$231,350	\$264,400
Oneida	\$ 58,800	\$117,600	\$147,000	\$176,400	\$205,800	\$235,200
Onondaga	\$ 66,600	\$133,200	\$166,500	\$199,800	\$233,100	\$266,400
Ontario	\$ 68,700	\$137,400	\$171,750	\$206,100	\$240,450	\$274,800
Orange	\$ 87,200	\$174,400	\$218,000	\$261,600	\$305,200	\$348,800
Orleans	\$ 68,700	\$137,400	\$171,750	\$206,100	\$240,450	\$274,800
Oswego	\$ 66,600	\$133,200	\$166,500	\$199,800	\$233,100	\$266,400
Otsego	\$ 58,100	\$116,200	\$145,250	\$174,300	\$203,350	\$232,400
Putnam	\$ 65,000	\$130,000	\$162,500	\$195,000	\$227,500	\$260,000
Rensselaer	\$ 78,100	\$156,200	\$195,250	\$234,300	\$273,350	\$312,400
Rockland	\$103,100	\$206,200	\$257,750	\$309,300	\$360,850	\$412,400
Saratoga	\$ 78,100	\$156,200	\$195,250	\$234,300	\$273,350	\$312,400
Schenectady	\$ 78,100	\$156,200	\$195,250	\$234,300	\$273,350	\$312,400
Schoharie	\$ 78,100	\$156,200	\$195,250	\$234,300	\$273,350	\$312,400

Schuyler	\$ 55,200	\$ 110,400	\$ 138,000	\$ 165,600	\$ 193,200	\$ 220,800
Seneca	\$ 56,100	\$ 112,200	\$ 140,250	\$ 168,300	\$ 196,350	\$ 224,400
St. Lawrence	\$ 52,600	\$ 105,200	\$ 131,500	\$ 157,800	\$ 184,100	\$ 210,400
Steuben	\$ 55,100	\$ 110,200	\$ 137,750	\$ 165,300	\$ 192,850	\$ 220,400
Sullivan	\$ 61,500	\$ 123,000	\$ 153,750	\$ 184,500	\$ 215,250	\$ 246,000
Tioga	\$ 61,800	\$ 123,600	\$ 154,500	\$ 185,400	\$ 216,300	\$ 247,200
Tompkins	\$ 73,800	\$ 147,600	\$ 184,500	\$ 221,400	\$ 258,300	\$ 295,200
Ulster	\$ 73,900	\$ 147,800	\$ 184,750	\$ 221,700	\$ 258,650	\$ 295,600
Warren	\$ 62,600	\$ 125,200	\$ 156,500	\$ 187,800	\$ 219,100	\$ 250,400
Washington	\$ 62,600	\$ 125,200	\$ 156,500	\$ 187,800	\$ 219,100	\$ 250,400
Wayne	\$ 68,700	\$ 137,400	\$ 171,750	\$ 206,100	\$ 240,450	\$ 274,800
Westchester	\$ 107,900	\$ 215,800	\$ 269,750	\$ 323,700	\$ 377,650	\$ 431,600
Wyoming	\$ 60,800	\$ 121,600	\$ 152,000	\$ 182,400	\$ 212,800	\$ 243,200
Yates	\$ 58,900	\$ 117,800	\$ 147,250	\$ 176,700	\$ 206,150	\$ 235,600

NOTES:

The NY Home Performance with ENERGY STAR audit fee for single family buildings with less than 3,500 square feet of above grade conditioned space will be \$250 as described in the table below.

Single Unit NY Home Performance Audit Fees

Household Income	Cost to Customer	NYSERDA Payment to Contractor
≤ 200% AMI	- 0 -	\$250
201 - 250% AMI	\$50	\$200
251 - 300% AMI	\$100	\$150
301 - 350% AMI	\$150	\$100
351 - 400% AMI	\$200	\$50
> 400% AMI	Market Rate	- 0 -

A residential building with 2-4 dwelling units, or a single unit with greater than 3,500 square feet of above grade conditioned space, will be eligible for a \$400 audit fee as described in the table below.

2-4 Units NY Home Performance Audit Fees

Household Income	Cost to Customer	NYSERDA Payment to Contractor
≤ 200% AMI	- 0 -	\$400
201 - 250% AMI	\$80	\$320
251 - 300% AMI	\$160	\$240
301 - 350% AMI	\$240	\$160
351 - 400% AMI	\$320	\$80
> 400% AMI	Market Rate	- 0 -

Data Source: http://www.huduser.org/portal/datasets/il/il2012/select_Geography_mfi.odn

* NY Home Performance offers financing, energy audits, and workforce development opportunities as part of the Green Jobs-Green NY Act of 2009.

Attachment 3: NY Home Performance with ENERGY STAR® Eligible
Measures and Accessories List



Home Performance with ENERGY STAR® Eligible Measures and Accessories

Listed below is a general guide to energy efficiency upgrades that qualify for the NYSERDA's Home Performance with ENERGY STAR (HPwES) Program. Please remember that eligibility may vary based on energy efficiency requirements, fuel types, and your utility. Before you move forward with your energy efficiency project, check with your contractor to ensure the upgrades you plan to make qualify for HPwES.

Except as noted, the measures below are eligible for either a 10% cash back High Efficiency Measure Incentive (HEMI) or the 50% Assisted Subsidy for households with incomes that qualify for the Assisted HPwES Program. Low-interest financing is available for all listed measures.

To qualify for incentives and financing through HPwES, projects must meet two requirements:

1. They must be installed by a [participating Building Performance Institute \(BPI\) accredited Home Performance contractor](#).
2. The expected energy savings over the lifetime of the upgrades must be greater than the project cost. In other words, your energy efficiency upgrades should pay for themselves with the savings they create. For additional information about projects using Program Financing, visit <http://nyserda.ny.gov/residential-financing>.

Primary Heating and Cooling System

- High efficiency furnace
- High efficiency boiler
- Air source heat pump¹
- Ground source heat pump¹
- Wood/solid fuel pellet stove¹
- Distribution improvements, duct work, and radiators²
- Duct sealing
- Pipe insulation
- Programmable thermostat
- Central air conditioner^{3,4}

Water Heater and Conservation

- High efficiency water heater (electric or natural gas)¹
- High efficiency water heater (oil or propane)
- Indirect-fired tank water heater (all fuels)
- Hot water tank insulation²
- Solar Thermal¹
- Faucet aerator
- Low flow showerhead

Building Shell

- Air sealing
- Insulation (*pipes, hot water tank, attic, basements, walls, crawl spaces, etc.*)
- Exterior doors¹
- Movable window insulation¹
- Replacement windows¹
- Storm windows and doors¹

High Efficiency Appliances and Lighting

- ENERGY STAR CFL bulbs
- ENERGY STAR LEDs¹
- ENERGY STAR Light fixtures¹
- ENERGY STAR Clothes washer¹
- ENERGY STAR Dishwasher¹
- ENERGY STAR Dehumidifier
- ENERGY STAR Freezer
- ENERGY STAR Refrigerator
- ENERGY STAR Room air conditioner

Health and Safety¹

- Dryer vent repair
- Gas leak repair
- Gas oven replacements (*Venting repairs and repairs to reduce carbon monoxide*)
- Measures to prevent Combustion Appliance Zone depressurization, spillage or inadequate draft
- Repairs and upgrades to heating and/or DHW systems (*Correct for spillage, inadequate draft, carbon monoxide failures*)
- Heat/energy recovery ventilator
- Smoke, radon, and carbon monoxide detectors
- Ventilation Fans

- Notes:
1. This measure is only eligible for Program Financing.
 2. The 10 percent HEMI and 50 percent Assisted Subsidy is only available for customers with oil or propane as their primary fuel type.
 3. Not available through Assisted HPwES.
 4. Check with your contractor for site specific eligibility outside of Con Edison and Central Hudson electric territories.



QUALIFIED ACCESSORIES

If you finance your energy efficiency upgrades with a low-interest loan offered through HPwES, you can use your loan to pay for certain accessories that do not qualify for other program incentives. These accessories may include the following:

- grills
- diffusers
- chimney liners
- chimney caps
- air cleaners
- furnace humidifier
- thermostats
- oil burner replacements
- moisture barriers
- attic venting

Accessory items included in work scopes that involve converting from one type of fuel to another (for example, from electric baseboard heating to a natural gas furnace) may also be paid for with the low-interest loan, provided the new heating system is installed through the HPwES Program and meets the cost-effectiveness requirement. Examples of these fuel-switching accessories are: gas main extensions, new oil tanks, service laterals, and piping.

Additional Health & Safety Measures

The first \$2,000 of costs associated with any combination of the following measures may be paid with a low-interest loan offered through HPwES but are not eligible for the 10% cash back HEMI or the 50% Assisted Subsidy:

- Asbestos abatement or electrical service upgrade necessary when installing a new heating/cooling unit
- Upgrade of knob and tube wiring in order to install insulation
- Radon and lead abatement work
- The cost of removing an oil tank or replacing a faulty oil tank when done in connection with a heating system replacement
- Repairs to the home due to water damage, molds and mildew, ice dams or other symptoms of poor building performance, as long as the cause(s) of building performance-related damage are addressed

COST EFFECTIVENESS REQUIREMENT: SAVINGS-TO-INVESTMENT RATIO (SIR) CALCULATION

To be eligible for HPwES, energy efficiency upgrades must have a SIR of greater than 1.0. That means the expected energy savings over the weighted useful life of each upgrade of must be greater than its cost. Costs associated with health, safety and/or qualified accessories can be subtracted from cost used in the SIR calculation. This subtraction is capped at 15 percent of the eligible work scope, up to \$2,000.

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

To learn more about NYSERDA programs and funding opportunities visit nyserda.ny.gov

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State of New York
Andrew M. Cuomo, Governor

Green Jobs — Green New York
Annual Report
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