



NYSERDA

**New York's Regional
Greenhouse Gas
Initiative-Funded
Programs Status Report**
Quarter Ending March 31, 2015

Final Report

NYSERDA's Promise to New Yorkers:

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

Mission Statement:

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

Vision Statement:

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

NYSERDA Record of Revision

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**New York's Regional Greenhouse Gas Initiative-
Funded Programs Status Report
Quarter Ending March 31, 2015**

Final Report

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New York State Energy Research and Development Authority

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Acronyms and Abbreviations

AHPwES	Assisted Home Performance with ENERGY STAR®
CBO	constituency-based organization
CGC	Cleaner, Greener Communities
CO ₂	carbon dioxide
CO ₂ e	carbon dioxide equivalents
EEPS	Energy Efficiency Portfolio Standard
EFC	New York State Environmental Facilities Corporation
EPA	U.S. Environmental Protection Agency
ERP	Energy Reduction Plan
GHG	greenhouse gas
GJGNY	Green Jobs - Green New York
HPwES	Home Performance with ENERGY STAR®
kW	kilowatt
kWh	kilowatt-hour
LIPA	Long Island Power Authority
MMBtu	million British thermal units
MPP	Multifamily Performance Program
MW	megawatt
MWh	megawatt-hour
NYPA	New York Power Authority
NYS or State	New York State
NYSDOL	New York State Department of Labor
NYSERDA	New York State Energy Research and Development Authority
OBR	On-Bill Recovery Financing Program
PON	Program Opportunity Notice
PV	photovoltaic (also known as solar electric)
RFP	request for proposals
RGGI	Regional Greenhouse Gas Initiative
RPS	Renewable Portfolio Standard
SBC	System Benefits Charge
ST	solar thermal
WFD	Workforce Training and Development

1 Introduction

To implement the Regional Greenhouse Gas Initiative (RGGI), New York State (NYS or the State) established its Carbon Dioxide (CO₂) Budget Trading Program through regulations promulgated by the Department of Environmental Conservation (DEC) and the CO₂ Allowance Auction Program through regulations promulgated by the New York State Energy Research and Development Authority (NYSERDA). This report is prepared pursuant to the New York's Regional Greenhouse Gas Initiative Investment Plan (2015 Operating Plan) and provides an update on the progress of programs through the quarter ending March 31, 2015. It contains an accounting of program spending; an estimate of program benefits; and a summary description of program activities, implementation, and evaluation. An amendment providing updated program descriptions and funding levels for the 2015 version of the Operating Plan was approved by NYSEERDA's Board on June 18, 2015.

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

2 Summary of Portfolio and Program Benefits

An overview of the quantifiable benefits that are expected to be achieved with expended and encumbered funds through this quarter related to carbon dioxide equivalent (CO₂e) reductions, energy savings, and energy bill savings is presented in this section. For more information on the methodology used to calculate CO₂e reductions and energy bill savings, see Appendix A. Former program names are listed in Appendix B. Detailed benefits results are presented in Appendix C.

The estimated cumulative annualized and expected lifetime benefits as of March 31, 2015, at the portfolio and program levels, are shown in Table 1 and Table 2, respectively.¹ Investment benefits are further compared by fuel type in Figure 1. NYSERDA begins tracking program benefits once projects have been installed, and provides estimated benefits for projects under contract but not yet operational (pipeline benefits). These benefits are estimated based on the expected lifetime benefits from installed and pipeline savings. The metrics presented in this section are estimates and have not been evaluated. When evaluation results are available, they will be presented in future Evaluation and Status Reports, which will include these metrics along with macroeconomic indicators such as job creation resulting from program activity. The reporting of fund transfers may lag behind the installation date such that program benefits are reported prior to the financial reporting of funds spent. At this time, the program benefits include some projects that are also supported by other non-RGGI funding sources administered by NYSERDA.

Figure 1 shows energy savings, emission reductions, and participant energy bill savings realized through RGGI-funded projects by project fuel type as of March 31, 2015.

Key observations during this quarter:

- Energy efficiency comprised 36 percent of energy savings, 22 percent of emission reductions, and 36 percent of bill savings.
- #2 oil comprised 27 percent of energy savings, 43 percent of emission reductions, and 38 percent of bill savings.
- Natural gas comprised 20 percent of energy savings, 23 percent of emission reductions, and 7 percent of bill savings.

¹ Cumulative annual benefits are reflective of the annual impacts from all currently operational projects installed, projects under a signed contract and projects with an application received that are not yet operational since program inception. Expected lifetime benefits are reflective of the total impacts over the entire lifecycle from all currently operational projects installed, projects under a signed contract and projects with an application received that are not yet operational since program inception. Please see Table A-4 in Appendix A for the measure-life assumptions.

- #2 oil accounts for a much larger share of emission reductions and bill savings than natural gas because natural gas emits less carbon dioxide and costs less per unit of energy produced.
- Renewable generation comprised 16 percent of energy savings, 10 percent of emission reductions, and 17 percent of bill savings.
- Renewable generation and energy efficiency are responsible for a relatively small share of emission reductions in part because the average emissions factor for in-state electricity generation has diminished over the past decade with the retirement of coal generators and addition of new renewable energy sources.
- Other fuels (including propane, steam, wood, kerosene, coal, and #6 oil) comprised 2 percent of energy savings, 2 percent of emission reductions, and 1 percent of bill savings.

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

Table 1. Summary of Expected Cumulative Portfolio Benefits through March 31, 2015

Benefits through March 31, 2015^a	Net Greenhouse Gas Emission Savings^b (Tons CO₂e^c)	Total Net Fuel Savings (MMBtu)^f	Net Efficiency Electricity Savings (MWh)	Net Renewable Energy Generation (MWh)	Total Net Electricity Savings/Generation (MWh)	Energy Bill Savings to Participating Customers (\$ Million)^g
Cumulative Annualized Installed Savings^d	191,322	1,614,354	120,453	54,642	175,095	58.5
Cumulative Annualized Pipeline Savings^e	112,232	841,985	103,944	50,678	154,622	38.8
Cumulative Annualized Committed Savings^f	303,554	2,456,339	224,397	105,320	329,717	97.3
Expected Lifetime Total Savings^g	5,786,284	48,228,422	3,741,268	2,633,003	6,374,271	1,994.6

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

Table 2. Summary of Expected Cumulative Annualized Program Benefits through March 31, 2015

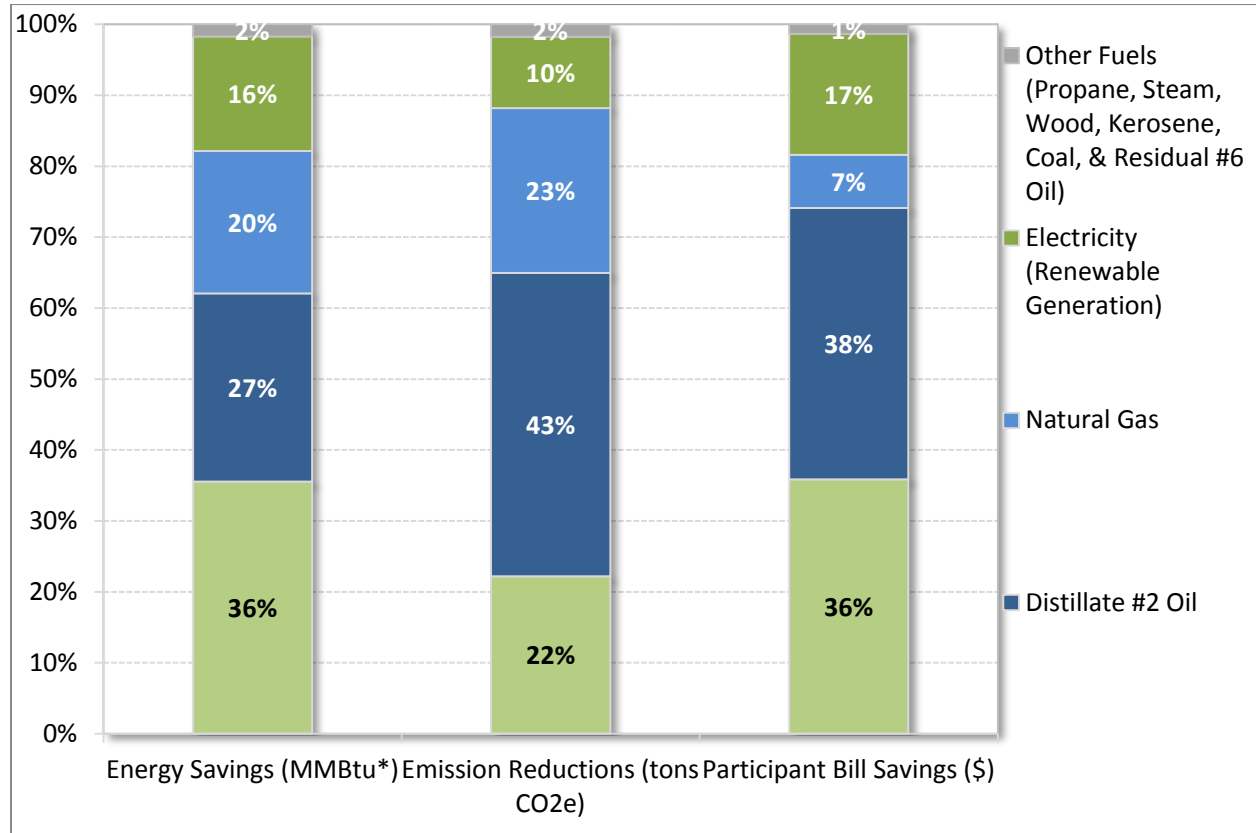
Program	Costs (millions of dollars)		Net Energy Savings (Annualized MMBtu)					Net Electricity Savings or Renewable Energy Generation (Annualized MWh)					Net Greenhouse Gas Emission Savings ^a (Annualized Tons CO ₂ e ^b)				
	Total Incentives ^c	Total Associated Costs ^d	Installed Savings ^e	Pipeline Savings ^f	Total Committed Savings ^g	\$/MMBtu Savings ^h	\$/MMBtu EXPECTED LIFETIME Savings ⁱ	Installed Savings ^e	Pipeline Savings ^f	Total Committed Savings ^g	\$/MWh Savings ^h	\$/MWh EXPECTED LIFETIME Savings ⁱ	Installed Savings ^e	Pipeline Savings ^f	Total Committed Savings ^g	\$/Ton CO ₂ e Savings ^h	\$/CO ₂ e EXPECTED LIFETIME Savings ⁱ
Green Jobs - Green New York																	
GJGNY - Single-Family Residential Audit Component ^l	\$20.0	\$1.0	646,916	314,258	961,174	22	1	7,944	3,883	11,827	1,772	98	49,447	24,029	73,476	285	12
GJGNY - Single-Family Residential Loan Component ^l	\$37.1	\$6.0	353,948	57,145	411,092	105	5	11,882	1,928	13,810	3,118	164	29,591	4,781	34,371	1,253	56
GJGNY - Multifamily Residential Audit Component ^l	\$3.4	\$1.4	554,804	250,798	805,602	6	0.4	35,582	16,085	51,667	94	7	46,853	21,180	68,033	71	5
GJGNY - Small Commercial Loan Component	\$0.5	\$0.2	3,879	1,591	5,470	125	6	452	595	1,047	655	50	371	285	655	1,047	62
Energy Efficiency																	
LIPA Energy Efficiency and Renewable Energy Initiative ^k	\$69.8	-	-	-	-	-	-	86,414	72,837	159,251	438	23	27,004	22,762	49,766	1,403	74
Multifamily Performance Program	\$15.4	\$1.8	233,554	326,481	560,035	31	2	4,778	6,679	11,456	1,502	116	19,978	27,927	47,905	359	23
Multifamily Carbon Emissions Reduction Program ^l	\$5.7	\$0.2	-	-	-	-	-	-	-	-	-	-	21,793	2,976	24,770	236	18
EmPower New York	\$13.8	\$0.9	68,109	86,825	154,934	95	4	-	-	-	-	-	5,225	6,785	12,010	1,224	51
Home Performance with ENERGY STAR [®]	\$13.6	\$1.3	216,649	12,573	229,221	65	3	1,187	76	1,263	11,808	656	18,036	1,013	19,049	783	33
Green Residential Building Program	\$2.5	\$0.3	36,548	-	36,548	75	3	1,573	-	1,573	1,748	97	2,663	-	2,663	1,032	45
Solar Thermal Incentive Program	\$1.1	\$0.1	3,648	-	3,648	341	17	-	-	-	-	-	266	-	266	4,670	233
Low-Rise Residential New Construction Program	\$0.7	-	4,920	5,151	10,071	71	3	221	325	546	1,304	72	406	454	860	827	36
Renewable Energy																	
Renewable Heat New York	\$0.2	\$0.3	395	-	395	1,356	68	22	-	22	24,622	1,231	28	-	28	19,393	970
NY-Sun Initiative	\$34.7	-	-	-	-	-	-	29,116	50,639	79,755	435	17	9,099	15,825	24,923	1,392	56
NYSERDA Solar Electric	\$5.2	\$0.1	-	-	-	-	-	2,049	39	2,088	2,548	102	640	12	652	8,154	326
Community Clean Energy																	
Regional Economic Development & GHG Reduction	\$0.8	-	-	5,812	5,812	145	8	-	3,687	3,687	229	13	-	1,542	1,542	547	30
Cross-Program Overlap ^m	N/A	N/A	-509,013	-218,649	-727,662	N/A	N/A	-6,124	-2,151	-8,275	N/A	N/A	-40,078	-17,338	-57,417	N/A	N/A
TOTAL Annualized Cumulative Benefits	\$224.5	\$13.6	1,614,354	841,985	2,456,339	97	N/A	175,095	154,622	329,717	722	N/A	191,322	112,232	303,554	784	N/A
TOTAL Expected Lifetime Cumulative Benefits	\$224.5	\$13.6	32,372,789	15,855,633	48,228,422	N/A	5	3,347,702	3,026,569	6,374,271	N/A	37	3,652,101	2,134,183	5,786,284	N/A	41

Table notes are on the next page

Table 2 continued

- ^a These emission reductions are associated with both electric and fossil-fuel saving measures. Under a cap-and-trade system, the total number of emission allowances is determined by regulation. Regulated entities can purchase allowances and collectively emit up to the cap that is currently in place. Therefore, in the near term, electric efficiency projects may not decrease the overall amount of emissions going into the atmosphere. However, electric efficiency projects will reduce end users' responsibility or footprint associated with emissions from electricity production.
- ^b CO₂e stands for carbon dioxide equivalent and describes the amount of CO₂ that would have the same global warming potential as a given mixture of gases based on factors published by the Intergovernmental Panel on Climate Change.
- ^c Inclusive of incentive dollars for expenditures, encumbrances, and contract pre-encumbrances.
- ^d Inclusive of all non-incentive expenditures.
- ^e Inclusive of savings from all currently operational projects installed since program inception.
- ^f Inclusive of savings from all projects under a signed contract and projects with an application received that are not yet operational.
- ^g The sum of Installed Savings and Pipeline Savings.
- ^h The sum of Total Incentives and Total Associated Costs divided by Total Committed Savings.
- ⁱ The sum of Total Incentives and Total Associated Costs divided by the Expected Lifetime Total Committed Savings. Inclusive of cross-program overlap.
- ^j The benefits for this program include some projects that have also been supported by other non-RGGI NYSERDA funding sources.
- ^k Installed savings for this program decreased from last quarter due to a change in methodology.
- ^l The Multifamily Carbon Emissions Reduction Program is a fuel-switching program and does not claim any energy or bill savings.
- ^m Cross-program overlap accounts for projects that received any combination of a GJGNY assessment, a GJGNY loan, or a RGGI-funded incentive through the Home Performance with ENERGY STAR[®] Program.

Figure 1. Percent Contribution by Fuel Type for Energy Savings, Emission Reductions, and Bill Savings through March 31, 2015



* To convert to source MMBtu, the kWh savings and generation for the electric measures were adjusted to account for savings at the source of generation. This approach enables an order of magnitude comparison between electric and fuel energy savings/generation. The source factor used is 9,860 Btu/kWh, which is based on a three-year rolling average (2009, 2010, and 2011) of the amount of fossil fuel energy generated to produce electricity over the three-year period, and includes a line loss factor of 7.2 percent.

3 Funds

3.1 Proceeds

As of March 31, 2015, New York State sold nearly 279.0 million CO₂ allowances and received nearly \$760.2 million in auction proceeds. In addition, nearly \$6.6 million in interest was earned on the RGGI portfolio and nearly \$1.8 million in interest was earned on the Green Jobs - Green New York (GJGNY) program. More than \$5.9 million in interest earnings were allocated on the RGGI portfolio and nearly \$1.8 million in interest earnings were allocated on the Green Jobs - Green New York (GJGNY) program. The allocated interest earnings are re-invested for program implementation and are distributed across various RGGI programs. Detailed auction proceeds and total funds for NYS RGGI are presented in Appendix D and Appendix E, respectively. Total NYS RGGI funds are listed in Table 3, and detailed auction proceeds for NYS RGGI are visually displayed in Figure 2.

Table 3. New York State's RGGI Auction Results and Funds through March 31, 2015^a

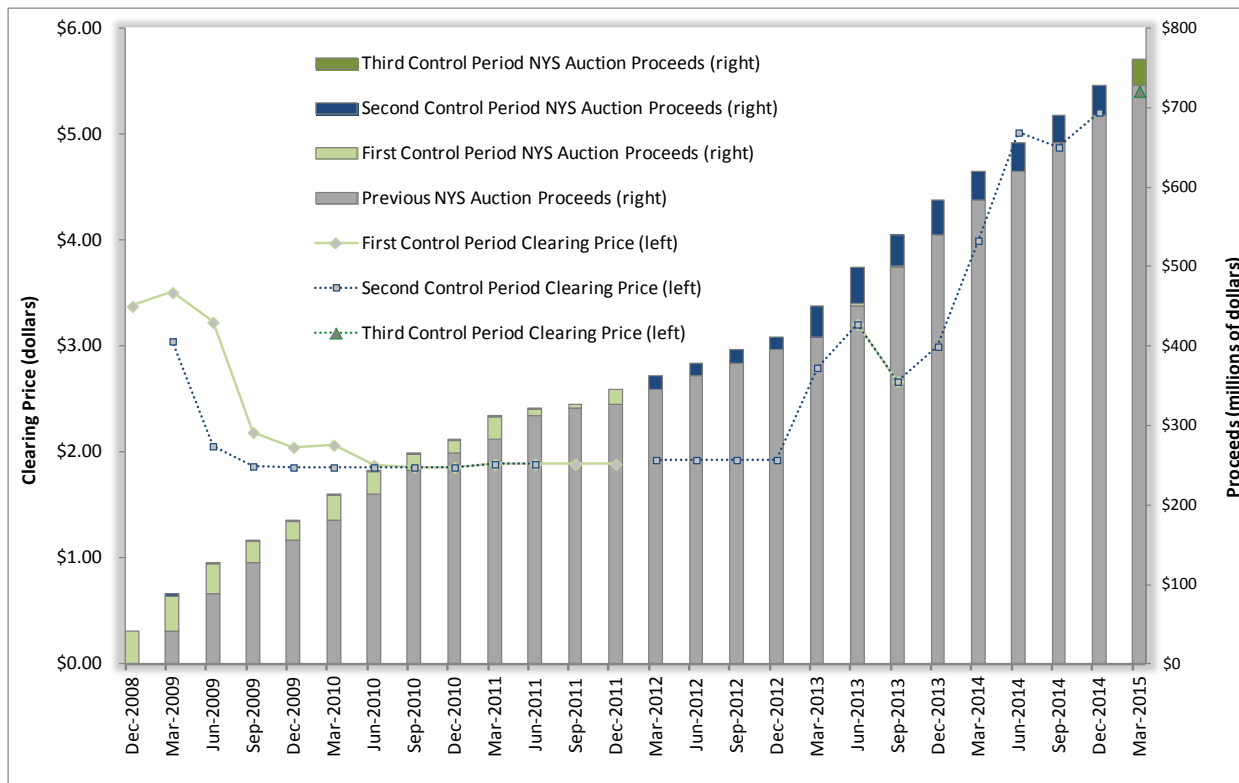
Source: RGGI, Inc. and NYSERDA

Fund Category	NYS Allowances Sold	Cumulative Funds
First Control Period Total	144,305,904	336,282,535
Second Control Period Total	128,764,643	391,950,232
Third Control Period Total	5,906,447	31,953,878
RGGI Auction Proceeds	278,976,994	760,186,645
RGGI Portfolio Interest Earnings		\$6,552,530
GJGNY Program Interest Earnings		\$1,797,193
TOTAL Funds		\$768,536,368

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

Figure 2. New York State’s RGGI Auction Results through March 31, 2015

Source: RGGI, Inc.



3.2 Budget

Financial data for the approved RGGI programs through March 31, 2015, are presented in Table 4 through Table 6. Table 4 presents the current expended, encumbered, and committed funds for each program and reflects how \$768.5 million of current funds are distributed across the six major program areas and other costs:

- Renewable Energy.
- Energy Efficiency.
- Innovation GHG Abatement Strategies.
- Community Clean Energy.
- Green Jobs – Green New York.
- NY Green Bank.

Table 5 and Table 6 present the financial data for the approved GJGNY program and NY Green Bank, respectively, through March 31, 2015.

Table 4. Available Funding and Financial Status through March 31, 2015 (millions of dollars)

Source: NYSERDA

	Budgeted Funds ^a	Expended Funds ^b	Open Encumbrances ^c	Pre-Encumbrances ^d	Committed Funds ^e	Remaining Balance ^f
Renewable Energy						
Renewable Heat NY	4.0	0.4	0.7	2.9	4.0	-
NY-Sun	56.5	15.8	7.9	15.6	39.2	17.2
NYSERDA Solar Electric Programs	5.3	5.3	0.03	-	5.3	-
NY Generation Attribute Tracking	1.5	-	-	1.5	1.5	-
Advanced Renewable Energy	2.9	2.8	0.02	-	2.8	0.1
Total Renewable Energy	70.2	24.2	8.7	20.0	52.8	17.3
Energy Efficiency						
LIPA Energy Efficiency and Renewable Energy Initiative	67.9	45.2	-	22.7	67.9	-
Residential Efficiency Services	70.9	41.7	8.0	8.7	58.3	12.6
Municipal Water and Wastewater	1.2	1.2	-	-	1.2	-
Total Energy Efficiency	140.0	88.1	8.0	31.4	127.5	12.6
Innovative GHG Abatement Strategies						
Industrial Innovations	13.8	4.4	7.7	0.9	13.0	0.8
Climate Research and Analysis	10.4	4.5	1.4	1.9	7.7	2.7
Clean Energy Business Development	24.6	7.3	6.3	8.2	21.8	2.8
Charge NY	4.0	-	-	-	-	4.0
Transportation Research	4.3	1.8	0.03	-	1.8	2.5
Carbon Capture and Sequestration	1.0	1.0	-	-	1.0	-
Advanced Buildings	4.6	0.9	0.8	2.9	4.6	-
Competitive Greenhouse Gas Reduction Pilot	14.5	-	-	14.5	14.5	-
Total Innovative GHG Abatement Strategies	77.2	19.9	16.2	28.5	64.5	12.7
Community Clean Energy						
Climate Smart Communities	6.0	3.3	0.9	0.2	4.4	1.6
Economic Development Growth Extension	7.0	3.5	0.7	0.5	4.8	2.3
Cleaner, Greener Communities	100.6	13.6	15.5	43.4	72.5	28.1
Regional Economic Development and Greenhouse Gas Reductions	10.4	5.5	4.8	-	10.3	0.1
Total Community Clean Energy	124.1	25.9	22.0	44.1	92.0	32.1
Other Costs^g						
Deficit Reduction Plan (DRP) Transfer ^h	90.0	90.0	-	-	90.0	-
Con Edison Smart Grid Program ⁱ	19.5	19.5	-	-	19.5	-
Program Administration ^j	20.9	14.7	0.03	-	14.7	6.2
Metrics and Evaluation	11.3	2.3	2.7	0.7	5.7	5.5
RGGI Inc. Costs ^k	7.7	5.6	0.4	-	6.0	1.7
New York State Cost Recovery Fee	11.6	4.5	-	-	4.5	7.1
Surplus	23.5	-	-	-	-	23.5
Unallocated Interest Earnings	0.7	-	-	-	-	0.7
OTHER COSTS TOTAL	185.1	136.5	3.1	0.7	140.4	44.7
SUBTOTAL	596.6	294.6	57.9	124.7	477.2	119.4
Green Jobs - Green New York						
Green Jobs - Green New York	119.0	87.2	12.9	9.2	109.2	9.8
NY Green Bank						
NY Green Bank	52.9	1.4	-	-	1.4	51.6
TOTAL^l	768.5	383.2	70.8	133.9	587.8	180.7

Table notes are on the next page

Table 4 continued

- a Includes auction proceeds and allocated interest on the RGGI and GJGNY portfolios. The allocation is consistent with the three-year budget presented in the Operating Plan.
- b Invoices processed for payment by NYSERDA.
- c Remaining funding obligated under a contract, purchase order, or incentive award.
- d Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates, adjusted so that the sum of the project commitments does not exceed Budgeted Funds. NYSERDA's annual audited financial statements may reflect project commitments in excess of Budgeted Funds. These commitments are expected to decrease over time due to project attrition and differences in estimated versus actual costs.
- e The sum of Expended, Encumbered, and Pre-Encumbered funds.
- f The difference between Budgeted Funds and Committed Funds.
- g The values for Program Administration, Metrics and Evaluation, and the New York State Cost Recovery Fee represent aggregate funds and commitments for RGGI-funded activities, NOT including GJGNY. For information on GJGNY finances, refer to Table 5.
- h On December 4, 2009, New York State enacted numerous deficit reduction measures that included the transfer of \$90 million in RGGI auction proceeds to the General Fund following the global financial crisis.
- i On December 22, 2009, NYSERDA's Board approved a proposed consent decree that resolves the legal challenge to the State's RGGI program. In October 2010, State Supreme Court Judge Thomas J. McNamara signed a Stipulation and Order of Discontinuance signed by all the parties, thereby formally ending the litigation. The parties to the consent decree presently estimate that the total commensurate benefit for the calendar years 2009-2017 is \$18.9 million and agreed to dedicate such funds for the development of smart grid technologies in the Con Edison territory. The budget reflects allocations that are intended to fund NYSERDA's estimated liability for each calendar year control period consistent with the timing of estimated cash payments due to Con Edison. NYSERDA is also responsible for certain additional costs that may be incurred through 2017. NYSERDA's annual audited financial statements show an amount expended of \$18.0 million to reflect these additional estimated costs that were required to be recorded.
- j Includes NYSERDA's upfront administrative expenses related to the development and implementation of the CO₂ Budget Trading Program, the CO₂ Allowance Auction program, and the Operating Plan.
- k The first-year budget includes RGGI Inc. start-up costs and New York State's share of ongoing RGGI Inc. expenses. RGGI Inc. is a nonprofit corporation created to support development and implementation of the CO₂ Budget Trading Program.
- l Totals may not sum exactly due to rounding.

Table 5. Green Jobs - Green New York Available Funding and Financial Status through March 31, 2015 (millions of dollars)

	Budgeted Funds ^a	Expended Funds ^b	Open Encumbrances ^c	Pre-Encumbrances ^d	Committed Funds ^e	Remaining Balance ^f
Workforce Development, Outreach and Marketing						
Workforce Development	7.3	5.5	1.5	-	7.0	0.3
Outreach and Marketing	15.5	11.1	2.8	0.1	14.0	1.5
Total Workforce Development, Outreach and Marketing	22.8	16.6	4.3	0.1	21.0	1.9
Residential						
Energy Assessment Incentive	22.4	17.7	-	2.2	20.0	2.5
Implementation Costs	1.0	1.0	-	-	1.0	0.05
Financing: Loans	35.1	85.7	-	6.4	92.1	
Financing: Loan Repayments	-	(9.0)	-	-	(9.0)	
Financing: Implementation Costs	-	4.9	0.3	-	5.2	
Financing: Bond Proceeds	-	(24.3)	-	-	(24.3)	
Financing: Bond Issue Costs	-	1.1	-	-	1.1	
Financing: Short Term Note	-	(30.0)	-	-	(30.0)	
Total Financing	35.1	28.4	0.3	6.4	35.1	-
Total Residential	58.5	47.1	0.3	8.6	56.0	2.5
Multifamily						
Energy Assessments	3.8	2.4	1.1	0.003	3.5	0.3
Implementation Costs	1.6	1.4	-	-	1.4	0.2
Financing: Loans	5.1	3.3	0.1	0.43	3.8	
Financing: Loan Repayments	-	(0.8)	-	-	(0.8)	
Financing: Implementation Costs	0.3	0.1	0.2	-	0.3	
Total Financing	5.4	2.6	0.3	0.43	3.4	2.1
Total Multifamily	10.8	6.4	1.4	0.43	8.2	2.6
Small Commercial						
Energy Assessments	8.6	4.3	4.3	-	8.6	-
Implementation Costs	1.0	0.6	0.5	-	1.0	-
Financing: Loans	1.5	0.5	-	-	0.5	
Financing: Loan Repayments	-	(0.1)	-	-	(0.1)	
Financing: Implementation Costs	0.3	0.2	0.3	-	0.5	
Total Financing	1.8	0.7	0.3	-	1.0	0.8
Total Small Commercial	11.4	5.5	5.1	-	10.6	0.8
SUBTOTAL	103.7	75.7	11.0	9.2	95.9	7.8
Other Costs						
Program Administration	7.8	7.6	-	-	7.6	0.2
Program Evaluation	5.6	2.4	1.9	-	4.3	1.3
New York State Cost Recovery Fee	1.9	1.5	-	-	1.5	0.4
Unallocated Interest Earnings	0.02	-	-	-	-	0.0
OTHER COSTS TOTAL	15.4	11.5	1.9	-	13.4	2.0
TOTAL^g	119.0	87.2	12.9	9.2	109.2	9.8

^a Includes auction proceeds and allocated interest on the Green Jobs - Green New York (GJGNY) funds. The allocation is consistent with the three-year budget presented in the 2013 RGGI Operating Plan.

^b Invoices processed for payment by NYSERDA.

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

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

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

^f The difference between Budgeted Funds and Committed Funds.

^g Totals may not sum exactly due to rounding.

**Table 6. NY Green Bank Available Funding and Financial Status through March 31, 2015
(millions of dollars)**

	Budgeted Funds ^a	Expended Funds ^b	Open Encumbrances ^c	Pre- Encumbrances ^d	Committed Funds ^e	Remaining Balance ^f
Program Costs						
NY Green Bank	48.6	-	-	-	-	48.6
SUBTOTAL	48.6	-	-	-	-	48.6
Other Costs						
Program Administration	4.2	1.3	-	-	1.3	2.9
Program Evaluation	-	-	-	-	-	-
New York State Cost Recovery Fee	0.1	0.03	-	-	0.03	0.1
OTHER COSTS TOTAL	4.4	1.4	-	-	1.4	3.0
TOTAL^g	52.9	1.4	-	-	1.4	51.6

- ^a Includes auction proceeds on NY Green Bank funds. The allocation is consistent with the three-year budget presented in the RGGI Operating Plan. NY Green Bank funding being reported here is only NY Green Bank funds that were transferred from RGGI. The actual NY Green Bank budget is higher.
- ^b Invoices processed for payment by NYSERDA.
- ^c Remaining funding obligated under a contract, purchase order, or incentive award.
- ^d Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates, adjusted so that the sum of the project commitments does not exceed Budgeted Funds. NYSERDA's annual audited financial statements may reflect project commitments in excess of Budgeted Funds. These commitments are expected to decrease over time due to project attrition and differences in estimated versus actual costs.
- ^e The sum of Expended, Encumbered, and Pre-Encumbered funds.
- ^f The difference between Budgeted Funds and Committed Funds.
- ^g Totals may not sum exactly due to rounding.

4 Program Descriptions and Accomplishments

4.1 Renewable Energy

4.1.1 Renewable Heat NY

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

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

In many key respects, developing this market will inherently require capturing the benefits of scale, and particularly of local sale. Installation and pellet supply economics will demonstrate an economic service radius effect; workforce development and customer awareness will show gains from local density.

Consequently, this initiative seeks to develop and expand clusters of activity, thereby meeting the overarching goal of helping the high-efficiency and low-emission biomass heating industry reach scale.

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

Key accomplishments as of this quarter:

- Marketing efforts to inform customers include website updates, new branding for program materials, print advertisements in 50 local and regional publications reaching over 873,000 readers, direct email to over 21,000 people, and staffing at four public events with program information and marketing material. One in-person training session was held for qualifying installers and the course is now available online. Enrollment of qualified installers is ongoing.
- Eight pellet stoves have been installed; 80 projects are in-process. One residential cordwood unit has been installed; one residential cordwood and two pellet boiler installations are near completion. Feasibility studies and reviews by technical consultants are ongoing in the development of large commercial projects expected to begin contracting in the next quarter.

4.1.2 NY-Sun Initiative

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

Community Solar NY, a component of the NY-Sun initiative, seeks to empower community projects across New York State through aggregation, group purchasing, and other existing and emerging strategies to make solar more accessible and affordable. The program will support projects organized by school districts, municipalities, nonprofit organizations, and other community institutions. In coordination with the New York Power Authority and the New York State Education Department, K-Solar will offer targeted resources to help schools implement solar and act as hubs for community projects.

NY-Sun also has an incentive component that has grown out of NYSERDA's existing solar electric (photovoltaic or PV) programs. In August 2014, NY-Sun became a statewide program, whereby RGGI funding enables customers of LIPA, NYPA, and municipal power companies, who do not pay in to the RPS, to be eligible participants. NY-Sun supports end-use solar installations for commercial, industrial, and residential customers as well as electric utility applications to improve the performance of distribution circuits and reduce peak electric load in critical load pockets. These projects assist New York State communities that empower clean energy, healthy communities and empower economic development.

Key accomplishments as of this quarter:

- Applications from 26 local solar aggregation (“Solarize”) campaigns were received and qualified for participation in Community Solar NY Round 1: 2015 Solarize Campaigns.
- The 2015 Solarize Campaigns will be fully launched, implemented, and completed in Q2, Q3, and Q4 of 2015.
- Continued coordination with NYPA, the New York State Education Department, and other K-Solar partners to encourage participation of schools in K-Solar and local community solar outreach projects.
- A total of 3,987 solar electric systems have been installed through March 31, 2015 on Long Island through PON 2112 and the Solar Pioneer Programs.

4.1.3 NYSERDA Solar Electric Program

NYSERDA’s Solar Electric Program focuses on reducing GHG emissions in the long term by helping to establish a sustainable market for solar energy throughout New York State that includes targeted financial incentives. These RGGI funds supplement and do not supplant Renewable Portfolio Standard (RPS) funds, supporting installation of residential and small commercial systems in regions that do not pay into the RPS. This program is no longer accepting applications.

Key accomplishments as of this quarter:

- A total of 128 solar electric systems have been installed outside of Long Island using RGGI funding from the inception of the RGGI solar electric program through March 31, 2015.

4.1.4 New York Generation Attribute Tracking (NYGATS)

NYSERDA is establishing NYGATS to record electricity generation attribute information within New York State, and processes generation attribute information from energy imported and consumed within the State, as a basis for creating tradable generation attribute certificates. Through the development of NYGATS, entities will be able to verify and substantiate ownership of Renewable Energy Certificates (RECs) to either support regulatory compliance or to validate environmental attributes in trading markets. It will also characterize the attributes of electricity imports and exports, and have the capability to interface and exchange information with other certificate tracking systems. The system may also serve as an important building block for a potential future imports policy under the Regional Greenhouse Gas Initiative. As previously ordered by the Public Service Commission, this project will also be supported with System Benefits Charge (SBC) environmental disclosure program funding.

Key accomplishments as of this quarter:

- On February 6, 2015, RFP 3014 was released to competitively select a qualified contractor to design, install/test, operate and maintain, for a period of 5 years, the New York Generation Attribute Tracking System (NYGATS).
- Proposals were received in response to RFP 3014 on March 25, 2015. The Technical Evaluation Panel is scheduled to meet on April 27, 2015.

4.1.5 Advanced Renewable Energy Program

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

Key accomplishments as of this quarter:

- The Research Foundation for the State University of New York in Binghamton has developed a novel, silicon-based thin film thermoelectric material that shows promise for enabling waste heat-based energy scavenging with thermoelectric figures of merit greater than two. A final report was completed in November 2014. Several patent applications are being prepared and additional funding is being sought to continue progress in overcoming a problem with doping activation that has limited performance.
- Monolith Solar (Rensselaer, NY) began a project based on demonstrating mounting mechanisms on different roof types.
- Membership agreements with Atlas Material Testing Technology (Illinois) and Intertek (New York and California) are underway and expected to be finalized in 2015. Both companies will support the Indoor Accelerated Lifetime Testing (IALT) project.

4.2 Energy Efficiency

4.2.1 LIPA Energy Efficiency and Renewable Energy Initiative

These funds enhance the ability of LIPA to provide energy efficiency and renewable energy services to LIPA customers in accordance with the approved LIPA budget. As the LIPA Solar Pioneer and Solar Entrepreneur PV incentive programs transitioned to a statewide solar electric program in 2014 through NY-Sun, these RGGI funds will be used primarily for energy efficiency programs administered by PSEG Long Island, the system operator for the LIPA, that are consistent with PSEG-Long Island's clean energy programs and Reforming the Energy Vision (REV) plan. Funding and reporting requirements are established through a Memorandum of Understanding between NYSERDA and LIPA.

Key accomplishments as of this quarter:

- A total of 2,618 solar electric systems and 1,935 commercial efficiency projects have been installed using RGGI funding through the LIPA Energy Efficiency and Renewable Energy Initiative programs from inception through March 31, 2015.

4.2.2 Residential Efficiency Services

NYSERDA currently offers a suite of programs that provide comprehensive energy efficiency services for single and multifamily existing buildings and new construction, including low-income households. In addition to energy savings, these programs provide significant health and safety benefits through comprehensive testing and verification, improved air quality, and improved comfort. RGGI funds are used in combination with Energy Efficiency Portfolio Standard (EEPS) funds, which offer incentives to implement electric and gas efficiency measures, to supplement these resources to reach petroleum fuel opportunities. Coordination of these funding sources allows for efficiency contractors to provide comprehensive energy efficiency services to the home, expands the number of households served, and ensures that opportunities for carbon reduction measures are not lost.

4.2.2.1 Multifamily Performance Program

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

Key accomplishments as of this quarter:

- Through March 31, 2015, 59 energy efficiency projects were completed.

4.2.2.2 Multifamily Carbon Emission Reduction Program

The Multifamily Carbon Emissions Reduction Program (MCERP) is currently providing financial assistance and technical support to owners of multifamily buildings converting their heating systems from #6 fuel oil to cleaner fuel alternatives. Less carbon-intensive fuels include #2 fuel oil, biodiesel and biodiesel blends, natural gas, and renewable energy (geothermal and solar thermal). Converting #6 fuel oil-heated buildings to cleaner fuels will reduce carbon emissions, improve air quality, and produce

positive public health benefits. MCERP was positioned to encourage early adoption of New York City's phase-out of #6 oil and, as such, has contributed to an overall improvement in New York City's air quality. City-wide conversions have resulted in 69 percent and 23 percent reductions in airborne sulfur dioxide and soot concentrations, respectively. These benefits are concentrated in low-income areas of New York City, where poor air quality leads to higher rates of asthma and other respiratory illnesses, especially in children and the elderly.

Key accomplishments as of this quarter:

- In total, 140 multifamily buildings have converted through MCERP from burning #6 oil to cleaner alternatives, primarily natural gas or a blend of natural gas and #2 oil.

4.2.2.3 EmPower New York

NYSERDA's EmPower New York (EmPower) program offers no-cost energy efficiency services to low-income (i.e., HEAP-eligible) homeowners and renters. These services include electric reduction and home performance measures such as appliance replacement, energy-efficient lighting, insulation, and air-sealing. EmPower uses RGGI funding to serve low-income applicants that heat with oil and propane and are ineligible for EEPS funding. These energy efficiency measures aid in the reduction of GHG emissions and provide long-term carbon reductions. On-site energy education offers customers additional strategies for managing their energy costs. Services are provided by participating contractors that are accredited through the Building Performance Institute. Currently, 177 EmPower contractors are assisting in RGGI-funded projects.

Key accomplishments as of this quarter:

- 367 households across New York State were served during this quarter, bringing the total to 2,501 households served under EmPower New York to date with RGGI funding.

4.2.2.4 Home Performance with ENERGY STAR® (HPwES)

Home Performance with ENERGY STAR (HPwES) is a comprehensive energy efficiency services program for existing one- to four-family homes and low-rise² residential buildings. The program uses a network of Building Performance Institute (BPI) GoldStar contractors to perform diagnostic testing on the home, recommend improvements, determine the payback period for those improvements, and install improvements selected by the homeowner. Currently, 207 contractors are participating in HPwES. The program uses RGGI funds for cost-effective oil and propane efficiency measures, such as replacing inefficient oil and propane heating equipment and other measures that have a direct impact on reducing GHG emissions from oil and propane consumption. Income-qualified homeowners are eligible for higher incentive rates to make energy improvements. HPwES applicants may also qualify for GJGNY assessment and financing programs.

Key accomplishments as of this quarter:

- 537 energy efficiency projects were completed during this quarter at a contracted value of \$5.8 million, bringing the total to 6,037 energy efficiency projects completed at a contracted value of \$60.2 million.
- 33 percent of RGGI-funded HPwES projects this quarter were eligible for Assisted Home Performance with ENERGY STAR.
- 31 percent of all HPwES projects in Q1 2015 were RGGI-funded.

4.2.2.5 Solar Thermal Incentive Program

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

² HPwES low-rise buildings encompass buildings with three stories or less, with eight units or less, and are constructed using building techniques common to one- to four-family homes. They must be served by residential-scale heating equipment with a maximum rating of 300,000 Btu. Taller residential buildings that fit these criteria are also eligible. Examples include brownstones, row housing, and other urban-style buildings.

Key accomplishments as of this quarter:

- Six new RGGI-funded solar thermal hot water systems were installed during this quarter, bringing the total to 119 system installations.
- The revised program was released on March 20, 2015. The program provides cash incentives for the installation, by an eligible installer or contractor, of new Solar Thermal (Hot Water) systems that displace electrically and fossil fuel-heated domestic hot water. Incentives are available on a first-come, first-served basis. Incentives are applied to the total project cost based on displaced kilowatt-hours. Combination systems (systems that provide domestic hot water (DHW) and space heating) are allowed in the Program; however, incentives are only provided on the portion of the solar thermal system output that offsets DHW production.

4.2.2.6 Low-rise Residential New Construction Program

NYSERDA's Low-rise Residential New Construction Program³ (LRNCP) includes the New York ENERGY STAR[®] Certified Homes Program and the New York Energy Smart designation for certain low-rise, multi-unit buildings and gut rehabilitation projects. Funded primarily through the Energy Efficiency Portfolio Standard, this program is designed and intended to encourage the construction of new single-family homes and low-rise residential dwelling units that operate more energy efficiently and reduce long-term GHG emissions, are more durable, and provide a healthier environment for their occupants than would otherwise be achieved. Starting in July 2013, RGGI funds have been used to pay the MMBtu- savings component of the LRNCP incentive for projects using propane or oil as the primary heating fuel. While more than 167 builders participate in this program statewide, 13 builders have so far constructed homes eligible for RGGI incentives.

Key accomplishments as of this quarter:

- 10 new dwelling units were constructed, bringing the cumulative total of new dwelling units constructed to date to 116.
- \$52,140 in private sector funds were leveraged, bringing the program total to date to \$524,474.

³ Low-rise residential new construction is defined as the ground-up new construction of dwelling unit(s) contained within residential buildings of not more than three (3) stories in height. Additionally, residential buildings which are more than three (3) stories in height and determined to be eligible to participate in the EPA's ENERGY STAR[®] Certified Homes program will be considered for eligibility on a case-by-case basis. Dwelling units which will be "gut-rehabbed" or fully rehabilitated will also be considered by NYSERDA for eligibility on a case-by-case basis.

4.3 Innovative GHG Abatement Strategies

4.3.1 Industrial Innovations Program

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

In 2014, two Manufacturing Innovations solicitations were issued, namely, PON 2858 (Ultraviolet Light and Electron Beam Process Innovation and Market Transformation [UV/EB]) and PON 2927 (Transformative Technologies for Energy-Efficient Manufacturing [TTEEM]). These solicitations sought to advance the materials, methods, and machine tools used to mass-produce cleantech products, and thus reduce the GHG footprint of factories producing cleantech products, as well as reduce the cost of goods sold as cleantech products so that their adoption will further result in a decrease of GHG emissions.

In late 2013, NYSERDA issued a solicitation for Industrial Innovations under the Advanced Buildings program, the first of three rounds of this solicitation offering. PON 2846 (Innovations in Data Center, Information and Communications Technology Energy Efficiency) seeks proposals in three rounds for research, product development, and demonstration projects of energy efficiency innovations for data center and enterprise information and communications technology (ICT). The objective of this solicitation is to overcome barriers and speed the technical/market readiness of promising early-stage technologies and techniques that can improve energy efficiency in data centers and ICT used by NYS businesses.

Key accomplishments as of this quarter:

- Projects that were in progress from previous quarters continued to make advancements during this quarter.
- The evaluation of PON 2846 Round 2 submissions was being reviewed in March 2015 with decisions expected in April.

4.3.2 Climate Research and Analysis Program

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

Key accomplishments as of this quarter:

- 7 new projects were initiated in response to a solicitation focused on *Climate Change Adaptation Research and Strategies*. New projects include climate change impacts on NYS' buildings sector, impact of weather-related power outages on public health, shoreline resilience planning, and assessments of transportation infrastructure vulnerabilities.
- The beta version of the Climate Change Science Clearinghouse website is nearly complete, and the full site is scheduled to be ready for release in January 2016. Sector experts were interviewed to help determine which primary data sets should be included online and to confirm data that are already part of the site. NESCAUM and the team have demonstrated the website to New England states; there is ongoing discussion to accommodate their participation as part of the effort to create a self-sustained website. Discussions with foundations and other interested supporters are ongoing, also in an effort to financially sustain the website.
- NYSERDA staff met with an interagency working group to coordinate efforts on the Community Risk and Resiliency Act (CRRA). NYSERDA will continue to engage with this group and offer suggestions and support when appropriate. It is expected that the recently updated and NYSERDA-supported climate projections for New York State will serve as the scientific foundation for the CRRA.
- NYSERDA staff attended a meeting of the Interagency Climate Change Adaptation Workgroup. This group shares climate adaptation information and helps coordinate efforts between agencies.

4.3.3 Clean Energy Business Development

The Clean Energy Business Development program seeks to support emerging business opportunities in clean energy and environmental technologies while maintaining the goal of carbon mitigation. Key elements of the program include providing financial support to lever private investment in early-stage and expansion-stage clean-energy companies in New York State and accelerate the market introduction of innovative energy efficiency, renewable energy, or carbon abatement technologies; advancing the transition of clean-energy technologies or technologies that improve the energy efficiency of industrial processes from the development/demonstration stage to the launch of commercial-scale manufacturing or application; and developing and supporting a portfolio of programs designed to translate clean energy technology research into commercially viable business enterprises.

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

Key accomplishments as of this quarter:

- The PVMC developed and demonstrated two novel, low-cost solar PV installation hardware processes for rigid and flexible thin-film PV modules for commercial and industrial rooftop applications.
- The Green Capital Empire investment portal reached 986 active investor/start-up users by the end of the initiative.
- PVMC launched three new programs this quarter: Marketing & Economics Analysis (MEA), New Product Introduction (NPI), and System Performance & Operation (SPO). The MEA program explored the commercial and industrial (C&I) market by interviewing and characterizing the solar PV history and future plans of 12 corporations. In the NPI program, the installation costs for various C&I applications were determined and compared to current standard ballasted c-Si system configurations. Finally, the SPO program began collecting data from the Prototype Demonstration Facility (PDF-1) in Halfmoon, NY, and developed a performance prediction project based on empirical data.
- NYSERDA and SUNY Polytechnic held a meeting to kick-off the Solar Rochester project. The building is renovated and metallization equipment was installed. Solar Rochester started working with six different companies on various technologies.
- Urban Electric Power is installing battery manufacturing equipment. As of Q1, 2015, all of the equipment for the facility was ordered.

4.3.4 ChargeNY

With RGGI funding for ChargeNY, NYSERDA will pursue two main strategies to promote plug-in electric vehicle (PEV) adoption. First, NYSERDA will implement an outreach and education campaign to build interest in PEVs among key audiences, such as employers, car dealers, and the general public. Forging connections between these groups and aligning their incentives is a critical element of greater PEV adoption that has been lacking in New York State and one that is essential to spur more private investment in PEV purchases and PEV charging stations. Second, NYSERDA will support the installation of PEV charging stations throughout the State by establishing a purchasing collaborative to help bring down the costs of charging stations through bulk purchasing. RGGI funds will be used for additional

incentives for charging stations at targeted location types, such as workplaces, municipal lots, and multifamily buildings, that have been seen to be effective drivers for PEV adoption based on usage data reported from previous installations. RGGI funds may also be used to initiate the deployment of a network of DC fast charge stations across the State.

Key accomplishments as of this quarter:

- NYSERDA began developing its programs for expanding PEV infrastructure and engaging with employers, car dealers, the general public, and other key audiences, with solicitations expected to be released in 2015.

4.3.5 Transportation Research

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

Key accomplishments as of this quarter:

- LCE Bioenergy's investigation of the feasibility of demonstrating dimethyl ether (DME) as a highway fuel in New York State found that significant subsidies would be necessary to build the necessary biorefinery and run the vehicle demonstrations. Based on this preliminary finding, LCE has deferred completion of a final report. The project has been completed and NYSERDA is working with them to submit a final report for review. (DME is a nontoxic potential fuel source for gasoline and diesel engines. Its handling properties are similar to propane, and it can be produced from the gasification of locally grown hybrid willow feedstock.)
- SUNY's Regenerative Shock Absorber project team continued to develop a prototype and performed preliminary tests. Their goal is to develop a shock absorber that produces electricity, using energy that conventional shock absorbers dissipate as heat. Generated electricity would power auxiliary systems or augment operation of a hybrid-electric powertrain. The project has stirred the interest of vehicle manufacturers and work has continued under other funding sources. A final report is under review.
- EDO Corporation continued to develop a hybrid pneumatic drivetrain as a more efficient alternative to hybrid-electric and hybrid-hydraulic systems with a preliminary focus on refuse trucks. Preliminary system design and market analysis are complete, and transfer case design, motor and compressor-detailed design, and controller design are continuing. In addition, a full-scale prototype system has been assembled. NYSERDA is working with them to complete this project and submit a final report for review.

- New York Trans Harbor, LLC has designed and determined the cost of a prototype positive restraint device for ferryboats currently servicing the New York Harbor. Most passenger ferries operating in the New York Metropolitan Area are using engine power to hold their boats to the dock. Moreover, ferry throttles are often held at one-half to three-quarter position to safely allow passengers to embark and disembark the vessel. Thus, these vessels are burning significantly more fuel than necessary to carry passengers across the river and emitting significant pollutants in the air of a severe non-attainment area. The use of a ferry docking system would allow diesel ferries to use auxiliary power or throttle back, rather than remain at high throttle, during loading and unloading thereby reducing fuel use and harmful emissions. A demonstration of the technology is planned for a future project. A preliminary project development call was held in May. A project meeting is scheduled for the second quarter 2015.

4.3.6 Carbon Capture, Recycling, and Sequestration

This program area aims to build New York State's capacity for long-term GHG emissions reduction by researching strategies to prevent emissions from being released into the atmosphere. The program focuses on assessing and demonstrating carbon capture, reuse, compression, and transport technologies; characterizing and testing the State's geological sequestration potential; and supporting the development of carbon capture and sequestration demonstration projects in New York State. Currently, the program's largest supported project is TriCarb, which is located in Rockland County, NY. TriCarb is leveraging NYSERDA funding with more than \$8 million of U.S. Department of Energy funds to investigate the potential for geological sequestration in the Newark Basin.

Key accomplishments as of this quarter:

- All lab work and analysis for the TriCarb project has been completed. The project is continuing with the reporting phase.

4.3.7 Competitive Greenhouse Gas Reduction Pilot

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

Key accomplishments as of this quarter:

- The Competitive Greenhouse Gas Reduction Pilot Program (RFP 2857) opened for participation on December 30, 2014. Four proposals were received on March 5, 2015 requesting \$6,444,467 of NYSERDA funding. A Technical Evaluation Panel (TEP) has been selected and will meet on April 3, 2015 to review the submitted proposals.

4.4 Community Clean Energy

4.4.1 Climate Smart Communities

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

In March 2011, NYSERDA issued a competitive solicitation to select contractors for a three-year CSC Regional Coordinators Pilot Program. The goal of this pilot program is to create and implement a strategic plan for engaging local governments in the CSC program, producing measurable results for climate protection and adaptation within each region, and developing important elements of guidance for local governments. The pilot program is now in its third and final year.

Key accomplishments as of this quarter:

- The number of Climate Smart Communities increased to 151 across the State.
- The final year of the CSC pilot program kicked off. Highlights of activities during the second quarter of the third and final year include:
 - Five new Climate Smart Communities were recruited.
 - The Mid-Hudson coordinator developed a new community profile template that shows the relative progress a community has made toward becoming a Certified CSC. The Long Island coordinator began hosting regular meetings of a user's group for the National Flood Insurance Program's (NFIP) Community Rating System (CRS). The CRS is a "voluntary incentive program that recognizes and encourages community floodplain management activities that exceed the minimum NFIP requirements." (www.fema.gov)
 - The Capital District coordinator hosted forums designed to help communities collaborate to implement Solarize campaigns.

4.4.2 Economic Development Growth Extension Program (EDGE)

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

Key accomplishments as of this quarter:

- 55 new partnerships that may help to identify and assist in customer engagement were developed, bringing the total to 909 partnerships.
- 119 public outreach activities, such as events, presentations or other speaking engagements were conducted, bringing the total to 975 public outreach activities.
- 237 projects were referred to various NYSERDA programs, bringing the total number of referrals to 3,332.
- 174 project referrals from partners were received, bringing the total to 2,609 project referrals.
- Outreach and program support was provided to the REDCs on 12 projects, bringing the total to 224.

4.4.3 Cleaner, Greener Communities

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

Key accomplishments as of this quarter:

- NYSERDA executed four additional contracts for CGC Round 1 awarded projects for a total of 33 executed contracts, which include comprehensive planning activities and large-scale sustainability projects.
- NYSERDA received 12 new applications for incentives to 10 municipalities for adoption of streamlined permitting processes for solar electric systems or electric vehicle supply equipment (EVSE).
- NYSERDA announced awards and is negotiating contracts for the second round of funding (\$30 million) for Phase II of the CGC program, which included 32 Category 2 planning initiative projects and 13 Category 3 community-scale sustainability projects.
- Once completed, 18 Round 1 Category 3 community-scale sustainability projects that are currently in progress are anticipated to:
 - Leverage over \$15.6 million funds.
 - Retain 58 jobs.
 - Directly save 27,372 tons CO₂e per year and indirectly save 86,734 tons CO₂e per year.
 - Save 1,692,126 MMBtu of fossil fuels.
 - Directly save participants \$1.7 million per year in energy costs and indirectly save nonparticipants \$20.8 million per year in energy costs.

4.4.4 Regional Economic Development and Greenhouse Gas Reduction Program

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

Key accomplishments as of this quarter:

- 15 projects received awards from program inception through December 31, 2014.
- 12 projects are in progress.
- 3 projects have been completed.

4.4.5 Green Jobs – Green New York

Green Jobs - Green New York provides funding for energy assessments, low-cost financing for energy upgrades, and technical and financial support to develop a clean energy workforce. GJGNY is a statewide effort to strengthen communities through energy efficiency and uses constituency-based organizations (CBOs) to support program outreach in underserved communities. GJGNY enables New Yorkers to make a significant difference in homes, businesses, and neighborhoods—making them more comfortable, sustainable, and economically sound. GJGNY is administered by NYSERDA, and made available by the Green Jobs - Green New York Act of 2009. The GJGNY 2014 Annual Report was issued in September 2014.⁴ The report presents financial data for the approved GJGNY programs through June 30, 2014.

4.4.5.1 Assessments

One- to Four-Family Residential Buildings Program Assessments

Home Performance with ENERGY STAR® (HPwES) is a comprehensive energy efficiency services program for existing one- to four-family homes. Participating Building Performance Institute (BPI) GoldStar contractors conduct comprehensive home energy assessments and upgrades. Free and reduced-cost home energy assessments have been made available to homeowners in New York State through GJGNY funding, which drives increased participation in this program and cuts additional GHG emissions.

Key accomplishments as of this quarter:

- 5,052 assessments were completed this quarter, bringing the total to 69,976 residential GJGNY assessments completed; 64,793 (93 percent) were provided at no cost to the customer.
- Of the program cumulative 19,987 completed residential units served through HPwES resulting from a GJGNY assessment and/or GJGNY financing, 6,552 (33 percent) units are associated with income-qualified Assisted HPwES customers.
- CBOs assisted with the completion of 1,500 units, or 8 percent of all completed GJGNY residential retrofits.

⁴ NYSERDA. 2014. "Green Jobs - Green New York 2014 Annual Report."
<http://www.nysERDA.ny.gov/About/Green-Jobs-Green-New-York/GJGNY-Advisory-Council-Reports>.

Multifamily Performance Program Assessments

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

Key accomplishments as of this quarter:

- A total of 320 assessments were completed through March 31, 2015; of these, 57 percent are associated with affordable housing.
- Of the program cumulative 31,568 residential units served with installed measures, 17,370 (55 percent) units are associated with affordable housing.
- A total of 334 projects are contracted to have measures installed; 58 percent of which are associated with affordable housing.

Small Commercial Energy Efficiency Program Assessments

The GJGNY Small Commercial Energy Efficiency Program offers energy assessments and technical assistance to help small businesses and not-for-profit organizations improve their energy efficiency and reduce their energy costs in support of the goal to increase adoption of clean energy projects in New York State. The program offers free energy assessments, along with technical assistance, to help identify economically viable improvements that may yield substantial annual energy savings. GJGNY energy assessments are offered to small businesses and nonprofits with an average electric demand of 100 kW or less and 10 employees or fewer. Assessments and technical assistance are provided by regional firms competitively selected by NYSERDA.

Key accomplishments as of this quarter:

- 112 new energy assessments were completed during this quarter, bringing the total number of completed assessment to 2,425.
- NYSERDA conservatively estimates that 20 percent of energy efficiency improvements recommended on energy assessments are implemented by small business and not-for-profit customers, resulting in an estimated total of 665 completed projects through March 31, 2015.

4.4.5.2 Financing

One- to Four-Family Residential Buildings Program Financing

GJGNY financing is available to participants in Home Performance with ENERGY STAR® (HPwES) to finance the installation of recommended energy efficiency improvements that may be repaid through energy savings. Net-metered technologies, including solar electric systems, and solar thermal systems are also eligible for GJGNY financing. The Smart Energy Loan and the innovative On-Bill Recovery (OBR) Loan are the two low-interest rate financing options available through GJGNY, which enable more projects resulting in greater reductions of GHG emissions than might otherwise have been achieved.

Key accomplishments as of this quarter:

- A total of 8,144 loans have been issued with a total loan value of \$85.66 million.
- 26.3 percent of the loans issued are associated with Assisted HPwES customers, representing 18.8 percent of the total loan funds.
- Through March 31, 2015, a total of 2,326 energy efficiency OBR Loans have closed, valued at approximately \$25.81 million.
- Through March 31, 2015, of the total 8,144 total loans closed, 641 solar electric loans have closed, valued at \$10.9 million.

Multifamily Performance Program Financing

Launched in 2011, financing through the Multifamily Performance Program under GJGNY includes programs and incentives for owners, facility managers, developers, and condo/co-op boards of multifamily buildings with five or more units in support of the goal to increase adoption of clean energy in New York State. These programs make it easier to assess, fund, implement, and measure energy efficiency upgrades that improve building performance and reduce costs. The program makes

participation loans available in which a participating lender issues a loan to a multifamily building owner for a qualifying energy efficiency project, with NYSERDA participating in the funding of 50 percent of the loan (up to a maximum of \$5,000 per unit or \$500,000 per building) at zero percent interest, and the lender setting the interest rate on its share of the loan.

Key accomplishments as of this quarter:

- 16 loans have closed with a total value of \$10.4 million through March 31, 2015. NYSERDA's share of the total loan value is \$3.3 million.

Small Commercial Energy Efficiency Program Financing

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

Key accomplishments as of this quarter:

- Through March 31, 2015, a total of eight OBR Loans have been closed with a total value of \$202,205. NYSERDA's share of the total value is the full amount.
- Through March 31, 2015, a total of 12 Participation Loans have been closed with a total value of \$733,204. NYSERDA's share of the total value is \$347,213.

4.4.5.3 Workforce Development, Outreach, and Marketing

Workforce Development

The GJGNY Workforce Training and Development (WFD) initiative complements other NYSERDA and New York State Department of Labor (NYSDOL) programs targeted at preparing individuals for energy efficiency, solar thermal, and solar electric careers in New York State. WFD programs also help to build New York State's capacity for long-term carbon reduction and facilitate energy education programs that will help build the State's clean energy future. Specifically, WFD efforts under GJGNY seek to expand

energy-specific content in New York State Registered Apprenticeship and third-party accredited building trades programs, to increase access to technical training workshops for skills enhancement and certification, and to bridge the gap between training and employment through on-the-job training incentives for businesses seeking to hire and train new workers while reaching out to low-income neighborhoods to expand training opportunities to these communities.

Key accomplishments as of this quarter:

- Through March 2015, NYSERDA's GJGNY training partners have trained more than 3,100 individuals in courses including solar thermal installation, introductory photovoltaic training, advanced air sealing, pressure diagnostics, BPI Basic Air Sealing and Insulation, oilheat technology, and thermography.
- NYSERDA supported more than 40 individuals in earning 72 BPI certifications—many of whom completed field testing at NYSERDA-sponsored pressure houses across the State.
- Over the past three years, NYSERDA has provided funding to Community Power Network (CPN), a contractor providing training for oilheat industry technicians. To date, a total of 772 technicians have been trained in topics including combustion efficiency, advanced oil tank installation, and combustion air and venting. CPN has utilized a portable NYSERDA-funded equipment trailer to provide an advanced class in oil burner and electrical module installation/troubleshooting with hands-on practice for technicians.

Outreach and Marketing

GJGNY provides for community-based outreach, enabling one-to-one assistance with the process of participating in the program to deliver services in underserved communities. GJGNY provides outreach services in targeted communities through CBOs, which locate residents, businesses, not-for-profits, multifamily building owners, and potential workforce candidates to participate in the program. This community-based approach, 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. Participating in the programs empowers these communities in their transition toward sustainability, while producing lower carbon emissions.

Key accomplishments as of this quarter:

- Through March 31, 2015, CBOs were responsible for 5,014 completed assessments, which resulted in 1,500 completed retrofits. Approximately 53 percent of those retrofits were for Assisted HPwES customers.

- On March 2, 2015 NYSERDA informed the GJGNY Advisory Council that it was extending successful CBO contracts for the GJGNY Outreach Program through June 2016 to ensure that there is no gap in community outreach services between the current CBO contracts and the new community approaches to be developed under the proposed Clean Energy Fund (CEF).
- Work continues on the Energy Champions Referral Program, which will allow individuals to become “Energy Champions” and nonprofits to become “Energy Champion Partner Organizations” when they refer homeowners to the HPwES Program. Energy Champions as well as Partner Organizations will receive monetary as well as nonmonetary benefits from the Home Performance contractor for successfully recruiting homeowners who complete a retrofit. The program has secured 13 partner organizations and 30 individual Energy Champions.
- NYSERDA’s GJGNY outreach staff is investigating opportunities to collaborate with various Solarize groups throughout the state, particularly as the Solarize model aligns with aggregation.

4.5 NY Green Bank

NY Green Bank (NYGB), a division of NYSERDA, is a \$1 billion initiative that was proposed by Governor Cuomo in his 2013 State of the State address. NYGB is a central component of Governor Cuomo’s strategic statewide vision to scale up clean energy markets, enhance New York State’s competitiveness for clean energy businesses, and make the State’s energy systems more resilient. NYGB operates in the wholesale financing markets in partnership with private sector sources of capital. It fosters greater private sector investment in projects deploying proven energy, renewable energy, efficiency, and other clean technologies. NYGB officially opened for business in February 2014.

Key accomplishments as of this quarter:

- Petition to Complete Capitalization for the NYGB was submitted to the PSC on October 30, 2014 and initial public comments were submitted January 12, 2015. NYGB filed reply comments on February 2, 2015.
- Filed quarterly Metrics Report with the PSC on February 17, 2015.
- Held NYGB Advisory Committee meeting on February 23, 2015.
- NYGB RFP No. 3: Fund Administration, Loan Servicing & Custodial Services released on March 16 and open through April 20, 2015.
- Completed two key hires to fill NYGB risk and compliance, operations, investments, and administrative positions to support ongoing business needs and growth.

4.6 Program Evaluation

Several RGGI evaluation studies are underway or in the planning stages as of the first quarter of 2015. The study objectives and timing are discussed in the following sections. Other study plans are also in development and will be detailed in future quarterly reports. The following types of evaluation activities are being performed:

- **Impact Evaluation** measures the outcomes and benefits of a program, calculates the cost-effectiveness of the program, and compares the outcomes to the program goals.
- **Market Evaluation** develops an understanding of markets and market actors, provides information to support program design and delivery, and tracks changes in markets over time.
- **Process Evaluation** reviews oversight and operations, gauges customer satisfaction, and recommends process and efficiency improvements.
- **Logic Model Reports** inform evaluation work by documenting the relationships between program activities; activity outputs; and the short, medium, and long-term outcomes the program intends to induce.
- **Evaluation Readiness Reviews**⁵ help identify whether a program has various factors or, when these will be in place, that will ensure an evaluation is justified, feasible, and likely to provide useful information.

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

4.6.1 Evaluation of Energy Efficiency and Other Deployment Programs

Cleaner, Greener Communities (CGC) Program: The CGC Process Evaluation will utilize in-depth interviews, surveys, and secondary data collection to determine whether Phase I plans provide a sound foundation for achieving the regions' stated goals, and whether the plans and planning process support rapid commitment to the goals and engagement in the planned activities. Understanding success factors and challenges will help optimize ongoing investments of monetary and nonmonetary resources in the State through the CGC initiative. This study kicked-off in July 2014, with a planned completion date of March 2015. Three waves of data collection were initially planned for this evaluation in order to provide program staff with interim results to assist with program planning. Wave One was completed in December 2014. The status of Wave Two and Wave Three will be assessed based on these initial results.

⁵ Formerly known as Evaluability Assessment.

GJGNY Small Commercial Energy Efficiency Program: NYSERDA is conducting an Impact Evaluation to quantify the measure adoption rate over time and the degree to which the audit program influenced participants' decision-making regarding recommended measures that they have installed. The study is expected to be completed in the second half of 2015. This Impact Evaluation has been prioritized ahead of the Phase 2 Process/Market Evaluation study.

Multifamily Performance Program: A major Impact Evaluation of the System Benefits Charge (SBC)/EEPS-funded MPP is being conducted to assess the effects of RGGI fuel efficiency incentives. The study includes measurement and verification of energy savings, and attribution analysis of projects completed from 2009 through 2011. Data collection and survey efforts are nearing completion, and the study is expected to be finalized in the first half of 2015. A major Process/Market Evaluation of the SBC/EEPS-funded MPP was undertaken to assess the RGGI fuel efficiency incentive activity and GJGNY assessment/loan activity. This study was finalized in the third quarter of 2014 and published on the NYSERDA website.⁶

Multifamily Carbon Emission Reduction Program: NYSERDA is conducting an Impact Evaluation to measure and verify the energy and emission effects attributable to the program. The evaluation is expected to be completed in mid-2015.

Home Performance with ENERGY STAR Program: An Impact Evaluation of the Green Jobs – Green New York “assessment only” participants is currently underway. This evaluation seeks to identify those who may have received a GJGNY-funded audit and installed measures on their own in the absence of incentives. NYSERDA is also undertaking an Impact Evaluation to measure and verify effects attributable to RGGI fuel incentives. These studies will leverage major, in-progress evaluation of the SBC/EEPS-funded HPwES program. The completion date for the Impact Evaluation work is planned for second quarter 2015. A major Process/Market Evaluation of the SBC/EEPS-funded HPwES is also being used to assess the RGGI fuel efficiency incentive activity and GJGNY assessment/loan activity. The Process/Market Evaluation study is expected to be completed in the second quarter 2015. The impact and process evaluations will be occurring at the same time and the evaluation teams are collaborating to use survey efforts to gain efficiencies and reduce survey fatigue.

⁶ Multifamily Performance Program/Process Evaluation and Market Characterization
(<http://www.nysesda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2014ContractorReports/2014-MPP-Process-Evaluation.pdf>)

GJGNY Constituency-Based Organization (CBO) Program: The assessment of CBO-related activities will be addressed as a part of the HPwES process evaluation and includes surveys with CBO-affiliated HPwES participants, partial participants (GJGNY audit recipients), and contractors. These CBO samples will be strata within the HPwES process evaluation, market characterization and impact evaluation surveys. The data collection is complete and the analysis underway. The completion date for this evaluation effort is planned for the second quarter of 2015.

Residential Non-Energy Impact Study: A study is currently underway to identify and begin to quantify measurable non-energy effects from residential programs, including possibly HPwES and the Green Residential Building Program. This study is jointly supported with RGGI and other NYSERDA funds. The study is expected to be completed in mid-2015 and is expected to help inform future non-energy impact analysis and reporting for RGGI programs.

4.6.2 Evaluation of Technology/Business Development and Research Programs

Advanced Transportation Research: A Logic Model report will be released after the completion of the Evaluation Readiness Review in mid-2015.

Industrial Innovations: Future evaluation plans for this program are under consideration at this time.

Clean Energy Business Development (CEBD): An Evaluation Readiness Review was completed in the fourth quarter of 2014. A Market Evaluation of the clean energy industry is planned for 2015. A social network analysis is under consideration for the same timeframe, and will describe the strength of the links between NYSERDA program participants and other market actors in the larger clean energy network. Results of the social network analysis, if conducted, will feed into a market impact assessment for CEBD-funded incubators, where firms will be selected for in-depth case studies.

Community Solar NY: NYSERDA is planning to create a Logic Model for this program in the second quarter of 2015.

Economic Development Growth Extension (EDGE): A Process Evaluation is underway for this program with an expected final report to be complete in mid-2015.

Power Systems Program: For the Advanced Renewable Energy component of the program, a Logic Model report and Evaluation Readiness Review were recently completed in the third quarter as planned and further evaluation activities are still being determined. The final logic model is available on NYSERDA's website.⁷

4.6.3 Baseline Studies

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

The Residential Baseline study was completed in the fourth quarter of 2014. The final report will be posted to NYSERDA's website soon. The Commercial Baseline study request for proposals was released in the fourth quarter of 2013, and proposals were received in the first quarter of 2014. Contract negotiation is near complete and study planning and implementation for the Commercial Baseline is expected to begin in mid-2015 after an agreement is finalized with the selected contractor.

⁷ [Clean Power Technology Innovation/Logic Model/2014 \(http://www.nysesda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2014ContractorReports/2014-CPTI-Logic-Model-Report.pdf\)](http://www.nysesda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2014ContractorReports/2014-CPTI-Logic-Model-Report.pdf)

Appendix A: Savings Calculations Methodology

This appendix describes the general methods and assumptions that are used to calculate the energy savings, emission reductions, bill savings, and cost-effectiveness metrics presented in the New York's Regional Greenhouse Gas Initiative Investment Plan (2013 Operating Plan).

A.1 Energy Savings

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

A.2 CO₂ Reductions

Emissions factors are used to translate the energy savings data into annual GHG emissions reduction values. The GHGs evaluated in the report include carbon dioxide, methane, and nitrous oxide. Because each of these gases has a different global warming potential,⁸ emissions for gases other than carbon dioxide are converted into carbon dioxide equivalent units (CO₂e) through multiplication with their appropriate Intergovernmental Panel on Climate Change (IPCC) global warming potential value,⁹ shown in Table A-1.

Table A-1. Global Warming Potentials

These values represent a 100-year time horizon.

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

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

⁸ A global warming potential is a measure that estimates how much a given mass of a GHG contributes to global warming. It is calculated over a specific time interval, which is 100 years for the IPCC Second Assessment Report values.

⁹ Intergovernmental Panel on Climate Change. 1995. Second Assessment: Climate Change 1995. According to EPA guidance, this inventory uses potentials from the IPCC Second Assessment report, rather than values from the more current Third Assessment: Climate Change 2001 report. New York DEC regulation Part 242 1.2 (49) uses the Third Assessment values. Reconciliation between these two methodologies will be investigated as part of the program implementation and evaluation process.

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

Table A-2. Fuel Combustion Emission Factors by Sector

Sources: EPA's Inventory of U.S. Greenhouse Gas Emissions and Sinks: 1990 – 2006, Annexes 2 & 3 and EPA State Climate Energy Program's State Inventory Tools released on 1/3/2011

	Transport (lb CO₂e/MMBtu)	Residential (lb CO₂e/MMBtu)	Commercial (lb CO₂e/MMBtu)	Industrial (lb CO₂e/MMBtu)
Coal	N/A	224.89	211.43	207.58
Natural Gas	117.25	117.14	117.14	113.38
#2 Oil/Distillate/Diesel	163.22	163.78	163.78	161.80
#6 Oil/Residual	N/A	N/A	166.28	174.20
Kerosene	N/A	162.10	162.10	159.89
Propane	140.51	136.94	136.94	139.45
Gasoline	159.09	N/A	N/A	N/A
Aviation Fuel	160.86	N/A	N/A	N/A
Wood	N/A	15.79	15.79	3.92
Steam	N/A	139.30	139.30	N/A

An average emission factor of 625 pounds of CO₂e/MWh is used to estimate emission reductions associated with electricity use reductions for all sectors. This value includes emissions from in-state electricity generation as well as emissions associated with net imports of electricity.¹⁰ Although electricity savings may not lead to near-term emission reductions under the RGGI CO₂ cap, savings will potentially reduce imports of electricity to New York State; the demand for CO₂ allowances, leading to a possible future reduction in the cap; and the carbon-footprint of end-users, as they will be responsible for a smaller percent of the emissions associated with electricity production.

¹⁰ The emission factor for electricity is based on data from *Patterns & Trends - New York State Energy Profiles: 1997 – 2011* (NYSERDA 2013) and methodology from the *GHG Inventory and Forecast* prepared for the 2014 Draft New York State Energy Plan (April 2014).

A.3 Bill Savings

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

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

Table A-3. Fuel Prices by Sector^a

Sector	Electricity (\$/kWh)	Natural Gas (\$/MMBtu)	Fuel Oil / Distillate (\$/MMBtu)	Propane (\$/MMBtu)
Residential	0.18	8.57	25.59	34.21
Commercial	0.16	5.09	24.51	26.04
Industrial	0.12	5.09	23.39	30.32
Transportation	0.05	N/A	27.58	N/A
C&I	0.14	5.09	23.95	28.18

Sector	Residual (\$/MMBtu)	Kerosene (\$/MMBtu)	Wood (\$/Cord)	Coal (\$/Ton)
Residential	N/A	28.13	7.83	N/A
Commercial	17.41	28.13	N/A	5.78
Industrial	17.41	24.56	N/A	4.74
Transportation	N/A	N/A	N/A	N/A
C&I	17.41	26.35	N/A	5.26

^a For electricity and natural gas, prices are an average of July 2012 and January 2013 prices as reported by the NYS Department of Public Service billing data <http://www3.dps.ny.gov/W/PSCWeb.nsf/All/C56A606DB183531F852576A50069A75D?OpenDocument> For all other fuel types, prices reflect 2011 retail prices as reported in NYSERDA's *Patterns and Trends- New York State Energy Profiles: 1997-2011* (NYSERDA 2013)

Table A-4. Program Measure Life Assumptions

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

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

Appendix B: Former Program Names

Table B-1. Former Program Names

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

Appendix C: Summary of Portfolio Benefits

Table C-1. Summary of Portfolio Benefits

Quarter End Date	Quarter	Cumulative Annual MMBtu	Cumulative Annual MWh Saved	Cumulative Annual MWh Generated	Cumulative Annual Tons of CO ₂ e Mitigated	Cumulative Annual Bill Savings Realized by Participating Customers (\$)
6/30/2010	Qrt 2	3,409	4,371	-	2,100	700,000
9/30/2010	Qrt 3	47,332	4,371	-	5,630	1,200,000
12/31/2010	Qrt 4	91,471	838	4,316	9,310	2,900,000
3/31/2011	Qrt 1	115,763	1,213	3,903	10,950	2,700,000
6/30/2011	Qrt 2	152,501	5,233	3,992	15,553	4,000,000
9/30/2011	Qrt 3	197,622	6,473	4,205	17,874	4,600,000
12/31/2011	Qrt 4	256,980	8,126	4,218	23,805	6,000,000
3/31/2012	Qrt 1	318,273	13,363	4,218	31,194	7,800,000
6/30/2012	Qrt 2	411,462	13,702	4,248	40,368	9,400,000
9/30/2012	Qrt 3	519,144	15,023	4,278	51,353	10,700,000
12/31/2012	Qrt 4	577,025	16,895	4,345	56,764	12,000,000
3/31/2013	Qrt 1	651,564	18,206	4,305	60,349	16,300,000
6/30/2013	Qrt 2	770,186	20,038	4,386	69,068	18,100,000
9/30/2013	Qrt 3	889,027	24,385	16,710	96,916	21,200,000
12/31/2013	Qrt 4	985,379	26,545	16,752	100,934	23,100,000
3/31/2014	Qrt 1	1,089,306	28,206	16,752	108,844	25,500,000
6/30/2014	Qrt 2	1,174,186	28,697	20,331	115,852	27,700,000
9/30/2014	Qrt 3	1,301,751	32,481	20,331	127,880	31,600,000
12/31/2014	Qrt 4	1,503,898	115,024	44,470	178,048	53,400,000
3/31/2015	Qrt 1	1,614,354	120,453	54,642	191,322	58,500,000

Table C-2. Summary of Fuel Savings by Type

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu)^a
6/30/2010	Qrt 2	Diesel	-	
6/30/2010	Qrt 2	Gasoline	-	
6/30/2010	Qrt 2	Natural Gas	-	
6/30/2010	Qrt 2	Oil	3,409	
6/30/2010	Qrt 2	Propane	-	
9/30/2010	Qrt 3	Diesel	-	
9/30/2010	Qrt 3	Gasoline	-	
9/30/2010	Qrt 3	Natural Gas	-	
9/30/2010	Qrt 3	Oil	47,332	
9/30/2010	Qrt 3	Propane	-	
12/31/2010	Qrt 4	Diesel	-	
12/31/2010	Qrt 4	Gasoline	-	
12/31/2010	Qrt 4	Natural Gas	3,926	
12/31/2010	Qrt 4	Oil	74,691	
12/31/2010	Qrt 4	Propane	301	
12/31/2010	Qrt 4	Steam	12,553	
3/31/2011	Qrt 1	Diesel	-	
3/31/2011	Qrt 1	Gasoline	-	
3/31/2011	Qrt 1	Natural Gas	18,206	
3/31/2011	Qrt 1	Oil	85,998	
3/31/2011	Qrt 1	Propane	1,280	
3/31/2011	Qrt 1	Steam	10157	
3/31/2011	Qrt 1	Wood	122	
6/30/2011	Qrt 2	Diesel	-	
6/30/2011	Qrt 2	Gasoline	-	
6/30/2011	Qrt 2	Kerosene	27	
6/30/2011	Qrt 2	Natural Gas	20481	
6/30/2011	Qrt 2	Oil	118,963	
6/30/2011	Qrt 2	Propane	2,272	
6/30/2011	Qrt 2	Steam	10,557	
6/30/2011	Qrt 2	Wood	201	
9/30/2011	Qrt 3	Diesel	-	
9/30/2011	Qrt 3	Gasoline	-	
9/30/2011	Qrt 3	Kerosene	208	
9/30/2011	Qrt 3	Natural Gas	40,683	
9/30/2011	Qrt 3	Oil	140,917	
9/30/2011	Qrt 3	Propane	4,818	
9/30/2011	Qrt 3	Steam	10,557	
9/30/2011	Qrt 3	Wood	439	
12/31/2011	Qrt 4	Diesel	-	

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
12/31/2011	Qrt 4	Gasoline	-	
12/31/2011	Qrt 4	Kerosene	285	
12/31/2011	Qrt 4	Natural Gas	88,439	
12/31/2011	Qrt 4	Oil	150,163	
12/31/2011	Qrt 4	Propane	7,344	
12/31/2011	Qrt 4	Steam	10,157	
12/31/2011	Qrt 4	Wood	592	
3/31/2012	Qrt 1	Diesel	-	
3/31/2012	Qrt 1	Gasoline	-	
3/31/2012	Qrt 1	Kerosene	285	
3/31/2012	Qrt 1	Natural Gas	108635	
3/31/2012	Qrt 1	Oil	186,637	
3/31/2012	Qrt 1	Propane	11,810	
3/31/2012	Qrt 1	Steam	10,157	
3/31/2012	Qrt 1	Wood	749	
6/30/2012	Qrt 2	Diesel	-	
6/30/2012	Qrt 2	Gasoline	-	
6/30/2012	Qrt 2	Kerosene	285	
6/30/2012	Qrt 2	Natural Gas	140,597	
6/30/2012	Qrt 2	Oil	246,477	
6/30/2012	Qrt 2	Propane	12,798	
6/30/2012	Qrt 2	Steam	10,157	
6/30/2012	Qrt 2	Wood	1,000	
6/30/2012	Qrt 2	Residual Oil	144	
9/30/2012	Qrt 3	Diesel	-	
9/30/2012	Qrt 3	Gasoline	-	
9/30/2012	Qrt 3	Kerosene	285	
9/30/2012	Qrt 3	Natural Gas	183,379	
9/30/2012	Qrt 3	Oil	303,649	
9/30/2012	Qrt 3	Propane	14,187	
9/30/2012	Qrt 3	Residual Oil	144	
9/30/2012	Qrt 3	Steam	15,901	
9/30/2012	Qrt 3	Wood	1,599	
12/31/2012	Qrt 4	Diesel	-	
12/31/2012	Qrt 4	Gasoline	-	
12/31/2012	Qrt 4	Kerosene	1,026	
12/31/2012	Qrt 4	Natural Gas	203,118	
12/31/2012	Qrt 4	Oil	337,096	
12/31/2012	Qrt 4	Propane	16,593	
12/31/2012	Qrt 4	Residual Oil	144	
12/31/2012	Qrt 4	Steam	15,969	

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
12/31/2012	Qrt 4	Wood	3,079	
3/31/2013	Qrt 1	Diesel	-	-
3/31/2013	Qrt 1	Gasoline	-	-
3/31/2013	Qrt 1	Kerosene	1,359	353
3/31/2013	Qrt 1	Natural Gas	231,225	90,488
3/31/2013	Qrt 1	Oil	378,533	317,149
3/31/2013	Qrt 1	Propane	18,848	7,747
3/31/2013	Qrt 1	Steam	15,969	37,123
3/31/2013	Qrt 1	Wood	5,129	1,338
3/31/2013	Qrt 1	Residual Oil	144	27
3/31/2013	Qrt 1	Coal	357	-
6/30/2013	Qrt 2	Diesel	-	-
6/30/2013	Qrt 2	Gasoline	-	-
6/30/2013	Qrt 2	Kerosene	1,270	138
6/30/2013	Qrt 2	Natural Gas	313,287	76,148
6/30/2013	Qrt 2	Oil	411,518	262,809
6/30/2013	Qrt 2	Propane	21,051	7,341
6/30/2013	Qrt 2	Steam	15,969	30,232
6/30/2013	Qrt 2	Wood	6,550	935
6/30/2013	Qrt 2	Residual Oil	144	20
6/30/2013	Qrt 2	Coal	397	-
9/30/2013	Qrt 3	Diesel	-	-
9/30/2013	Qrt 3	Gasoline	-	-
9/30/2013	Qrt 3	Kerosene	1,365	356
9/30/2013	Qrt 3	Natural Gas	415,512	182,146
9/30/2013	Qrt 3	Oil	424,549	239,750
9/30/2013	Qrt 3	Propane	23,656	24,099
9/30/2013	Qrt 3	Steam	15,969	13,112
9/30/2013	Qrt 3	Wood	7,497	2,203
9/30/2013	Qrt 3	Residual Oil	144	-
9/30/2013	Qrt 3	Coal	335	-
12/31/2013	Qrt 4	Diesel	-	-
12/31/2013	Qrt 4	Gasoline	-	-
12/31/2013	Qrt 4	Kerosene	1,490	203
12/31/2013	Qrt 4	Natural Gas	466,754	128,549
12/31/2013	Qrt 4	Oil	466,125	236,933
12/31/2013	Qrt 4	Propane	25,403	5,491
12/31/2013	Qrt 4	Steam	15,969	15,977
12/31/2013	Qrt 4	Wood	8,981	1,111
12/31/2013	Qrt 4	Residual Oil	144	-
12/31/2013	Qrt 1	Coal	514	-
3/31/2014	Qrt 1	Diesel	-	-

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
3/31/2014	Qrt 1	Gasoline	-	-
3/31/2014	Qrt 1	Kerosene	1,594	80
3/31/2014	Qrt 1	Natural Gas	509,205	130,012
3/31/2014	Qrt 1	Oil	523,876	228,057
3/31/2014	Qrt 1	Propane	27,788	5,869
3/31/2014	Qrt 1	Steam	15,969	14,733
3/31/2014	Qrt 1	Wood	10,270	580
3/31/2014	Qrt 1	Residual Oil	144	-
3/31/2014	Qrt 1	Coal	458	-
6/30/2014	Qrt 2	Diesel	-	-
6/30/2014	Qrt 2	Gasoline	-	-
6/30/2014	Qrt 2	Kerosene	1,715	56
6/30/2014	Qrt 2	Natural Gas	545,195	126,749
6/30/2014	Qrt 2	Oil	569,438	225,510
6/30/2014	Qrt 2	Propane	28,521	4,969
6/30/2014	Qrt 2	Steam	15,969	14,733
6/30/2014	Qrt 2	Wood	12,322	654
6/30/2014	Qrt 2	Residual Oil	144	-
6/30/2014	Qrt 2	Coal	882	-
9/30/2014	Qrt 3	Diesel	-	-
9/30/2014	Qrt 3	Gasoline	-	-
9/30/2014	Qrt 3	Kerosene	2,494	706
9/30/2014	Qrt 3	Natural Gas	526,170	184,391
9/30/2014	Qrt 3	Oil	723,190	381,324
9/30/2014	Qrt 3	Propane	17,860	28,153
9/30/2014	Qrt 3	Steam	15,969	18,269
9/30/2014	Qrt 3	Wood	14,952	4,079
9/30/2014	Qrt 3	Residual Oil	-	-
9/30/2014	Qrt 3	Coal	1,115	86
12/31/2014	Qrt 4	Diesel	-	-
12/31/2014	Qrt 4	Gasoline	-	-
12/31/2014	Qrt 4	Kerosene	2,602	669
12/31/2014	Qrt 4	Natural Gas	644,280	219,296
12/31/2014	Qrt 4	Oil	804,029	433,001
12/31/2014	Qrt 4	Propane	17,967	8,699
12/31/2014	Qrt 4	Steam	15,969	18,269
12/31/2014	Qrt 4	Wood	17,801	4,351
12/31/2014	Qrt 4	Residual Oil	-	-
12/31/2014	Qrt 4	Coal	1,249	313
3/31/2015	Qrt 1	Diesel	-	-
3/31/2015	Qrt 1	Gasoline	-	-
3/31/2015	Qrt 1	Kerosene	3,104	792
3/31/2015	Qrt 1	Natural Gas	671,315	301,729

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu)^a
3/31/2015	Qrt 1	Oil	885,524	498,536
3/31/2015	Qrt 1	Propane	19,357	17,177
3/31/2015	Qrt 1	Steam	15,969	19,056
3/31/2015	Qrt 1	Wood	17,781	4,380
3/31/2015	Qrt 1	Residual Oil	-	-
3/31/2015	Qrt 1	Coal	1,305	315

^a Tracked beginning first quarter of 2013

Appendix D: NYS RGGI Auction Proceeds

Table D-1. NYS RGGI Auction Proceeds^a

Auction Date	Control Period	Clearing Price	New York State Allowances Sold	New York State Auction Proceeds
12/17/2008	First	\$3.38	12,422,161	\$41,986,904
3/18/2009	First	\$3.51	12,422,161	\$43,601,785
3/18/2009	Second	\$3.05	776,385	\$2,367,974
6/17/2009	First	\$3.23	11,861,849	\$38,313,772
6/17/2009	Second	\$2.06	776,385	\$1,599,353
9/9/2009	First	\$2.19	11,861,849	\$25,977,449
9/9/2009	Second	\$1.87	776,385	\$1,451,840
12/2/2009	First	\$2.05	11,861,850	\$24,316,793
12/2/2009	Second	\$1.86	571,423	\$1,062,847
3/10/2010	First	\$2.07	15,136,022	\$31,331,566
3/10/2010	Second	\$1.86	740,167	\$1,376,711
6/9/2010	First	\$1.88	15,136,022	\$28,455,721
6/9/2010	Second	\$1.86	756,801	\$1,407,650
9/8/2010	First	\$1.86	11,421,736	\$21,244,429
9/8/2010	Second	\$1.86	464,418	\$863,817
12/1/2010	First	\$1.86	8,678,724	\$16,142,427
12/1/2010	Second	\$1.86	414,863	\$771,645
3/9/2011	First	\$1.89	15,153,524	\$28,640,160
3/9/2011	Second	\$1.89	757,676	\$1,432,008
6/8/2011	First	\$1.89	4,519,648	\$8,542,135
6/8/2011	Second	\$1.89	383,114	\$724,085
9/7/2011	First	\$1.89	2,689,151	\$5,082,495
12/7/2011	First	\$1.89	9,621,954	\$18,185,493
3/14/2012	Second	\$1.93	8,895,733	\$17,168,765
6/6/2012	Second	\$1.93	8,265,426	\$15,952,272
9/5/2012	Second	\$1.93	9,315,659	\$17,979,222
12/5/2012	Second	\$1.93	7,568,550	\$14,607,302
3/13/2013	Second	\$2.80	14,252,818	\$39,907,890
6/5/2013	First	\$3.21	750,000	\$2,407,500
6/5/2013	Second	\$3.20	14,252,818	\$45,751,546
9/4/2013	First	\$3.21	769,253	\$2,053,906
9/4/2013	Second	\$3.20	14,578,296	\$38,924,050
12/4/2013	Second	\$3.00	14,578,295	\$43,734,885
3/5/2014	Second	\$4.00	9,119,837	\$36,479,348
6/4/2014	Second	\$5.02	7,173,198	\$36,009,454
9/3/2014	Second	\$4.88	7,173,198	\$35,005,206
12/3/2014	Second	\$5.21	7,173,198	\$37,372,362
3/11/2015	Third	\$5.41	5,906,447	\$31,953,878.27
First Control Period Total			144,305,904	\$336,282,535
Second Control Period Total			128,764,643	\$391,950,232
Third Control Period Total			5,906,447	\$31,953,878.27
TOTAL			278,976,994	\$760,186,645

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

Appendix E: Total NYS RGGI Funds

Table E-1. NYS RGGI Funds

Quarter End Date	Quarter	Fund Category	Cumulative Funds (\$)
9/30/2010	Qrt 3	Interest Allocated to the RGGI Portfolio	\$940,276
9/30/2010	Qrt 3	RGGI Auction Proceeds	\$265,358,611
12/31/2010	Qrt 4	Interest Allocated to the RGGI Portfolio	\$940,276
12/31/2010	Qrt 4	RGGI Auction Proceeds	\$282,272,683
3/31/2011	Qrt 1	Interest Allocated to the RGGI Portfolio	\$940,276
3/31/2011	Qrt 1	RGGI Auction Proceeds	\$312,344,851
6/30/2011	Qrt 2	Interest Allocated to the RGGI Portfolio	\$1,034,063
6/30/2011	Qrt 2	RGGI Auction Proceeds	\$321,611,071
9/30/2011	Qrt 3	Interest Allocated to the RGGI Portfolio	\$1,034,063
9/30/2011	Qrt 3	RGGI Auction Proceeds	\$326,693,566
12/31/2011	Qrt 4	Interest Allocated to the RGGI Portfolio	\$1,034,063
12/31/2011	Qrt 4	RGGI Auction Proceeds	\$344,879,060
3/31/2012	Qrt 1	Interest Allocated to the RGGI Portfolio	\$1,998,557
3/31/2012	Qrt 1	RGGI Auction Proceeds	\$362,047,824
6/30/2012	Qrt 2	Interest Allocated to the RGGI Portfolio	\$1,998,557
6/30/2012	Qrt 2	RGGI Auction Proceeds	\$378,000,097
9/30/2012	Qrt 3	Interest Allocated to the RGGI Portfolio	\$1,998,557
9/30/2012	Qrt 3	RGGI Auction Proceeds	\$395,979,318
12/31/2012	Qrt 4	Interest Allocated to the RGGI Portfolio	\$3,026,525
12/31/2012	Qrt 4	Interest Allocated to the GJGNY Program	\$770,000
12/31/2012	Qrt 4	RGGI Auction Proceeds	\$410,586,620
3/31/2013	Qrt 1	Interest Allocated to the RGGI Portfolio	\$3,026,525
3/31/2013	Qrt 1	Interest Allocated to the GJGNY Program	\$770,000
3/31/2013	Qrt 1	RGGI Auction Proceeds	\$450,494,510
6/30/2013	Qrt 2	Interest Allocated to the RGGI Portfolio	\$3,026,525
6/30/2013	Qrt 2	Interest Allocated to the GJGNY Program	\$770,000
6/30/2013	Qrt 2	RGGI Auction Proceeds	\$498,653,556
9/30/2013	Qrt 3	Interest Allocated to the RGGI Portfolio	\$3,026,525
9/30/2013	Qrt 3	Interest Allocated to the GJGNY Program	\$770,000
9/30/2013	Qrt 3	RGGI Auction Proceeds	\$539,631,512
12/31/2013	Qrt 4	Interest Allocated to the RGGI Portfolio	\$3,026,525
12/31/2013	Qrt 4	Interest Allocated to the GJGNY Program	\$770,000
12/31/2013	Qrt 4	RGGI Auction Proceeds	\$587,162,922
3/31/2014	Qrt 1	Interest Allocated to the RGGI Portfolio	\$4,400,174

Table E-1 continued

Quarter End Date	Quarter	Fund Category	Cumulative Funds (\$)
3/31/2014	Qrt 1	Interest Allocated to the GJGNY Program	\$770,000
3/31/2014	Qrt 1	RGGI Auction Proceeds	\$619,845,745
6/30/2014	Qrt 2	Interest Allocated to the RGGI Portfolio	\$4,400,174
6/30/2014	Qrt 2	Interest Allocated to the GJGNY Program	\$770,000
6/30/2014	Qrt 2	RGGI Auction Proceeds	\$655,855,199
9/30/2014	Qrt 3	Interest Allocated to the RGGI Portfolio	\$4,400,174
9/30/2014	Qrt 3	Interest Allocated to the GJGNY Program	\$770,000
9/30/2014	Qrt 3	RGGI Auction Proceeds	\$690,860,405
12/31/2014	Qrt 4	Interest Allocated to the RGGI Portfolio	\$4,400,174
12/31/2014	Qrt 4	Interest Allocated to the GJGNY Program	\$770,000
12/31/2014	Qrt 4	RGGI Auction Proceeds	\$728,232,767
3/31/2015	Qrt 1	Interest Allocated to the RGGI Portfolio	\$5,900,174
3/31/2015	Qrt 1	Interest Allocated to the GJGNY Program	\$1,779,747
3/31/2015	Qrt 1	RGGI Auction Proceeds	\$760,186,645

Appendix F: Closed RGGI-Funded Programs and Completed Evaluations

F.1 Closed Programs

F.1.1 Green Residential Buildings Program (GRBP)

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

Key accomplishments:

- 440 RGGI-funded projects were completed.

F.1.2 Municipal Water and Wastewater Program

The purpose of the Municipal Water and Wastewater program is to reduce energy use through energy efficiency and process improvements measures. The program offered coordinated assistance designed to achieve cost-effective CO₂ reductions by providing technical support and implementation assistance to existing facilities and new construction projects.

F.1.2.1 Wastewater Energy Efficiency Program

The Wastewater Energy Efficiency Program (WWEP) provided a unique opportunity to coordinate RGGI climate change goals and funding with U.S. Environmental Protection Agency (EPA) goals as well as funding while installing infrastructure that will improve the environment and keep New York State waters clean and healthy. This program was co-managed by the New York State Environmental Facilities Corporation (EFC) and NYSERDA. EFC secured Green Project Reserve Funds offered by EPA to bolster efforts to finance water and wastewater infrastructure via the Clean Water State Revolving Fund Program. Manufacturing plants financed with Green Project Reserve monies will be constructed energy efficiently, thus minimizing carbon emissions and improving their economic and environmental performance.

Selected projects received RGGI-funded technical analyses to identify costs and savings associated with energy efficiency, process improvement, and carbon abatement opportunities, as well as Green Project Reserve grants to cost share plant upgrades. WWEP was selected as one of five national recipients of the States Stepping Forward Program Award for excellence by the American Council for an Energy-Efficient Economy.

Key accomplishments:

- 59 technical energy analyses were completed.
- Projected annual savings are 46,546 MWh and 56,447 MMBtu, pending installation of recommended measures.

F.2 Completed Evaluations

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

This study quantified the direct, indirect, and induced jobs created/retained from the GJGNY program, including those in disadvantaged communities. The study also examined changes in worker skill level and wages resulting from GJGNY. NYSERDA issued the final reports for both phases of the study in November 2013. Both Phase 1 and Phase 2 reports are posted on NYSERDA's website.¹¹

¹¹ The GJGNY jobs quantification studies, Phase 1 and Phase 2, are on NYSERDA's website: <http://www.nysERDA.ny.gov/Publications/Program-Planning-Status-and-Evaluation-Reports/NYES-Evaluation-Contractor-Reports/2013-Reports/NMR-Group.aspx>.

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

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