



NYSERDA

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

Quarter Ending June, 2017

Final Report

NYSERDA's Promise to New Yorkers:

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

Mission Statement:

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

Vision Statement:

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

**New York's Regional Greenhouse Gas Initiative-
Funded Programs Annual Status Report
Quarter Ending June 30, 2017**

Final Report

Prepared by:

New York State Energy Research and Development Authority

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Acronyms and Abbreviations

CBO	constituency-based organization
CSC	climate smart communities
CGC	Cleaner, Greener Communities
CO ₂	carbon dioxide
CO _{2e}	carbon dioxide equivalents
DEC	NYS Department of Environmental Conservation
EEPS	Energy Efficiency Portfolio Standard
EPA	U.S. Environmental Protection Agency
GHG	greenhouse gas
GJGNY	Green Jobs - Green New York
HPwES	Home Performance with ENERGY STAR®
LIPA	Long Island Power Authority
MMBtu	million British thermal units
MPP	Multifamily Performance Program
MW	megawatt
MWh	megawatt-hour
OBR	On-Bill Recovery Financing Program
PON	Program Opportunity Notice
RGGI	Regional Greenhouse Gas Initiative
SBC	System Benefits Charge

1 Introduction

In New York State, the Regional Greenhouse Gas Initiative (RGGI) program has been implemented through two complementary regulations: The New York State Department of Environmental Conservation (DEC) established the State's Carbon Dioxide (CO₂) Budget Trading Program (6 NYCRR Part 242, 6 NYCRR Part 200, General Provisions), and the New York State Energy Research and Development Authority (NYSERDA) established the CO₂ Allowance Auction Program (21 NYCRR Part 507). This report is prepared pursuant to the State's RGGI Investment Plan (2015 Operating Plan) and provides an update on the progress of programs through the quarter ending June 30, 2017. It contains an accounting of program spending; an estimate of program benefits; and a summary description of program activities, implementation, and evaluation. An amendment to the Operating Plan providing updated funding levels for fiscal years 2016/17 and 2017/18 was approved by NYSERDA's Board on January 24, 2017.

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

2 Summary of Portfolio and Program Benefits

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

The estimated cumulative annualized and expected lifetime benefits as of June 30, 2017, at the portfolio and program levels, are shown in Table 1 and Table 2, respectively.² Investment benefits are further compared by fuel type in Figure 1. NYSERDA begins tracking program benefits once project installation is complete, and provides estimated benefits for projects under contract that are not yet operational (pipeline benefits). Estimated benefits are based on the expected lifetime benefits from installed and pipeline savings. The metrics presented in this section are estimates and not evaluated unless otherwise noted on Table 2. Future Evaluation and Status Reports will present the evaluation results as they are available. Program benefits are reported prior to the financial reporting of funds spent as fund transfers may lag behind the installation date. At this time, the program benefits include projects that are jointly 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 June 30, 2017.

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

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

Key observations during this quarter:

- Electric energy efficiency comprised 50% of energy savings, 46% of emission reductions, and 45% of participant bill savings.
- Renewable electric generation comprised 24% of energy savings, 22% of emission reductions, and 23% of participant bill savings.
- Energy savings from electric energy efficiency and renewable electric generation are a larger percentage than the emissions reductions and participant bill savings from electric energy efficiency and renewable electric generation because the emission factor and bill savings for the State's electric grid is cleaner and cheaper than other energy types such as distillate #2 oil.
- Distillate #2 oil comprised 14% of energy savings, 17% of emission reductions, and 19% of participant bill savings. Distillate #2 oil achieves a larger share of the emission reductions and participant bill savings than other fuel types because distillate #2 oil is dirtier and more expensive than other energy types such as electricity.
- Residual #6 oil comprised 13% of energy savings, 16% of emission reductions, and 10% of participant bill savings. Residual #6 oil achieves a larger share of the emission reductions and a smaller share of participant bill savings than other fuel types because residual #6 oil is dirtier, but less expensive than other energy types such as electricity.
- Due to fuel-switching, natural gas use comprised negative 2% of energy savings, negative 2% of emission reductions, and 1% of participant bill savings. Fuel switching projects that save the dirtier and more expensive distillate or residual oil by consuming more of the cleaner and less expensive natural gas.
- Other fuels (including propane, steam, wood, kerosene, and coal) comprised 1% of energy savings, 1% of emission reductions, and 1% of participant 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 June 30, 2017

Benefits through June 30, 2017 ^a	Net Greenhouse Gas Emission Reductions ^b (Tons CO ₂ e ^c)	Total Net Fuel Benefits (MMBtu)	Net Efficiency Electricity Benefits (MWh)	Net Renewable Energy Generation (MWh)	Total Net Electricity Benefits/Generation (MWh)	Energy Bill Savings to Participating Customers (\$ Million)
Cumulative Annualized Installed Benefits^d	812,215	3,001,469	603,222	290,788	894,010	\$221.5
Cumulative Annualized Pipeline Benefits^e	53,501	373,029	22,635	21,753	44,388	\$12.1
Cumulative Annualized Committed Benefits^f	865,716	3,374,498	625,857	312,541	938,398	\$233.6
Expected Lifetime Total Benefits^g	15,911,195	64,080,150	10,445,307	6,908,179	17,353,486	\$4,580.5

- ^a Cross-program overlap for projects that received any combination of a Green Jobs - Green New York assessment, a GJGNY loan, or a RGGI-funded incentive through the Home Performance with ENERGY STAR[®] Program, NY-Sun Program or Renewable Heat NY Program has been removed.
- ^b These emission reductions are associated with both electric and fossil-fuel saving measures. Under a cap-and-trade system, the total number of emission allowances is determined by regulation. Regulated entities can purchase allowances and collectively emit up to the cap that is currently in place. Therefore, in the near term, electric efficiency projects may not decrease the overall amount of emissions going into the atmosphere. However, electric efficiency projects will reduce end-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 benefits from all currently operational projects installed since program inception.
- ^e Inclusive of benefits from all projects under a signed contract and projects with an application received that are not yet operational.
- ^f The sum of Installed Benefits and Pipeline Benefits.
- ^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 June 30, 2017

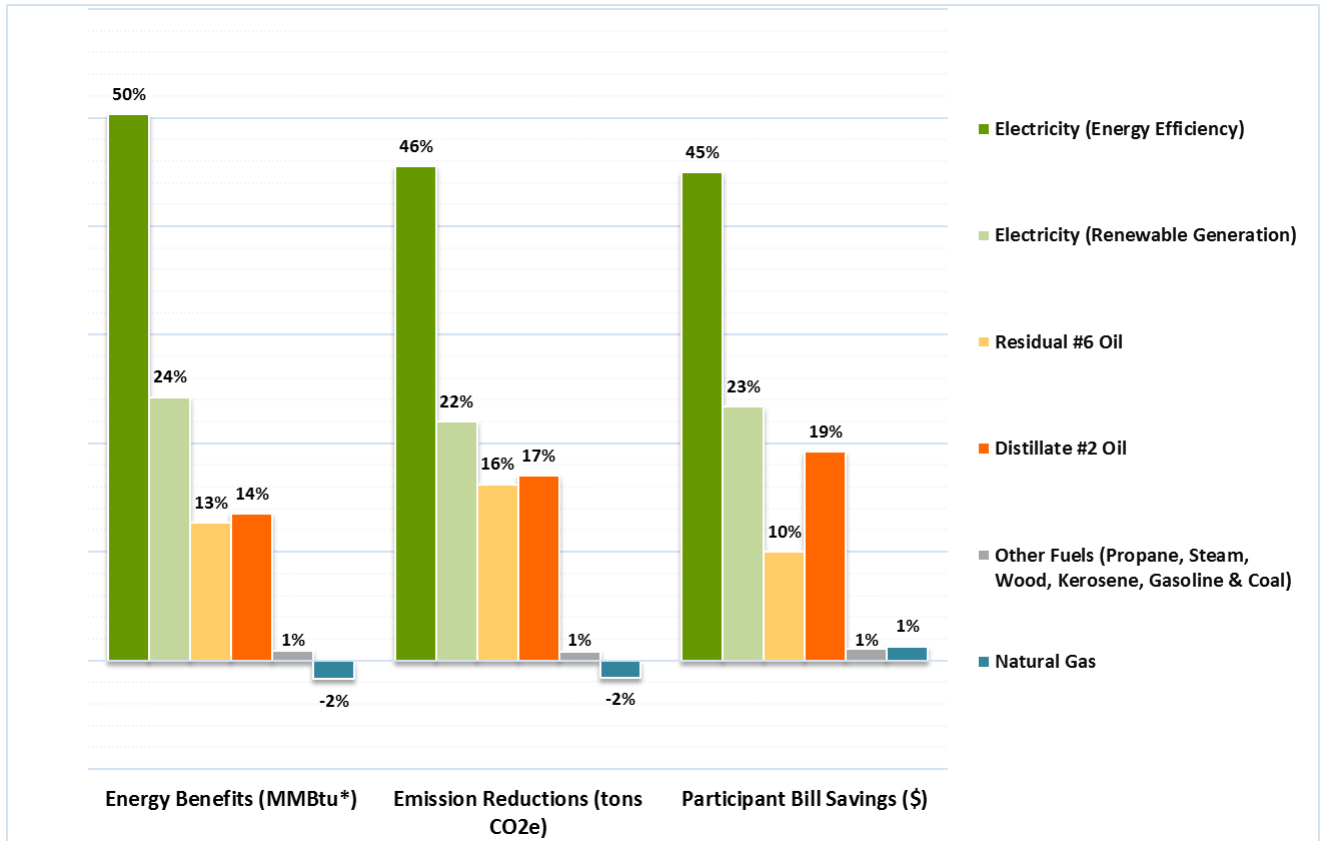
Program	Costs (millions of dollars)		Net Energy Benefits (Annualized MMBtu)			Cost Benefit Ratio (\$/MMBtu)		Net Electricity Benefits or Renewable Energy Generation (Annualized MWh)			Cost Benefit Ratio (\$/MWh)		Net Greenhouse Gas Emission Benefits ^a (Annualized Tons CO ₂ e ^b)			Cost Benefit Ratio (\$/Ton CO ₂ e)	
	Total Incentives ^c	Total Associated Costs ^d	Installed Benefits ^e	Pipeline Benefits ^f	Total Committed Benefits ^g	\$/MMBtu Benefits ^h	\$/MMBtu EXPECTED LIFETIME Benefits ⁱ	Installed Benefits ^e	Pipeline Benefits ^f	Total Committed Benefits ^g	\$/MWh Benefits ^h	\$/MWh EXPECTED LIFETIME Benefits ⁱ	Installed Benefits ^e	Pipeline Benefits ^f	Total Committed Benefits ^g	\$/Ton CO ₂ e Benefits ^h	\$/CO ₂ e EXPECTED LIFETIME Benefits ⁱ
Green Jobs - Green New York																	
One- to Four-Family Residential Buildings Program Assessments ^j	\$25.9	\$1.0	987,000	36,157	1,023,157	26	1	12,526	498	13,024	2,068	115	78,266	2,821	81,087	332	14
One-to Four-Family Residential Buildings Program Financing ^j	\$110.4	\$15.2	622,670	26,926	649,596	193	8	78,092	3,376	81,469	1,541	81	90,442	3,910	94,352	1,331	63
Multifamily Performance Program Assessments ^j	\$3.3	\$1.4	767,488	70,762	838,250	6	0.4	61,151	1,645	62,796	75	6	84,707	5,379	90,087	52	4
Small Commercial Energy Efficiency Program Financing ^j	\$1.5	\$0.3	9,936	-	9,936	172	8	782	-	782	2,186	168	1,069	-	1,069	1,599	91
Energy Efficiency																	
LIPA Energy Efficiency and Renewable Energy Initiative Multifamily Performance Program ^k	\$123.1	-	-	-	-	-	-	395,727	-	395,727	311	17	229,522	-	229,522	536	29
Multifamily Carbon Emissions Reduction Program ^{l,m}	\$15.1	\$2.0	450,969	121,824	572,793	30	2	19,202	5,238	24,441	700	54	43,571	11,816	55,386	309	21
EmPower New York Home Performance with ENERGY STAR ⁿ	\$25.3	\$1.7	151,601	1,275	152,876	177	7	-	-	-	-	-	11,164	99	11,263	2,399	100
Green Residential Building Program	\$2.5	\$0.3	36,548	-	36,548	75	3	1,573	-	1,573	1,744	97	3,084	-	3,084	890	40
Solar Hot Water (Thermal) Program	\$4.2	\$0.1	14,217	14,217	28,433	152	8	22	22	43	-	5,006	1,057	1,057	2,115	2,041	102
Low-Rise Residential New Construction Program ⁿ	\$0.8	-	8,874	1,862	10,736	79	3	-	-	-	-	-	604	127	731	1,155	48
Renewable Energy																	
Renewable Heat New York	\$0.8	\$1.14	3,369	230	3,599	535	27	597	23	620	3,105	155	1,832	83	1,914	1,006	50
NY-Sun Initiative	\$52.1	\$0.71	-	-	-	-	-	172,081	20,570	192,651	274	11	99,807	11,931	111,737	473	19
NYSDERDA Solar Electric	\$5.2	\$0.1	-	-	-	-	-	2,040	-	2,040	2,607	104	1,183	-	1,183	4,495	180
Community Clean Energy																	
Regional Economic Development & GHG Reduction ^o	\$0.8	\$8.5	-82,448	5,502	-76,946	-122	-7	-	3,735	3,735	2,512	140	35,140	2,490	37,630	249	14
Clean Energy Communities	\$8.9	-	494,121	-	494,121	18	1	185,420	-	185,420	48	3	138,864	-	138,864	64	4
Innovative GHG Abatement Strategies																	
Charge NY	\$0.5	\$0.4	18,101	-	18,101	49	5	-	-	-	-	-	843	-	843	1,050	105
Clean Energy Fund																	
Clean Energy Fund ^q	\$7.2	\$1.55	20,147	145,078	165,225	53	3	1,535	12,475	14,010	624	37	1,989	19,302	21,291	410	25
Cross-Program Overlap ^r	N/A	N/A	-826,340	-50,990	-877,330	N/A	N/A	-38,519	-3,199	-41,718	N/A	N/A	-83,163	-5,528	-88,691	N/A	N/A
TOTAL Annualized Cumulative Benefits^s	\$414.3	\$37.0	3,001,469	373,029	3,374,498	134	N/A	894,010	44,388	938,398	481	N/A	812,215	53,501	865,716	521	N/A
TOTAL Expected Lifetime Cumulative Benefits^s	\$414.3	\$37.0	57,846,357	6,233,794	64,080,150	N/A	7	16,470,429	883,057	17,353,486	N/A	26	14,934,993	976,202	15,911,195	N/A	28

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 benefits from all currently operational projects installed since program inception.
- ^f Inclusive of benefits from all projects under a signed contract and projects with an application received that are not yet operational
- ^g The sum of Installed Benefits and Pipeline Benefits.
- ^h The sum of Total Incentives and Total Associated Costs divided by Total Committed Benefits.
- ⁱ The sum of Total Incentives and Total Associated Costs divided by the Expected Lifetime Total Committed Benefits. 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 The benefits for this program have been evaluated and will be adjusted in future reports.
- ^l The Multifamily Carbon Emissions Reduction Program is a fuel-switching program and does not claim any energy or bill savings.
- ^m The benefits presented for this program have been adjusted based on results of an impact evaluation completed in October, 2015. For additional information, see the "Program Evaluation" Section (4.7), in this report.
- ⁿ The electricity benefits for the Low-Rise Residential New Construction Program (LRNC) are supported with non-RGGI funding sources. Prior RGGI Status Reports erroneously included the electricity benefits from the LRNC program as a RGGI-funded benefit.
- ^o The Regional Economic Development and GHG Reduction program consists of 15 unique projects. The costs for all 15 projects are included in this table although only a subset of these projects actually report quantifiable energy benefits. The negative MMBtu savings are due to a manufacturing project that switched from burning #6 residual oil to natural gas and a transportation project that switched from burning diesel fuel to compressed natural gas (CNG). CNG is slightly less efficient than diesel from an energy perspective but results in carbon emission reductions.
- ^p Energy efficiency values represent MMBtu savings from the use of electric vehicles: the electricity required to charge the vehicle (1,013 MWh cumulative annual and 10,130 MWh lifetime) is netted out of the emission reduction and customer bill savings values shown in this table. Emission reductions and customer bill savings are net, including both MMBtu that add to the benefits and the electricity required to charge the electric vehicles that subtract from the benefits.
- ^q These figures represent a proportional allocation of benefits relative to the percent of RGGI contributions to the total approved CEF budget.
- ^r Cross-program overlap accounts for projects that received any combination of a GJGNY assessment, a GJGNY loan, or a RGGI-funded incentive through the Home Performance with ENERGY STAR® Program, NY-Sun Program or Renewable Heat NY Program.
- ^s Totals may not sum exactly due to rounding.

Figure 1. Percent Contribution by Fuel Type for Energy Benefits, Emission Reductions, and Bill Savings through June 30, 2017³



* To convert to source MMBtu, the kWh savings, and generation for the electric measures were adjusted to account for savings at the source of generation. This approach enables an order of magnitude comparison between electric and fuel energy savings/generation. The source factor used is 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%.

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

3 Funds

3.1 Proceeds

As of June 30, 2017, NYS sold more than 334 million CO₂ allowances and received more than \$1,028 million in auction proceeds. In addition, more than \$13.1 million in interest was earned on the RGGI portfolio and nearly \$2 million in interest was earned on the Green Jobs - Green New York (GJGNY) program. Nearly \$13 million in interest earnings were allocated on the RGGI portfolio and nearly \$1.8 million in interest earnings were allocated to the GJGNY program. The allocated interest earnings are reinvested for program implementation and distributed across various RGGI programs. Detailed auction proceeds and total funds for NYS RGGI are presented in Appendix D and Appendix E, respectively. Total NYS RGGI funds are listed in Table 3, and detailed auction proceeds for NYS RGGI are visually displayed in Figure 2.

Table 3. New York State's RGGI Auction Results and Funds through June 30, 2017^{a,b}

Source: RGGI, Inc. and NYSERDA

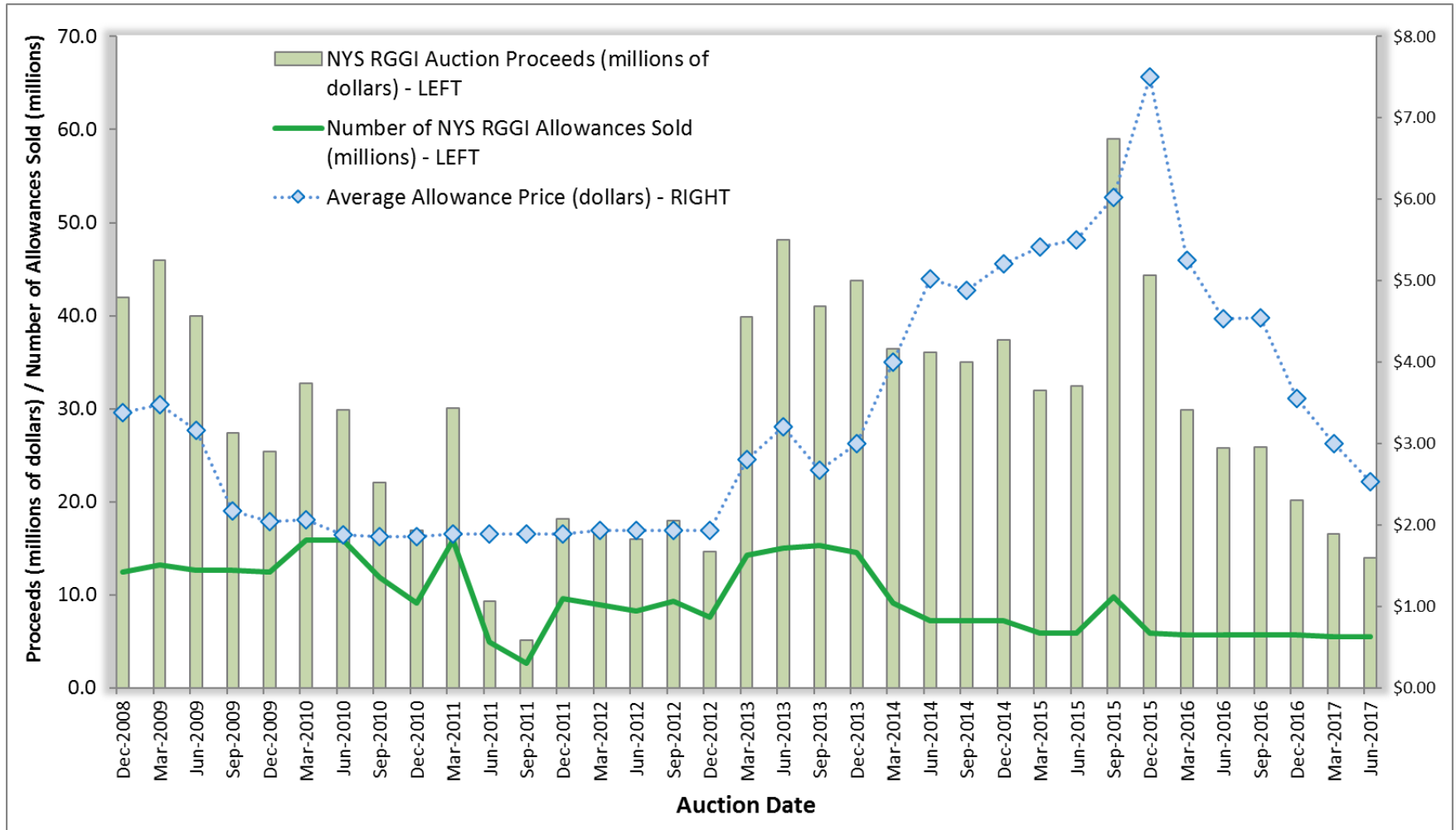
Fund Category	NYS Allowances Sold	Cumulative Funds
First Control Period Total	144,305,904	\$336,282,535
Second Control Period Total	128,764,643	\$391,950,232
Third Control Period Total	61,343,755	\$300,018,245
RGGI Auction Proceeds	334,414,302	\$1,028,251,011
RGGI Portfolio Interest Earnings		\$13,151,561
GJGNY Program Interest Earnings		\$1,993,273
TOTAL Funds		\$1,043,395,845

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

^b RGGI program budgets have been increased based on anticipated auction revenues from the approved FY 2016-2017 Operating Plan. These amounts have been allocated, but not been received due to the timing of receipt of the proceeds.

Figure 2. New York State's RGGI Auction Results through June 30, 2017

Source: RGGI, Inc.



3.2 Budget

Financial data for the approved RGGI programs through June 30, 2017, are presented in Tables 4 through 6. Table 4 presents the current expended, encumbered, and committed funds for each program and reflects how the more than \$1,196 million of approved funds are distributed across the six major program areas and other costs:

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

Tables 5 and 6 present the financial data for the approved GJGNY program and NY Green Bank, respectively, through June 30, 2017.

Table 4. Available Funding and Financial Status through June 30, 2017 (millions of dollars)

Source: NYSERDA

	Budgeted Funds ^a	Expended Funds ^b	Open Encumbrances ^c	Pre-Encumbrances ^d	Committed Funds ^e	Remaining Balance ^f
Renewable Energy						
Renewable Heat NY	10.3	6.7	2.8	0.6	10.0	0.3
NY-Sun	89.5	43.6	6.1	0.3	50.0	39.5
NYSERDA Solar Electric Programs	5.3	5.3	0.03	-	5.3	-
NY Generation Attribute Tracking	0.8	0.12	0.67	-	0.8	-
Advanced Renewable Energy	2.9	2.8	-	-	2.8	0.02
Total Renewable Energy	108.8	58.6	9.5	0.9	69.0	39.8
Energy Efficiency						
LIPA Energy Efficiency and Renewable Energy	153.7	110.4	43.3	-	153.7	-
Residential Efficiency Services	83.8	76.9	3.9	0.4	81.2	2.6
Municipal Water and Wastewater	1.2	1.2	-	-	1.2	-
Clean Energy Workforce Opportunity	15.0	15.0	-	-	15.0	-
Total Energy Efficiency	253.7	203.5	47.2	0.4	251.1	2.6
Innovative GHG Abatement Strategies						
Industrial Innovations	13.0	8.5	4.2	0.3	13.0	-
Climate Research and Analysis	8.6	7.3	1.1	0.3	8.6	-
Clean Energy Business Development	23.2	15.6	2.8	3.3	21.7	1.5
Charge NY	17.0	1.0	0.6	-	1.6	15.4
Transportation Research	5.3	2.8	0.6	0.5	3.9	1.4
Carbon Capture and Sequestration	1.0	1.0	-	-	1.0	-
Advanced Buildings	1.6	1.2	0.3	-	1.5	0.1
Competitive Greenhouse Gas Reduction Pilot	1.0	0.5	0.5	-	1.0	-
Brookhaven National Laboratory Ion Collider	25.0	4.5	20.5	-	25.0	-
Total Innovative GHG Abatement Strategies	95.7	42.3	30.7	4.4	77.4	18.3
Community Clean Energy						
Climate Smart Communities	7.7	4.4	-	-	4.4	3.2
Economic Development Growth Extension	7.2	5.3	0.6	0.01	5.8	1.4
Cleaner, Greener Communities	99.1	34.5	50.9	12.0	97.4	1.7
Clean Energy Communities	2.8	-	-	-	-	2.8
Regional Economic Development and Greenhouse Gas Reductions	10.3	9.3	1.0	-	10.3	0.003
REV Campus Competition	3.0	0.3	2.7	-	3.0	-
Total Community Clean Energy	130.1	53.7	55.3	12.0	121.0	9.2
Other Costs^g						
Deficit Reduction Plan (DRP) Transfer ^h	90.0	90.0	-	-	90.0	-
Con Edison Smart Grid Program ⁱ	21.9	21.9	-	-	21.9	-
Program Administration ^j	31.6	25.5	0.05	-	25.5	6.1
Metrics and Evaluation	11.8	4.1	2.2	-	6.2	5.5
RGGI Inc. Costs ^k	9.0	7.6	0.2	-	7.9	1.1
New York State Cost Recovery Fee	11.2	9.8	-	-	9.8	1.4
Unallocated Interest Earnings	0.20	-	-	-	-	0.2
Environmental Tax Credit	87.0	64.0	-	-	64.0	23.0
Electric Generation Facility Cessation Mitigation ^m	30.0	30.0	-	-	30.0	-
OTHER COSTS TOTAL	292.6	252.8	2.4	-	255.3	37.4
SUBTOTAL	880.9	610.9	145.0	17.6	773.6	107.3
Green Jobs - Green New York						
Green Jobs - Green New York	205.6	192.3	3.0	24.9	220.2	(-14.6) ^m
NY Green Bank						
NY Green Bank	52.9	51.9	-	-	51.9	1.0
Clean Energy Fund						
Clean Energy Fund	56.3	3.9	1.0	-	4.9	51.3
Clean Energy Standard						
Clean Energy Standard	0.7	-	-	-	-	0.7
TOTALⁿ	1,196.4	859.0	149.1	42.5	1,050.6	160.4

Table notes are on the next page

Table 4 continued

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

Table 5. Green Jobs - Green New York Available Funding and Financial Status through June 30, 2017 (millions of dollars)

	Budgeted Funds ^a	Expended Funds ^b	Open Encumbrances ^c	Pre-Encumbrances ^d	Committed Funds ^e	Remaining Balance ^f
Workforce Development, Outreach and Marketing						
Workforce Development	7.3	6.7	0.1	-	6.8	0.5
Outreach and Marketing	15.9	15.5	0.3	0.0	15.9	0.0
Total Workforce Development, Outreach and Marketing	23.2	22.2	0.5	0.0	22.7	0.5
Residential						
Energy Assessment Incentive	26.9	25.8	-	0.3	26.0	0.8
Implementation Costs	1.0	1.0	-	-	1.0	0.00
Financing: Loans	112.2	248.9	-	24.0	272.9	
Financing: Loan Repayments	-	(17.8)	-	-	(17.8)	
Financing: Implementation Costs	-	12.6	0.4	0.1	13.1	
Financing: Bond Proceeds	-	(106.1)	-	-	(106.1)	
Financing: Bond Issue Costs	-	3.6	0.2	-	3.8	
Financing: Short Term Note	-	(30.0)	-	-	(30.0)	
Total Financing	112.2	111.2	0.6	24.0	135.9	(-23.7)^g
Total Residential	140.1	138.0	0.6	24.3	162.9	(-22.9)^g
Multifamily						
Energy Assessments	3.3	3.1	0.2	-	3.3	0.0
Implementation Costs	1.4	1.4	-	-	1.4	0.0
Financing: Loans	3.5	3.9	-	-	3.9	
Financing: Loan Repayments	-	(2.5)	-	-	(2.5)	
Financing: Implementation Costs	0.3	0.1	0.2	-	0.3	
Total Financing	3.8	1.5	0.2	-	1.7	2.1
Total Multifamily	8.5	6.0	0.3	-	6.4	2.2
Small Commercial						
Energy Assessments	8.6	7.0	-	-	7.0	1.6
Implementation Costs	1.0	0.9	0.01	-	0.9	0.2
Financing: Loans	3.8	2.1	-	-	2.1	
Financing: Loan Repayments	-	(0.5)	-	-	(0.5)	
Financing: Implementation Costs	0.3	0.3	0.3	0.6	1.1	
Total Financing	4.1	1.9	0.3	0.6	2.7	1.4
Total Small Commercial	13.7	9.8	0.3	0.6	10.6	3.1
SUBTOTAL	185.6	176.1	1.7	24.9	202.7	(-17.1)^g
Other Costs						
Program Administration	11.8	10.7	0.03	-	10.7	1.0
Program Evaluation	5.6	3.4	1.3	-	4.6	1.0
New York State Cost Recovery Fee	2.5	2.2	-	-	2.2	0.2
Unallocated Interest Earnings	0.2	-	-	-	-	0.2
OTHER COSTS TOTAL	20.0	16.3	1.3	-	17.6	2.5
TOTAL^h	205.6	192.3	3.0	24.9	220.2	(-14.6)^g

- a Includes auction proceeds and allocated interest on the GJGNY funds. The allocation is consistent with the budget presented in the RGGI Operating Plan.
- b Invoices processed for payment by NYSERDA.
- c Remaining funding obligated under a contract, purchase order, or incentive award.
- d Planned funding for contracts awarded and under negotiation; and planned funding under active development through open solicitations with upcoming proposal due dates, adjusted so that the sum of the project commitments does not exceed Budgeted Funds. NYSERDA's annual audited financial statements may reflect project commitments in excess of Budgeted Funds. These commitments are expected to decrease over time due to project attrition and differences in estimated versus actual costs.
- e The sum of Expended, Encumbered, and Pre-Encumbered funds.
- f The difference between Budgeted Funds and Committed Funds.
- g The Residential Financing figures include certain loans issued, but where proceeds from bonds to finance the pledged loans is received subsequently. The Residential Financing figures also includes pre-encumbrances for approved loans not yet issued, which will be funded from additional funds to be transferred to GJGNY and not yet reflected in the Budgeted funds shown in this table.
- h Totals may not sum exactly due to rounding

Table 6. NY Green Bank Available Funding and Financial Status through June 30, 2017
(thousands of dollars)

	Budgeted Funds ^a	Deployed Funds ^b	Committed Capital ^c	Approved Investments ^d	Committed Funds ^e	Remaining Balance ^f
Program Costs						
NY Green Bank	47,567	47,567	-	-	47,567	-
SUBTOTAL	47,567	47,567	-	-	47,567	-
	Budgeted Funds	Expenses ^g	Open Encumbrances ^h	Pre-Encumbrances ⁱ	Committed Funds ^j	Remaining Balance ^f
Other Costs						
Operating Expenses (Program Administration)	4,234	4,234	-	-	4,234	-
Program Evaluation	969	10	-	-	10	959
New York State Cost Recovery Fee	156	85	-	-	85	71
OTHER COSTS TOTAL	5,359	4,329	-	-	4,329	1,030
	Budgeted Funds	Deployed Funds plus Expenses	Committed Capital plus Open Encumbrances	Approved Investments plus Pre-Encumbrances	Committed Funds	Remaining Balance
TOTAL^k	52,926	51,897	-	-	51,897	1,030

- ^a The allocation is consistent with the budget presented in the RGGI Operating Plan. NY Green Bank funding being reported here is only NY Green Bank funds that were transferred from RGGI. The actual NY Green Bank budget is higher.
- ^b Deployed Funds means, in any period, the aggregate funds that have been advanced by NY Green Bank subject to the terms of executed investment and financing agreements which remain in force during that period, expressed in dollars. Deployed Funds reflect only funds actually advanced. Many transactions involve provision of credit enhancements by NY Green Bank that, by their nature, are contingent obligations not generally intended to be fully drawn against or funded. In addition, many NY Green Bank investments are “delayed draw” in that funds are not Deployed until project sponsors meet certain development milestones over a time period necessary to originate, develop and construct a large number of smaller, distributed, clean energy projects.
- ^c Committed Capital means, in any period, the aggregate funds to be provided by NY Green Bank pursuant to executed investment and financing agreements that remain in force during that period, without such funds having been Deployed, expressed in dollars.
- ^d Approved Investments means proposed investments that have moved through NY Green Bank’s transaction process – from proposal submission, evaluation, structuring/diligence/negotiation, agreement in principle, to vetting by the IRC and approval by NYSERDA’s president and CEO after considering recommendations made by IRC members. Approved Investments represent an allocation of NY Green Bank’s capital in accordance with the terms of the IRC approval – an interim stage before “Committed Funds” or “Deployed Funds.” Once an Approved Investment has been fully negotiated and executed, it becomes “Committed” and/or “Deployed” and no longer represents a current Approved Investment. Equally, if an Approved Investment becomes dormant for any reason for a continuous period of one year prior to being fully negotiated and executed and at the end of that period the probability of that investment moving forward towards execution is regarded as low, it may also be removed from the category of Approved Investments. In that event, all capital amounts corresponding to that investment are released and available for other NY Green Bank investments.
- ^e The sum of Deployed Funds, Committed Capital and Approved Investments.
- ^f The difference between Budgeted Funds and Committed Funds.
- ^g Invoices processed for payment by NYSERDA.
- ^h Remaining funding obligated under a contract, purchase order, or incentive award.
- ⁱ 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 transaction commitments in excess of Budgeted Funds. These commitments are expected to decrease over time due to project/transaction attrition and differences in estimated versus actual costs.
- ^j The sum of Expenses, Open Encumbrances, and Pre-Encumbrances.
- ^k Totals may not sum exactly due to rounding.

4 Program Descriptions and Accomplishments

4.1 Renewable Energy

4.1.1 Renewable Heat NY

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

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

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

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

Key accomplishments as of this quarter:

- Twenty-three new research projects have been contracted as a result of proposals received from Program Opportunity Notice (PON) 3027: Energy and Environmental Performance of Biomass-Fired Heating Equipment. These projects are addressing needs identified through the Renewable Heat NY program, and support the development and advancement of a high-efficiency, low-emissions biomass thermal industry in NYS.
- One on-line training session was conducted this quarter. To date, NYSERDA's training service provider conducted 14 all-day training sessions one webinar. A recording of the training is being made available online. Enrollment of qualified installers is ongoing.
- Seventy-seven pellet stove installations were completed this quarter, bringing the total number of pellet stoves installed to 449. More than 43 projects are in process.
- Five residential pellet boiler installations were completed this quarter, bringing the total number of residential pellet boiler installations to 20 and residential advanced cordwood boiler installations to 16; five residential cordwood and six residential pellet boiler installations are in process.
- Feasibility studies and reviews by technical consultants related to development of large commercial projects is ongoing. Three large commercial pellet boiler projects are in-process with one of these currently undergoing a feasibility study.

4.1.2 NY-Sun Initiative

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

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

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

Key accomplishments as of this quarter:

- Three “Solarize” campaigns participating in Community Solar NY Round 3 are underway, with 14 additional NYSERDA-supported Solarize campaigns being implemented by self-funded organizations, or through other NYSERDA funding channels. The 2017 campaigns include efforts being led by local governments with support from local Clean Energy Communities Coordinators, campaigns led by regional nonprofit organizations, and a campaign focused on commercial and manufacturing properties.
- Uptake for the Affordable Solar program, which provides additional incentives for onsite residential projects for low- to moderate-income homeowners, increased for customers and contractors during the first quarter of 2017. Through Q2 2017, 188 installations were completed with 52 more in process. More than 40 NY-Sun contractors have completed Affordable Solar projects to date.
- Due to the continued growth of the Long Island residential solar market, the final residential MW Block for that region filled in April 2016 and the incentive program closed. There were a total of 18,660 solar electric systems installations through June 30, 2017 on Long Island through PON 2112 and the Solar Pioneer Programs.

4.1.2.1 NYSERDA Solar Electric Program

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

Key accomplishments as of this quarter:

- A total of 183 solar electric systems were installed outside of Long Island using RGGI funding through June 30, 2017.

Success Story 1: New York Launches first Solarize campaign for manufacturers

RGGI funds are being used for the first State-supported Solarize campaign aimed at helping manufacturers install clean-energy producing solar projects. The campaign is part of the third round of Solarize and will bring together potential solar customers in the Capital Region to receive competitive pricing. The Solarize campaign is targeting manufacturers looking to install commercial solar systems, but non-manufacturing commercial sites are also eligible. Projects in the first two rounds of Solarize campaigns total 13.46 megawatts of installed solar and will save participants a total of approximately \$2.9 million on upfront purchase costs, for an average savings of \$1,743 per installation.

4.1.3 New York Generation Attribute Tracking (NYGATS)

NYSERDA established the New York Generation Attribute Tracking System (NYGATS) to record electricity generation attribute information within NYS, and process generation attribute information from energy imported and consumed within the State, as a basis for creating tradable generation attribute certificates. Through NYGATS, entities can verify and substantiate ownership of renewable energy certificates to either support regulatory compliance, to validate environmental attributes in trading markets, or to substantiate the fulfillment and verification of voluntary green market product claims. NYGATS also characterizes the attributes of electricity imports and exports and has the capability to interface and exchange information with other certificate tracking systems. The system is used for the creation of annual disclosure labels for New York Load Serving Entities (LSE) under the Environmental Disclosure Program (EDP), for generation projects to apply for eligibility under Tier 1 of the Clean Energy Standard (CES), for LSEs to substantiate compliance under the CES, and for CES progress reporting. Additionally, NYGATS certificates are the instrument to be received by the utilities in exchange for providing the environmental value component of the Value of Distributed Energy Resources (VDER) Phase 1 Value Stack tariff. As previously ordered by the Public Service Commission, this project is also supported with System Benefits Charge (SBC) environmental disclosure program funding.

Key accomplishments as of this quarter:

- NYGATS began creating CES Zero Emission Credit Requirements (ZEC) certificates for eligible facilities in April 2017. These certificates will be used to demonstrate compliance with obligations under the CES.
- On April 13, 2017, NYSERDA held a NYGATS Stakeholder meeting. The Stakeholder session had over 250 attendees in person and via webcast. Topics included the upcoming 2016 NYGATS settlement, NYGATS aspects of EDP, CES, and VDER, the Renewable Energy Standard Tier 1 certification process, and certificate import processes.
- On April 24, 2017, NYSERDA made a compliance filing as part of the CES Phase 1 Implementation Plan in the CES proceeding which detailed the data reporting requirements for generation data from New York small wholesale generators that supply load to electric distribution companies (EDC). This data process will replace the manual reporting of generation from these facilities undertaken annually by EDCs as required under EDP. The addition of this data to NYGATS will create a more comprehensive picture of New York generation and load for EDP and CES purposes.

- On June 5, 2017, NYSERDA filed a compliance filing in the VDER proceeding regarding the use of NYGATS in the next phase of the VDER proceeding, VDER Phase 2. The filing presented proposals for the use of tracking systems to facilitate the markets for the environmental attributes of small distributed energy resources as envisioned under the Reforming the Energy Vision and VDER proceedings.
- Modifications to NYGATS to support the CES and VDER are in development and are being released throughout 2017.

4.1.4 Advanced Renewable Energy Program

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

Key accomplishments as of this quarter:

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

4.2 Energy Efficiency

4.2.1 LIPA Energy Efficiency and Renewable Energy Initiative

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

Through the second quarter of 2017, rebate spending totaled \$10.8 million against total budgeted RGGI funds of \$34.6 million, resulting in 63,624 MWh savings. The majority of the spending (\$6.3 million) consisted of payments to businesses through PSEG LI's Commercial Efficiency Program (CEP). PSEG LI's Cool Homes central air conditioner program and PSEG LI's Efficient Products program were among the residential programs that were supported. The Efficient Products program includes support of LED light bulbs, pool pumps, appliance recycling, and room air conditioners.

In addition to ongoing efficiency and renewables programs, PSEG LI has implemented a number of new initiatives in support of REV. Recently, Long Island has been recognized as the first region of the State where all 18 Clean Energy Community grant awards have been claimed, with each community earning the designation as a Clean Energy Community. PSEG Long Island will continue to coordinate with NYSERDA around supporting communities by promoting the grant projects that will result from these awards. Combined heat and power is another innovative measure that PSEG LI is implementing. Three projects have been pre-approved, with anticipated savings of 3,518 MWh and total estimated rebate of \$855,000.

Key accomplishments as of this quarter:

- During the second quarter of 2017, PSEG LI Residential Efficient Products program resulted in savings of 37,652 MWh for total incentive payments of \$3.4 million, including rebates of \$2.6 million to PSEG LI residential customers for the purchase of over 1.1 million light bulbs at local retailers. The remaining incentives were paid for efficient product measures such as catalog LED light bulbs, pool pumps, appliance recycling, and room air conditioners.
- PSEG LI residential customers were provided with incentives of over \$496,000 to install 909 energy-efficient central air conditioning projects as part of PSEG LI's Cool Homes program, saving 555 MWh in Q2 2017.
- More than \$6.2 million in rebates were paid to Long Island businesses saving 24,223 MWh as part of PSEG LI's Commercial Efficiency Program as incentive for over 900 energy efficiency projects installing measures such as lighting, HVAC systems, and efficient motors.

4.2.2 Residential Efficiency Services

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

4.2.2.1 Multifamily Performance Program

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

Key accomplishments as of this quarter:

- Through June 30, 2017, 146 energy efficiency projects were completed, providing energy efficiency upgrades to 33,227 housing units.

4.2.2.2 Multifamily Carbon Emission Reduction Program

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

4.2.2.3 EmPower New York

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

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

Key accomplishments as of this quarter:

- Across NYS, 33 households were served during this quarter, bringing the total to 6,887 households served under EmPower New York with RGGI funding through June 30, 2017.

4.2.2.4 Green Residential Buildings Program

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

4.2.2.5 Home Performance with ENERGY STAR®

Home Performance with ENERGY STAR (HPwES) is a comprehensive energy efficiency services program for existing one- to four-family homes and low-rise⁴ residential buildings. The program uses a network of Building Performance Institute GoldStar contractors to perform diagnostic testing on the home, recommend improvements, determine the payback period for those improvements, and install improvements selected by the homeowner. As of June 30, 2017, 190 contractors are active in HPwES.

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

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

Key accomplishments as of this quarter:

- During this quarter, 46 energy efficiency projects were completed at a contracted value of \$395,400, bringing the total to 9,313 energy efficiency projects completed at a contracted value of \$90.9 million.
- Of these projects, 39% were Assisted HPwES, which serves homeowners with incomes between less than 80% of the area median income.

4.2.2.6 Solar Thermal Incentive Program

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

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

Key accomplishments as of this quarter:

- Program funds are winding down; no new solar thermal hot water systems were installed during this quarter. Only five funded projects remain in the existing program, with the potential to contribute up to 816 MMBtu of savings.
- In total, 13,753 MMBtu have been saved through 177 projects and their solar thermal contribution to domestic hot water.⁵

4.2.2.7 Low-rise Residential New Construction Program

NYSERDA's Low-rise Residential New Construction Program⁶ (LRNCP) includes the New York ENERGY STAR® Certified Homes Program and the New York Energy 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. Starting in July 2013, RGGI funded the MMBtu-savings component of the LRNCP incentive for projects using propane or oil as the primary heating fuel. Although more than 165 builders participate in this program statewide, 24 builders have constructed homes eligible for RGGI incentives so far. RGGI funds have been fully committed as of Q3, 2015.

Key accomplishments as of this quarter:

- There were no new dwelling units completed during the quarter, with the cumulative total of new dwelling units constructed to date remaining at 262.
- The total private sector funds leveraged to date is \$1,038,718.

4.2.3 Municipal Water and Wastewater Program

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

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

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

4.3 Innovative GHG Abatement Strategies

4.3.1 Industrial Innovations Program

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

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

Key accomplishments as of this quarter:

- A project with OLEDWorks LLC of Rochester, NY, which has also received federal funding from United States Department of Energy, successfully developed an improved manufacturing technique for mass producing organic light emitting diodes, yielding cost reductions, which can help propel this premium-efficient technology from its current use in luxury TVs and smartphone screens to adoption for wide-scale markets such as ambient lighting and illuminated signage.
- Projects in progress from previous quarters continued to make advancements during this quarter.

4.3.2 Climate Research and Analysis Program

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

Key accomplishments as of this quarter:

- Through the Community Risk and Resiliency Act (CRRA) process, the DEC previously adopted the NYSERDA-supported ClimAID projections for NYS as the official sea level rise projections for the State. NYSERDA staff continued to participate in an interagency working group to coordinate efforts on CRRA. NYSERDA will continue to engage with this group, offering suggestions, and support when appropriate.
- The New York Climate Change Science Clearinghouse launched in early May 2016. This quarter, the Northeast States for Coordinated Air Use Management (NESCAUM) and the team continued to work with neighboring states who are interested in building off the New York site, potentially using this as a mechanism to help sustain the site into the future.

4.3.3 Clean Energy Business Development

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

Key elements of the program include:

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

As part of the effort to bring private investment to early-stage clean energy companies in NYS, NYSERDA is working with the impact investment group, Investors' Circle to develop a local network in New York City, which has been branded as Investors' Circle New York (IC NY).

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

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

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

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

Key accomplishments as of this quarter:

- The second round of the 76West Clean Energy Business Competition was launched on December 1, 2016 and applications were due on March 13, 2017. The semifinals of the competition were held on July 11, 2017 in Alfred, NY and the finals were held on July 13, 2017 in Corning, NY. The six winners were announced at an awards ceremony on August 16, 2017 in Binghamton, NY. The agreements with the winners are currently being negotiated and finalized.

4.3.4 Charge NY

Charge NY will pursue three main strategies to promote plug-in electric vehicle (PEV) adoption by consumers across New York. First, NYSERDA will develop and implement a rebate program for PEVs starting in 2017, accelerating purchases of PEVs by reducing higher upfront costs. Second, NYSERDA will invest in marketing and awareness-building activities to build interest in PEVs among the general public. A focus on building greater public knowledge and awareness of the capabilities of PEVs is essential to spur more private investment in PEV purchases and PEV charging stations. This work may also include other market development activities such as policy and business model development studies that support new ways for critical stakeholders (utilities, local governments, car dealers, etc.) to get involved in the PEV market. Third, NYSERDA will also support the installation of PEV charging stations at workplaces, municipal lots, and multi-family

buildings—location types shown to be effective drivers for PEV adoption based on usage data reported from previous installations. Regions of the State that have seen faster PEV adoption will be identified for additional charging station support, which ensure that investments in infrastructure support areas with the greatest potential for additional PEV drivers. Charge NY will also initiate the deployment of a network of direct current (DC) fast charge stations across the State.

Key accomplishments as of this quarter:

- In March 2017, NYSERDA launched the Drive Clean Rebate program for electric vehicles, providing up to \$2,000 per vehicle for qualifying purchases. Through June 2017, NYSERDA has issued over 1,200 rebates.
- NYSERDA's charging station deployment program is under development, with a request for proposal (RFP) expected to be released in 2017.

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:

- EV-Box is nearing completion of its charging system hardware and software components for its AC and DC electric vehicle charger with integrated battery storage. They are also conducting voice of customer interviews targeting the New York, California, and European markets, and are developing the cost models for customer types in these markets.
- HEVO neared completion on its project to develop a wireless EV charging system. The product has been successfully tested and is in the process of undergoing UL certification.
- NYSERDA held a kick-off meeting with Unique Electric Solutions for a project to build and demonstrate a retrofit kit to repower diesel UPS delivery trucks with electric powertrains. The kits would be assembled in New York State.
- NYSERDA kicked off its project with Volpe, the National Transportation Systems Center, U.S. Department of Transportation to prepare a synthesis of the state of the practice in Smart Mobility and to provide recommendations for NYSERDA Smart Mobility activities. The project is expected to be completed in late 2017.

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

4.3.6 Carbon Capture, Recycling, and Sequestration

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

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

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

Key accomplishments as of this quarter:

- The final report has been completed and reviewed. The project is complete and is in the process of being closed.

4.3.7 Advanced Buildings

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

Key accomplishments as of this quarter:

- Projects from the Renewable Heat NY initiative continue with - a demonstration of a biomass heating system installed at the Town of Chester municipal building (Chestertown, NY) scheduled to begin this Winter; a soon to be completed feasibility study for a Biomass District Heating System for the Village of Tupper Lake; testing and implementation of integrated thermal storage and advanced controls to improve the emission and efficiency performance of biomass heating systems, and performance monitoring of biomass installed heating systems at the Wild Center and Adirondack Museum.

4.3.8 Competitive Greenhouse Gas Reduction Pilot

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

Key accomplishments as of this quarter:

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

4.3.9 Brookhaven National Laboratory Ion Collider

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

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

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

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

Key accomplishments as of this quarter:

- On May 15th, 2017, the project reached a major milestone, "Beam through the MLC." For the test, the team had to successfully accelerate the electron beam to 6MeV in the Injector Cryomodule (ICM), and then to a final energy of 12 MeV in the Main Linac Cryomodule (MLC). The MLC contains six superconducting accelerating cavities; for this initial test only a single cavity was powered.
- Though many tests of the MLC have been performed prior to this, this milestone was both the first test of the MLC with an electron beam, and the first test of the LLRF system's ability to regulate and stabilize the cavity field, made difficult by the extremely high Q of the cavity and the presence of microphonics from the helium vessel. It was also the first time all accelerating systems from the electron source to the Main Linac Cryomodule have been operated together and with beam. Despite these challenges, and the aggressive schedule this test was completed more than three months ahead of schedule.

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 GHG emissions and better prepare for unavoidable changes in climate. In addition to NYSERDA, the CSC program works in partnership with five other State agencies: The DEC, the Department of State, the Public Service Commission, the Department of Transportation, and the Department of Health.

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

Key accomplishments as of this quarter:

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

4.4.2 Economic Development Growth Extension Program (EDGE)

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

4.4.3 Cleaner, Greener Communities

A process evaluation of NYSERDA's Cleaner, Greener Communities (CGC) program was completed in two waves and finalized in the second quarter of 2016. Wave One of this evaluation research was completed revealing a number of opportunities for NYSERDA to help regions implement their Phase I plans and achieve their sustainability goals. Wave Two revealed opportunities for communities to overcome common barriers to engaging in efficiency and sustainability activity and to encourage further investment in sustainability across the State's diverse regions. The process evaluation encompassing the two research waves will be posted to NYSERDA's website in the fourth quarter of 2016.

Governor Andrew M. Cuomo announced the CGC program in his 2011 State of the State address. In coordination with the Climate Smart Communities program, this program provides support for development and implementation of a variety of sustainability strategies to help ensure that the State's

ongoing investments in infrastructure aid in moving communities and NYS 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 one contract for CGC Round 2, for total of 44 out of 45 contracts executed for this round.
- NYSERDA received 56 new applications for incentives to 55 municipalities for adoption of streamlined permitting processes for solar electric systems or electric vehicle supply equipment (EVSE).
- NYSERDA is negotiating contracts for the third round of funding (\$25 million) for Phase II of the CGC program, which includes 17 projects. Eleven contracts have been executed.

4.4.4 Regional Economic Development and Greenhouse Gas Reduction Program

The Regional Economic Development and Greenhouse Gas Reduction (REDGHG) Program supports projects identified as priority initiatives consistent with Governor Cuomo's Regional Economic Development Council (REDC) initiative and 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:

- No significant change in accomplishments this quarter. Completed projects are anticipated in the coming quarters.

4.4.5 Reforming the Energy Vision Campus Competition Program

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

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

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

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

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

Key accomplishments as of this quarter:

- No significant change in accomplishments this quarter. Accomplishments are expected next quarter.

4.4.6 Clean Energy Communities

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

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

Key accomplishments as of this quarter:

- Clean Energy Communities Coordinators have helped 199 communities complete and submit 529 High Impact Actions, 394 of which were completed after program launch, through the Clean Energy Communities program.
- Eighty-three communities completed at least four High Impact Actions and became designated Clean Energy Communities.

Success Story 2: New York supports communities that use clean energy

RGGI funds continue to support local municipalities and communities throughout the State that are taking significant actions to be cleaner and greener through the Clean Energy Communities initiative. More than 70 communities have been designated as Clean Energy Communities since the initiative's inception. These communities completed at least four of 10 high-impact clean energy actions. The designation enables communities to apply for funds that can be used for additional clean energy projects with no local cost share.

4.4.7 Community Energy Engagement

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

NYSERDA anticipates launching this initiative in 2017 with competitively selected organizations providing services in each of the 10 Economic Development Regions, as defined by Empire State Development. These organizations will deploy trusted, local Community Energy Advisers who engage with residents, small businesses, and multifamily building owners on how to reduce energy use and greenhouse gas emissions. By engaging directly with residents, small business, and multifamily building owners, Community Energy Advisers will help increase energy literacy and local understanding of the value of clean energy and reduced energy use. The face-to-face approach and focus on low- to moderate-income residents and communities will ensure the Community Energy Engagement program makes the greatest impact.

Key accomplishments as of this quarter:

- NYSERDA's issued an RFP to solicit the 10 organizations that will provide services in support of the Community Energy Engagement Program in May 2017. NYSERDA anticipates completion of the selection process and launching the program in Q3 2017.

4.5 Green Jobs - Green New York

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

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

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

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

4.5.1 Assessments

One- to Four-Family Residential Buildings Program Assessments

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

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

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

Key accomplishments as of this quarter:

- A total of 152 GJGNY funded assessments were completed this quarter, bringing the total to 99,170 residential GJGNY assessments completed with RGGI funds; 92,126 (93%) were provided at no cost to the customer.
- Of the program cumulative 32,253 completed residential units served through HPwES resulting from a GJGNY assessment and/or GJGNY financing, 11,140 (35%) units are associated with income-qualified Assisted HPwES customers.
- Constituency-based organizations assisted with the completion of 2,711 units, or seven% of all completed GJGNY residential retrofits.

Multifamily Performance Program Assessments

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

Key accomplishments as of this quarter:

- A total of 324 assessments were completed through June 30, 2017; of these, 56% are associated with affordable housing.
- Of the program cumulative 37,587 residential units served with installed measures, 20,933 (56%) units are associated with affordable housing.

Small Commercial Energy Efficiency Program Assessments

The GJGNY Small Commercial Energy Efficiency Program stopped accepting applications on December 31, 2016 and wrapped up all program activities in the first quarter of 2017. This program offered energy assessments and technical assistance to help small businesses and not-for-profit organizations improve their energy efficiency and reduce their energy costs to support the goal of increasing clean energy project adoption statewide. The program offered free energy assessments, along with technical assistance, to help identify economically viable improvements that may yield substantial annual energy savings. GJGNY offered energy assessments to small businesses and not-for-profits with an average electric demand of 100 kW or less and 10 employees or fewer. Regional firms were competitively selected by NYSERDA to provide assessments and technical assistance within this program opportunity.

Key accomplishments as of this quarter:

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

4.5.2 Financing

One- to Four-Family Residential Buildings Program Financing

GJGNY financing is available to participants in HPwES to finance the installation of recommended energy efficiency improvements with the possibility of reimbursement through energy savings. Net-metered technologies, including solar electric systems, are also eligible for GJGNY financing. GJGNY Financing is also available for participants in the Renewable Heat NY Program and those purchasing solar thermal (hot water) systems. The Smart Energy Loan and the innovative On-Bill Recovery (OBR) Loan are available through GJGNY, which enable more projects resulting in greater reductions of GHG emissions.

Key accomplishments as of this quarter:

- A total of 20,538 loans have been issued totaling \$246.4 million.
- Assisted HPwES customers make up 34.3% of the Home Performance loans issued, representing 25.5% of the total loan funds.
- Through June 30, 2017, a total of 7,186 OBR Loans have closed, valued at approximately \$100.5 million.
- Through June 30, 2017, of the total 20,538 loans closed, 6,614 are solar electric loans valued at \$111.7 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 to support the goal of increased clean energy adoption statewide. These programs make it easier to assess, fund, implement, and measure energy efficiency upgrades that improve building performance and reduce costs. Participation loans are available through the program in which a participating lender issues a loan to a multifamily building owner for a qualifying energy efficiency project, with NYSERDA participating in the funding of 50% of the loan (up to a maximum of \$5,000 per unit or \$500,000 per building) at 2% interest, and the lender setting the interest rate on its share of the loan.

Key accomplishments as of this quarter:

- Through June 30, 2017, 23 loans closed totaling \$12.1 million. NYSERDA's share of the total loan value is \$3.9 million.

Small Commercial Energy Efficiency Program Financing

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

Key accomplishments as of this quarter:

- A total of 37 OBR Loans have been closed with a total value of \$1,170,748, which represents 92% of the total financing value of \$1,273,888.
- A total of 28 Participation Loans closed with a value of \$1,877,489. NYSERDA's share of the total value is \$885,535.

4.5.3 Workforce Development, Outreach, and Marketing

Workforce Development

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

From the program's inception through June 2017, 3,881 New Yorkers were trained in courses including solar thermal installation, introductory solar electric training, advanced air sealing, pressure diagnostics, Building Performance Institute certification courses, and oil heat technology.

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

Key accomplishments as of this quarter:

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

The first cohort of 35 students under this agreement was graduated on June 1, 2017. Of those who graduated in June, seven have been hired by Franklin Energy to do work under the Brooklyn Queens Demand Management project in coordination with Con Edison. Up to 20 of the graduates will be hired to support GCF's EmPower NY and NYCHA EPC-A efforts on a full time, temporary basis.

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. The expectation for this community-based approach, combined with statewide marketing, is an increase the reach of the program, particularly among disadvantaged populations and those not traditionally participating in energy efficiency programs. Participating in the programs empowers communities in their transition toward sustainability while producing lower carbon emissions.

Key accomplishments as of this quarter:

- Pathstone has been working with the City of Rochester via the Rochester Safe and Efficient Homes Initiative; assisting clients with grants for services not covered through the Assisted HPwES subsidy or for homeowners ineligible for HPwES loan products. In an effort to reach homeowners outside of the City of Rochester and its surrounding communities, the CBO has attended gatherings of the Finger Lakes Housing Consortium, the Yates County Housing Committee, and the Finger Lakes Landlord Association.
- El Puente hosted two outreach events to promote NYSERDA's energy efficiency programs throughout Brooklyn. Towards the beginning of the month, the CBO tabled at the Brooklyn Arbor School block party. The CBO also sent staff to attend the Urban Homesteading Assistance Board (UHAB) to share information on NYSERDA's multifamily energy efficiency offerings. Representatives from the CBO also attended a meeting organized by 350 Brooklyn to devise a strategy for sharing information on residential and multifamily clients.

- In Queens CHHAYA CDC (NHS Jamaica) held three energy efficiency workshops as a part of their homebuyer pre-purchase intake events. NHSJ conducted a home maintenance and energy efficiency class at its main office. NHSJ also held an informational workshop at the Far Rockaway Library and an energy efficiency outreach in conjunction with SEIU 1199. They also conducted a home maintenance and energy efficiency class.
- The Bronx (SSBx) was home to three events and received 9 referrals across the residential and multifamily market sectors. Staff also presented at an interfaith breakfast organized by the NYS Comptroller's office. SSBx also conducted outreach at a tree giveaway organized by the New York Restoration Project in the Pelham Parkway neighborhood. The CBO tabled at an HPD Tenant's Resource Fair while also performing outreach at the Minority and Women-Owned Business Enterprise (MWBE) Opportunities Expo at Lehman College.
- PUSH held two outreach events throughout the greater Buffalo area, one of which piggybacked off an existing event in the community being conducted in Erie County. PUSH representatives also held drop-in hours at the Arabic Community Service Center. The CBO also participated in the National Grid Expo on April 24th, garnering roughly 100 leads among the attendees.
- In Richmond County, Representatives from NHS of Staten Island tabled at the BBC Community Fair as well as the Sunset Park Recreation Center and garnered 21 leads. The CBO's program coordinator canvassed Celebration Homes, a gated community, while handing out flyers and application forms. NHSSI also presented energy efficiency program offerings for sixty families as a part of the CBO's housing workshops.
- As it has in recent months, AHP continues to gather leads through its homeownership informational website as well as its long-running homeowner workshops and presentations; the CBO had 353 page-views on its information website. The CBO distributed energy assessment applications to new homeowners as well. Some outreach events attended by the CBO included: an HPwES presentation for the City of Cohoes; a HPwES Lunch and Learn with the NYS Office of Mental Health; as well as the Capital District Housing Fair.
- In the Southern Tier region, PPEF concentrated outreach to populations in four of its seven counties through various media and tabling events. The CBO was able to utilize a local cable TV events channel to place an ongoing public service announcement targeting residents of Deposit and Windsor; the broadcast began during the last week of April and continued through the first week of May. PPEF tabled at SciCli in downtown Binghamton, at Earth Fest 2017 in Milford, NY, and at Earth Fest 2017 at the SUNY Broome campus.
- ANCA led a presentation at the Lewis-Oneida Senior Center in Boonville, NY; ANCA also was in direct communication with several local HPwES contractors to ensure that follow-up was performed within three weeks of each completed audit. The CBO expressed optimism that this strategy will pay dividends in terms of increasing the likelihood of clients pursuing retrofit work in the HPwES program. The CBO is attempting to gather a sampling of previous commercial clients who would be good candidates for the HPwES program. During the month of April, the CBO got a list of 10 former clients; after calling each individually, they were able to obtain nine completed HPwES assessment applications (the tenth is currently in the process of being filled out). It is apparent that the positive experiences from past commercial participants has begun to show a marked increase in the number of individual homeowners participating in the HPwES program.

- In the Mid-Hudson region, RUPCO has continued to rely on its strong relationships with key partners including Energize NY as well as various community-level Solarize programs operating in the territory. Web-based outreach efforts were seen by almost 11,071 individuals during the quarter, contributing to the higher-than-average number of leads collected.

4.6 NY Green Bank

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

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

Key accomplishments as of this quarter:

- Executed and closed two transactions totaling \$63.3 million contributing to NY Green Bank's overall investments to date of \$409.4 million across various technologies and financing arrangements.
- Continued to grow NY Green Bank revenues.
- Through ongoing business development activities, achieved an active pipeline of potential investments progressing towards close at the end of the quarter of \$588.3 million.
- Filed quarterly Metrics Report with the PSC on May 15, 2017.⁸
- Filed Annual Business Plan with the PSC on June 19, 2017.⁹
- Filed Annual Financial Metrics Report with the PSC on June 30, 2017.¹⁰

⁸ <https://greenbank.ny.gov/-/media/greenbanknew/files/NYGB-quarterly-report-June.pdf>

⁹ <https://greenbank.ny.gov/Resources/Public-Filings>

¹⁰ <https://greenbank.ny.gov/-/media/greenbanknew/files/2017-06-30-NYGB-Annual-Financial-Metrics.pdf>

4.7 Program Evaluation

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

- **Impact Evaluation** measures the outcomes and benefits of a program, calculates the cost-effectiveness of the program, and compares the outcomes to the program goals.
- **Market Evaluation** develops an understanding of markets and market actors, provides information to support program design and delivery, and tracks changes in markets over time.
- **Process Evaluation** reviews oversight and operations, gauges customer satisfaction, and recommends process and efficiency improvements.
- **Logic Model Reports** inform evaluation work by documenting the relationships between program activities; activity outputs; and the short, medium, and long-term outcomes the program intends to induce.
- **Evaluation Readiness Reviews**¹¹ help identify whether a program has various factors in place that will ensure an evaluation is justified, feasible, and likely to provide useful information.

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

4.7.1 Evaluation of Energy Efficiency and Other Deployment Programs

Home Performance with Energy Star: The GJGNY audit program was started in 2010 to provide homeowners in New York free or reduced cost energy audits and encourage installation of energy efficiency measures through the HPwES Program. Customers who choose to install measures suggested in the audit can elect to either use a NYSERDA Home Performance contractor through HPwES, or to install measures on their own. This second type of customers, a GJGNY audit-only recipient who installs measures outside of the HPwES Program, generates savings, however these savings are not captured or recorded as contributing toward the State's energy goals. NYSERDA will conduct a second evaluation of GJGNY-funded audit-only projects for studies completed between 2014 and 2016 to estimate these savings. This evaluation is slated to begin in the third quarter of 2017 and results are expected in 2019.

¹¹ Formerly known as Evaluability Assessment.

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

4.7.2 Evaluation of Technology/Business Development and Research Programs

Advanced Transportation Research: A Market Characterization Assessment of the Transportation Program was completed in the second quarter of 2017. This assessment focused on three areas: electric vehicles, public transportation, and mobility management. “Mobility management” encompasses a variety of strategies designed to reduce transportation demand and congestion, including intelligent and adaptive transportation systems and transportation demand management. This market assessment includes a description of the current state of the clean transportation market in New York State and the identification of remaining barriers to adoption in key market segments that will be used for planning and strategy development by the Transportation Program. The findings of this assessment are provided a five-volume market characterization analysis of clean transportation in New York State and available on the NYSERDA website.¹²

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

Clean Energy Business Development (CEBD): A Market Characterization of NYSERDA’s Clean Energy Business Development (CEBD) program was finalized in the second quarter of 2017. This evaluation research found that the NYS cleantech ecosystem is vibrant, with many active early-stage companies commercializing cleantech innovations, and a rich array of resources is available to support the NYS entrepreneurial ecosystem. While there are many early-stage companies, they face significant hurdles in growing at the speed and scale that may be possible. Access to resources is uneven and can be time-consuming, which can impede company growth. A summary of the findings from this research are posted on NYSERDA’s website.¹³

Community Solar NY: An evaluation to develop a New York State-specific estimates of solar PV balance-of-system soft costs was completed in the second quarter of 2017. These estimates will serve as an initial point of comparison for future cost estimates, to facilitate evaluation of NYSERDA programs

¹² Clean Transportation Market Characterization Study, nyserda.ny.gov/About/Publications/Program-Planning-Status-and-Evaluation-Reports/Evaluation-Contractor-Reports/2017-Reports.

¹³ NYSERDA Innovation Capacity and Business Development (ICBD) program (formerly the Clean Energy Business Development program) market characterization and assessment report, nyserda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/ICBD-MCA-Final-Report.pdf.

that aim to reduce the cost of solar PV systems. The report presents separate baseline cost estimates for different customer segments (residential and roof-mounted commercial systems) and geographic areas (Con Ed service territory, Long Island, and the rest of the state [ROS]). Findings from this research are posted on NYSERDA's website.¹⁴

Power Systems Program: An Impact Evaluation of the Clean Power Technology Innovation (CPTI) program, previously known as the Power Systems program, was completed in the second quarter of 2017. This evaluation was conducted in two phases. Phase 1 included a review of the contracts funded by CPTI to better understand the scope of funding recipients and to prioritize activities for Phase 2. The Phase 2 research consisted of an in-depth investigation of three Core Product technologies identified during Phase 1: photovoltaic, wind, and energy storage. The maturation of the products funded by the program, as well as the grantees' perceptions of the value of NYSERDA funding, operational activities, and project support were evaluated. Findings from this research are posted on NYSERDA's website.¹⁵

4.7.3 Baseline Studies

NYSERDA has undertaken two major baseline studies to assess residential and commercial markets across a broad range of customer segments and energy measures. The two goals of these studies are 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 use this information to estimate the technical, economic and achievable energy efficiency opportunities in NYS in the next three and five years. Although these large studies are supported by SBC funding, RGGI funds are supplementing the budget to allow for robust data collection on fuel measures.

The Residential Baseline study was completed in the fourth quarter of 2014. The final report is available on NYSERDA's website and the data set is available on Open NY.¹⁶ The Commercial Baseline study is underway with an anticipated completion date of 2018.

¹⁴ Solar Balance-of-System Costs Baseline Cost Study, [nyserda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/Solar-Balance-of-System-Cost-Baseline-Study.pdf](https://www.nyseda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/Solar-Balance-of-System-Cost-Baseline-Study.pdf).

¹⁵ NYSERDA Power Systems Program and Clean Power Technology Innovation Program: Impact Evaluation, [nyserda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/2017-05-CleanPowerTechnologyInnovationImpactEvaluationReport.pdf](https://www.nyseda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/2017-05-CleanPowerTechnologyInnovationImpactEvaluationReport.pdf).

¹⁶ Residential Statewide Baseline Study of New York State, [nyserda.ny.gov/Residential-Statewide-Baseline-Study-of-New-York-State.aspx](https://www.nyseda.ny.gov/Residential-Statewide-Baseline-Study-of-New-York-State.aspx)) and the associated data on Open NY (<https://data.ny.gov/en/browse?q=RSBS>)

Appendix A: Savings Calculations Methodology

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

A.1 Energy Savings

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

A.2 CO₂ Reductions

Emissions factors translate the energy savings data into annual GHG emissions reduction values. The GHGs evaluated in the report include carbon dioxide, methane, and nitrous oxide. Because each of these gases has a different global warming potential,¹⁷ emissions for gases other than carbon dioxide are converted into CO₂e units through multiplication with their appropriate Intergovernmental Panel on Climate Change global warming potential value,¹⁸ 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

¹⁷ A global warming potential is a measure that estimates how much a given mass of a GHG contributes to global warming. Calculations span over a specific time interval, which is 100 years for the IPCC Second Assessment Report values.

¹⁸ Intergovernmental Panel on Climate Change, 1995. Second Assessment: Climate Change, 1995. According to EPA guidance, this inventory uses potentials from the IPCC Second Assessment report, rather than values from the more current Third Assessment: Climate Change 2001 report. The DEC regulation Part 242 1.2 (49) uses the Third Assessment values. Reconciliation between these two methodologies will be investigated as part of the program implementation and evaluation process.

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

Table A-2. Fuel Combustion Emission Factors by Sector¹⁹

	Transport (lb. CO₂e/MMBtu)	Residential (lb. CO₂e/MMBtu)	Commercial (lb. CO₂e/MMBtu)	Industrial (lb. CO₂e/MMBtu)
Coal	N/A	224.8	211.4	203.7
Natural Gas	117.2	117.2	117.2	114.5
#2 Oil/Distillate/Diesel	163.0	162.9	162.9	162.9
#6 Oil/Residual	N/A	N/A	166.0	166.0
Kerosene	N/A	161.2	161.2	161.2
Propane	136.1	136.1	136.1	136.1
Gasoline	158.0	N/A	N/A	N/A
Aviation Fuel	159.2	N/A	N/A	N/A
Wood	N/A	18.2	18.2	4.1
Steam	N/A	106.1	106.1	N/A

A marginal emission factor of 1,160 pounds of CO₂e/MWh estimates emission reductions associated with electricity use reductions for all sectors.²⁰ Although electricity savings may not lead to near-term emission reductions under the RGGI CO₂ cap, savings will potentially reduce imports of electricity to NYS; the demand for CO₂ allowances, leading to a possible future reduction in the cap; and the carbon-footprint of end-users, as they will be responsible for a smaller percent of the emissions associated with electricity production.

¹⁹ Beginning with Q4 2016, NYSERDA updated emission factors for natural gas, #2 oil, #6 oil, kerosene, propane, wood and steam to be consistent with emission factors used in the updated NYS Greenhouse Gas Inventory (nyserderda.ny.gov/About/Publications/EA-Reports-and-Studies/Energy-Statistics). These factors are derived from EPA’s February 2016 State Inventory Tool release (<https://www.epa.gov/statelocalclimate/state-inventory-and-projection-tool>). Steam emission factors have been updated to be consistent with New York City’s updated Greenhouse Gas Inventory (http://www1.nyc.gov/assets/sustainability/downloads/pdf/publications/NYC_GHG_Inventory_2014.pdf).

²⁰ With the submittal of its Clean Energy Fund Investment Plan Budget Accounting and Benefits Chapter on February 22, 2016, NYSERDA adopted the NYS Public Service Commission’s recommendation in its January 21, 2016 Order Establishing the Benefit Cost Analysis Framework that New York’s GHG emissions factor methodology shift from an average grid emission profile to a marginal grid emission profile. Due to this shift, beginning in 2016, the State’s factor to calculate GHG emissions reductions has changed from 625 pounds CO₂e/MWh to 1,160 pounds CO₂e/MWh. The emissions reductions calculated for this report reflect the new factor of 1,160 pounds CO₂e/MWh.

A.3 Bill Savings

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

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

Table A-3. Fuel Prices by Sector^a

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

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

^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 2014 retail prices as reported in NYSERDA's *Patterns and Trends-NYS Energy Profiles: 1997-2014* (NYSERDA 2016).

Table A-4. Program Measure Life Assumptions

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

Program	Electricity Measure Life	Fuels Measure Life
GJGNY–Single-Family Residential Assessment Component	18	24
GJGNY–Single-Family Residential Loan Component	19	23
GJGNY–Multifamily Residential Assessment Component	13	15
GJGNY–Small Commercial Loan Component	13	21
RGGI–Multifamily Performance Program	13	15
RGGI–Multifamily Carbon Emissions Reduction Program	N/A	13
RGGI–EmPower New York	N/A	24
RGGI–Home Performance with ENERGY STAR®	18	24
RGGI–Green Residential Building Program	18	24
RGGI–Solar Thermal Incentive Program	N/A	20
RGGI–Low-rise Residential New Construction Program	18	24
RGGI–NYSERDA Solar Photovoltaic Initiative	25	N/A
RGGI–Cleaner, Greener Communities	15	15
RHNY–Boilers	20	20
RHNY–Pellet Stoves	20	20
LIPA Efficiency	18	NA
LIPA Photovoltaic and Efficiency Initiative	25	N/A
Charge NY	10	10
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 Installed MMBtu	Cumulative Annual Installed MWh Saved	Cumulative Annual Installed MWh Generated	Cumulative Annual Tons of CO ₂ e Mitigated	Cumulative Annual Bill Savings Realized by Participating Customers (\$)
6/30/2010	Qrt 2	3,409	4,371	-	2,100	700,000
9/30/2010	Qrt 3	47,332	4,371	-	5,630	1,200,000
12/31/2010	Qrt 4	91,471	838	4,316	9,310	2,900,000
3/31/2011	Qrt 1	115,763	1,213	3,903	10,950	2,700,000
6/30/2011	Qrt 2	152,501	5,233	3,992	15,553	4,000,000
9/30/2011	Qrt 3	197,622	6,473	4,205	17,874	4,600,000
12/31/2011	Qrt 4	256,980	8,126	4,218	23,805	6,000,000
3/31/2012	Qrt 1	318,273	13,363	4,218	31,194	7,800,000
6/30/2012	Qrt 2	411,462	13,702	4,248	40,368	9,400,000
9/30/2012	Qrt 3	519,144	15,023	4,278	51,353	10,700,000
12/31/2012	Qrt 4	577,025	16,895	4,345	56,764	12,000,000
3/31/2013	Qrt 1	651,564	18,206	4,305	60,349	16,300,000
6/30/2013	Qrt 2	770,186	20,038	4,386	69,068	18,100,000
9/30/2013	Qrt 3	889,027	24,385	16,710	96,916	21,200,000
12/31/2013	Qrt 4	985,379	26,545	16,752	100,934	23,100,000
3/31/2014	Qrt 1	1,089,306	28,206	16,752	108,844	25,500,000
6/30/2014	Qrt 2	1,174,186	28,697	20,331	115,852	27,700,000
9/30/2014	Qrt 3	1,301,751	32,481	20,331	127,880	31,600,000
12/31/2014	Qrt 4	1,503,898	115,024	44,470	178,048	53,400,000
3/31/2015	Qrt 1	1,614,354	120,453	54,642	191,322	58,500,000
6/30/2015	Qrt 2	1,726,165	165,092	78,093	216,657	75,105,825
9/30/2015	Qrt 3	1,894,278	207,154	97,314	245,176	89,706,416
12/31/2015	Qrt 4	2,025,159	236,298	120,506	277,276	102,222,096
3/31/2016	Qrt 1	2,079,825	237,147	178,908	488,278	117,000,474
6/30/2016	Qrt 2	2,131,898	252,067	183,534	490,159	140,543,911
9/30/2016	Qrt 3	2,197,233	251,124 ²¹	198,807	502,987	144,247,847
12/31/2016	Qrt 4	2,378,290	383,344	234,123	617,467	170,237,928
3/31/2017	Qrt 1	2,841,408	537,096	323,360	782,374	215,524,461
6/30/2017	Qrt 2	3,001,469	603,222	290,788	812,802	221,454,178

²¹ The decrease in Cumulative Annual Installed MWh Saved is due to a change in methodology for the GJGNY Multifamily Performance Program, from reporting the savings from measures as a result of an energy audit to only reporting the measures actually installed.

Table C-2. Summary of Fuel Savings by Type

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

Table C-2 continued

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
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	-	
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	108,635	
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	

Table C-2 continued

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
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	
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

Table C-2 continued

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
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	-	-
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	-	-

Table C-2 continued

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
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
3/31/2015	Qrt 1	Oil	885,524	498,536
3/31/2015	Qrt 1	Propane	19,357	17,177
3/31/2015	Qrt 1	Steam	15,969	19,056
3/31/2015	Qrt 1	Wood	17,781	4,380
3/31/2015	Qrt 1	Residual Oil	-	-
3/31/2015	Qrt 1	Coal	1,305	315
6/30/2015	Qrt 2	Diesel	-	-
6/30/2015	Qrt 2	Gasoline	-	-
6/30/2015	Qrt 2	Kerosene	3,763	770
6/30/2015	Qrt 2	Natural Gas	694,322	220,988
6/30/2015	Qrt 2	Oil	955,804	501,564
6/30/2015	Qrt 2	Propane	22,091	67,535
6/30/2015	Qrt 2	Steam	15,969	16,372
6/30/2015	Qrt 2	Wood	20,558	20,411

Table C-2 continued

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu)^a
6/30/2015	Qrt 2	Residual Oil	-	-
6/30/2015	Qrt 2	Coal	1,442	285
9/30/2015	Qrt 3	Diesel	-	-
9/30/2015	Qrt 3	Gasoline	-	-
9/30/2015	Qrt 3	Kerosene	4,063	875
9/30/2015	Qrt 3	Natural Gas	786,147	224,883
9/30/2015	Qrt 3	Oil	1,019,266	404,798
9/30/2015	Qrt 3	Propane	24,464	51,936
9/30/2015	Qrt 3	Steam	15,969	11,899
9/30/2015	Qrt 3	Wood	23,371	21,323
9/30/2015	Qrt 3	Residual Oil	-	-
9/30/2015	Qrt 3	Coal	1,627	326
12/31/2015	Qrt 4	Diesel	-	-
12/31/2015	Qrt 4	Gasoline	-	-
12/31/2015	Qrt 4	Kerosene	4,581	783
12/31/2015	Qrt 4	Natural Gas	829,928	202,156
12/31/2015	Qrt 4	Oil	1,116,994	376,191
12/31/2015	Qrt 4	Propane	28,612	10,054
12/31/2015	Qrt 4	Steam	15,969	12,272
12/31/2015	Qrt 4	Wood	26,889	4,736
12/31/2015	Qrt 4	Residual Oil	-	-
12/31/2015	Qrt 4	Coal	2,186	319
3/31/2016	Qrt 1	Diesel	-	-
3/31/2016	Qrt 1	Gasoline	-	-
3/31/2016	Qrt 1	Kerosene	5,172	866
3/31/2016	Qrt 1	Natural Gas	692,629	193,265
3/31/2016	Qrt 1	Oil	1,297,717	291,552
3/31/2016	Qrt 1	Propane	28,921	9,236
3/31/2016	Qrt 1	Steam	23,849	12,023
3/31/2016	Qrt 1	Wood	29,115	4,429
3/31/2016	Qrt 1	Residual Oil	-	-
3/31/2016	Qrt 1	Coal	2,422	326
6/30/2016	Qrt 2	Diesel	-	-
6/30/2016	Qrt 2	Gasoline	-	-
6/30/2016	Qrt 2	Kerosene	5,530	673
6/30/2016	Qrt 2	Natural Gas	(803,957)	181,393
6/30/2016	Qrt 2	Oil	1,343,608	265,944

Table C-2 continued

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu) ^a
6/30/2016	Qrt 2	Propane	30,397	5,654
6/30/2016	Qrt 2	Steam	23,849	13,273
6/30/2016	Qrt 2	Wood	29,946	3,406
6/30/2016	Qrt 2	Residual Oil	1,500,062	-
6/30/2016	Qrt 2	Coal	2,462	250
9/30/2016	Qrt 3	Diesel	-	-
9/30/2016	Qrt 3	Gasoline	-	-
9/30/2016	Qrt 3	Kerosene	5,863	302
9/30/2016	Qrt 3	Natural Gas	(767,716)	199,946
9/30/2016	Qrt 3	Oil	1,373,947	254,114
9/30/2016	Qrt 3	Propane	30,903	10,000
9/30/2016	Qrt 3	Steam	21,663	9,325
9/30/2016	Qrt 3	Wood	30,049	3,377
9/30/2016	Qrt 3	Residual Oil	1,500,062	-
9/30/2016	Qrt 3	Coal	2,462	116
12/31/2016	Qrt 4	Diesel	-	-
12/31/2016	Qrt 4	Gasoline	1,190	-
12/31/2016	Qrt 4	Kerosene	6,611	421
12/31/2016	Qrt 4	Natural Gas	(626,814)	152,521
12/31/2016	Qrt 4	Oil	1,415,357	184,861
12/31/2016	Qrt 4	Propane	32,516	3,724
12/31/2016	Qrt 4	Steam	21,663	7,978
12/31/2016	Qrt 4	Wood	25,089	893
12/31/2016	Qrt 4	Residual Oil	1,500,062	-
12/31/2016	Qrt 4	Coal	2,616	127
3/31/2017	Qrt 1	Diesel	-	-
3/31/2017	Qrt 1	Gasoline	986	-
3/31/2017	Qrt 1	Kerosene	7,595	243
3/31/2017	Qrt 1	Natural Gas	(239,961)	127,311
3/31/2017	Qrt 1	Oil	1,486,761	116,157
3/31/2017	Qrt 1	Propane	34,141	5,575
3/31/2017	Qrt 1	Steam	21,663	6,255
3/31/2017	Qrt 1	Wood	18,271	(215)
3/31/2017	Qrt 1	Residual Oil	1,563,332	-
3/31/2017	Qrt 1	Coal	2,619	47,323
6/30/2017	Qrt 2	Diesel	-	-

Table C-2 Continued

Quarter End Date	Quarter	Fuel Type	Cumulative Annual (MMBtu)	Cumulative Annualized Pipeline (MMBtu)^a
6/30/2017	Qrt 2	Gasoline	22,986	-
6/30/2017	Qrt 2	Kerosene	8,160	228
6/30/2017	Qrt 2	Natural Gas	(204,725)	190,835
6/30/2017	Qrt 2	Oil	1,600,554	100,523
6/30/2017	Qrt 2	Propane	35,401	10,609
6/30/2017	Qrt 2	Steam	21,678	4,660
6/30/2017	Qrt 2	Wood	14,722	(6)
6/30/2017	Qrt 2	Residual Oil	1,500,062	-
6/30/2017	Qrt 2	Coal	2,631	66,179

^a Tracked beginning first quarter of 2013

Appendix D: NYS RGGI Auction Proceeds

Table D-1. NYS RGGI Auction Proceeds^a

Auction Date	Control Period	Clearing Price	New York State Allowances Sold	New York State Auction Proceeds
12/17/2008	First	\$3.38	12,422,161	\$41,986,904
3/18/2009	First	\$3.51	12,422,161	\$43,601,785
3/18/2009	Second	\$3.05	776,385	\$2,367,974
6/17/2009	First	\$3.23	11,861,849	\$38,313,772
6/17/2009	Second	\$2.06	776,385	\$1,599,353
9/9/2009	First	\$2.19	11,861,849	\$25,977,449
9/9/2009	Second	\$1.87	776,385	\$1,451,840
12/2/2009	First	\$2.05	11,861,850	\$24,316,793
12/2/2009	Second	\$1.86	571,423	\$1,062,847
3/10/2010	First	\$2.07	15,136,022	\$31,331,566
3/10/2010	Second	\$1.86	740,167	\$1,376,711
6/9/2010	First	\$1.88	15,136,022	\$28,455,721
6/9/2010	Second	\$1.86	756,801	\$1,407,650
9/8/2010	First	\$1.86	11,421,736	\$21,244,429
9/8/2010	Second	\$1.86	464,418	\$863,817
12/1/2010	First	\$1.86	8,678,724	\$16,142,427
12/1/2010	Second	\$1.86	41,863	\$771,645
3/9/2011	First	\$1.89	15,153,524	\$28,640,160
3/9/2011	Second	\$1.89	757,676	\$1,432,008
6/8/2011	First	\$1.89	4,519,648	\$8,542,135
6/8/2011	Second	\$1.89	383,114	\$724,085
9/7/2011	First	\$1.89	2,689,151	\$5,082,495
12/7/2011	First	\$1.89	9,621,954	\$18,185,493
3/14/2012	Second	\$1.93	8,895,733	\$17,168,765
6/6/2012	Second	\$1.93	8,265,426	\$15,952,272
9/5/2012	Second	\$1.93	9,315,659	\$17,979,222
12/5/2012	Second	\$1.93	7,568,550	\$14,607,302
3/13/2013	Second	\$2.80	14,252,818	\$39,907,890
6/5/2013	First	\$3.21	750,000	\$2,407,500
6/5/2013	Second	\$3.20	14,252,818	\$45,751,546
9/4/2013	First	\$3.21	769,253	\$2,053,906
9/4/2013	Second	\$3.20	14,578,296	\$38,924,050
12/4/2013	Second	\$3.00	14,578,295	\$43,734,885
3/5/2014	Second	\$4.00	9,119,837	\$36,479,348
6/4/2014	Second	\$5.02	7,173,198	\$36,009,454
9/3/2014	Second	\$4.88	7,173,198	\$35,005,206
12/3/2014	Second	\$5.21	7,173,198	\$37,372,362
3/11/2015	Third	\$5.41	5,906,447	\$31,953,878

Table D-1 continued

Auction Date	Control Period	Clearing Price	New York State Allowances Sold	New York State Auction Proceeds
6/3/2015	Third	\$5.50	5,906,446	\$32,485,453
9/9/2015	Third	\$6.02	9,799,723	\$58,994,332
12/2/2015	Third	\$7.50	5,906,446	\$44,298,345
3/9/2016	Third	\$5.25	5,691,771	\$29,881,798
6/1/2016	Third	\$4.53	5,691,771	\$25,783,723
9/7/2016	Third	\$4.54	5,691,771	\$25,840,640
12/7/2016	Third	\$3.55	5,691,770	\$20,205,784
3/8/2017	Third	\$3.00	5,528,805	\$16,586,415
6/07/2017	Third	\$2.53	5,528,805	\$13,987,877
First Control Period Total			144,305,904	\$336,282,535
Second Control Period Total			128,764,643	\$391,950,232
Third Control Period Total			61,343,755	\$300,018,245
TOTAL			334,414,302	\$1,028,251,011

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

Appendix E: Total NYS RGGI Funds

Table E-1. NYS RGGI Funds

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

Table E-1 continued

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

Table E-1 continued

Quarter End Date	Quarter	Fund Category	Cumulative Funds (\$)
12/31/2016	Qrt 4	Interest Allocated to the RGGI Portfolio	\$12,752,158
12/31/2016	Qrt 4	Interest Allocated to the GJGNY Program	\$1,930,606
12/31/2016	Qrt 4	RGGI Auction Proceeds	\$997,676,720
3/31/2017	Qrt 1	Interest Allocated to the RGGI Portfolio	\$12,947,487
3/31/2017	Qrt 1	Interest Allocated to the GJGNY Program	\$1,963,338
3/31/2017	Qrt 1	RGGI Auction Proceeds	\$1,014,263,135
6/30/2017	Qrt 2	Interest Allocated to the RGGI Portfolio	\$13,151,561
6/30/2017	Qrt 2	Interest Allocated to the GJGNY Program	\$1,993,273
6/30/2017	Qrt 2	RGGI Auction Proceeds	\$1,043,395,845

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 owners who obtain a certification stating that their newly constructed residences meet or exceed Leadership in Energy and Environmental Design (LEED®) or National Green Building Standard guidelines, as well as other GRBP program-specific energy efficiency and health and safety requirements. Buildings meeting GRBP requirements will help reduce energy use and GHG emissions, save water and other natural resources, use sustainable building materials, reduce waste, and improve indoor air quality. Sixty-nine contractors participated in this program. Per the enabling law, the application deadline was October 31, 2013; therefore, the program is now closed to new applications. The following data represent only those projects where RGGI funded the incentive, which represents 82% of the program activity.

Key accomplishments:

- A total of 440 RGGI-funded projects were completed.

F.1.2 Municipal Water and Wastewater Program

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

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

Key accomplishments:

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

F.1.3 Multifamily Carbon Emission Reduction Program

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

Key accomplishments:

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

F.1.4 Economic Development Growth Extension Program (EDGE)

The EDGE Program facilitated by Regional Outreach Contractors performs on-the-ground outreach, education, and marketing of NYSERDA program opportunities to residents, businesses, institutions, and local governments across the State to promote the value of energy efficiency, sustainable growth

practices, clean energy technologies, and innovations using carefully constructed public-private partnerships. The program aligns with Governor Cuomo's REDC initiative and provides direct support to advance the strategic priorities and regionally significant projects identified in each region. NYSERDA is providing a greater level of education and adoption of energy efficiency and renewable energy practices at the community level.

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

Key accomplishments:

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

F.1.5 Emerging Technology/Accelerated Commercialization Program

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

F.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.²² An update to the 2013 study was completed in two phases in the fourth quarter of 2016. This update is available on NYSERDA's website.²³

F.2.2. Multifamily Performance Program Process/Market Evaluation

A major Process/Market Evaluation of the SBC/EEPS-funded MPP was undertaken to assess the RGGI fuel efficiency incentive activity and GJGNY assessment/loan activity. This study was finalized in the third quarter of 2014 and published on the NYSERDA website.²⁴

F.2.3. Multifamily Performance Program Impact Evaluation

A major Impact Evaluation of the SBC/EEPS-funded MPP assessed the effects of RGGI fuel efficiency incentives. The work included measurement and verification of energy savings, and attribution analysis of projects completed from 2009 through 2011. The finalized study is available on NYSERDA's website.²⁵

F.2.4. Economic Development Growth Extension Process Evaluation

A Process Evaluation for this program was finalized in the third quarter of 2015 and published on the NYSERDA website.²⁶

²² The GJGNY jobs quantification studies, Phase 1 and Phase 2, are on NYSERDA's website: [nyserdera.ny.gov/Publications/Program-Planning-Status-and-Evaluation-Reports/NYE\\$-Evaluation-Contractor-Reports/2013-Reports/NMR-Group.aspx](http://nyserdera.ny.gov/Publications/Program-Planning-Status-and-Evaluation-Reports/NYE$-Evaluation-Contractor-Reports/2013-Reports/NMR-Group.aspx)

²³ Assessment of Job Impacts of the Green Jobs - Green New York Program (Phase 1), nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/GJGNY-Jobs-Analysis-Phase-I.pdf. Economic Impacts of the Green Jobs - Green New York Program (Phase 2), nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/GJGNY-Jobs-Analysis-Phase-II.pdf

²⁴ Multifamily Performance Program/Process Evaluation and Market Characterization, nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2014ContractorReports/2014-MPP-Process-Evaluation.pdf

²⁵ Multifamily Performance Program Impact Evaluation (2009–2011), nyserdera.ny.gov/About/Publications/Program-Planning-Status-and-Evaluation-Reports/Evaluation-Contractor-Reports/2015-Reports

²⁶ Economic Development Growth Extension Process Evaluation, nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2015ContractorReports/economic-development-growth-extension-process-evaluation.pdf

F.2.5. Multifamily Carbon Emission Reduction Program

An Impact Evaluation for this program measured and verified the energy and emission effects attributable to the program. This evaluation was completed in the fourth quarter of 2015. The final report is available on NYSERDA's website.²⁷

F.2.6. GJGNY Small Commercial Energy Efficiency Program

NYSERDA conducted an Impact Evaluation to quantify the measure adoption rate over time and the degree to which the audit program influenced participants' decision-making regarding recommended measures that they have installed. The study was finalized in December 2015 and reported 44% of the recommended energy savings were implemented. The final report is available NYSERDA's website.²⁸

F.2.7. Cleaner, Greener Communities (CGC) Program

A process evaluation of NYSERDA's CGC program was completed in two waves and finalized in the second quarter of 2016. Wave One of this evaluation research was completed revealing several opportunities for NYSERDA to help regions implement their Phase I plans and achieve their sustainability goals. Wave Two revealed opportunities for communities to overcome common barriers to engaging in efficiency and sustainability activity and to encourage further investment in sustainability across the State's diverse regions. A summary of the findings from Waves One and Two are posted on NYSERDA's website.²⁹

²⁷ RGGI Multifamily Carbon Emissions Reduction Program Impact Evaluation (2011–2012); nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2015ContractorReports/MCERP_IMPT_RP_FINAL.pdf.

²⁸ GJGNY Small Commercial Energy Efficiency Program, nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2015ContractorReports/2015-Small-Comm-Impact-Evaluation-July-2010-December-2013.pdf.

²⁹ Wave 1 Study: nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2014ContractorReports/2016-Cleaner-Greener-Communities-Market-Evaluation-Wave1-Findings.pdf. Wave 2 Study: nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/2016-Cleaner-Greener-Communities-Market-Evaluation-Wave2.pdf.

F.2.8. GJGNY Constituency-Based Organization Program

The assessment of CBO-related activities is complete. This assessment was coordinated with HPwES process evaluation and includes surveys with CBO-affiliated HPwES participants, partial participants (GJGNY audit recipients), and contractors. This study was finalized in the fourth quarter of 2015 and is available on NYSERDA's website.³⁰

F.2.9. Home Performance with ENERGY STAR® Program

A Process/Market Evaluation of the SBC/EEPS-funded HPwES was utilized to assess the RGGI fuel efficiency incentive activity and GJGNY assessment/loan activity. This Process/Market Evaluation study was completed in Q4 2015 and is available on NYSERDA's website.³¹

Home Performance with ENERGY STAR Program: An Impact Evaluation of the Green Jobs - Green New York “assessment only” participants was completed in the fourth quarter of 2016. This evaluation assessed the impacts of those who received a GJGNY-funded audit and installed measures on their own in the absence of incentives.³²

The impact evaluation of HPwES unregulated fuels³³ projects was finalized in the fourth quarter of 2016 and published on NYSERDA's website.³⁴ The projects (completed in 2011 through 2013) encompassed cost-effective oil and propane efficiency measures, such as replacing inefficient oil and propane heating equipment and other measures that have a direct impact on reducing GHG emissions from oil and propane consumption.

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

³⁰ GJGNY CBO Program, nysesda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/GJGNY-CBO-Outreach-Program-Process-Evaluation.pdf

³¹ Home Performance with ENERGY STAR Process Evaluation/Market Characterization Assessment Final Report (2012–2013), nysesda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2015ContractorReports/2012-2013-HPwES-Process-Evaluation-Market-Characterization-Assessment-FinalReport.pdf.

³² Home Performance with ENERGY STAR Program Impact Evaluation Report, Green Jobs – Green New York Audit-Only Impact Evaluation (PY 2010–2013), nysesda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/HPwES-IE-Report-Vol4.pdf.

³³ “Unregulated fuels” refer to fossil fuels (i.e., primarily fuel oil, propane, and kerosene) that are not provided by a regulated utility.

³⁴ Home Performance with ENERGY STAR: Unregulated Fuels Impact Evaluation (2011–2013), nysesda.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/HPwES-unregulated-fuels-impact-evaluation.pdf.

Green Jobs - Green New York Jobs Quantification Study: An update to the 2013 study on this topic was completed in the fourth quarter of 2016. This study quantified direct, indirect, and induced jobs created or retained from the GJGNY program, including those in disadvantaged communities. The study examined changes in worker skill level and wages resulting from GJGNY. The results of the two phases of this study are available on NYSERDA's website.³⁵

F.2.11. Advanced Transportation Research Program

A Logic Model for this program was completed in Q3 2015 and published on the NYSERDA website. Thirty-six Impact/Market Impact case studies for a select group of program-supported technologies were completed in Q1 2017 and published on the NYSERDA website.^{36,37,38,39,40,41}

F.2.12. Community Solar NY Program

A Logic Model report for this program was finalized in Q3 2015 and published on the NYSERDA website.⁴²

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- ³⁵ Assessment of Job Impacts of the Green Jobs - Green New York Program (Phase 1) nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/GJGNY-Jobs-Analysis-Phase-I.pdf. Economic Impacts of the Green Jobs - Green New York Program (Phase 2) nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/GJGNY-Jobs-Analysis-Phase-II.pdf.
- ³⁶ nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/2016-Transportation-Case-Study-Buffalo-Niagara-Medical-Campus.pdf
- ³⁷ nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/2016-transportation-case-study-electric-refrigeration.pdf
- ³⁸ nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/Alstom-Transportation-cs.pdf
- ³⁹ nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/Saab-Sensis-Advanced-Airport-Departure-Manager-Transportation-cs.PDF?la=en
- ⁴⁰ nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2016ContractorReports/Adaptive-Control-Decision-Support-System-Traffic-Management-Transportation-cs.pdf
- ⁴¹ nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/Transportation-Case-Study-Report-Leviton.pdf
- ⁴² Community Solar NY Program: Final Initiative-Level Logic Model Report, nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2015ContractorReports/2015-Community-Solar-NY-Final-Initiative-Level-Logic-Model-Report.pdf.

F.2.13 Residential Non-Energy Impact Study

A study was conducted to identify and begin to quantify measurable non-energy effects from residential programs, including HPwES and the Green Residential Building Program. This study was jointly supported with RGGI and other NYSERDA funds. The major results show that insulation, ENERGY STAR home design, and air sealing measures are ideal for a cost-effective, primary research effort to further substantiate their related NEI values for enhancing program design, marketing efforts, and cost-benefit analysis. The study was finalized in Q1 2017 and is posted on NYSERDA's website.⁴³

F.2.14. Wastewater Energy Efficiency Program

An impact evaluation of the Wastewater Efficiency Program was completed in the first quarter of 2017. The Program provided objective and customized energy-related information and opportunities to customers that targeted the customer's specific energy and business needs. The impact evaluation confirmed the study-recommended savings that customers adopted. The study is available on NYSERDA's website.⁴⁴

F.2.15. Advanced Transportation Research

An impact evaluation of the Wastewater: A Logic Model for this program was completed in Q3 2015 and is posted on NYSERDA website.⁴⁵

⁴³ Quantification of Non-Energy Impacts for Residential Programs Phase 1: Final Report, nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/SmallResidential-NEI-PhaseI.pdf.

⁴⁴ Wastewater Efficiency Program Impact Evaluation (2009–2011), nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2017ContractorReports/WWEP-Impact-Evaluation-Final-Report.pdf.

⁴⁵ NYSERDA Transportation Program Logic Model Report, nyserdera.ny.gov/-/media/Files/Publications/PPSER/Program-Evaluation/2015ContractorReports/2015-Transportation-LM-Report.pdf.

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

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**New York State
Energy Research and
Development Authority**

17 Columbia Circle
Albany, NY 12203-6399

toll free: 866-NYSERDA
local: 518-862-1090
fax: 518-862-1091

info@nyserdera.ny.gov
nyserdera.ny.gov



State of New York

Andrew M. Cuomo, Governor

New York State Energy Research and Development Authority

Richard L. Kauffman, Chair | Alicia Barton, President and CEO