

New York State Energy Research and Development Authority
System Benefits Charge Program

SBC3 Post-Program Annual Report

June 4, 2013

This report is intended to provide ongoing, high level tracking of program spending and performance against key energy and non-energy goals for the now concluded SBCIII program. The report will highlight progress through 2011 (the previous reporting period), through 2012 (the current reporting period), and change during the current reporting period. This report will be provided to DPS Staff annually.

1. SBC Portfolio Summary

Table 1-1 – SBCIII Overview through December 31, 2012

	Total Budget (\$ million)¹	Total Funds Spent (\$ million)¹	% of Budget Spent	Energy Savings Goal	Energy Savings Achieved⁶	% of Goal Achieved
Cumulative through Last Reporting (December 31, 2011)	\$1223.4	\$874.3	71%	2,102 GWh ^{2,3}	2,160.1 GWh ⁴	103%
Incremental during Current Reporting Period (January – December 2012)	N/A	\$89.1	N/A	N/A	-19.6 GWh ^{4,5}	N/A
Cumulative through Current Reporting Period (December 31, 2012)	\$1,204.6	\$963.4	80%	2,102 GWh ^{2,3}	2,140.5 GWh ⁴	102%

¹Inclusive of Administration, Evaluation and other portfolio level costs. Enhanced SBC evaluation and DPS evaluation consultant funding, as provided for in EEPS orders issued June 23, 2008 and June 24, 2009 (Case 07-M-0548 and Case 05-M-0090). The total budget was revised in 2012 to reflect transfers of 12/31/11 uncommitted program balances pursuant to the September 13, 2012 PSC Order, and pro-rata uncommitted Evaluation funds pursuant to the December 17, 2012 PSC Order. Also, the NYS Cost Recovery Fee budget has been adjusted from available interest earnings as allowed by the September 13, 2012 Order, and reflects the amount expended to date through 12/31/12.

²Certain **New York Energy SmartSM** programs also have demand reduction and fuel savings goals. Only the electric goals are shown in this table due to the broad contribution of programs toward those achievements. Individual program goals and progress for demand reduction and fuel savings are shown in Sections 3 and 4 of this report.

³This overall goal for the **New York Energy SmartSM** Program is based on NYSEERDA's February 28, 2011 revised operating plan (resubmitted with revisions April 6, 2011).

⁴Sector and cross sector overlap removed

⁵The incremental annual net energy savings (GWh) are negative for the current reporting period (January – December 2012) due to the retirement of installed measures reaching the end of their useful life.

⁶The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSEERDA's 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

Table 1-2 – SBC Benefits Summary^{1,2}

Benefits	Originally Published Through Year-End 2011	Cumulative through Last Reporting Period Through Year-End 2011	Cumulative through Current Reporting Period Through Year-End 2012
Electricity Savings from Energy Efficiency and On-Site Generation (Annual GWh)	4,346.4	4,327.8	4,308.2
Peak Demand Reduction ³ (MW)	1,677	1,795	1,813
Permanent Measures (MW)	745.2	910.8	922.3
Curtailable ⁴	932.1	883.9	890.6
Net Fuel Savings (Annual MMBtu)	4,734,714	4,840,864	4,807,038
Annual Energy Bill Savings to Participating Customers (\$ Million)	\$1,015	\$784	\$794
Renewable Energy Generation (Annual GWh)	107.9	107.9	107.9
Net Additional Jobs ⁵	5,700	5,701	4,205
NO _x Emissions Reductions (Annual Tons) ⁶	2,555a	1,976	2,029
SO ₂ Emissions Reductions (Annual Tons) ⁶	5,048a	4,045	4,060
CO ₂ Emissions Reductions (Annual Tons) ⁶	2,664,590a	2,051,073	2,117,501
Equivalent number of cars removed from NY roadways	552,470a	402,171	415,196

¹This table includes data for SBCI, SBCII and SBCIII only. Data presented in similar tables in NYSERDA's Evaluation and Status reports include SBC and EEPS data.

²The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSERDA's 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

³Does not include 11.7 MW of renewable energy generation capacity.

⁴Curtailable MW has decreased due to a reassessment of the impact of the Enabling Technologies Program. MW enabled under the SBC2 program Enabling Technologies for Price Responsive Load was not required to persist beyond the period of the contract. As such, the MWs available have steadily declined since the program's close.

⁵Figures in this row represent jobs created through year-end of each year (2007 through 2012) for the full portfolio of SBC-funded programs. This includes **New York Energy \$martSM** and EEPS Programs, based on a methodology updated in 2012 which reflects the current economic conditions in New York State. Results for the years previous to 2012 are consistent with those published in previous quarterly and annual reports.

⁶These 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. Nevertheless, electric efficiency projects will reduce end-users' responsibility or environmental footprint associated with emissions from electricity production. Beginning in Q1 2010, NYSERDA now estimates reductions in emissions of carbon dioxide (CO₂), nitrogen oxides (NO_x), and sulfur dioxide (SO₂) associated with electric efficiency projects based on average emission rates that include emissions associated with imports of electricity. In the past, NYSERDA has reported emissions reductions using marginal emission factors; this transition to average emission factors was performed to be consistent with a footprint reduction framework.

^a These figures include savings from both **New York Energy \$martSM** and EEPS Programs.

In addition to the portfolio level benefits outlined in Table 1.2, overall, NYSERDA has achieved the following outcomes through 2012 with SBCIII R&D funding (unless otherwise noted). These achievements are separate and apart from those attained with SBC IV funds and reported in NYSERDA's Technology & Market Development semi-annual report.¹ Further program-specific achievements are noted in the Section 4 of this report.

- 31 Advanced Technologies Reaching Commercial Availability
- \$1.27 billion in Commercial Sales of New and Improved Technologies (through 2011, for all funding sources including SBC3)
- Nearly \$538 million in Funding Leveraged (co-funding and outside investment) by NYSERDA's Investment
- 375 Clean Energy Companies Receiving Support
- 30 Clean Energy Businesses Graduating from Incubators

¹The most recent SBCIV Technology & Market Development Semi-Annual Report can be found at <http://www.nyserda.ny.gov/Publications/Program-Planning-Status-and-Evaluation-Reports/SBCIV-Documents.aspx>.

Table 1.3 – SBC Financial Summary as of December 31, 2012 (\$ million)

Program	Revised SBC III Budget ¹	SBCIII Spent			SBCIII Encumbered ²			SBC I and II Budget ^{4,5}	TOTAL SBC I, II, and III Budget ⁵	TOTAL SBC I, II, and III Spent Through Year-End 2012
		Through Year-End 2011	Through Year-End 2012	Change	Through Year-End 2011	Through Year-End 2012	Change ³			
Commercial & Industrial	379.1	253.0	285.4	32.4	347.9	361.0	13.1	247.1	626.3	532.6
Residential	154.0	141.2	148.1	6.9	147.8	151.6	3.8	165.4	319.4	313.5
Low-Income	227.5	202.7	214.6	11.9	220.8	225.1	4.3	86.6	314.1	301.2
Research and Development	294.8	159.5	191.4	31.9	247.6	272.1	24.6	105.9	400.6	297.2
General Awareness ⁶ (Marketing)	15.0	9.8	10.8	1.0	15.0	15.0	0	15.9	31.0	26.7
SUBTOTAL PROGRAM	\$1,070.4	\$766.2	\$850.3	\$84.1	\$979.0	\$1,024.7	45.7	\$620.9	\$1,691.3	\$1,471.2
Program Administration	71.7	71.7	71.7	0.0	71.7	71.7	0	59.8	131.6	131.5
Metrics and Evaluation	37.5	16.6	19.6	3.0	20.2	29.6	9.4	14.5	52.0	34.1
Environmental Disclosure	1.1	-0.8	-0.8	0.0	-0.8	-0.8	0	0.8	1.9	0.05
NYS Cost Recovery Fee ⁷	20.3	18.7	20.3	1.6	18.7	20.3	1.6	9.2	29.5	29.5
DPS Evaluation Consultant	1.1	1.0	1.1	0.1	1.1	1.1	0	-	1.1	1.1
DPS Uniform Database	0.4	-	0.03	0.03	-	0.3	0.3	-	0.4	0.03
Statewide Evaluation Protocol Development	2.1	0.9	1.1	0.2	1.3	1.5	0.2	-	2.1	1.1
SUBTOTAL OTHER (Non-Program)	\$134.2	\$108.1	\$113.0	\$4.9	\$112.2	\$123.8	\$11.5	\$84.3	\$218.5	\$197.4
TOTAL – PROGRAM AND OTHER	\$1,204.6	\$874.3	\$963.4	\$89.0	\$1,091.2	\$1,148.5	\$57.2	\$705.2	\$1,909.8	\$1,668.6

¹SBC III: July 1, 2006 through December 31, 2011. Revised budget reflects transfers of 12/31/11 uncommitted program balances pursuant to the September 13, 2012 PSC Order, and pro-rata uncommitted Evaluation funds pursuant to the December 17, 2012 PSC Order. Also, the NYS Cost Recovery Fee budget has been adjusted from available interest earnings as allowed by the September 13, 2012 Order, and reflects the amount expended to date through 12/31/12.

²Encumbered funds associated with signed contracts and purchase orders as well as funds spent.

³Change in encumbered “Program” funds may show an increase because “encumbered” funds do not include pre-encumbrances that met the definition of committed program funds as of the 12-31-11 end of the program. . Additionally, the change in encumbered funds for the “Other (Non-Program)” category is allowed due to its exemption from uncommitted balance accounting.

⁴SBC I: July 1, 1998 through June 30, 2001; SBC II: July 1, 2001 through June 30, 2006.

⁵Reflects carryover in funds and reallocation as approved by the Public Service Commission in 2007.

⁶General Awareness was previously included in the Residential Program Area.

⁷The New York State Cost Recovery Fee is assessed for services to public authorities. The fee is determined by the New York State Division of Budget and imposed and collected by the Department of Taxation and Finance.

Totals may not sum due to rounding.

Source: NYSERDA

Table 1.4 – SBC Portfolio Cumulative Annual Electricity Savings Summary¹

Program	SBC III Goal (GWh)	SBCIII Cumulative Annual Electricity Savings (GWh)				% Achieved SBCIII Goal			SBC I and SBC II Cumulative Annual Electricity Savings (GWh)	TOTAL SBC I, II, and III Cumulative Annual Electricity Savings Through Year-End 2012 (GWh)
		Originally Published Through Year-End 2011	Net Through Year-End 2011	Net Through Year-End 2012	Net Change	Through Year-End 2011	Through Year-End 2012	Net Change		
Commercial & Industrial	1,407	1,561.8	1,587.4	1,735.1	147.8	113%	123%	11%	1,621.6	3,356.7
Residential and Low-Income	698.4	458.3	426.3a	259.0a	-167.4a	61%	37%	-24%a	510.0	768.9
Research and Development	N/A	464.3	443.2	443.2	0.0	N/A	N/A	N/A	186.5	629.7
Cross Sector Overlap Removed	N/A	305.8	296.8	296.8	0.0	N/A	N/A	N/A	42.5	339.3
TOTAL	2,105.4	2,178.7	2,160.1	2,140.5	-19.6	103%	102%	-1%	2,275.6	4,416.0

¹The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSERDA's 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

a Savings for the Residential **New York Energy \$martSM** Products Program are cumulative through 2009 and are estimated based on market data, survey research, and deemed savings values. In addition, during Q4 2012, savings for the **New York Energy \$martSM** Products component of the Market and Community Support Program were reduced to account for the retirement of installed measures reaching the end of their useful life.

Table 1.5 – SBC Portfolio Cumulative Annual Demand Savings Summary¹

Program	SBC III Goal(MW)	SBCIII Peak Demand Savings (MW)				% Achieved SBCIII Goal			SBC I and SBC II (MW)	TOTAL SBC I, II, and III Through Year-End 2012 (MW)
		Originally Published Through Year-End 2011	Net Through Year-End 2011	Net Through Year-End 2012	Net Change	Through Year-End 2011	Through Year-End 2012	Change		
Commercial & Industrial	517.0	755.2	691.8	722.9	31.1	134%	140%	6%	761.3	1,484.2
Residential and Low-Income	N/A	95.4	88.4a	75.5a	-12.9a	N/A	N/A	N/A	105.4	180.9
Research and Development	126.0	46.7	44.2	44.2	-0.1	35%	35%	0%	163.4	206.6
Cross Sector Overlap Removed	N/A	48.0	46.8	46.8	0.0	N/A	N/A	N/A	1.3	48.1
TOTAL	643.0	849.3	777.7	795.8	18.1	121%	124%	3%	1,028.8	1,823.6

¹The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSERDA's 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

a Savings for the Residential **New York Energy \$martSM** Products Program are cumulative through 2009 and are estimated based on market data, survey research, and deemed savings values. In addition, during Q4 2012, savings for the **New York Energy \$martSM** Products component of the Market and Community Support Program were reduced to account for the retirement of installed measures reaching the end of their useful life.

Table 1.6 – SBC Portfolio Cumulative Annual Fuel Savings Summary¹

Program	SBC III Goal (MMBtu)	SBCIII Fuel Savings (MMBtu)				% Achieved SBCIII Goal			SBC I and SBC II (MMBtu)	TOTAL SBC I, II, and III Through Year-End 2012 (MMBtu)
		Originally Published Through Year-End 2011	Net Through Year-End 2011	Net Through Year-End 2012	Net Change	Through Year-End 2011	Through Year-End 2012	Change		
Commercial & Industrial	N/A	194,412	153,432	-35,177	-188,608	N/A	N/A	N/A	3,146,291	3,111,114
Residential and Low-Income	9,104,674	2,615,858	2,637,064	2,789,375	152,311	29%	31%	2%	1,155,142	3,944,516
Research and Development	N/A	-3,100,772	-2,974,848	-2,972,376	2,471	N/A	N/A	N/A	-571,310	-3,543,686
Cross Sector Overlap Removed	N/A	-1,295,093	-1,295,093	-1,295,093	0	N/A	N/A	N/A	0	-1,295,093
TOTAL	9,104,674	1,004,591	1,110,741	1,076,915	-33,826	12%	12%	0.0	3,730,123	4,807,037

¹The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSERDA's 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

2. SBC III Commercial/Industrial Summary

Table 2.1 Financial Summary– SBCIII Commercial/Industrial Programs (\$ million)

Program	Revised SBC III Budget ¹	SBCIII Spent			SBCIII Encumbered ²			SBC I, II, Budget ^{4,5}	TOTAL SBC I, II, and III Budget ⁵	TOTAL SBC I, II, and III Spent Through Year-End 2012
		Through Year-End 2011	Through Year-End 2012	Change	Through Year-End 2011	Through Year-End 2012	Change ³			
Existing Facilities ⁶	164.6	101.1	110.8	9.7	145.8	153.5	7.7	135.4	300.0	246.2
New York Energy Smart Business Partners	21.4	17.3	20.5	3.2	20.3	21.3	1.0	21.1	42.4	41.6
Loan Fund and Financing	27.2	26.8	26.7	-0.1a	27.2	26.9	-0.3a	12.3	39.5	39.0
Energy Smart Focus	18.5	14.8	17.1	2.3	18.4	18.4	0.02	4.8	23.4	21.9
New Construction Program	117.6	76.4	88.6	12.2	110.6	112.5	2.0	53.1	170.6	141.7
FlexTech Technical Assistance	29.8	16.6	21.7	5.1	25.6	28.4	2.8	20.4	50.2	42.1
TOTAL C&I	\$379.1	\$253.0	\$285.4	\$32.4	\$347.9	\$361.0	13.1	\$247.1	\$626.3	\$532.6

¹SBC III: July 1, 2006 through December 31, 2011. Revised budget reflects transfers of 12/31/11 uncommitted program balances pursuant to the September 13, 2012 PSC Order, and pro-rata uncommitted Evaluation funds pursuant to the December 17, 2012 PSC Order. Also, the NYS Cost Recovery Fee budget has been adjusted from available interest earnings as allowed by the September 13, 2012 Order, and reflects the amount expended to date through 12/31/12.

²Encumbered funds associated with signed contracts and purchase orders as well as funds spent.

³Change in encumbered “Program” funds may show an increase because “encumbered” funds do not include pre-encumbrances that met the definition of committed program funds as of the 12-31-11 end of the program. . Additionally, the change in encumbered funds for the “Other (Non-Program)” category is allowed due to its exemption from uncommitted balance accounting.

⁴SBC I: July 1, 1998 through June 30, 2001; SBC II: July 1, 2001 through June 30, 2006.

⁵Reflects carryover in funds and reallocation as approved by the Public Service Commission in 2007.

⁶Existing Facilities Program (EFP) was formed by merging the Peak Load Management and Enhanced Commercial/Industrial Performance (ECIPP) programs.

a The negative spending and encumbered values for the Loan Fund and Financing Program are due to loans being paid off sooner than planned, resulting in funding transferred back to NYSERDA.

Totals may not sum due to rounding.

Source: NYSERDA

Table 2.2 - Cumulative Annual Electricity Savings Summary - SBCIII Commercial and Industrial¹

Program	SBC III Goal ² (GWh)	SBCIII Electricity Savings (GWh)				% Achieved SBCIII Goal			SBC I and SBC II (GWh)	TOTAL SBC I, II, and III Through Year-End 2012 (GWh)
		Originally Published Through Year-End 2011	Net Through Year-End 2011	Net Through Year-End 2012	Net Change	Through Year-End 2011	Through Year-End 2012	Change		
Existing Facilities ³	484.0	701.3	816.7	857.8	41.2	169%	177%	9%	812.3a	1,670.1
New York Energy Smart Business Partners	105.0	84.0	78.7	80.8	2.2	75%	77%	2%	54.1	134.9
Loan Fund and Financing	N/A	38.2	38.2	38.2	0.0	N/A	N/A	N/A	49.6	87.9
Energy Smart Focus ⁴	53.0	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
New Construction Program	356.0	268.1	183.6	215.0	31.4	52%	60%	9%	188.1b	403.1
FlexTech Technical Assistance	409.0	628.5	628.5	719.0	90.5	154%	176%	22%	644.1	1,363.1
Overlap Removed ⁵	N/A	158.3	158.3	175.8	17.5	N/A	N/A	N/A	126.7	302.5
TOTAL C/I	1,407.0	1,561.8	1,587.4	1,735.1	147.8	113%	123%	11%	1,621.6	3,356.7

¹The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSEDA's 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

²Goals for the **New York Energy SmartSM** Program are specified in NYSEDA's February 28, 2011 revised operating plan (resubmitted with revisions April 6, 2011).

³Savings for the Cooling Recommissioning component of the Existing Facilities Program were reduced in Q4 2011 to account for the retirement of installed measures reaching the end of their useful life.

⁴Energy Smart Focus is primarily a sector-based energy information and services program. Energy and demand savings that may be attributable to the Energy Smart Focus Program are currently tracked and reported under other SBCIII programs. This program was recently known as Vertical Outreach; however, the activities tracked in this document more closely align with the previous program's name and function, so this program name has returned to Energy Smart Focus for purposes of these SBCIII tracking reports.

⁵Overlap factors were updated in Q1 2008.

a Savings reported previously included projects funded through the Con Edison Power Savings Partners Program. These savings have been removed to more accurately reflect accomplishments.

b These savings were adjusted following an extensive clean-up of the program database, which resulted in a change to the program realization rate.

Totals may not sum exactly due to rounding.

Table 2.3 – Cumulative Annual Demand Savings Summary- SBCIII Commercial and Industrial¹

Program	SBC III Goal ² (MW)	SBCIII Peak Demand Savings (MW)				% Achieved SBCIII Goal			SBC I and SBC II (MW)	TOTAL SBC I, II, and III Through Year-End 2012 (MW)
		Originally Published Through Year-End 2011	Net Through Year-End 2011	Net Through Year-End 2012	Net Change	Through Year-End 2011	Through Year-End 2012	Change		
Existing Facilities: Permanent ³	123.0	142.5	159.3	162.3	3.0	129%	132%	2%	166.4	328.7
Existing Facilities: Callable	239.0	235.5	187.2	192.7	5.5	78%	81%	2%	421.1a	613.8
New York Energy Smart Business Partners	21.0	23.7	21.6	22.2	0.6	103%	106%	3%	11.8	34.0
Loan Fund and Financing	N/A	37.7	37.7	37.7	0.0	N/A	N/A	N/A	14.3	52.0
Energy Smart Focus ⁴	10.0	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
New Construction Program	41.0	71.9	42.2	49.2	7.0	103%	120%	17%	41.0b	90.2
FlexTech Technical Assistance	83.0	112.0	112.0	129.1	17.1	135%	156%	21%	120.9	250.0
FlexTech Technical Assistance: Callable	N/A	165.4	165.4	166.5	1.1	N/A	N/A	N/A	10.2	176.7
Overlap Removed ⁵	N/A	33.5	33.5	36.8	3.3	N/A	N/A	N/A	24.5	61.3
TOTAL C/I	517.0	755.2	691.8	722.9	31.1	134%	140%	6%	761.3	1,484.2

¹The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSEDA's 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

²Goals for the **New York Energy \$mart**SM Program are specified in NYSEDA's February 28, 2011 revised operating plan (resubmitted with revisions April 6, 2011).

³Savings for the Cooling Recommissioning component of the Existing Facilities Program were reduced in Q4 2011 to account for the retirement of installed measures reaching the end of their useful life.

⁴Energy Smart Focus is primarily a sector-based energy information and services program. Energy and demand savings that may be attributable to the Energy Smart Focus Program are currently tracked and reported under other SBCIII programs. This program was recently known as Vertical Outreach; however, the activities tracked in this document more closely align with the previous program's name and function, so this program name has returned to Energy Smart Focus for purposes of these SBCIII tracking reports.

⁵Overlap factors were updated in Q1 2008.

a Savings reported previously included projects funded through the Con Edison Power Savings Partners Program. These savings have been removed to more accurately reflect accomplishments.

b These savings were adjusted following an extensive clean-up of the program database, which resulted in a change to the program realization rate.

Totals may not sum exactly due to rounding

Table 2.4 – Cumulative Annual Fuel Savings Summary- SBCIII Commercial and Industrial¹

Program	SBC III Goal (MMBtu)	SBCIII Fuel Savings (MMBtu)				% Achieved SBCIII Goal			SBC I and SBC II (MMBtu)	TOTAL SBC I, II, and III Through Year-End 2012 (MMBtu)
		Originally Published Through Year-End 2011	Net Through Year-End 2011	Net Through Year-End 2012	Net Change	Through Year-End 2011	Through Year-End 2012	Change		
Existing Facilities	N/A	-74,327	-64,043a	-67,258a	-3,215	N/A	N/A	N/A	3,252	-64,006a
Loan Fund and Financing	N/A	461,427	461,427	461,427	0	N/A	N/A	N/A	137,239	598,666
New Construction Program	N/A	8,786	6,267	6,267	0	N/A	N/A	N/A	0	6,267
FlexTech Technical Assistance ²	N/A	-212,079	-212,079	-407,229	-195,150	N/A	N/A	N/A	3,164,000	2,756,771
Overlap Removed	N/A	-10,604	38,142	28,385	-9,756	N/A	N/A	N/A	158,200	186,585
TOTAL C/I	N/A	194,412	153,432	-35,177	-188,608	N/A	N/A	N/A	3,146,291	3,111,114

Note: There were no **New York Energy \$martSM** goals for fuel savings for Commercial/Industrial sector programs.

¹The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSERDA's 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

²The methodology to assess impacts focuses on developing samples based on electricity savings, rather than fuel, resulting in a less than optimal sample for fuel-savings projects and fluctuation over time in the calculated impacts. Also, the program recommends on-site generation, which would result in an increase in fuel use, offsetting fuel reductions achieved.

a EFP has not tracked ancillary fuel savings or use resulting from installation of electric saving measures. The negative fuel savings shown here represent additional fuel use due to the installation of on-site generation at a very small number of projects that were recently evaluated for impacts. In the future, EFP will begin tracking both fuel saving and use more consistently.

Totals may not sum exactly due to rounding.

Table 2.5 – Non-Energy Summary- SBCIII Commercial and Industrial Programs – Metrics Tracking Through December 31, 2012¹

Program	Output / Activity	Goal	Achieved (Without SBC IV Funding)	% Goal Achieved (Without SBC IV funding)	Tracking Status (Complete or Ongoing) as of December 31, 2012
Existing Facilities Program ²	Customer Projects	4,500 – 4,800	5,520	>100%	Ongoing
	Leveraged Funds (\$ million)	\$400 - \$450 million	\$507.4 million	>100%	Ongoing
Business Partners Program	Business Partners (signed up)	1,800	501	28%	Ongoing
Loan Fund and Financing Program ³	Customers receiving assistance (closed commercial/industrial loans)	550	292	53%	Complete
	Participating lenders (signed participation agreements)	75	151	>100%	Complete
	Leveraged loan amount (for closed commercial/industrial loans)	\$60 million	\$106 million	>100%	Complete
Energy Smart Focus ⁴	Participants Receiving Assistance	24,000	6,297	30%	Ongoing
	Focus Sector Partnerships ⁵	N/A	N/A		Ongoing
New Construction Program	Customers receiving assistance (completed projects)	1,272	757	60%	Ongoing
	Construction market affected (square feet)	127 million	82 million	65%	Ongoing
	Participating Architecture and Engineering (A&E) firms (completed projects)	1,357	1,211	89%	Ongoing
Flex Tech Program	Customers receiving assistance (approved proposals)	3,025	4,636	>100%	Complete

¹This table reports progress on SBC III non-energy goals. Where both SBC III and SBC IV funds are now contributing toward achievements, progress and percent of goal attainment is shown both with and without (parenthetically) the SBC IV funding. Goals that will continue to be tracked in the future are characterized as “Ongoing” in the Tracking Status column and goals that have been achieved and will no longer be tracked in the future are characterized as “Complete”.

²Beginning with this 2012 end-of-year reporting, EFP achievements are for SBC3 only projects. Customer projects and leveraged funds reported in prior reports reflected all EFP component programs since 1999. EFP is a consolidation of two precursor NYSERDA programs; the Peak Load Management Program (PLMP) and the Enhanced Commercial and Industrial Performance Program (ECIPP). Building upon the success of these two programs, the July 1, 2008 merger provided a less complicated, more accessible program presentation to potential customers in the marketplace.

³The final program numbers are currently being vetted and transported into a new database, should be available for the next SBC3 report.

⁴Energy Smart Focus is primarily a sector-based energy information and services program. Energy and demand savings that may be attributable to the Energy Smart Focus Program are currently tracked and reported under other SBC III programs. This program was recently known as Vertical Outreach; however, the activities tracked in this document more closely align with the previous program’s name and function, so this program name has returned to Energy Smart Focus for purposes of these SBC III tracking reports.

⁵This metric was not part of the original SBC III Operating Plan goals.

3. SBCIII Residential and Low Income Summary

Table 3-1 – Financial Summary– SBCIII Residential and Low-Income Programs (\$ million)

Program	Revised SBC III Budget ¹	SBCIII Spent			SBCIII Encumbered ²			SBC I and II Budget ^{4,5}	TOTAL SBC I, II, and III Budget ⁵	TOTAL SBC I, II, and III Spent Through Year-End 2012
		Through Year-End 2011	Through Year-End 2012	Change	Through Year-End 2011	Through Year-End 2012	Change ³			
Single Family Home Performance	60.4	58.5	60.0	1.5	59.0	60.1	1.1	47.4	107.8	107.4
Multifamily Building Performance	29.3	25.5	26.0	0.6	26.9	28.3	1.5	18.3	47.6	44.4
Market and Community Support Residential	54.6	48.1	52.4	4.3	52.2	53.5	1.3	96.5	151.1	149.0
Communities and Education	9.8	9.1	9.6	0.4	9.7	9.6	-0.9	3.2	12.9	12.7
SUB TOTAL Residential	\$154.0	\$141.2	\$148.1	\$6.9	147.8	\$151.6	3.8	\$165.4	\$319.4	313.5
Single Family Home Performance	47.0	42.0	44.1	2.1	46.5	46.6	0.1	22.3	69.3	66.4
Multifamily Building Performance	115.7	99.3	106.3	7.0	110.8	114.1	3.3	45.4	161.1	151.6
EmPower New York	53.1	51.3	53.1	1.8	51.9	53.1	1.2	14.3	67.4	67.4
Buying Strategies & Energy Awareness	11.7	10.0	11.1	1.1	11.6	11.2	-0.4	4.7	16.3	15.8
SUB TOTAL Low-Income	\$227.5	\$202.7	\$214.6	\$11.9	\$220.8	\$225.1	\$4.3	\$86.6	\$314.1	\$301.2
TOTAL Residential and Low-Income	\$381.5	\$343.9	\$362.6	\$18.8	\$368.6	\$376.7	\$8.1	\$252.0	\$633.5	\$614.6

¹SBC III: July 1, 2006 through December 31, 2011. Revised budget reflects transfers of 12/31/11 uncommitted program balances pursuant to the September 13, 2012 PSC Order, and pro-rata uncommitted Evaluation funds pursuant to the December 17, 2012 PSC Order. Also, the NYS Cost Recovery Fee budget has been adjusted from available interest earnings as allowed by the September 13, 2012 Order, and reflects the amount expended to date through 12/31/12.

²Encumbered funds associated with signed contracts and purchase orders as well as funds spent.

³Change in encumbered “Program” funds may show an increase because “encumbered” funds do not include pre-encumbrances that met the definition of committed program funds as of the 12-31-11 end of the program. . Additionally, the change in encumbered funds for the “Other (Non-Program)” category is allowed due to its exemption from uncommitted balance accounting.

⁴SBC I: July 1, 1998 through June 30, 2001; SBC II: July 1, 2001 through June 30, 2006.

⁵Reflects carryover in funds and reallocation as approved by the Public Service Commission in 2007.

Totals may not sum due to rounding.

Source: NYSERDA

Table 3-2 - Cumulative Annual Electricity Savings Summary - SBCIII Residential and Low-Income Programs¹

Program	SBC III Goal ² (GWh)	SBCIII Electricity Savings (GWh)				% Achieved SBCIII Goal			SBC I and SBC II (GWh)	TOTAL SBC I, II, and III Through Year-End 2012 (GWh)
		Originally Published Through Year-End 2011	Net Through Year-End 2011	Net Through Year-End 2012	Net Change	Through Year-End 2011	Through Year-End 2012	Change		
Single Family Home Performance Program: Existing Homes ³	31.1	18.3	7.3	7.2	-0.1a	24%	23%	0%	13.5	20.7
Single Family Home Performance Program: New Homes	13.1	32.1	16.8	17.5	0.7	128%	133%	5%	7.3	24.8
Multifamily Performance Program: Existing Buildings ⁴	361.3	97.0	97.0	108.6	11.6	27%	30%	3%	29.8	138.5
Multifamily Performance Program: New Buildings	24.0	3.0	3.0	5.4	2.4	13%	22%	10%	0.0	5.4
Market and Community Support Program	234.0	273.1	273.1b	91.0b	-182.1b	117%	39%	-78%	439.3c	530.3
EmPower New York	34.9	34.8	29.1	29.2	0.1	83%	84%	0%	20.1	49.3
TOTAL Residential and Low-Income	698.4	458.3	426.3	259.0	-167.4	391%	332%	-59%	510.0	768.9

¹The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSEERDA's 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

²Goals for the **New York Energy \$martSM** Program are specified in NYSEERDA's February 28, 2011 revised Operating Plan (resubmitted with revisions April 6, 2011).

³Cumulative annual net 2012 savings for the low-income Assisted Home Performance Program (15.0 GWh) are included in this row.

⁴Cumulative annual net 2012 savings for the low-income Assisted Multifamily Program (55.6 GWh) are included in this row, the remainder are savings from the closed Residential Comprehensive Energy and Direct Install programs and the new Multifamily Performance Program.

a Cumulative annual net electricity savings for the Single Family Home Performance Program: Existing Homes decreased in year-end 2012 from year-end 2011 due to the installment of fuel-conversion projects, which consume more electricity while saving fossil fuel.

b Savings for the **New York Energy \$martSM** Products Program are cumulative through 2009 and are estimated based on market data, survey research, and deemed savings values. In addition, during Q4 2012, savings for the **New York Energy \$martSM** Products component of the Market and Community Support Program were reduced to account for the retirement of installed measures reaching the end of their useful life.

c This baseline savings figure does not match the 2nd quarter 2006 published value. The impacts for the **New York Energy \$martSM** Products component of this program are derived annually from market data, and the 2nd quarter savings value was estimated retrospectively to provide a more accurate baseline for measuring progress.

Totals may not sum exactly due to rounding

Table 3-3 – Cumulative Annual Demand Savings Summary- SBCIII Residential and Low-Income Programs¹

Program	SBC III Goal	SBCIII Peak Demand Savings (MW)				% Achieved SBCIII Goal			SBC I and SBC II (MW)	TOTAL SBC I, II, and III Through Year-End 2012 (MW)
		Originally Published Through Year-End 2011	Net Through Year-End 2011	Net Through Year-End 2012	Net Change	Through Year-End 2011	Through Year-End 2012	Change		
Single family Home Performance Program: Existing Homes ²	N/A	6.9	5.9	7.3	1.4	N/A	N/A	N/A	2.0	9.3
Single family Home Performance Program: New Homes	N/A	16.5	12.3	12.3	0.0	N/A	N/A	N/A	0.9	13.2
Multifamily Performance Program: Existing Buildings ³	N/A	8.9	9.2	10.0	0.8	N/A	N/A	N/A	3.9	13.9
Multifamily Performance Program: New Buildings	N/A	1.1	1.1	1.7	0.6	N/A	N/A	N/A	0.0	1.7
Market and Community Support Program	N/A	55.8	55.8a	40.1a	-15.7a	N/A	N/A	N/A	96.0	136.1
EmPower New York	N/A	6.2	4.2	4.2	0.0	N/A	N/A	N/A	2.5	6.7
TOTAL Residential and Low-Income	N/A	95.4	88.4	75.5	-12.9	N/A	N/A	N/A	105.4	180.9

Note: No peak demand savings goals were set for residential and low-income **New York Energy \$martSM** programs.

¹The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSERDA's 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

²Cumulative annual net 2012 demand savings for the low-income Assisted Home Performance Program are included in this row. They represent 3.6 MW pf these savings.

³Cumulative annual net 2012 demand savings for the low-income Assisted Home Performance Program are included in this row. They represent 6.6 MW of these savings.

a Savings for the **New York Energy \$martSM** Products Program are cumulative through 2009 and are estimated based on market data, survey research, and deemed savings values. In addition, during Q4 2012, savings for the **New York Energy \$martSM** Products component of the Market and Community Support Program were reduced to account for the retirement of installed measures reaching the end of their useful life.

Totals may not sum exactly due to rounding.

Table 3-4 – Cumulative Annual Fuel Savings Summary - - SBCIII Residential and Low-Income Programs¹

Program	SBC III Goal ² (MMBtu)	SBCIII Fuel Savings (MMBtu)				% Achieved SBCIII Goal			SBC I and SBC II (MMBtu)	TOTAL SBC I, II, and III Through Year-End 2012 (MMBtu)
		Originally Published Through Year-End 2011	Net Through Year-End 2011	Net Through Year-End 2012	Net Change	Through Year-End 2011	Through Year-End 2012	Change		
Single family Home Performance Program: Existing Homes ³	743,981	768,182	787,962	807,371	19,409	106%	109%	3%	454,958a	1,262,329
Single family Home Performance Program: New Homes	409,952	492,844	539,807	541,247	1,440	132%	132%	0%	376,103b	917,350
Multifamily Performance Program: Existing Buildings ⁴	6,791,300	962,808	962,808	1,122,494	159,686	14%	17%	2%	43,932	1,166,426
Multifamily Performance Program: New Buildings	649,000	25,143	25,143	23,372	-1,771c	4%	4%	0%	0	23,372
Market and Community Support Program	300,000	202,105	202,105d	167,145d	-34,960d	67%	56%	-12%	241,998e	409,143
EmPower New York ⁵	210,441	164,776	119,238	127,746	8,508	57%	61%	4%	38,151e	165,897
TOTAL Residential and Low-Income	9,104,674	2,615,858	2,637,064	2,789,375	152,311	29%	31%	2%	1,155,142	3,944,516

¹ The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSERDA's 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

² Goals for the **New York Energy \$martSM** Program are specified in NYSERDA's February 28, 2011 revised operating plan (resubmitted with revisions April 6, 2011).

³ Cumulative annual net 2012 energy savings for the low-income Assisted Home Performance Program are included in this row. They represent 585,811 MMBtu of these savings.

⁴ Cumulative annual net 2012 energy savings for the low-income Assisted Multifamily Program are included in this row. They represent 378,781 MMBtu of these savings.

⁵ The MMBtu savings for EmPower was reduced to exclude some non-SBC sources through June 30, 2006, so the value shown here will not match earlier published values.

a This value does not match an earlier published value due to changes made to the program tracking database in response to evaluation completed by the M&V contractor.

b This value does not match earlier published values as the realization rate for MMBtu was reassessed during this period to a lower level and applied retroactively in order to accurately reflect progress.

c Cumulative annual net fuel savings for the Multifamily Performance Program: New Buildings program decreased in year-end 2012 from year-end 2011 due to the installment of fuel-conversion projects, which consume more fossil fuel while saving electricity.

d The value shown for savings through June 30, 2006 does not match earlier published values, as an error in the tracking data was found and repaired.

e Savings for the **New York Energy SmartSM** Products Program are cumulative through 2009 and are estimated based on market data, survey research, and deemed savings values. In addition, during Q4 2012, savings for the **New York Energy SmartSM** Products component of the Market and Community Support Program were reduced to account for the retirement of installed measures reaching the end of their useful life.

Table 3-5 – Non-Energy Summary- SBCIII Residential and Low-Income Programs – Metrics Tracking Through December 31, 2012

Program	Output / Activity	Goal	Achieved (Without SBC IV Funding)	% Goal Achieved (Without SBC IV funding)	Tracking Status (Complete or Ongoing) as of December 31, 2012
Energy Star Homes	New ENERGY STAR Homes built (market rate only)	10,069	11,082	>100%	Ongoing
	New low-income ENERGY STAR Homes built	1,316	810	62%	Ongoing
Home Performance	Existing homes served (receiving treatment) (market rate only)	17,945	20,406	>100%	Ongoing
	Existing low-income homes served (receiving treatment)	13,866	9,205	66%	Ongoing
Multifamily Performance Program	Number of existing market rate multifamily units receiving energy efficiency services (completed projects)	61,600	15,861	26%	Ongoing
	Number of new market-rate multifamily units receiving energy efficiency services (completed projects)	7,500	1,398	19%	Ongoing
	Tenant energy savings per year – existing and new market rate (at \$250/unit)	\$17,275,000	\$4,314,750	25%	Ongoing
	Number of existing low-income multifamily units receiving energy efficiency services (completed projects)	248,600	42,758	17%	Ongoing
	Number of new low-income multifamily units receiving energy efficiency services (completed projects)	12,700	6,775	53%	Ongoing
	Low-income tenant energy savings per year – existing and new (at \$195/unit)	\$65,325,000	\$9,658,935	15%	Ongoing
Market and Community Support	New manufacturing partners signed up	21	66 (59)	>100% (>100%)	Ongoing
	New retail partners (independent) signed up	103	286 (280)	>100% (>100%)	Ongoing
	New retail partners (big box, mass merchandisers) signed up	6	25	>100%	Ongoing
	ENERGY STAR market share increase on targeted products (on average, across products)	28%	57% (55 %)	>100% (>100%)	Ongoing
Communities and Education Program	Teachers trained	6,050	9,721	>100%	Complete
	Total students reached	184,125	1,193,711	>100%	Complete
	Portion of total estimated to be low-income students	131,125	477,484	>100%	Complete
	Community events held statewide	1,250	2,778	>100%	Complete
	Recruiting seminars held statewide	545	746	>100%	Complete
	Home performance contractors, technicians, builders and raters recruited for the Home Performance Program ²	888	1,745	>100%	Complete
	Building analysts, designers, energy consultants, equipment installers, etc. recruited for Multifamily Building Performance Program ²	100	629	>100%	Complete

Program	Output / Activity	Goal	Achieved (Without SBC IV Funding)	% Goal Achieved (Without SBC IV funding)	Tracking Status (Complete or Ongoing) as of December 31, 2012
EmPower	Households served	34,362	40,394	>100%	Complete
Buying Strategies and Energy Awareness Program	Funds leveraged through Buying Strategies initiative	\$20 M	\$22.5-24 M	>100%	Complete
	Additional low-income individuals reached via newsletters, weekly newspapers, etc. (readership)	5 million	79.6 million	>100%	Complete
	Additional low-income individuals reached via seminars and workshops (attendees)	15,000	636,170	>100%	Complete
	Additional contractors and other partners recruited in low-income districts	137	1,885	>100%	Complete

¹This table reports progress on SBC III non-energy goals. Where both SBC III and SBC IV funds are now contributing toward achievements, progress and percent of goal attainment is shown both with and without (parenthetically) the SBC IV funding. Goals that will continue to be tracked in the future are characterized as “Ongoing” in the Tracking Status column and goals that have been achieved and will no longer be tracked in the future are characterized as “Complete”.

²Refers to number of individuals attending recruiting seminars or meetings.

4. SBCIII Research and Development Summary

Table 4.1 – Financial Summary– SBCIII Research and Development Programs (\$million)

Program	SBC III Budget ¹	SBCIII Spent			SBCIII Encumbered ²			SBC I and II Budget ^{4,5}	TOTAL SBC I, II, and III Budget ⁵	TOTAL SBC I, II, and III Spent Through Year-End 2012
		Through Year-End 2011	Through Year-End 2012	Change	Through Year-End 2011	Through Year-End 2012	Change ³			
Public Benefit Power Transmission and Distribution Research	14.7	4.7	7.4	2.7	9.0	14.7	5.7	-	14.7	7.4
End Use Renewable Energy Market ⁶	24.9	23.7	23.8	0.1	24.9	24.9	0	19.0	43.8	42.8
Clean Energy Infrastructure	52.1	25.5	32.8	7.3	41.6	48.7	7.1	-	52.1	32.8
Distributed Energy Resources: Products and Demonstrations ⁷	119.3	55.8	67.5	11.7	101.6	105.1	3.4	34.0	153.2	101.5
Demand Response and Innovative Rate Research	5.3	0.8	2.0	1.2	2.6	3.9	1.3	-	5.3	2.0
Electric Transportation	6.0	2.7	3.6	0.9	4.9	6.0	1.1	-	6.0	3.6
Environmental, Monitoring, Evaluation, and Protection	25.6	16.5	19.8	3.3	24.3	24.5	0.2	17.7	43.3	37.5
Industrial and Municipal Process Efficiency ⁸	15.4	8.5	10.6	2.1	11.7	14.2	2.5	-	15.4	10.6
Next Generation and Emerging Technologies	28.2	18.3	20.9	2.6	23.5	26.8	3.3	18.3	46.5	39.1
Wholesale Renewable Energy Market	3.4	2.9	2.9	0.01	3.4	3.4	0	16.5	19.9	19.4
Other ⁹	-	<0.1	<0.1	0.0	<0.1	<0.1	0	0.4	0.4	0.4
TOTAL Research and Development	\$294.8	\$159.5	\$191.4	\$31.9	\$247.6	\$272.1	\$24.6	\$105.9	\$400.6	\$297.2

¹SBC III: July 1, 2006 through December 31, 2011. Revised budget reflects transfers of 12/31/11 uncommitted program balances pursuant to the September 13, 2012 PSC Order, and pro-rata uncommitted Evaluation funds pursuant to the December 17, 2012 PSC Order. Also, the NYS Cost Recovery Fee budget has been adjusted from available interest earnings as allowed by the September 13, 2012 Order, and reflects the amount expended to date through 12/31/12.

²Encumbered funds associated with signed contracts and purchase orders as well as funds spent.

³Change in encumbered “Program” funds may show an increase because “encumbered” funds do not include pre-encumbrances that met the definition of committed program funds as of the 12-31-11 end of the program. . Additionally, the change in encumbered funds for the “Other (Non-Program)” category is allowed due to its exemption from uncommitted balance accounting.

⁴SBC I: July 1, 1998 through June 30, 2001; SBC II: July 1, 2001 through June 30, 2006.

⁵Reflects carryover in funds and reallocation as approved by the Public Service Commission in 2007.

⁶Over committed amounts will be reclassified to the approved Renewable Portfolio Standard (RPS) Customer Sited Tier budget.

⁷This includes the DG/CHP Demonstration Program and Power Systems Product Development.

⁸This includes the Industrial Process and Product Innovation Program and Municipal Water and Wastewater Program.

⁹Other: Projects transferred from the Empire State Electric Energy Research Corp. (ESEERCO) Program closed.

Totals may not sum due to rounding.

Source: NYSERDA

Table 4.2 – Cumulative Annual Electricity Savings Summary - SBCIII Research and Development Programs¹

Program	SBC III Goal (GWh)	SBCIII Electricity Savings (GWh)				% Achieved SBCIII Goal			SBC I and SBC II (GWh)	TOTAL SBC I, II, and III Through Year-End 2012 (GWh)
		Originally Published Through Year-End 2011	Net Through Year-End 2011	Net Through Year-End 2012	Net Change	Through Year-End 2011	Through Year-End 2012	Change		
DG-CHP Demonstration Program ²	N/A	460.2	439.1	439.1	0.0	N/A	N/A	N/A	82.7	521.8
Renewable Energy Production	N/A	4.1	4.1	4.1	0.0	N/A	N/A	N/A	103.8	107.9
TOTAL	N/A	464.3	443.2	443.2	0.0	N/A	N/A	N/A	186.5	629.7

¹The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSERDA’s 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

²Savings shown in this row are inclusive of overlap with the FlexTech Technical Assistance Program. This cross-sector overlap is subtracted out of the portfolio level results presented in Table 1.4 of this report.

Table 4.3 – Cumulative Annual Demand Savings Summary- SBCIII Research and Development Programs¹

Program	SBC III Goal ² (MW)	SBCIII Peak Demand Savings (MW)				% Achieved SBCIII Goal			SBC I and SBC II (MW)	TOTAL SBC I, II, and III Through Year-End 2012 (MW)
		Originally Published Through Year-End 2011	Net Through Year-End 2011	Net Through Year-End 2012	Net Change	Through Year-End 2011	Through Year-End 2012	Change		
DG-CHP Demonstration Program ^{3,4}	101.0	80.3	77.7	77.7	-0.1	77%	77%	0%	18.1	95.8
Enabling Technologies for Price Response Load ^{5,6}	N/A	-38.2	-38.1	-38.1	0.0	-152%	-152%	0%	137.2	99.1
Demand Response and Innovative Rate Research	25.0	1.0	1.0	1.0	0.0	N/A	N/A	N/A	0.0	1.0
Renewable Energy Production	N/A	3.6	3.6	3.6	0.0	N/A	N/A	N/A	8.1	11.7
TOTAL	126.0	46.7	44.2	44.2	-0.1	35%	35%	0%	163.4	207.6

¹The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSERDA's 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

²Goals for the **New York Energy \$martSM** Program are specified in NYSERDA's February 28, 2011 revised operating plan (submitted with revisions on April 6, 2011).

³Savings shown in this row are inclusive of overlap with the FlexTech Technical Assistance Program. This cross-sector overlap is subtracted out of the portfolio level results presented in Table 1.5 of this report.

⁴Cumulative annual net demand savings for the DG-CHP Demonstration Program decreased in year-end 2012 from year-end 2011 due database maintenance.

⁵MWs enabled under this SBC2 program were not required to persist beyond the period of the contract. As such, the available MWs have steadily declined since the program's close. This program was replaced by the Demand Response and Innovative Rate Research Program. Prior to 2011, the MWs enabled under Enabling Technologies for Price Response Load Program were published under the program name Demand Response and Innovative Rate Research.

⁶Cumulative annual net demand savings for the Enabling Technologies for Price Response Load Program are negative in year-end 2011 and year-end 2012 due to the application of evaluation adjustment factors.

Table 4.4 – Cumulative Annual Fuel Savings Summary- SBCIII Research and Development Programs¹

Program	SBC III Goal (MMBtu)	SBCIII Fuel Savings (MMBtu)				% Achieved SBCIII Goal			SBC I and SBC II (MMBtu)	TOTAL SBC I, II, and III Through Year-End 2012 (MMBtu)
		Originally Published Through Year-End 2011	Net Through Year-End 2011	Net Through Year-End 2012	Net Change	Through Year-End 2011	Through Year-End 2012	Change		
DG-CHP Demonstration Program ^{2,3}	N/A	-3,100,772	-2,974,848	-2,972,376	2,471	N/A	N/A	N/A	-571,310	-3,543,686
TOTAL	N/A	-3,100,772	-2,974,848	-2,972,376	2,471	N/A	N/A	N/A	-571,310	-3,543,686

¹The energy savings presented in this report use new Evaluation Adjustment Factors and a new methodology for applying the Evaluation Adjustment Factors. Thus, data in this report presenting progress through December 31, 2011 does not match values presented in NYSERDA’s 2011 annual report issued in March 2012 (and revised in April 2012). The originally published values are also shown for comparison. See Appendix B for details.

²This table shows the negative natural gas impacts from DG-CHP demonstration projects due to an increase in on-site gas use resulting from project operations. Although other R&D programs result in positive natural gas impacts, these impacts are not verified and therefore are not reported here. Because the electricity saved by the DG-CHP projects replaces electricity formerly purchased from the grid, the program has reduced fuel used at central generating stations, for a net decrease statewide due to greater efficiency of the DG-CHP systems at sites where imported fuel is used. The fuel avoided at the central generating plant is determined from the electricity generated by the DG-CHP installations. Furthermore, at additional projects such as wastewater treatment plants, electricity generation is powered fully or partially by digester gas produced on site. Such fuel switching achieves natural gas conservation above and beyond what is achieved through efficiency alone. Impacts shown in this row are inclusive of overlap with the FlexTech Technical Assistance Program. This cross-sector overlap is removed from the portfolio level results presented in Section 1 of this report.

³Savings shown in this row are inclusive of overlap with the FlexTech Technical Assistance Program. This cross-sector overlap is subtracted out of the portfolio level results presented in Table 1.5 of this report.

Table 4.5 – Non-Energy Summary- SBCIII Research and Development Programs – Metrics Tracking Through December 31, 2012¹

Program	Output / Activity	Goal	Achieved (Without SBC IV Funding)	% Goal Achieved (Without SBC IV funding)	Tracking Status (Complete or Ongoing) as of December 31, 2012
Public Benefit Power Transmission Research Program	Issue annual solicitations	35 or more projects resulting in progress toward program objectives	Three solicitations were completed (total of five rounds), resulting in 30 projects (an additional five projects were withdrawn). The American Recovery & Reinvestment Act (ARRA) of 2009 provided a unique opportunity to leverage funding. Three (3) additional projects used ARRA funding for a variety of research activities. All projects are in various stages of development with six projects completed.	86%	Complete
	Technology transfer	Identify successful projects and undertake outreach and knowledge transfer activities aimed at utilities	Eight stakeholders, conferences, workshops or seminars have been hosted or sponsored, including discussions regarding use of Smart grid to support critical infrastructure and energy highway initiatives. Six technology reports have been posted on NYSERDA website.	N/A	Ongoing
Clean Energy Infrastructure: Education, Consumer Awareness and Market Development	New accredited training institutions	4	4	100%	Complete
	New certification exams	4	3	75%	Ongoing
	Training workshops	34	39a	>100%	Complete
Clean Energy Infrastructure: Renewable Resource Applications	Stakeholder workshops	10	13	>100%	Complete
	Competitive research solicitations	10	14	>100%	Complete
Clean Energy Infrastructure: Clean Energy Technology Manufacturing and Business Development	Companies receiving NYSERDA assistance directly, through supported incubators, or through other supported business services	70	175	>100%	Complete
	Companies expanding manufacturing	10	10	100%	Complete

Program	Output / Activity	Goal	Achieved (Without SBC IV Funding)	% Goal Achieved (Without SBC IV funding)	Tracking Status (Complete or Ongoing) as of December 31, 2012
Power Systems Product Development	Number of contracts signed between July 1, 2006 through December 31, 2011	81	113	>100%	Complete
	New products launched between July 1, 2006 through December 31, 2011a	6	14	>100%	Ongoing
	Sales revenue from new products launched between July 1, 2006 through December 31, 2011a	\$54 million	\$25,000	<0.1%	Ongoing
	Number of completed field demonstrations between July 1, 2006 through December 31, 2011a	16	11	69%	Ongoing
	Projects successfully completing milestones	27	TBD	TBD	Ongoing
	Number of technology assessment studies funded between July 1, 2006 through September 30, 2010	22	10	45%	Complete
DG-CHP Demonstration	Issue annual solicitations and incentive offers	Fund 51 or more CHP demonstrations with a cumulative capacity of 101 MW and associated efficiency and environmental benefits, and 50 MW downstate.	No. of projects funded: 83 Cumulative capacity from funded projects: 115.3 MW Downstate Capacity: 29.5 MW Six solicitations, since 2006, have resulted in 83 funded projects with a total of 115.3 MW (51 are active ¹ projects, representing 53.2 MW). Of the active projects, 36 are in the Consolidated Edison service area, representing 8.5 MW.	>100% (Number of projects funded) >100% (MW goal) 59% (downstate MW goal)	Complete
	Technology transfer	Conduct technology transfer and outreach activities to broaden acceptance of DG and CHP. Hold annual workshops and publish at least 10 final reports per year.	Currently, site specific performance data is posted on http://chp.nyserda.ny.gov for 63 projects. Twenty-eight (28) conferences, workshops and seminars have been hosted or sponsored, including discussions regarding use of CHP to support critical infrastructure. Conference presentations are available on www.nyserda.ny.gov .	>100%	Ongoing

Program	Output / Activity	Goal	Achieved (Without SBC IV Funding)	% Goal Achieved (Without SBC IV funding)	Tracking Status (Complete or Ongoing) as of December 31, 2012
			Twenty-four (24) technology Transfer Reports have been published.		
Demand Response and Innovative Rate Research	Increase small customer participation in wholesale and local demand response programs	25 MW	1 MW	4%	Ongoing
	Increase the number of multifamily apartment units participating in real-time and other time-sensitive electric rate pilots	3,000 apartment units	5,330 units participating in the demonstration	>100%	Ongoing
Electric Transportation	Solicitations released	N/A	11	N/A	Complete
	Proposals reviewed	N/A	90	N/A	Complete
	Projects funded	N/A	43	N/A	Complete
	Funding for contracted projects	N/A	\$6.6 million	N/A	Complete
	Customer co-funding of contracted projects	N/A	\$18.7 million	N/A	Complete
EMEP	Develop detailed multi-year EMEP research plan with input from policymakers, scientists, and stakeholders	Complete EMEP research plan and update research plan as needed to ensure relevancy	EMEP's research plan, developed with assistance from the New York Academy of Sciences, was released in September 2007. The Alternative Energy section was updated in 2008 with impacts of wind power development on wildlife in the state.	N/A	Complete
	Develop, contract, and manage research projects aimed at priority energy-related environmental research areas	<ul style="list-style-type: none"> ▪ Issue six to 12 solicitations ▪ Contract 60 projects ▪ Leverage \$20 million into New York, help build a knowledge-based research infrastructure in New York 	Twelve solicitations have been issued. Seventy-four projects have been contracted, leveraging more than \$15.3 million in outside co-funding.	100% of solicitation goal >100% of projects goal 76% of leveraged funds goal	Complete
	Sponsor workshops, conferences, and seminars	10-15	EMEP has co-sponsored or hosted: six workshops, two seminars, ten conferences and one collaborativemeeting	>100%	Complete

Program	Output / Activity	Goal	Achieved (Without SBC IV Funding)	% Goal Achieved (Without SBC IV funding)	Tracking Status (Complete or Ongoing) as of December 31, 2012
	Provide web-based EMEP data and information	200,000 total customer visits, inquiries, and downloads to the EMEP website	EMEP websites had 170,000 hits during this period, totalling 327,000 hits and more than 63,000 downloads since inception.	>100%	Ongoing
	Publish NYSERDA research reports	40	Forty-one research reports and six summaries were published, including one on RGGI emission allowance auction.	>100%	Ongoing
	Publish peer-reviewed journal articles	100	Articles published include: 50 on Air Quality/Health Effects, 62 on Ecosystems, four on Climate Change, and five crosscutting research articles.	>100%	Ongoing
	Provide briefings to decision makers	20	26 briefings were held with various regulators, policymakers, and other decision-makers relevant to EMEP research.	>100%	Ongoing
IPPI	Issue annual solicitations	Fund 35 to 45 cost-shared projects.	Total of 67 projects approved for funding	>100%	Complete
	Technology transfer	Conduct technology transfer and outreach activities to broaden the acceptance of successful technologies and technical approaches via participation in at least two workshops. Publish six final reports as projects are completed.	Final reports: 12 Training sessions: 4 Conferences papers/presentations: 40 Site tours: 4 Open House: 1 Trade Journal articles: 7 Press release: 5 Excellence award: 1 Patents: 2	>100%	Ongoing

Program	Output / Activity	Goal	Achieved (Without SBC IV Funding)	% Goal Achieved (Without SBC IV funding)	Tracking Status (Complete or Ongoing) as of December 31, 2012
	Program metrics	Projects supported during the SBC III period are expected to result in cumulative annual energy savings of \$6 million, and project-related sales of \$12 million.	Fourteen projects completed: <ul style="list-style-type: none"> - Actual Energy savings: \$1.3 Million - Actual Non-energy savings: \$0.3 Million - Actual Project-related sales: \$3 Million - Potential energy savings: \$1.0 Million Potential project-related sales: \$2.5 Million		Ongoing
Municipal Water and Wastewater	Issue annual solicitation	Select and fund 17 or more projects. ² Provide assistance to a minimum of 17 municipal wastewater and water treatment facilities. ²	16 projects, directly affecting 16 facilities, have been funded.	94%	Complete
	Technology transfer	Provide critical information to 1,000 individuals serving the municipal wastewater and water treatment sector in New York on ways to optimize energy use at municipal wastewater and water treatment facilities.	Critical information was provided to more than 1,000 individuals serving the municipal water and wastewater treatment sector in New York. This included presentations at conferences, webcasts, articles published in journals with statewide reach, management training, and meetings with policy makers.	100%	Ongoing
	Energy and cost savings	On average, projects take five to seven years from conception to implementation.	In part, the magnitude of the impacts depends on whether or not feasibility studies and pilot-scale systems are ultimately installed at full-scale. In part it depends on how well the knowledge from the projects is disseminated and applied across New York's municipal water and wastewater treatment sector.		Ongoing

Program	Output / Activity	Goal	Achieved (Without SBC IV Funding)	% Goal Achieved (Without SBC IV funding)	Tracking Status (Complete or Ongoing) as of December 31, 2012
Next Gen and ET Program	Advanced Building Program	Three solicitations Four demonstration test beds Three product development projects	Eight solicitations completed. Four demonstration test beds were completed Six Product Development projects were completed and Five are ongoing.	>100%	Complete
	Daylighting Applications	15 -20 design assistance projects Eight daylighting implementations in buildings	Nineteen clients have received daylighting design assistance services. One daylighting implementation project is underway.	95% 13%	Complete
	Solar Thermal Applications	One solicitation Six demonstrations	One solicitation completed. Seven installations are complete from two demonstration projects.	50% 40%	Complete
	Emerging Technologies (Discrete Building Technologies)	Six solicitations 30 product development projects	Seven solicitations have been completed to date. Twenty product developments were signed; Thirteen are ongoing and Seven are completed	100% 67%	Complete

¹This table reports progress on SBC III non-energy goals. Where both SBC III and SBC IV funds are now contributing toward achievements, progress and percent of goal attainment is shown both with and without (parenthetically) the SBC IV funding. Goals that will continue to be tracked in the future are characterized as “Ongoing” in the Tracking Status column and goals that have been achieved and will no longer be tracked in the future are characterized as “Complete”.

²These metrics has been revised from the original Operating Plan. The program was originally funded at \$5million. Ultimately, \$1,650,000 was reallocated to another program. Therefore, the total funding for the Municipal Water and Wastewater Program was \$3,350,000 (or 67% of the original funding). Therefore, the goals of funding 25 or more project and providing assistance to a minimum of 25 treatment facilities have been reduced to 67% of the original (or 17 each).

a This program goal does not include the many clean energy renewable and efficiency training workshops throughout the state held by NYSERDA’s training partners.

Appendix A: Saving Metrics by Program

Table A-1 – Saving Metrics by Program

Program	Savings Metric	Cumulative Annual Through Year-End 2012 Program Reported Savings ¹	Cumulative Annual Through Year-End 2012 Gross Savings ²	Cumulative Annual Through Year-End 2012 Net Savings ³
Existing Facilities	MWh	1,558,164.1	1,577,241.5	1,670,110.4
	MW	371.0	306.6	328.7
	Curtailed MW	735.7	626.9	613.8
	MMBtu	-65,126.9	-114,345.6	-64,005.6
New York Energy Smart Business Partners	MWh	137,747.6	133,036.6	134,946.2
	MW	33.8	33.8	34.0
Loan Fund and Financing	MWh	112,938.3	94,481.7	87,868.0
	MW	34.6	55.9	52.0
	MMBtu	404,860.0	643,727.4	598,666.5
New Construction Program	MWh	420,175.5	365,893.0	403,105.6
	MW	111.8	80.4	90.2
	MMBtu	39,700.0	25,068.7	6,267.2
FlexTech Technical Assistance	MWh	1,235,123.7	1,226,744.2	1,363,136.6
	MW	225.2	224.3	250.0

Program	Savings Metric	Cumulative Annual Through Year-End 2012 Program Reported Savings¹	Cumulative Annual Through Year-End 2012 Gross Savings²	Cumulative Annual Through Year-End 2012 Net Savings³
	Curtable MW	155.0	155.0	176.7
	MMBtu	2,321,185.0	2,298,746.0	2,756,771.4
Single Family Home Performance Program: Existing Homes	MWh	28,176.6	18,377.4	20,740.3
	MW	9.2	9.6	9.3
	MMBtu	1,303,048.3	1,047,749.5	1,262,328.6
Single Family Home Performance Program: New Homes	MWh	31,548.2	26,884.6	24,775.4
	MW	6.4	13.9	13.2
	MMBtu	1,005,473.0	939,968.0	917,349.8
Multifamily Performance Program: Existing Buildings	MWh	161,867.8	157,364.0	138,457.2
	MW	14.0	15.6	13.9
	MMBtu	1,326,359.6	1,326,359.6	1,166,426.1
Multifamily Performance Program: New Buildings	MWh	5,982.8	5,982.8	5,384.6
	MW	1.9	1.9	1.7
	MMBtu	25,969.0	25,969.0	23,372.1
Market and Community Support Program	MWh	512,721.0	532,755.7	530,290.1
	MW	134.5	137.0	136.1

Program	Savings Metric	Cumulative Annual Through Year-End 2012 Program Reported Savings ¹	Cumulative Annual Through Year-End 2012 Gross Savings ²	Cumulative Annual Through Year-End 2012 Net Savings ³
	MMBtu	417,141.3	410,092.2	409,143.0
EmPower	MWh	66,404.8	50,051.7	49,286.9
	MW	8.7	6.8	6.7
	MMBtu	216,431.7	171,569.5	165,896.7
DG-CHP Demonstration Program	MWh	576,689.8	525,791.0	521,823.7
	MW	96.5	95.5	95.8
	MMBtu	-3,901,853.8	-3,530,624.5	-3,543,686.3
Enabling Technologies for Price Response Load	Curtable MW	208.3	144.5	99.1
Demand Response and Innovative Rate Research	Curtable MW	1.0	1.0	1.0
Renewable Energy Production	MWh	107,591.0	107,894.8	107,894.8
	MW	12.7	11.7	11.7

¹ Program Reported Savings are the tracked savings from the program databases and are based on program implementer estimates and analysis.

² Gross Savings represent the change in energy consumption and/or demand that results directly from program-related actions taken by participants in an energy efficiency program, regardless of why they participated. Source: SEE Action, Energy Efficiency Program Impact Evaluation Guide, December 2012.

³ Net Savings represent the change in energy consumption and/or demand that is attributable to a particular energy efficiency program. This change in energy use and/or demand may include, implicitly or explicitly, consideration of factors such as freeridership, participant and non-participant spillover, and induced market effects. Source: SEE Action, Energy Efficiency Program Impact Evaluation Guide, December 2012.

Appendix B: Explanation of Evaluation Adjustment Factor Application

This Appendix describes the approach NYSERDA has taken in this report toward applying evaluation adjustment factors. The approach has been proposed to staff at DPS for further consideration and discussion, and may evolve for future reports.

Gross Savings Realization Rates

1. Gross savings realization rates were applied retrospectively to the program years evaluated, and to subsequent years after those evaluated, until results of the next evaluation are available. Results of the next evaluation are then retrospectively applied in the same manner.¹

Evaluation of gross savings involves measurement and verification, engineering analysis, billing analysis and other rigorous approaches to determine the actual energy savings occurring for a sample or population of program participants in a given time period. Evaluated gross savings represent the actual reduction in energy required from the grid/system. Applying gross savings realization rates to the years studied properly aligns the evaluation investment with its value added in program reporting. Applying the latest evaluation results until more recent results are available provides the imperative for routine evaluation of gross savings.

Net-to-Gross Ratios

Net-to-gross ratios were applied retrospectively to the program years evaluated. Net-to-gross ratios include freeridership, spillover and measured market effects that can be assigned to a specific program. For subsequent years following the program years evaluated:

- a 0.9 default net-to-gross value is applied, per DPS guidance, for SBC3 programs that are now incorporated into the EEPS portfolio, and
- a 1.0 default net-to-gross value is applied for non-EEPS programs as has historically been used in reporting.²

When results are available from the next evaluation, net-to-gross is again applied retrospectively to replace previously reported savings using the default net-to-gross of 0.9 for EEPS or 1.0 for all other programs. Then the process repeats itself, and the 0.9/1.0 default is used for years following the evaluation period until new results become available.¹

Evaluation of net savings requires both quantitative analysis as well as qualitative interpretation of analysis results; techniques are used to attain the best possible information as to market conditions and program influence during a specific time frame that is being evaluated. Applying net-to-gross ratios to the years studied

¹With regard to the retrospective application of both realization rates and net-to-gross ratios, it is possible that not every program year will be evaluated, i.e., there may be a gap between evaluation periods. If a gap exists, evaluation contractors should be asked to review findings from the prior studies and recommend a value to be used for the gap year(s).

²Net-to-gross factors, whether evaluated or default, for discontinued SBC2 or SBC3 programs that are no longer accruing savings will be held constant (e.g., in many cases these closed programs have not accrued savings for 3-7 years).

will properly align the evaluation investment with its value added in program reporting. Given the dynamics inherent in a changing market, net-to-gross ratios should not be carried forward beyond the program years evaluated as they may over or under state net savings from the program. The default value for years following the evaluation study period provides a temporary placeholder adjustment that can be consistently implemented across programs and implementers.

Reporting Logistics

Appendix A of this report shows program reported, evaluated gross and net savings separately for each program. Showing program reported, gross and net savings separately and alongside one another allows different stakeholders to use the values pertinent to their analyses and will provide greater assurance that New York's reported values can appropriately compared to other jurisdictions that might use a different approach.