

**Record of Revision**

**New York State Energy Research and Development Authority  
ENERGY EFFICIENCY PORTFOLIO STANDARD (EEPS) Supplemental Revision  
to System Benefits Charge (SBC) Operating Plan (2012-2015)**

<b>Revision Date</b>	<b>Name of Affected Program(s)/ Plan Components</b>	<b>Effective Date</b>	<b>Description of Changes</b>	<b>Revision on Page(s)</b>
2/15/16	Section 2: EEPS Portfolio Benefits	12/1/15	Updated Section 2: EEPS Portfolio Funding for Gas Programs	2-3 2-4
	Section 3: EEPS Portfolio Benefits	12/1/15	Updated Section 3: NYSERDA EEPS Portfolio Benefits	3-2
	Existing Facilities Program	12/1/15	Reallocated gas funds and associated energy savings from the Existing Facilities Program to the EmPower Program in accordance with Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Across Customer Sectors</i> . The transfer was approved in a December 1 <sup>st</sup> 2015 Letter from DPS to NYSERDA (Tina Palmero to Peter Keane).  The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.	7-3 7-6 7-7
	New York ENERGY STAR Certified Homes Program (New and Existing)	12/1/15	Reallocated gas funds and associated energy savings from the New York ENERGY STAR Certified Homes Program (New and Existing) to the EmPower Program in accordance with Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Across Customer Sectors</i> . The transfer was approved in a December 1 <sup>st</sup> 2015 Letter from DPS to NYSERDA (Tina Palmero to Peter Keane).  The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.	11-4 11-7
	Home Performance with ENERGY STAR Program	12/1/15	Reallocated gas funds and associated energy savings from the Home Performance with ENERGY STAR Program to the EmPower Program in accordance with Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Across Customer Sectors</i> . The transfer was approved in a	12-4 12-7 12-8

			<p>December 1<sup>st</sup> 2015 Letter from DPS to NYSERDA (Tina Palmero to Peter Keane).</p> <p>The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p>	
	EmPower New York Program	12/1/15	<p>Reallocated gas funds and associated energy savings from the Existing Facilities Program, New York ENERGY STAR Certified Homes Program, Assisted New York ENERGY STAR Homes Program and the Home Performance with ENERGY STAR Program to the EmPower Program in accordance with Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a December 1<sup>st</sup> 2015 Letter from DPS to NYSERDA (Tina Palmero to Peter Keane).</p> <p>The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p>	14-3 14-7
	Assisted New York ENERGY STAR Certified Homes Program (New and Existing)	12/1/15	<p>Reallocated gas funds and associated energy savings from the Assisted New York ENERGY STAR Certified Homes Program (New and Existing) to the EmPower Program in accordance with Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a December 1<sup>st</sup> 2015 Letter from DPS to NYSERDA (Tina Palmero to Peter Keane).</p> <p>The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p>	15-3 15-6 15-7
	Assisted Home Performance with ENERGY STAR	12/1/15  12/14/15	<p>Reallocated gas funds and associated energy savings from the Assisted Home Performance with ENERGY STAR Program to the EmPower Program in accordance with Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a December 1<sup>st</sup> 2015 Letter from DPS to NYSERDA (Tina Palmero to Peter Keane).</p> <p>Reallocated gas funds within the Assisted Home Performance with ENERGY STAR program budget from program implementation to incentives.</p> <p>The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p>	16-4
11/16/15	Section 2: EEPS Portfolio	9/14/15	Updated Section 2: EEPS Portfolio Funding for electric and	2-1

	Funding		gas Programs	2-2 2-3 2-4
	Section 3: EEPS Portfolio Benefits	9/14/15	Updated Section 3: NYSERDA EEPS Portfolio Benefits	3-1 3-2
	High Performance New Construction Program	8/18/15	<p>Reallocated electric funds and associated energy savings from the High Performance New Construction Program to the Existing Facilities Program, in accordance with Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Within Customer Sectors</i>. The transfer was submitted in an August 18<sup>th</sup></p> <p>The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p>	4-2 4-6 4-7
	Industrial and Process Efficiency Program	9/14/15	<p>Reallocated electric funds and associated energy savings to the Industrial and Process Efficiency Program from the Home Performance with ENERGY STAR Program and the Statewide Residential Point-of-Sale Program in accordance with Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a September 14<sup>th</sup> 2015 Letter from DPS to NYSERDA (Colleen Gerwitz to Peter Keane).</p> <p>The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p>	6-2 6-6
	Existing Facilities Program	9/14/15 9/21/15	<p>Reallocated electric funds and associated energy savings to the Existing Facilities Program from the High Performance New Construction Program, in accordance with Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Within Customer Sectors</i>. The transfer was submitted in an August 18<sup>th</sup>, 2015 notification Letter from NYSERDA to DPS (Valerie Milonovich to Colleen Gerwitz).</p> <p>Reallocated electric funds and associated energy savings to the Existing Facilities Program from the Home Performance with ENERGY STAR Program, Assisted Home Performance with ENERGY STAR Program, and the Advanced Submetering Program in accordance with Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a September 14<sup>th</sup> 2015 Letter from DPS to NYSERDA (Colleen Gerwitz to Peter Keane).</p> <p>The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p> <p>Revised customer incentive levels in accordance with <i>EE-05: Setting and Revising Customer Incentive Levels</i>. The changes</p>	7-1 7-2 7-6 7-7 7-9 7-10

			to incentive levels were communicated in a September 21 <sup>st</sup> , 2015 letter from NYSERDA to DPS (Peter Keane to Colleen Gerwitz).	
	Multifamily Performance Program	8/14/15	Revised customer incentive levels in accordance with <i>EE-05: Setting and Revising Customer Incentive Levels</i> . The changes to incentive levels were communicated in an August 14 <sup>th</sup> , 2015 letter from NYSERDA to DPS (David Margalit to Colleen Gerwitz).	9-20
	Advanced Submetering Program	9/14/15	Reallocated electric funds and associated energy savings from the Advanced Submetering Program to the Existing Facilities Program, in accordance with Energy Efficiency Guidance <i>EE-07: Reallocation of Budgets and Targets Across Customer Sectors</i> . The transfer was approved in a September 14 <sup>th</sup> , 2015 Letter from DPS to NYSERDA (Colleen Gerwitz to Peter Keane).  The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.	10-2 10-5
	Home Performance with ENERGY STAR	8/18/15 9/14/15	Reallocated gas funds and associated energy savings from the Home Performance with ENERGY STAR Program to the Assisted Home Performance with ENERGY STAR Program, in accordance with Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Within Customer Sectors</i> . The transfer was submitted in an August 18 <sup>th</sup> , 2015 notification Letter from NYSERDA to DPS (Valerie Milonovich to Colleen Gerwitz).  Reallocated electric funds and associated energy savings from the Home Performance with ENERGY STAR Program to the Existing Facilities Program and the Industrial, and Process Efficiency Program, in accordance with Energy Efficiency Guidance <i>EE-07: Reallocation of Budgets and Targets Across Customer Sectors</i> . The transfer was approved in a September 14 <sup>th</sup> , 2015 Letter from DPS to NYSERDA (Colleen Gerwitz to Peter Keane).  The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.	12-3 12-4 12-7 12-8
	Statewide Residential Point-of-Sale Program	9/14/15	Reallocated electric funds and associated energy savings from the Point of Sale Lighting Program to the Industrial and Process Efficiency Program, in accordance with Energy Efficiency Guidance <i>EE-07: Reallocation of Budgets and Targets Across Customer Sectors</i> . The transfer was approved in a September 14 <sup>th</sup> , 2015 Letter from DPS to NYSERDA (Colleen Gerwitz to Peter Keane).  The changes to the EEPS 2 Operating Plan include updated	13-3 13-6 13-7

			budgets, energy savings targets, and the number of customers served.	
	Assisted Home Performance with ENERGY STAR	8/18/15	Reallocated gas funds and associated energy savings to the Assisted Home Performance with ENERGY STAR Program from the Home Performance with ENERGY STAR Program, in accordance with Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Within Customer Sectors</i> . The transfer was submitted in an August 18 <sup>th</sup> , 2015 notification Letter from NYSERDA to DPS (Valerie Milonovich to Colleen Gerwitz).	16-3
		9/14/15	Reallocated electric funds and associated energy savings from the Assisted Home Performance with ENERGY STAR Program to the Existing Facilities Program, in accordance with Energy Efficiency Guidance <i>EE-07: Reallocation of Budgets and Targets Across Customer Sectors</i> . The transfer was approved in a September 14 <sup>th</sup> , 2015 Letter from DPS to NYSERDA (Colleen Gerwitz to Peter Keane).  The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.	16-4 16-7 16-8
8/15/15	Section 2: EEPS Portfolio Funding	6/19/15	Updated Section 2: EEPS Portfolio Funding for Gas Programs  Corrections to formulaic errors in Table 2.2, EEPS Gas Program Funding Summary. While each of the individual program totals were correct as originally filed, this revision corrects the total lines for the General Administration, Evaluation / M&V, NYS Cost Recovery Fee.	2-2
	Section 3: EEPS Portfolio Benefits	6/19/15	Updated Section 3: NYSERDA EEPS Portfolio Benefits for Gas Programs	3-2
	EmPower New York Program	6/19/15	The changes to the EEPS 2 Operating Plan include updated identified and approved budgets, energy savings targets, the number of customers served and OEM budgets per letter correspondence dated June 11, 2015 (DPS, Corso to NYSERDA, Hamilton) and the NYS Public Service Commission <i>Order Authorizing Reallocation of System Benefits Charge Funds to the EmPower Program</i> , issued and effective June 19, 2015.  Tables 14.2, 14.3, 14.6, 14.7, 14.10, 14.11 have been removed as the Program is now fully funded per the June 19, 2015 PSC <i>Order Authorizing Reallocation of Systems Benefits Charge Funds to the EmPower Program</i> .	14-2 14-3 14-4A 14-4B 14-6 14-7 14-8 14-10 14-11 14-12

				14-16
02/15/15	Section 2: EEPS Portfolio Funding	12/23/14	Updated Section 2: EEPS Portfolio Funding for electric and gas Programs	2-1 2-2 2-3 2-4
	Section 3: EEPS Portfolio Benefits	12/23/14	Updated Section 3: NYSERDA EEPS Portfolio Benefits	3-1 3-2
	High Performance New Construction Program	12/23/14	<p>Reallocated electric funds and associated energy savings from High Performance New Construction to Agriculture Energy Efficiency Program and Industrial and Process Efficiency Program, in accordance with Energy Efficiency Guidance <i>EE-07: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a December 23<sup>rd</sup>, 2014 Letter from NYSERDA to DPS (Colleen Gerwitz to Peter Keane).</p> <p>Reallocated gas funds and associated energy savings from High Performance New Construction to Multifamily Performance Program- Low Income in accordance with Energy Efficiency Guidance <i>EE-07: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a December 23<sup>rd</sup>, 2014 Letter from NYSERDA to DPS (Colleen Gerwitz to Peter Keane).</p> <p>The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p>	4-2 4-3 4-6 4-7
	Industrial and Process Efficiency Program	12/23/14	<p>Reallocated electric funds and associated to energy savings Industrial and Process Efficiency from High Performance New Construction in accordance with Energy Efficiency Guidance <i>EE-07: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a December 23<sup>rd</sup>, 2014 Letter from NYSERDA to DPS (Colleen Gerwitz to Peter Keane).</p> <p>Reallocated gas funds and associated energy savings to Industrial and Process Efficiency from Home Performance with ENERGY STAR in accordance with Energy Efficiency Guidance <i>EE-07: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a December 23<sup>rd</sup>, 2014 Letter from NYSERDA to DPS (Colleen Gerwitz to Peter Keane).</p> <p>The changes to the Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p>	6-2 6-3 6-6
Agriculture Energy Efficiency	12/23/14	Reallocated electric funds and associated energy savings to Agriculture Energy Efficiency Program from High Performance New Construction in accordance with Energy	8-2 8-6	

	Program		<p>Efficiency Guidance <i>EE-07: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a December 23<sup>rd</sup>, 2014 Letter from NYSERDA to DPS (Colleen Gerwitz to Peter Keane).</p> <p>The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p>	
	Multifamily Performance Program	12/23/14	<p>Reallocated gas funds and associated energy savings to the Multifamily Performance Program low income component from New York ENERGY STAR Certified Homes, Home Performance with ENERGY STAR, and High Performance New Construction in accordance with Energy Efficiency Guidance <i>EE-07: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a December 23<sup>rd</sup>, 2014 Letter from NYSERDA to DPS (Colleen Gerwitz to Peter Keane).</p> <p>The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p>	<p>9-7 9-11 9-12</p>
	New York ENERGY STAR Certified Homes Program (New and Existing)	12/23/14	<p>Reallocated gas funds and associated energy savings from New York ENERGY STAR Certified Homes to Multifamily Performance Program- Low Income and EmPower New York in accordance with Energy Efficiency Guidance <i>EE-07: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a December 23<sup>rd</sup>, 2014 Letter from NYSERDA to DPS (Colleen Gerwitz to Peter Keane).</p> <p>The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p>	<p>11-4 11-7</p>
	Home Performance with ENERGY STAR Program	12/23/14	<p>Reallocated gas funds and associated energy savings from Home Performance with ENERGY STAR to EmPower New York, Multifamily Performance Program- Low Income and Industrial, and Process Efficiency Program in accordance with Energy Efficiency Guidance <i>EE-07: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a December 23<sup>rd</sup>, 2014 Letter from NYSERDA to DPS (Colleen Gerwitz to Peter Keane).</p> <p>The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p>	<p>12-4 12-7 12-8</p>

	EmPower New York Program	12/23/14	<p>Reallocated gas funds and associated energy savings to EmPower New York from New York ENERGY STAR Certified Homes and Home Performance with ENERGY STAR in accordance with Energy Efficiency Guidance <i>EE-07: Reallocation of Budgets and Targets Across Customer Sectors</i>. The transfer was approved in a December 23<sup>rd</sup>, 2014 Letter from NYSERDA to DPS (Colleen Gerwitz to Peter Keane).</p> <p>The changes to the EEPS 2 Operating Plan include updated budgets, energy savings targets, and the number of customers served.</p>	<p>14-3 14-4 14-7 14-8 14-9</p>
02/15/15	Multifamily Performance Program	11/17/14	<p>Revised customer incentive levels in accordance with <i>EE-05: Setting and Revising Customer Incentive Levels</i>. The changes to incentive levels were communicated in a November 17<sup>th</sup>, 2014 letter from NYSERDA to DPS (David Margalit to Colleen Gerwitz).</p> <p>The revised EEPS 2 Operating Plan includes tables detailing a three phase ramp-down of customer incentives. There are nine new tables that replace tables 9.15 and 9.16</p>	<p>9-20 9-21</p>
8/15/14	Section 2: EEPS Portfolio Funding	8/4/14	Updated Section 2: EEPS Portfolio Funding for electric and gas programs	<p>2-1 2-2 2-3 2-4</p>
	Section 3: EEPS Portfolio Benefits	8/4/14	Updated Section 3: NYSERDA EEPS Portfolio Benefits	<p>3-1 3-2</p>
	Multifamily Performance Program	8/4/14	<p>Reallocated gas funds and associated energy savings from the market rate component of the Multifamily Performance Program to the affordable component, in accordance with Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Within Customer Sectors</i>. The transfer was communicated in a July 23, 2014 Notification Letter from David Margalit to Colleen Gerwitz.</p> <p>The changes to the operating plan include updated budgets, energy savings targets, and the number of customers served.</p>	<p>9-6 9-7 9-10 9-11 9-12</p>
	New York ENERGY STAR Certified Homes	4/10/14	<p>Reallocated the balance of gas and electric budgets and associated energy savings from the Assisted New York ENERGY STAR Certified Homes program to the New York ENERGY STAR Certified Homes program in accordance Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Within Customer Sectors</i>. In addition, the incentive structure was revised in accordance with Energy Efficiency Guidance <i>EE-05: Revising Customer Incentive Levels</i>.</p> <p>The modifications were communicated in a April 10, 2014</p>	<p>11-1 11-2 11-3 11-4 11-7 11-8 11-9</p>



			Notification Letter from Tom Barone to Secretary Burgess. The changes include updated budgets, energy savings targets, incentive levels, TRC screening, and OEM schedule.	11-10 11-13
	Home Performance with ENERGY STAR	8/15/14	Table 12.9: HPwES Electric and Gas Eligible Measures has been updated, in accordance with Energy Efficiency Guidance <i>EE-08: Prescriptive Measure Level TRC Calculation and Record Keeping for Pre-qualifying Measures</i> .	12-10 12-11
	Statewide Residential Point-of-Sale Program	11/8/13	Section 13.7: Eligible Energy Efficiency Measures and Associated Customer Incentives was updated to reflect the transfer of \$2 million in incentive funds that had been allocated for standard CFLs to specialty CFLs and LEDs. The transfer of funds was communicated in a November 8, 2013 Notification Letter from Karen Hamilton to Colleen Gerwitz.	13-9
	Assisted New York ENERGY STAR Certified Homes	4/10/14	Reallocated the balance of gas and electric budgets and associated energy savings from the Assisted New York ENERGY STAR Certified Homes program to the New York ENERGY STAR Certified Homes program in accordance Energy Efficiency Guidance <i>EE-06: Reallocation of Budgets and Targets Within Customer Sectors</i> . In addition, the incentive structure was revised in accordance with Energy Efficiency Guidance <i>EE-05: Revising Customer Incentive Levels</i> .  The modifications were communicated in an April 10, 2014 Notification Letter from Tom Barone to Secretary Burgess. The changes include updated budgets, energy savings targets, incentive levels, TRC screening, and OEM schedule.	15-1 15-2 15-3 15-4 15-7 15-8
	Assisted Home Performance with ENERGY STAR	8/15/14	Table 16.9: AHPwES Electric and Gas Eligible Measures has been updated, in accordance with Energy Efficiency Guidance <i>EE-08: Prescriptive Measure Level TRC Calculation and Record Keeping for Pre-Qualifying Measures</i> .	16-10 16-11
7/1/2013	Advanced Submetering Program	7/1/13	Revised ASP Program section per order.	Section 10
5/15/2013	Electric Portfolio	5/15/13	Corrections to formulaic errors in Table 3.1, EEPS Electric Program MMH Savings Summary. While each of the individual program totals were correct as originally filed, this revision corrects the subtotal and total lines for the Residential and Low-Income Programs.	Page 3-1
3/15/2013	EmPower NY	3/15/13	Corrections to planned outreach budgets have been made for the New Construction Program and the EmPower New York <sup>SM</sup> Program. The following tables have been revised accordingly: <ul style="list-style-type: none"> <li>Table 4.9, NCP Electric and Gas OEM Budget</li> </ul> Table 14.16 EmPower New York <sup>SM</sup> Electric and Gas OEM Budget	Page 4-13 Page 14-14

2/15/2013	All	2/15/13	Original Issue	Original Issue
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## SECTION 2: EEPS Portfolio Funding

TABLE 2.1. EEPS ELECTRIC PROGRAM FUNDING SUMMARY, PAGES 2-1, 2-2

EEPS ELECTRIC PROGRAMS	2012	2013	2014	2015	TOTAL
High Performance New Construction Program (NCP)	\$30,553,190	\$30,553,190	\$27,353,190	-\$898,374	\$87,561,196
Flexible Technical (FlexTech) Assistance	\$11,086,803	\$11,086,803	\$11,086,803	\$11,086,803	\$44,347,212
Industrial and Process Efficiency (IPE)	\$30,258,850	\$30,258,850	\$32,058,850	\$49,958,850	\$142,535,400
Existing Facilities Program (EFP)	\$23,998,258	\$33,281,652	\$33,281,652	\$65,781,652	\$156,343,214
Agriculture Energy Efficiency Program (AEEP)	\$2,559,000	\$2,559,000	\$3,959,000	\$8,159,000	\$17,236,000
<b>Subtotal Commercial and Industrial</b>	<b>\$98,456,102</b>	<b>\$107,739,495</b>	<b>\$107,739,495</b>	<b>\$134,087,931</b>	<b>\$448,023,022</b>
New York ENERGY STAR Certified Homes (NYESCH)	\$1,058,949	\$1,235,440	\$2,367,834	\$2,367,834	\$7,030,058
Home Performance with ENERGY STAR (HPwES)	\$3,773,331	\$4,124,280	\$4,468,916	-\$4,811,232	\$7,555,295
Statewide Residential Point-of-Sale (POS)	\$5,358,432	\$7,295,184	\$5,358,433	-\$6,678,318	\$11,333,730
<b>Subtotal Residential</b>	<b>\$10,190,712</b>	<b>\$12,654,904</b>	<b>\$12,195,183</b>	<b>-\$9,121,716</b>	<b>\$25,919,083</b>
Multifamily Building Performance (MPP) - New and Existing	\$4,186,298	\$4,186,298	\$4,186,298	\$4,186,298	\$16,745,193
Low Income Multifamily Building Performance (LI-MPP) - New and Existing	\$7,668,021	\$7,668,021	\$7,668,021	\$7,668,021	\$30,672,085
Advanced Submetering Program (ASP)	\$1,348,677	\$1,348,677	\$1,348,677	\$911,992	\$4,958,023
<b>Subtotal Multifamily</b>	<b>\$13,202,997</b>	<b>\$13,202,997</b>	<b>\$13,202,997</b>	<b>\$12,766,311</b>	<b>\$52,375,301</b>
EmPower New York	\$10,673,896	\$15,255,812	\$18,902,642	\$18,061,066	\$62,893,416
Assisted New York ENERGY STAR Certified Homes (ANYESCH)	\$323,805	\$377,773	(\$49,671)	\$0	\$651,907
Assisted Home Performance with ENERGY STAR (AHPwES)	\$1,627,155	\$1,864,696	\$2,051,489	-\$3,870,130	\$1,673,210
<b>Subtotal Low-Income</b>	<b>\$12,624,856</b>	<b>\$17,498,280</b>	<b>\$20,904,460</b>	<b>\$14,190,936</b>	<b>\$65,218,533</b>
<b>TOTAL PROGRAM</b>	<b>\$134,474,666</b>	<b>\$151,095,676</b>	<b>\$154,042,135</b>	<b>\$151,923,463</b>	<b>\$591,535,941</b>
General Administration <sup>1</sup>	\$12,611,926	\$14,157,526	\$14,438,615	\$14,270,096	\$55,478,163
Evaluation / M&V <sup>2</sup>	\$7,882,450	\$8,743,190	\$9,024,131	\$9,024,064	\$34,673,835

NYS Cost Recovery Fee	\$2,680,030	\$2,972,684	\$3,068,203	\$3,068,182	\$11,789,098
<b>TOTAL</b>	<b>\$157,649,072</b>	<b>\$176,969,076</b>	<b>\$180,573,084</b>	<b>\$178,285,805</b>	<b>\$693,477,037</b>
Statewide Evaluation Protocol Development <sup>2</sup>	\$750,000	\$750,000	\$750,000	\$750,000	\$3,000,000
Independent Consulting Evaluation Services <sup>2</sup>	\$500,000	\$500,000	\$500,000	\$500,000	\$2,000,000

<sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.

<sup>2</sup> Source of funds is yet to be determined, either NYSERDA's evaluation budget or interest earned on SBC funds.

Note: The Home Performance with ENERGY STAR and New York ENERGY STAR Certified Homes programs were previously known together as Single Family Home Performance. The Assisted Home Performance with ENERGY STAR and Assisted New York ENERGY STAR Certified Homes programs were previously known together as Assisted Single Family Home Performance.

**NOTE: COLUMNS AND ROWS MAY NOT EXACTLY ADD UP DUE TO ROUNDING.**

**TABLE 2.2. EEPS GAS PROGRAM FUNDING SUMMARY, PAGES 2-3, 2-4**

<b>EEPS GAS PROGRAMS</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
High Performance New Construction Program (NCP)	\$1,154,384	\$1,154,384	\$558,809	\$97,600	\$2,965,177
Flexible Technical (FlexTech) Assistance	\$732,532	\$732,532	\$732,532	\$732,532	\$2,930,129
Industrial and Process Efficiency (IPE)	\$16,163,057	\$8,081,529	\$8,081,529	\$1,975,000	\$34,301,115
Existing Facilities Program (EFP)	\$1,938,428	\$2,765,216	\$2,980,595	\$2,929,399	\$10,613,637
Agriculture Energy Efficiency Program (AEEP)	\$284,332	\$284,332	\$284,332	\$284,332	\$1,137,328
<b>Subtotal Commercial and Industrial</b>	<b>\$20,272,733</b>	<b>\$13,017,993</b>	<b>\$12,637,797</b>	<b>\$6,018,863</b>	<b>\$51,947,386</b>
New York ENERGY STAR Certified Homes (NYESCH)	\$5,649,732	\$6,591,355	\$11,135,983	\$4,589,395	\$27,966,465
Home Performance with ENERGY STAR (HPwES)	\$11,399,394	\$12,481,917	\$12,844,114	-\$64,655	\$36,660,770
<b>Subtotal Residential</b>	<b>\$17,049,126</b>	<b>\$19,073,271</b>	<b>\$23,980,097</b>	<b>\$4,524,739</b>	<b>\$64,627,234</b>
Multifamily Building Performance (MPP) - New and Existing	\$5,844,857	\$5,844,857	\$3,844,857	\$3,844,857	\$19,379,427
Low Income Multifamily Building Performance (LI-MPP) - New and Existing	\$11,612,667	\$11,612,667	\$14,833,015	\$17,656,537	\$55,714,887
<b>Subtotal Multifamily</b>	<b>\$17,457,524</b>	<b>\$17,457,524</b>	<b>\$18,677,872</b>	<b>\$21,501,394</b>	<b>\$75,094,314</b>
EmPower New York <sup>1</sup>	\$13,684,905	\$20,202,603	\$20,148,050	\$37,925,452	\$91,961,009
Assisted New York ENERGY STAR Certified Homes (ANYESCH)	\$1,844,309	\$2,151,693	(\$1,120,081)	-\$15,000	\$2,860,921
Assisted Home Performance with ENERGY STAR (AHPwES)	\$5,396,136	\$5,939,371	\$6,533,308	\$10,635,156	\$28,503,970
<b>Subtotal Low-Income</b>	<b>\$20,925,349</b>	<b>\$28,293,667</b>	<b>\$25,561,277</b>	<b>\$48,545,608</b>	<b>\$123,325,900</b>
<b>TOTAL PROGRAMS</b>	<b>\$75,704,732</b>	<b>\$77,842,455</b>	<b>\$80,857,044</b>	<b>\$80,590,604</b>	<b>\$314,994,834</b>
General Administration <sup>2</sup>	\$7,100,090	\$7,300,581	\$7,675,250	\$6,434,729	\$28,510,648
Evaluation / M&V <sup>2</sup>	\$4,566,454	\$4,309,715	\$4,536,455	\$4,406,524	\$17,819,147
NYS Cost Recovery Fee	\$1,467,622	\$1,380,332	\$1,499,947	\$1,370,723	\$5,718,624
<b>TOTAL</b>	<b>\$88,838,899</b>	<b>\$90,833,084</b>	<b>\$94,568,695</b>	<b>\$92,802,581</b>	<b>\$367,043,255</b>
<sup>2</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish					

*administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.*

*Note: The Home Performance with ENERGY STAR and New York ENERGY STAR Certified Homes programs were previously known together as Single Family Home Performance. The Assisted Home Performance with ENERGY STAR and Assisted New York ENERGY STAR Certified Homes programs were previously known together as Assisted Single Family Home Performance.*

*Note: Columns and rows may not exactly add up due to rounding.*

### SECTION 3: EEPS Portfolio Benefits

TABLE 3.1. EEPS ELECTRIC PROGRAM MWH SAVINGS SUMMARY, PAGE 3-1

<b>EEPS ELECTRIC PROGRAMS</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
High Performance New Construction Program (NCP)	87,500	87,500	78,336	-2,573	250,763
Flexible Technical (FlexTech) Assistance	111,250	111,250	111,250	111,250	445,000
Industrial and Process Efficiency (IPE)	200,000	200,000	211,897	887,407	1,499,304
Existing Facilities Program (EFP)	151,194	216,218	216,218	216,218	799,848
Agriculture Energy Efficiency Program (AEEP)	3,325	3,325	5,144	10,601	22,395
<b>Subtotal Commercial and Industrial</b>	<b>553,269</b>	<b>618,293</b>	<b>622,845</b>	<b>1,432,806</b>	<b>3,227,213</b>
New York ENERGY STAR Certified Homes (NYESCH)	3,754	4,380	8,404	8,404	24,942
Home Performance with ENERGY STAR (HPwES)	6,576	7,187	7,788	-8,384	13,167
Statewide Residential Point-of-Sale (POS)	299,054	375,293	304,805	-278,981	700,171
<b>Subtotal Residential</b>	<b>309,384</b>	<b>386,860</b>	<b>320,997</b>	<b>-278,961</b>	<b>738,280</b>
Multifamily Building Performance (MPP) - New and Existing	27,031	27,031	27,031	27,031	108,124
Low Income Multifamily Building Performance (LI-MPP) - New and Existing	32,542	32,542	32,542	32,542	130,168
Advanced Submetering Program (ASP)	3,145	3,145	3,145	2,127	11,562
<b>Subtotal Multifamily</b>	<b>62,718</b>	<b>62,718</b>	<b>62,718</b>	<b>61,700</b>	<b>249,854</b>
EmPower New York	8,798	14,870	19,703	18,588	61,959
Assisted New York ENERGY STAR Certified Homes (ANYESCH)	1,036	1,209	-574	0	1,671
Assisted Home Performance with ENERGY STAR (AHPwES)	1,658	1,900	2,090	-3,943	1,705
<b>Subtotal Low-Income</b>	<b>11,492</b>	<b>17,979</b>	<b>21,219</b>	<b>14,645</b>	<b>65,335</b>
<b>TOTAL</b>	<b>936,863</b>	<b>1,085,850</b>	<b>1,027,779</b>	<b>1,230,190</b>	<b>4,280,682</b>

**TABLE 3.2. EEPS GAS PROGRAM DTH SAVINGS SUMMARY, PAGE 3-2**

<b>EEPS GAS PROGRAMS</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
High Performance New Construction Program (NCP)	57,741	57,741	32,833	0	148,315
Flexible Technical (FlexTech) Assistance	100,000	100,000	100,000	100,000	400,000
Industrial and Process Efficiency (IPE)	1,470,000	735,000	735,000	179,623	3,119,623
Existing Facilities Program (EFP)	87,709	125,119	134,864	132,547	480,239
Agriculture Energy Efficiency Program (AEEP)	3,630	3,630	3,630	3,630	14,520
<b>Subtotal Commercial and Industrial</b>	<b>1,719,080</b>	<b>1,021,490</b>	<b>1,006,327</b>	<b>415,800</b>	<b>4,162,697</b>
New York ENERGY STAR Certified Homes (NYESCH)	78,756	91,882	153,522	60,593	384,753
Home Performance with ENERGY STAR (HPwES)	228,657	250,371	257,636	-1,274	735,390
<b>Subtotal Residential</b>	<b>307,413</b>	<b>342,253</b>	<b>411,158</b>	<b>59,319</b>	<b>1,120,143</b>
Multifamily Building Performance (MPP) - New and Existing	122,226	122,226	86,512	86,512	417,476
Low Income Multifamily Building Performance (LI-MPP) -New and Existing	153,105	153,105	205,557	244,280	756,047
<b>Subtotal Multifamily</b>	<b>275,331</b>	<b>275,331</b>	<b>292,069</b>	<b>330,792</b>	<b>1,173,523</b>
EmPower New York	106,072	179,277	237,542	369,596	892,487
Assisted New York ENERGY STAR Certified Homes (ANYESCH)	21,325	24,879	-28,169	-93	17,942
Assisted Home Performance with ENERGY STAR (AHPwES)	49,170	54,120	59,532	134,677	297,499
<b>Subtotal Low-Income</b>	<b>176,567</b>	<b>258,276</b>	<b>268,905</b>	<b>504,180</b>	<b>1,207,928</b>
<b>TOTAL</b>	<b>2,478,391</b>	<b>1,897,350</b>	<b>1,978,459</b>	<b>1,310,091</b>	<b>7,664,290</b>



## SECTION 4: HIGH PERFORMANCE NEW CONSTRUCTION PROGRAM (NCP)

TABLE 4.1. NCP ELECTRIC BUDGET, PAGE 4-2

	12/17/12 Order	2012	2013	2014	2015	TOTAL
<b>General Administration<sup>1</sup></b>	\$133,674,684	\$2,865,481	\$2,865,481	\$2,565,364	-\$84,255	\$8,212,071
<b>Program</b>		\$30,553,190	\$30,553,190	\$27,353,190	-\$898,374	\$87,561,196
<i>Program Planning</i>		\$150,000	\$150,000	\$150,000	\$150,000	\$600,000
<i>Program Outreach, Education, and Marketing</i>		\$901,956	\$901,956	\$901,956	\$901,956	\$3,607,822
<i>Trade Ally Training</i>		\$1,659,046	\$1,659,046	\$1,659,046	\$1,659,046	\$6,636,185
<i>Incentives and Services</i>		\$19,881,628	\$19,881,628	\$16,681,628	-	\$44,874,948
<i>Direct Program Implementation</i>		\$7,960,560	\$7,960,560	\$7,960,560	\$7,960,560	\$31,842,242
<b>Program Evaluation<sup>1</sup></b>	\$7,163,700	\$1,790,925	\$1,790,925	\$1,603,352	-\$52,660	\$5,132,542
<b>NYS Cost Recovery Fee</b>	\$2,435,656	\$608,914	\$608,914	\$545,139	-\$17,905	\$1,745,062
<b>TOTAL</b>	\$143,274,040	\$35,818,510	\$35,818,510	\$32,067,044	-\$1,053,194	\$102,650,871

<sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.

Note: Columns and rows may not exactly add up due to rounding.

**TABLE 4.2. NCP GAS BUDGET, PAGE 4-3**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014<sup>2</sup></b>	<b>2015</b>	<b>TOTAL</b>
<b>General Administration<sup>1</sup></b>	\$5,050,600	\$108,266	\$108,266	\$61,563	\$0	\$278,095
<b>Program</b>		\$1,154,384	\$1,154,384	\$558,809	\$97,600	\$2,965,177
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$0	\$0	\$0	\$0	\$0
<i>Trade Ally Training</i>		\$0	\$0	\$0	\$0	\$0
<i>Incentives and Services</i>		\$97,600	\$97,600	\$97,600	\$97,600	\$390,400
<i>Direct Program Implementation</i>		\$1,056,785	\$1,056,785	\$461,209	\$0	\$2,574,779
<b>Program Evaluation<sup>1</sup></b>	\$270,664	\$67,666	\$67,666	\$38,476	\$0	\$173,808
<b>NYS Cost Recovery Fee</b>	\$92,024	\$23,006	\$23,006	\$13,082	\$0	\$59,093
<b>TOTAL</b>	\$5,413,288	\$1,353,322	\$1,353,322	\$671,929	\$97,600	\$3,476,173

<sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.

<sup>2</sup>Annual budgets shown in the Operating Plan are revised in comparison to the December 23rd letter from DPS approving the Reallocation of Budgets and Targets Within and Between Customer Sectors. The revision to annual budgets does not change the total budget. \$97,600 was transferred from the 2014 budget to the 2015 budget.

Note: Columns and rows may not exactly add up due to rounding.

**TABLE 4.3. NCP ELECTRIC SAVINGS, PAGE 4-6**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Electric Savings - MWh</b>	350,000	87,500	87,500	78,336	-2,573	250,763

**TABLE 4.4. NCP GAS SAVINGS, PAGE 4-6**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Savings - Dth</b>	230,964	57,741	57,741	32,833	0	148,315

**TABLE 4.5. NCP ELECTRIC CUSTOMERS SERVED, PAGE 4-7**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Electric Customers</b>	255	255	189	105	804

**TABLE 4.6. NCP GAS CUSTOMERS SERVED, PAGE 4-7**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Customers</b>	210	210	117	0	537

**TABLE 4.9. NCP ELECTRIC AND GAS OEM BUDGET, PAGE 4-12**

<b>OEM Element</b>	<b>Electric Funds</b>	<b>Gas Funds</b>	<b>TOTAL</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>
Outreach Project Consultants	\$799,650	\$0	\$799,650	\$199,913	\$199,913	\$199,913	\$199,913
<i>Marketing Elements1</i>	\$688,172	\$0	\$688,172	\$172,043	\$172,043	\$172,043	\$172,043
<i>Television</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<i>Radio</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<i>Internet</i>	\$840,000	\$0	\$840,000	\$210,000	\$210,000	\$210,000	\$210,000
<i>Print</i>	\$320,000	\$0	\$320,000	\$80,000	\$80,000	\$80,000	\$80,000
<i>Direct Marketing</i>	\$240,000	\$0	\$240,000	\$60,000	\$60,000	\$60,000	\$60,000
<i>Public Relations</i>	\$360,000	\$0	\$360,000	\$90,000	\$90,000	\$90,000	\$90,000
<i>Research</i>	\$360,000	\$0	\$360,000	\$90,000	\$90,000	\$90,000	\$90,000
SUBTOTAL - Integrated Marketing Support2	\$2,808,172	\$0	\$2,808,172	\$702,043	\$702,043	\$702,043	\$702,043
<b>TOTAL</b>	<b>\$3,607,822</b>	<b>\$0</b>	<b>\$3,607,822</b>	<b>\$901,956</b>	<b>\$901,956</b>	<b>\$901,956</b>	<b>\$901,956</b>

## SECTION 6: INDUSTRIAL AND PROCESS EFFICIENCY PROGRAM

**TABLE 6.1. IPE ELECTRIC BUDGET, PAGE 6-2**

	12/17/12 Order	2012	2013	2014	2015	TOTAL
<b>General Administration<sup>1</sup></b>	\$132,386,904	\$2,837,876	\$2,837,876	\$3,006,692	\$4,685,473	\$13,367,916
<b>Program</b>		\$30,258,850	\$30,258,850	\$32,058,850	\$49,958,850	\$142,535,400
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$2,204,150	\$2,204,150	\$2,204,150	\$2,204,150	\$8,816,600
<i>Trade Ally Training</i>		\$0	\$0	\$0	\$0	\$0
<i>Incentives and Services</i>		\$23,601,902	\$23,601,902	\$25,401,902	\$43,301,902	\$115,907,608
<i>Direct Program Implementation</i>		\$4,452,798	\$4,452,798	\$4,452,798	\$4,452,798	\$17,811,192
<b>Program Evaluation<sup>1</sup></b>	\$7,094,688	\$1,773,672	\$1,773,672	\$1,879,182	\$2,928,420	\$8,354,946
<b>NYS Cost Recovery Fee</b>	\$2,412,192	\$603,048	\$603,048	\$638,921	\$995,662	\$2,840,679
<b>TOTAL</b>	\$141,893,784	\$35,473,446	\$35,473,446	\$37,583,645	\$58,568,405	\$167,098,942

<sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.

Note: Columns and rows may not exactly add up due to rounding.

**TABLE 6.2. IPE GAS BUDGET, PAGE 6-3**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>General Administration<sup>1</sup></b>	\$35,357,872	\$1,515,879	\$757,939	\$757,939	\$185,229	\$3,216,986
<b>Program</b>		\$16,163,057	\$8,081,529	\$8,081,529	\$1,975,000	\$34,301,115
<i>Program Planning</i>		\$0	\$0	\$0	0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$411,442	\$205,721	\$205,721	0	\$822,884
<i>Trade Ally Training</i>		\$0	\$0	\$0	0	\$0
<i>Incentives and Services</i>		\$13,415,337	\$6,707,669	\$6,707,669	\$1,975,000	\$28,805,675
<i>Direct Program Implementation</i>		\$2,336,278	\$1,168,139	\$1,168,139	\$0	\$4,672,556
<b>Program Evaluation<sup>1</sup></b>	\$1,894,848	\$947,424	\$473,712	\$473,712	\$115,768	\$2,010,616
<b>NYS Cost Recovery Fee</b>	\$644,248	\$322,124	\$161,062	\$161,062	\$39,361	\$683,609
<b>TOTAL</b>	\$37,896,968	\$18,948,484	\$9,474,242	\$9,474,242	\$2,315,358	\$40,212,326

<sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.

Note: Columns and rows may not exactly add up due to rounding.

**TABLE 6.3. IPE ELECTRIC SAVINGS, PAGE 6-6**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Electric Savings - MWh</b>	800,000	200,000	200,000	211,897	887,407	1,499,304

**TABLE 6.4. IPE GAS SAVINGS, PAGE 6-6**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Savings - Dth</b>	2,940,000	1,470,000	735,000	735,000	179,623	3,119,623

**TABLE 6.5. IPE ELECTRIC CUSTOMERS SERVED, PAGE 6-6**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Electric Customers</b>	85	175	155	225	640

**TABLE 6.6 IPE GAS CUSTOMERS SERVED, PAGE 6-6**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Customers</b>	40	25	55	15	135

## **SECTION 7: EXISTING FACILITIES PROGRAM**

### **7.1 PROGRAM DESCRIPTION PAGE 7-1**

The Existing Facilities Program (EFP) offers integrated electric (kWh) incentives and, for National Fuel Gas Company customers only, natural gas (MMBtu) incentives to offset the cost of implementing cost-effective energy efficiency measures. EFP focuses on custom, systems based approaches that encourage comprehensive energy solutions. These high energy savings projects require more time to develop, design and implement.

EFP pays incentives for energy projects based on a tiered incentive structure dependent on the level of kWh savings. Measures that deliver verifiable savings and meet cost-effectiveness requirements are eligible. Projects must include efficiency upgrades to at least two distinct systems (ie: lighting, HVAC, motors and drives, monitoring based commissioning, building envelope, advanced controls, elevators, etc.) and must save at least 250,000 kWh. Single energy measures cannot account for more than 75% of the total project savings. Large performance-based projects will be measured and verified according to international standards. A performance-based incentive is not fully paid by NYSERDA until the performance of the project, (*i.e.*, all energy savings expected) is proven through measurement and verification (M&V). The M&V process is conducted by the applicant, but is closely monitored by NYSERDA's technical assistance contractors.

Natural gas pre-qualified incentives (available for National Fuel customers only) are also available for simple equipment replacements effective November 1, 2015.



**TABLE 7.1 EFP ELECTRIC BUDGET, PAGE 7-2**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>General Administration<sup>1</sup></b>	\$135,458,052	\$2,250,716	\$3,121,374	\$3,121,374	\$6,169,439	\$14,662,903
<b>Program</b>		\$23,998,258	\$33,281,652	\$33,281,652	\$65,781,652	\$156,343,214
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$1,683,014	\$2,334,064	\$2,334,064	\$2,334,064	\$8,685,207
<i>Trade Ally Training</i>		\$0	\$0	\$0	\$0	\$0
<i>Incentives and Services</i>		\$18,005,893	\$24,971,224	\$24,971,224	\$57,471,224	\$125,419,565
<i>Direct Program Implementation</i>		\$4,309,351	\$5,976,364	\$5,976,364	\$5,976,364	\$22,238,442
<b>Program Evaluation<sup>1</sup></b>	\$7,259,271	\$1,406,697	\$1,950,858	\$1,950,858	\$3,855,899	\$9,164,312
<b>NYS Cost Recovery Fee</b>	\$2,468,152	\$478,277	\$663,292	\$663,292	\$1,311,005	\$3,115,866
<b>TOTAL</b>	\$145,185,475	\$28,133,948	\$39,017,176	\$39,017,176	\$77,117,995	\$183,286,295
<p><sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.</p> <p>Note: Columns and rows may not exactly add up due to rounding.</p>						

## 7.2.2 GAS PROGRAM BUDGET

**TABLE 7.2 EFP GAS BUDGET, PAGE 7-3**

	12/17/12Order	2012	2013	2014	2015	TOTAL
<b>General Administration<sup>1</sup></b>	\$11,665,053	\$181,798	\$259,340	\$279,540	\$274,738	\$995,417
<b>Program</b>		\$1,938,428	\$2,765,216	\$2,980,595	\$2,929,399	\$10,613,637
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$193,746	\$276,384	\$297,911	\$246,715	\$1,014,756
<i>Trade Ally Training</i>		\$0	\$0	\$0	\$0	\$0
<i>Incentives and Services</i>		\$1,453,821	\$2,073,913	\$2,235,448	\$2,235,448	\$7,998,630
<i>Direct Program Implementation</i>		\$290,860	\$414,919	\$447,236	\$447,236	\$1,600,251
<b>Program Evaluation<sup>1</sup></b>	\$625,134	\$113,624	\$162,087	\$174,712	\$171,711	\$622,134
<b>NYS Cost Recovery Fee</b>	\$212,542	\$38,631	\$55,109	\$59,401	\$58,381	\$211,522
<b>TOTAL</b>	<b>\$12,502,729</b>	<b>\$2,272,481</b>	<b>\$3,241,752</b>	<b>\$3,494,248</b>	<b>\$3,434,229</b>	<b>\$12,442,709</b>

<sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures. Note: Columns and rows may not exactly add up due to rounding.

**TABLE 7.3. EFP ELECTRIC SAVINGS, PAGE 7-6**

	<b>10/25/11 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Electric Savings - MWh</b>	799,848	151,194	216,218	216,218	426,121	1,009,751

**TABLE 7.4. EFP GAS SAVINGS, Page 7-6**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Savings - Dth</b>	482,556	87,709	125,119	134,864	132,547	480,239

**TABLE 7.5. EFP ELECTRIC CUSTOMERS SERVED, PAGE 7-7**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Electric Customers</b>	1,077	1,541	1,541	3,036	5,700

**TABLE 7.6 EFP GAS CUSTOMERS SERVED PAGE 7-7**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Customers (Number of Projects)</b>	84	120	130	128	462

## **7.7 ELIGIBLE ENERGY EFFICIENCY MEASURES AND ASSOCIATED CUSTOMER INCENTIVES PAGE 7-9 – 7-10**

The Existing Facilities Program (EFP) has several program components as follows:

- 1) Electric (kWh) incentives for comprehensive projects (as defined below); and
- 2) Gas (MMBtu) incentives for National Fuel customers only.

Effective November 1, 2015, pre-qualified incentives for natural gas measures will only be available for National Fuel Gas Company customers. Prequalified incentives are shown in Table 7.8 EFP Electric and Gas Eligible Measures.

Effective September 23, 2015, all performance-based electric projects must involve at least two measure categories as defined below, and must save at least 250,000 kWh per year. No individual measure category may account for more than 75% of total project savings.

Electric measure categories include, but are not limited to:

- Lighting and Lighting Controls
- HVAC and HVAC Controls (including Chillers)
- Motors and Variable Frequency Drives (VFD)
- Monitoring Based Commissioning
- Building Envelope Improvements
- Energy Management Advanced Controls Systems (EMS)
- Elevators

Based on the funding levels and savings goals set forth in the October 23, 2009 Order,<sup>1</sup> the performance-based electric energy incentives of the Existing Facilities Program effort will be offered on a tiered incentive structure based on the level of kWh savings, as outlined in Table 7.8.1 EFP Electric Energy Incentive Structure. The Existing Facilities Program gas incentives for National Fuel customers only will be offered at a rate of \$15/MMBtu saved.

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<sup>1</sup> Case 08-E-1127, et.al, Order Approving Certain Commercial and Industrial Customer Energy Efficiency Programs with Modification, October 23, 2009.

**TABLE 7.8 EFP ELECTRIC AND GAS ELIGIBLE MEASURES**

<b>Pre- Qualified Eligible Measure List<sup>2</sup></b>
<b>Electric (not eligible after October 31, 2015)</b>
• LED Lighting
• Controls
• HVAC
• VFDs
• Commercial Kitchen Equipment
• Refrigeration/freezers
• Commercial clothes washer
<b>Gas</b>
• Heating equipment
• Commercial Kitchen Equipment
• Insulation
• Controls

**EFP Electric Energy Incentive structure**

<i>Tier</i>	<i>Incentive Rate</i>
The electric efficiency improvements cause annual kWh reductions less than or equal to 30% of current annual usage.	\$0.10/kWh

<sup>2</sup> The NYSERDA EFP and NCP teams are in the process of securing approval from DPS Staff to offer a revised set of prescriptive measures. This list is NYSERDA’s proposed list of measures.

The electric efficiency improvements cause annual kWh reductions greater than 30% but less than or equal to 50% of current annual usage.	\$0.12/kWh
The electric efficiency improvements cause annual kWh reductions greater than 50% of current annual usage.	\$0.15/kWh

## SECTION 8: AGRICULTURE ENERGY EFFICIENCY PROGRAM

TABLE 8.1. AEEP ELECTRIC BUDGET, PAGE 8-2

	12/17/12 Order	2012	2013	2014	2015	TOTAL
<b>General Administration<sup>1</sup></b>	\$960,000	\$240,000	\$240,000	\$371,301	\$765,205	\$1,616,506
<b>Program</b>	\$10,236,000	\$2,559,000	\$2,559,000	\$3,959,000	\$8,159,000	\$17,236,000
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$255,900	\$255,900	\$255,900	\$255,900	\$1,023,600
<i>Trade Ally Training</i>		\$0	\$0	\$0	\$0	\$0
<i>Incentives and Services</i>		\$1,919,250	\$1,919,250	\$3,319,250	\$7,519,250	\$14,677,000
<i>Direct Program Implementation</i>		\$383,850	\$383,850	\$383,850	\$383,850	\$1,535,400
<b>Program Evaluation<sup>1</sup></b>	\$600,000	\$150,000	\$150,000	\$232,063	\$478,253	\$1,010,317
<b>NYS Cost Recovery Fee</b>	\$204,000	\$51,000	\$51,000	\$78,902	\$162,606	\$343,508
<b>TOTAL</b>	\$12,000,000	\$3,000,000	\$3,000,000	\$4,641,266	\$9,565,064	\$20,206,331
<p><sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.</p>						

*Note: Columns and rows may not exactly add up due to rounding.*



**TABLE 8.3. AEEP ELECTRIC SAVINGS, PAGE 8-6**

	<b>10/25/11 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Electric Savings - MWh</b>	13,300	3,325	3,325	5,144	10,601	22,395

**TABLE 8.5. AEEP ELECTRIC CUSTOMERS SERVED, PAGE 8-6**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Electric Customers</b>	110	110	120	130	470

## SECTION 9: MULTIFAMILY PERFORMANCE PROGRAM

TABLE 9.3. MPP MARKET RATE GAS BUDGET, PAGE 9-6

		2012	2013	2014	2015	TOTAL
<b>General Administration</b>	\$21,572,104	\$548,169	\$548,169	\$548,169	\$548,169	\$2,192,677
<b>Program</b>		\$5,844,857	\$5,844,857	\$3,844,857	\$3,844,857	\$19,379,427
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$342,606	\$342,606	\$342,606	\$342,606	\$1,370,423
<i>Trade Ally Training</i>		\$30,835	\$30,835	\$30,835	\$30,835	\$123,338
<i>Incentives and Services</i>		\$4,786,204	\$4,786,204	\$2,786,204	\$2,786,204	\$15,144,816
<i>Direct Program Implementation</i>		\$685,212	\$685,212	\$685,212	\$685,212	\$2,740,847
<b>Program Evaluation</b>	\$1,370,420	\$342,605	\$342,605	\$342,605	\$342,605	\$1,370,420
<b>NYS Cost Recovery Fee</b>	\$465,944	\$116,486	\$116,486	\$116,486	\$116,486	\$465,944
<b>TOTAL</b>	\$23,408,468	\$6,852,117	\$6,852,117	\$4,852,117	\$4,852,117	\$23,408,468

<sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.

Note: Columns and rows may not exactly add up due to rounding.

**TABLE 9.4. MPP LOW-INCOME GAS BUDGET, PAGE 9-7**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>General Administration</b>		\$1,089,113	\$1,089,113	\$1,203,565	\$1,468,374	\$4,850,165
<b>Program</b>	\$50,807,120	\$11,612,667	\$11,612,667	\$14,833,015	\$17,656,537	\$55,714,887
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$680,696	\$680,696	\$680,696	\$680,696	\$2,722,784
<i>Trade Ally Training</i>		\$61,263	\$61,263	\$61,263	\$61,263	\$245,052
<i>Incentives and Services</i>		\$9,509,318	\$9,509,318	\$12,729,665	\$15,553,187	\$47,301,489
<i>Direct Program Implementation</i>		\$1,361,391	\$1,361,391	\$1,361,391	\$1,361,391	\$5,445,564
<b>Program Evaluation</b>	\$2,722,780	\$680,695	\$680,695	\$752,228	\$917,733	\$3,031,351
<b>NYS Cost Recovery Fee</b>	\$925,744	\$231,436	\$231,436	\$255,757	\$312,029	\$1,030,658
<b>TOTAL</b>	\$54,455,644	\$13,613,911	\$13,613,911	\$17,044,564	\$20,354,672	\$64,627,058

<sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.

Note: Columns and rows may not exactly add up due to rounding.

**TABLE 9.7.MPP MARKET RATE GAS SAVINGS, PAGE 9-10**

		<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Savings - Dth</b>		122,226	122,226	86,512	86,512	417,475

**TABLE 9.8. MPP LOW-INCOME GAS SAVINGS, PAGE 9-11**

		<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Savings - Dth</b>		153,105	153,105	205,557	244,280	756,047

**TABLE 9.11. MPP MARKET RATE GAS CUSTOMERS SERVED, PAGE 9-11**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Customers</b> <i>(number of multifamily units / apartments)</i>	2,571	5,824	5,692	7,488	21,575

**TABLE 9.12. MPP LOW-INCOME GAS CUSTOMERS SERVED, PAGE 9-12**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Customers</b> <i>(number of multifamily units / apartments)</i>	5,829	8,434	14,717	30,413	59,393

Table 9.15 MPP New Construction Incentive Schedule Page 9-20

<b>New Construction - Base Incentive</b>	
Affordable	Market Rate
All Projects (per unit)	All Projects (per unit)
\$900	\$500

Table 9.16 MPP Existing Buildings Incentive Schedule Page 9-20

<b>Existing Buildings - Base Incentive</b>	
Affordable	Market Rate
All Projects (per unit)	All Projects (per unit)
\$450	\$100
<b>Performance Payment (per unit)</b>	
Ties #1 - 20%-22%	\$100
Ties #1 - 23%-25%	\$150
Ties #1 - 26%-28%	\$200
Ties #1 - 29%+	\$300

## **SECTION 10: ADVANCED SUBMETERING PROGRAM**

PAGES 10-1 – 10-19

### **10.1 PROGRAM DESCRIPTION**

The Advanced Submetering Program (ASP)<sup>3</sup>, serves master-metered rental buildings, cooperatives and condominiums across New York State and provides incentives for the installation of advanced submeters and master meters, as well as energy efficient refrigerators and in-unit lighting. Building owners of rental properties, including rented co-op and condo units, participating in this Program are required to offer new ENERGY STAR® refrigerators as replacements for refrigerators that are ten years old, or older, at no cost to the tenants.

Participation by building owners is on a first-come, first-served basis. To ensure accurate reporting on customer use patterns and to further assist with evaluation efforts, participants will be required to install meters that meet New York State Public Service Commission (PSC) requirements in accordance with 16 NYCRR Parts 92 and 93. Beginning January 1, 2014, the New York State Department of Public Service (DPS) Staff will maintain a list of approved submeters. Until that time, all submeters currently approved for the Program will be permitted.

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<sup>3</sup> This Program was formerly named the Electric Reduction in Master-Metered Multifamily Buildings Program (ERMM).

**TABLE 10.1. ASP BUDGET, PAGE 10-2**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>General Administration<sup>1</sup></b>	\$5,900,660	\$126,488	\$126,488	\$126,488	\$85,533	\$464,996
<b>Program</b>		\$1,348,677	\$1,348,677	\$1,348,677	\$911,992	\$4,958,023
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$79,055	\$79,055	\$79,055	\$79,055	\$316,219
<i>Trade Ally Training</i>		\$0	\$0	\$0	\$0	\$0
<i>Incentives and Services</i>		\$1,111,512	\$1,111,512	\$1,111,512	\$674,827	\$4,009,363
<i>Direct Program Implementation</i>		\$158,110	\$158,110	\$158,110	\$158,110	\$632,440
<i>Program Evaluation<sup>1</sup></i>	\$316,220	\$79,055	\$79,055	\$79,055	\$53,458	\$290,623
<i>NYS Cost Recovery Fee</i>	\$107,512	\$26,878	\$26,878	\$26,878	\$18,175	\$98,809
<b>TOTAL</b>	\$6,324,392	\$1,581,098	\$1,581,098	\$1,581,098	\$1,069,158	\$5,812,452
<p><sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.</p> <p>Note: Columns and rows may not exactly add up due to rounding.</p>						

## ***10.2.2 DESCRIPTION OF EXPENDITURES IN EACH CATEGORY***

The following description of expenditures included in each budget category applies to NYSERDA's EEPS portfolio, as a whole. Some of the listed expenses may not be relevant to particular programs.

- **General Administration, including Internal Program Planning** - Costs associated with general administration and internal program planning that include, but are not limited to:
  - Staff salaries and fringe benefit costs ( e.g., program management personnel and allocated administrative staff, internally staffed program planning activities, including studies and research, benefit / cost analysis, program design and screening);
  - Allocated overhead costs including office space, supplies, computer and communication equipment;
  - Technical Evaluation Panel (TEP) costs;
  - Travel/ Conference/ Seminar costs associated with staff training;
  - Regulatory compliance activities supported by internal staff, including but not limited to Tech Manual, Reporting, and TRC screening; and
  - Dues and Membership costs associated with corporate sponsorship.
- **Program Planning** - Costs for internal NYSERDA staff supported program planning activities are assigned to General Administration. Costs associated with contractor support for program planning activities are assigned to Direct Program Implementation.
- **Program Outreach and Education / Marketing** - Costs for promotion of energy efficiency programs that include but are not limited to:
  - Market Research
  - Program literature, displays, signage, inserts, premiums and other forms of collateral
  - Marketing that leverages all forms of media and messaging including direct marketing (email/mail), print radio, television, online, web, paid search, communications and public relations, events
  - Strategic partnerships/sponsorships with associations trades groups and stakeholders including sponsorship and exhibit fees
  - Measurement tools to evaluate program effectiveness
- **Trade Ally Training** - Costs for all activities associated with trade ally support, tech transfer, and market development other than direct program marketing, including, but not limited to:



- Training / education of retail sales staff, heating contractors, weatherization contractors, efficiency equipment/product installers, residential and C&I auditors, residential and C&I builders, and developers;
  - Disseminating information from studies and performance of other activities designed to educate NYSERDA allies and other stakeholders;
  - Conferences hosted by NYSERDA to educate trade allies and other stakeholders;
  - Working with trade allies to identify and develop promotions and events; and
  - Communicating the results of a project to a target audience for their direct use, including posting of web-based information.
- **Program Participant Incentives and Services** - Costs associated with energy efficiency program participant incentives or services and contractor incentives and services associated with providing energy efficiency services to customers, including but not limited to:
    - Technology assessments, energy audits, feasibility studies, engineering studies, plan reviews, blower door tests, and infrared scans.
    - Measure and measure installation incentives, including interest rate buy downs, manufacturer and retailer buy downs, and incentives to stock and display energy efficiency products.
- **Direct Program Implementation and External Program Planning Support** - Costs associated with vendors / contractors implementing programs on NYSERDA's behalf, including but not limited to:
    - Lead intake, customer service, application processing;
    - Contractor supported program and project scoping, studies, planning activities or other assistance;
    - Equipment installation inspections, including dispatching of an agent to install, monitor, or activate data collection processes;
    - Quality control and assurance activities;
    - Data management activities; and
    - Program reporting.
- **Program Evaluation** - Costs associated with all NYSERDA staff (e.g., salary and overhead) and contractor activities associated with the evaluation of programs, including but not limited to:
    - Evaluation planning;
    - Program logic models;
    - Process evaluation;
    - Impact evaluation (e.g., measurement and verification activities);
    - Evaluation-related market research, customer research, energy efficiency product saturation analyses;
    - Benefit cost analysis assistance by evaluation contractors;
    - All other ad hoc analyses necessary for program evaluation; and
    - Evaluation reporting.

All tasks related to the activities listed above, including but not limited to: survey design, sample design, survey implementation, modeling, data collection, data analysis (general), billing analysis, site visits, end-use metering report writing, travel, and software.

- New York State Cost Recovery Fee** - Costs associated with Public Authorities Law § 2975 which requires each public benefit corporation to “reimburse to New York state an allocable share of state governmental costs attributable to the provision of services” by the State to such public benefit corporation. The amount of this annual “Cost Recovery Fee” for each public benefit corporation is determined by the Division of Budget, and imposed as an assessment by the State treasurer, pursuant to the statute (see Public Authorities Law~ 2975(1)). Under generally accepted accounting principles, the Cost recovery Fee is allocated among NYSERDA programs in proportion to each program’s annual expenditures, as a percentage of total annual expenditures. The amount allocated in each fiscal year to each program can vary depending upon the total annual assessment and each program’s allocable share of total expenditures.

### 10.3 ENERGY SAVINGS

Converting from master-metering to master and submetering produces energy reductions due to consumer behavioral changes. Building owners or their contractors are required to maintain submetered dwelling unit usage historical data and provide the data to NYSERDA for use by NYSERDA (or NYSERDA’s evaluation contractors), or DPS staff and its contractors, in a manner consistent with appropriate privacy protection requirements, as necessary to evaluate the Program.

The projected MWh savings for the ASP program are shown in the table below.

#### 10.3.1 ELECTRIC PROGRAM ENERGY SAVINGS

TABLE 10.7. ASP ELECTRIC SAVINGS, PAGE 10-5

	12/17/12 Order	2012	2013	2014	2015	TOTAL
Electric Savings - MWh	12,580	3,145	3,145	3,145	2,127	11,562

### 10.4 CUSTOMER PARTICIPATION

The customer participation goal for the ASP program is shown in the table below.

#### 10.4.1 ELECTRIC PROGRAM CUSTOMERS

TABLE 10.8. ASP CUSTOMERS SERVED, PAGE 10-5

	2012	2013	2014	2015	TOTAL
<b>Electric Customers</b> <i>(number of multifamily units / apartments)</i>	3,437	3,352	3,352	2,281	12,422

## 10.5 TOTAL RESOURCE COST (TRC) BENEFIT / COST TESTING

### 10.5.1 DESCRIPTION OF TRC EVALUATION PROCESS

Table 10.9 shows the inputs to Total Resource Cost (TRC) analysis conducted by NYSERDA staff with input from DPS Staff for the ASP Program. Measures were prequalified using researched generic savings and costs.

**TABLE 10.9. TOTAL RESOURCE COST TEST ANALYSIS OF ASP**

	Submeters	Refrigerators	In-Unit Lighting
Measure Life (Years)	14	17	17
Measure Cost for TRC	\$599	\$549	\$110
Measure Savings (kWh) for TRC	484.8	381	93
On-Peak kW Savings per Measure	0.1010	0.0434	0.0195
Present Value of Avoided Energy and Capacity Per Measure w/Carbon Adder	\$728	\$538	\$157
<b>Total Resource Cost Ratio Before Free-ridership w/Carbon Adder</b>	<b>1.2</b>	<b>1.0</b>	<b>1.4</b>
Number of Measures	10,056	3,520	1,509
Incentives per measure	\$250	\$250	\$25
Total Incentives per Measure Category	\$2,514,000	\$880,000	\$37,725
<b>Program-Level Calculations</b>			
Total Appliance/Lighting Incentives	\$917,725		
Total Submeter Incentives	\$2,514,000		
Total Master Meter Incentives @ \$1,500 per meter	\$121,500		
Total Incentives	\$3,553,225		
Admin Adder @ \$0.42 per incentive dollar	\$1,492,355		
Total Measure benefits	\$9,446,061		
Total Measure Costs w/Admin	\$9,614,469		
<b>Program-Level TRC</b>	<b>1.0</b>		

## 10.5.2 SYSTEM INPUTS FOR TRC RATIO ANALYSIS

**TABLE 10.10. SYSTEM INPUTS FOR TRC RATIO ANALYSIS**

System Inputs <sup>1</sup>	Source / Description
Avoided Electric Energy and Capacity Costs	Per January 16, 2009 EEPS Order with 20% adder for cooling measures
Avoided Electric Distribution Costs	Per January 16, 2009 EEPS Order
Avoided Natural Gas Costs	Per April 9, 2009 EEPS Order <sup>2</sup>
Avoided CO <sub>2</sub> Emissions	Electricity: 0.5 tons per MWh
	Natural gas: 58.5 tons per billion BTU
Value of CO <sub>2</sub>	\$15 per ton
Line Loss	7.2% incorporated by dividing the avoided cost of electric energy and capacity by 0.928
Discount Rate	5.5% real
Inflation Rate	2.10%
Measure Life	In accordance with the Technical Manual or in consultation with DPS
Measure Cost and Savings	Full installed costs for submetering. Incremental costs and savings for all other measures.
Pro Rata Administrative / Evaluation Costs	For project level TRC calculations, costs associated with administration, measurement, verification, and evaluation are allocated on a pro-rata basis. Allocation of all non-incentive program costs is based on the ratio of program incentive dollars to total program funding.
<p><sup>1</sup> System inputs will be updated as better information becomes available, and upon consultation with DPS Staff.</p> <p><sup>2</sup> The April 9, 2009 Order provided summer and winter natural gas avoided costs. For measures that use natural gas year-round, the avoided cost is weighted to reflect 5 months of winter costs and 7 months of summer costs.</p> <p><b>NOTE:</b> The screening spreadsheet will reflect process values in effect at the time the benefit/cost analysis is performed.</p>	

## 10.6 TARGET CUSTOMER MARKET AND ENERGY END USES

The program serves master metered multifamily buildings with five or more units. Buildings must be master metered at the time of application to the program. Participants must adhere to the DPS submetering approval process to be eligible to participate.

## 10.7 ELIGIBLE ENERGY EFFICIENCY MEASURES AND ASSOCIATED CUSTOMER INCENTIVES

NYSERDA will supply building owners incentives (on a per measure basis) to install cost-effective electric measures in individual units. Incentives for electric efficiency measures are based on a prescriptive list of measures and paid only upon proof of measure installation. The installation of the submeters provides an incentive to residents to reduce electricity use and the installation of efficiency measures reduces both the base and peak electricity use. In most units, such as those that have completely separate wiring systems, one meter will be installed and the resident will assume the responsibility for paying the electric charges. In some electrically-heated buildings that have separate circuits for heat and other electric needs (as is the case in many Mitchell Lama buildings), two meters may be installed so that the tenant will be responsible for non-heat electric charges and owners will assume responsibility for heating bills.

In ASP, building owners of rental properties, including rented co-ops and condos, will be required to offer to replace refrigerators with qualified ENERGY STAR replacements in dwelling units being submetered in all cases where the refrigerator is more than ten (10) years old. This requirement does not apply to shareholder-occupied units in co-ops and condos.

Participants may be enrolled in both NYSERDA's Multifamily Performance Program (MPP) and ASP, but the measures supported by ASP may not contribute to the building's 15% reduction target required by MPP. Incentives for the same measures may not be received from both, MPP and ASP.

**TABLE 10.6. ASP ELIGIBLE MEASURES**

<b>Measure</b>	<b>Rebate Level</b>
Advanced sub-meters	\$250 per meter up to 50% of cost of system
Master meter(s)	\$1,500 per Master meter
Refrigerator, at least 10 years old	\$250 each
In unit lighting (permanent fixtures)	\$25 each

## 10.8 CUSTOMER OUTREACH AND EDUCATION /MARKETING (OEM)

### ***10.8.1 OEM PLAN DESCRIPTION***

Outreach for the ASP will be addressed through NYSERDA's Multifamily Integrated Marketing and Communications program and the goals will be achieved through a continuation of the statewide outreach, education and marketing program, approved by DPS, and implemented beginning May 2011. The program introduced a strategic and targeted approach to marketing multifamily programs, including messaging, strategies and a lead generation system to capture and handle project leads among customer prospects based on their building/property and areas of interest.

The outreach, education and marketing plan incorporates a variety of marketing and communications channels to reach target audiences and bolster existing outreach efforts achieved through the help of NYSERDA staff, contractors, business partners, stakeholders, and industry-specific organizations that actively promote NYSERDA programs.

Outreach, education, and marketing efforts will continue to play a role in the identification and prioritization of potential customers, and with NYSERDA's assistance, deploy strategically targeted outreach that educates and informs multifamily stakeholders about energy's impact on the building's cost, operation and performance, and encourage participation via engagement of decision makers leveraged through long-standing professional relationships.

The marketing objectives for ASP are to target and identify eligible multifamily buildings that are master-metered and encourage the installation of advanced sub-metering technology.

Strategies include:

1. **Educate & Motivate:** Build awareness among key target audiences about the benefits of multifamily energy efficiency and ASP
2. **Drive Program-Specific Interest:** Generate leads through targeted marketing tactics designed to engage highest-potential prospects.
3. **Support the Sales Process:** Actively employ lead management and lead nurturing to continually move prospects through the funnel and into the full MPP program.

### 10.8.2 OEM BUDGET

The proposed OEM budget for the ASP program is provided in Table 10.7

**TABLE 10.7. ASP OEM BUDGET**

OEM Element	Electric Funds	Gas Funds	TOTAL	2012	2013	2014	2015
<i>Marketing Elements<sup>1</sup></i>	\$143,928	\$0	\$143,928	\$35,982	\$35,982	\$35,982	\$35,982
<i>Television</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<i>Radio</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<i>Internet</i>	\$60,292	\$0	\$60,292	\$15,073	\$15,073	\$15,073	\$15,073
<i>Print</i>	\$40,000	\$0	\$40,000	\$10,000	\$10,000	\$10,000	\$10,000
<i>Direct Marketing</i>	\$60,000	\$0	\$60,000	\$15,000	\$15,000	\$15,000	\$15,000
<i>Public Relations</i>	\$12,000	\$0	\$12,000	\$3,000	\$3,000	\$3,000	\$3,000
<b>TOTAL - Integrated Marketing Support<sup>2</sup></b>	\$316,220	\$0	\$316,220	\$79,055	\$79,055	\$79,055	\$79,055

<sup>1</sup> Include collateral materials and engagement tools.  
<sup>2</sup>Integrated Marketing Support breakdowns subject to change based on ongoing evaluation and measurement for program refinement and effectiveness.

### 10.8.3 LIST AND DESCRIPTION OF OEM VEHICLES

Overall tactics include public relations, social media, direct marketing (direct mail/e-mail blasts), web marketing (geo-targeted search words and banner ads), and paid media (online, print B2B magazines, and Trade Publications).

The following vehicles will be used to promote the commercial/industrial marketing program:

- Direct customer (and prospective customer) outreach and lead generation to encourage customers to go to [nyscrda.ny.gov/multifamily](http://nyscrda.ny.gov/multifamily) to apply to the ASP Program;
- Strategic partnerships with associations, trade groups, and stakeholders;
- Awareness media advertising including industry publications and websites, regional business publications and websites.
- Engagement tactics including a creation of case studies, and web content and video that provides program overviews, testimonials and presentations.

- Public Relations including earned media through story pitching, case study promotion, and strategic participation and publicity surrounding key association and partnerships and events
- Customer outreach and education will take place through a number of channels including but not limited to Program Partners, NYSERDA's residential website ([nyserdera.ny.gov/multifamily](http://nyserdera.ny.gov/multifamily)), NYSERDA Energy Smart Community Coordinators;
- Outreach and education materials such as brochures and case studies will be produced and distributed by Program Partners and Energy Smart Community Coordinators to potential customers both in the community and at events such as conferences, trade shows, and building openings.

#### ***10.8.4 TARGET AUDIENCE***

The primary target audience for ASP is all master-metered multifamily buildings, which includes building owners, superintendents, co-op and condo boards and shareholders, and property managers of buildings that are five dwelling units or more. Outreach and marketing activities will be implemented to attract customers with projects of all sizes.

Qualitative research was recently conducted to help uncover key messages that resonate with multifamily property decision makers. These key messages are now incorporated in all the outreach, education, and marketing activities. The primary objective of the segmentation research conducted in 2012 was to identify and understand specific audience segments that represent the best potential to invest in energy efficiency upgrade projects. The research provided insights into the attitudes and motivators that would drive those segments as well as the barriers and challenges. The information gained through the research informed the design and execution of marketing communications creative in support of ASP.



**10.8.5 TIMELINE – DEVELOPMENT, IMPLEMENTATION AND EVALUATION OF OEM EFFORTS**

ASP will continue its efforts from 2012 and carry over many of the elements and collateral into 2013-2015. Table 10.8 provides an indication of when various OEM activities will in conducted during calendar year 2013.

**TABLE 10.8. ASP OEM TIMELINE**

Activity	Dec-12	Jan-13	Feb-13	Mar-13	Apr-13	May-13	Jun-13	Jul-13	Aug-13	Sep-13	Oct-13	Nov-13	Dec-13
<b>Integrated Marketing Plan/Roadmap</b>													
2013 Marketing Planning & Roadmap													
<b>Positioning &amp; Messaging</b>													
Production and production elements for campaign													
<b>Lead Gen   Lead Nurturing: Owners &amp; Developers</b>													
Lead conversion/sales process consultation													
"All segment" cold lead generation													
Warm & hot lead nurturing (4 touches, 3 segment versions each touch)													
<b>Collateral   Program Materials</b>													
Main brochure updates, ERRMM/ASP brochure, benchmarking fact sheet, fast track fact sheet													
Building Case Studies													
Building video case studies													
<b>Partner Recruitment &amp; Support</b>													

Partner Case Studies													
Partner training/presentations													
Building "champion" brochure													
<b>Events</b>													
2013 Industry Events													
Additional Power Events Days (3 events over 1 day and 1 pilot event over 2 days, incl. Partner recruitment & lender sessions)													
Partner Summit Materials, Support & Coordination													
Building "Celebration" event													
<b>Media Services</b>													
Online, Print, Adwords													
Strategy & management													
<b>PR</b>													
Media relations for MEPP program, social media approach & ongoing content													
<b>Website &amp; Technology Platform</b>													
Website Updates													
<b>Project and Account Management</b>													
<b>Campaign Measurement &amp; Reporting</b>													

### ***10.8.6 RELATIONSHIP OF OEM PLAN TO NYSERDA GENERAL OEM EFFORTS***

Presenting a cohesive message and visual identity for the organization is important to drive awareness and consideration of NYSERDA and its programs among the broader energy consumer base.

In 2011, NYSERDA rolled out a new brand identity which included a new logo and graphic identity and an overall messaging and communication strategy to increase the organizations' value among consumers, align business activities, maximize awareness of its mission and programs, and provide clear, consistent communications to target audiences.

The NYSERDA identity was developed in concert with the development of several program marketing initiatives including the multifamily marketing program, so message and design elements have been carried over to ensure graphic and message consistency.

All of NYSERDA's programs including multifamily programs, will be represented under the statewide umbrella outreach and education program.

### ***10.8.7 EFFORTS TO MINIMIZE OVERLAP AND CUSTOMER CONFUSION***

NYSERDA has an extensive program portfolio designed to reach multiple audiences. Where appropriate, marketing efforts will be combined to improve the overall cost efficiency of Outreach, Education and Marketing efforts, offer relevant solutions to customer energy challenges and eliminate customer confusion without sacrificing key program specific messaging.

Consistency in program messaging across all communication vehicles is critical for prospects that have the potential to receive multiple messages from a variety of sources.

For contractor and staff direct customer outreach, tools, templates and collateral materials are integrated with the statewide effort to maintain message and brand consistency ensuring delivery of content and direct sales efforts more effective.

## **10.9 DESCRIPTION OF ROLES AND RESPONSIBILITIES OF PROGRAM ADMINISTRATOR AND PROGRAM CONTRACTORS**

As the Program Administrator, NYSERDA provides direction and oversight of an implementation contractor that provides services in ASP. NYSERDA is responsible for the overall design and implementation of the program. NYSERDA established program guidelines and program participation criteria. NYSERDA also reviews and approves customer applications, establishes contracts, and processes incentive payments. NYSERDA project managers will also take a lead role in implementation and quality control. NYSERDA processes customer applications in-house, coordinates and directs on-site scoping sessions, reviews savings calculations and other technical documents for accuracy, and reports various program metrics to the DPS Staff and other stakeholders.

The ASP implementation contractor handles outreach and intake for the program, provides an initial review of project applications, works with the various consultants that serve the customers in the program, helps to create the program documents and tools, and meets with NYSERDA and DPS staff on program issues. The implementation contractor also performs quality control through site inspections conducted to ensure installation of the measures. The program implementer will also serve as a technical resource to support the quality control activities performed by NYSERDA.

### **10.10 PROCEDURES FOR CUSTOMER ENROLLMENT**

ASP operates on an open enrollment basis, and participants can enroll by completing the program application and submitting it to the program's implementation contractor.

An initial scoping session is conducted to ensure that the building is master-metered and market-rate and does not have a submetering systems currently installed. After the scoping session is completed and the project is deemed eligible, NYSERDA will provide a funding commitment letter, at which point funds are encumbered. After receiving this commitment letter, the Participant is able to install the projected measures and submit a request for payment.

### **10.11 TRAINING FOR APPROPRIATE TRADE ALLIES**

There is no trade ally training in ASP.

### **10.12 CONTRACTOR TRAINING AND PROGRAM ORIENTATION PLAN**

ASP does not require the use of any pre-approved submetering contractors. NYSERDA and the implementation contractor are available to consult with potential participants or their representative.

### **10.13 QUALITY ASSURANCE PLAN**

Quality Control (QC) refers to the policies and procedures used by the NYSERDA and the program implementer to ensure that quality work is performed. The program requires a project to receive all in-house and regulatory approvals prior to submitting an application to ensure that the project is eligible for submetering, including PSC approval. An initial scoping session is performed on-site to ensure that the building is not currently submetered. Final inspections of the project are conducted to ensure that the incentive requests reflect the installed systems and that the systems are operational and that the residents are receiving and paying electric bills.

### **10.14 COORDINATION WITH OTHER NEW YORK ENERGY EFFICIENCY PROGRAMS AND PROGRAM ADMINISTRATORS**

No other program administrators implement a submetering program. All program administrators are aware of the prohibition from receiving incentives from two or more programs for the same measures. NYSERDA continues to work with all program administrators to share information on program participation.

### **10.15 EVALUATION PLAN**

NYSERDA plans to evaluate the ASP according to the evaluation approach outlined in this section and may coordinate ASP evaluation efforts with evaluation activities being conducted for

NYSERDA's Multifamily Performance Program (MPP), to the extent practical.<sup>4</sup> This plan is based on NYSERDA's experience to date as information available at this time regarding the EEPS-2 ASP plans.

This evaluation plan outlines possible approaches at a high level and will be supplemented with a more detailed evaluation plan and work plans submitted to Department of Public Service (DPS) Staff for review and input.<sup>5</sup> Evaluation activities will follow the *Evaluation Plan Guidance for EEPS Program Administrators* established by DPS and the Evaluation Advisory Group.<sup>6</sup>

NYSERDA will also work with DPS and the Evaluation Advisory Group to develop a plan for Statewide studies and joint evaluation projects to be funded by contributions from all Program Administrators' evaluation budgets. Although the scope and timing of some studies is unknown at this time, Statewide studies and joint evaluation projects are expected to provide valuable information that might offset the need for program specific evaluation activities or expenditures. Thus, evaluation plans outlined in this document may also be updated pending further determination of Statewide studies and joint evaluation projects.

### ***10.15.1 EVALUATION GOALS***

The overarching goals of NYSERDA's EEPS program evaluation efforts are to: (1) conduct credible and transparent evaluations, and (2) provide NYSERDA program staff and managers, the New York State Public Service Commission (PSC), DPS Staff, and other stakeholders with timely and unbiased information regarding program implementation.

More specifically, the primary goal of the ASP evaluation effort is to measure and verify the savings attributable to the program. NYSERDA intends to undertake the impact evaluation with the necessary rigor and reliability for metrics used by the NYISO and transmission and distribution system planners. Other evaluation goals are to assess program efficiency and effectiveness and gain an understanding of the market to tailor the program to the needs of its targeted audience.

### ***10.15.2 EVALUATION BUDGET***

Per the Commission's October 25, 2011 Order extending the EEPS Program, NYSERDA will allocate its overall electric evaluation budget as needed among its electric portfolio of programs and maintain the total budget at 5% of program funding. As is recognized in the Order, actual evaluation needs for individual programs may be more or less than 5% of the programs' budgets. The Order further directs that all evaluation budgets must be reviewed and approved as part of Staff's review of a program's evaluation plan. Thus, NYSERDA's detailed evaluation plan for ASP will include further information related to evaluation budget estimates, including a breakout of funding needed to support impact, process and market evaluation components described at a high

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<sup>4</sup> Participants may be enrolled in NYSERDA's MPP and ASP but the measures supported by ASP may not contribute to the building's 15% reduction target required by MPP.

<sup>5</sup> As is standard practice for all of its' EEPS evaluation work, NYSERDA will also submit other key documents during the evaluation process, such as sampling plans, survey instruments, and draft and final evaluation reports, for DPS Staff review and input. NYSERDA will also keep DPS Staff apprised during the evaluation process should any of the initial plans outlined in this filing change as more information is learned.

<sup>6</sup> Evaluation Plan Guidance for EEPS Program Administrators, August 2008 – Updated November 2012.

[http://www3.dps.ny.gov/W/PSCWeb.nsf/96f0fec0b45a3c6485257688006a701a/766a83dce56eca35852576da006d79a7/\\$FILE/EVALGUIDE.11.12.pdf](http://www3.dps.ny.gov/W/PSCWeb.nsf/96f0fec0b45a3c6485257688006a701a/766a83dce56eca35852576da006d79a7/$FILE/EVALGUIDE.11.12.pdf)

level herein. NYSERDA's evaluation budget will also include yet-to-be determined funds set aside for Statewide studies and other overarching costs borne by program administrators. As such, modifications to the initial evaluation budget estimates may need to be made to accommodate the cost of such activities.

### ***10.15.3 EVALUATION SCHEDULE***

The EEPS-2 ASP Program began in March 2011 upon DPS approval of metering equipment. Thus, an evaluation of the program has not yet been undertaken. Evaluation of ASP Program will be timed to provide information on program impacts, efficiency and effectiveness. The expected timing of evaluation studies for the 2012-2015 ASP Program is as follows:

- Impact Evaluation – 2015 and 2017 or 2018
- Joint Process/Market Evaluation –2014-2015

This anticipated time line for evaluation will be modified, if needed, as detailed evaluation plans are developed with DPS Staff input, and as the program rolls out. Additionally, NYSERDA will utilize the process evaluation protocols developed through a collaborative effort with the DPS and EAG to help guide decisions on the necessity and optimal timing of process evaluation studies during the course of program implementation.

### ***10.15.4 IMPACT EVALUATION***

#### **10.15.4.1 Measurement and Verification.**

As described in the overarching MPP evaluation plan, M&V activities are expected to include site visits of participating and nonparticipating new multifamily buildings as well as billing analysis of participating existing multifamily buildings. For ASP, a separate pre-post billing analysis is planned for participating and, if possible, matched nonparticipating buildings to determine energy savings related to the implementation of sub-metering in the buildings. Impact evaluation will include special emphasis on advanced sub-metered buildings in which no energy efficiency measures were installed (i.e., not participating in MPP) so that the effects of behavioral changes can be isolated.

Sample sizes for ASP will be chosen to meet a 90/10 confidence/precision level Statewide. Data will be collected and analyzed by NYSERDA's independent contractors following established evaluation protocols. M&V activities will occur during 2015 and again during 2017 or 2018.

#### **10.15.4.2 Net-to-Gross.**

In addition to the net-to-gross analysis conducted on the overarching MPP evaluation, additional analyses will be conducted for ASP such that free-ridership and spillover can be assessed relative to savings accruing from the sub-metering and electric reduction measures supported by ASP. This may involve surveys of owners and managers of participating and non-participating master-metered buildings. Given the evaluation budget allocation for this program and the fact that this type of effort has not yet been evaluated for net-to-gross, NYSERDA plans to take a phased approach toward meeting the new DPS guidelines for assessing spillover. If large potential spillover is identified through the survey/self-report approach, additional data collection may be warranted to verify the large savings claims. NYSERDA will consult with DPS on this aspect of the evaluation plans as they are further developed and implemented.

Sample sizes will be calculated to meet 90/10 confidence/precision for ASP. Data will be collected and analyzed by NYSERDA's independent contractors following established evaluation protocols. Net-to-gross activities will occur at the same time as the M&V efforts planned for 2015 and again in 2017 or 2018.

### ***10.15.5 PROCESS EVALUATION***

A process evaluation focusing on ASP Program is expected to include in-depth interviews with program staff/managers, implementation contractors, manufacturers, and vendors to assess issues associated with implementation of sub-metering programs. The process evaluation is also expected to include surveys of participating building owners and occupants to assess owner/tenant relationships as well as owner and occupant perspectives on split incentives, on the satisfaction with sub-metering, and occupants' changes in behavior. These surveys may be used in conjunction with the billing analysis proposed as part of the impact evaluation to assess how occupant behavior affects energy use.

Participating building owner surveys will be conducted at the 90/10 confidence/precision at the program level, surveys of occupants will also be conducted at the 90/10 confidence/precision at the program level assuming occupant contact information is available. Data will be collected and analyzed by NYSERDA's independent contractors using established evaluation protocols. As has been developed in the past, the process evaluation will identify and develop actionable recommendations for improvements to program design, delivery, and implementation. These process evaluation efforts are expected to occur during 2014-2015 and will be repeated as needed and budget permitting during the remainder of the program cycle. The timing of this evaluation has been modified due to the delayed program start and the need for ample projects to be either in the pipeline or completed.

### ***10.15.6 MARKET EVALUATION***

An initial task in the market evaluation will be to update and revise, if necessary, the Program theory and logic model, completed in 2011. NYSERDA's independent evaluation contractors will work with program staff to identify expected program outputs and outcomes and the indicators through which they can be measured, which will guide future evaluation efforts. NYSERDA recommends updating the revised Program theory and logic model during 2013 or early 2014, prior to beginning the market evaluation work.

An important evaluation element for the Program, supporting both market and impact evaluation efforts, is a baseline study of existing multifamily buildings in New York for both participants and non-participants, as described in the next section. Such a study would benefit all Program Administrators. NYSERDA will weigh the information expected from these planned study efforts in order to determine whether additional market evaluation efforts are necessary for ASP. If so, any additional market inquiries will be coordinated with planned process evaluation surveys of various audiences to the extent possible.

### ***10.15.7 OTHER EVALUATION ACTIVITIES***

An important part of program evaluation is a thorough understanding of the market environment in which the program is operating. NYSERDA believes that the best approach to fully characterize the target market for ASP and other multifamily efforts consists of a large-scale baseline and measure saturation study, coupled with surveys of various market actors such as multifamily dwelling occupants, property owners and building managers.

A large-scale baseline and measure saturation study would require surveys and site visits. Surveys could focus on current practice, customer and market response, and decision-making processes. Site visits could be conducted to fully characterize buildings in this sector, the end-use equipment in use, vintage, efficiency levels, and other factors. NYSERDA believes that this type of study would benefit all EEPS Program Administrators, and supports the efforts by the Evaluation Advisory Group to advance such study efforts. Depending on the nature and timing of such studies, the initial evaluation plans outlined herein could be modified to coordinate with the Statewide efforts.

### **10.16 CONTACT INFORMATION**

Inquiries about the ASP Program should be directed to:

Contact: Michael Colgrove, Acting Program Manager  
Phone: 212-971-5342 ext. 3006  
Email: [mtc@nyserda.ny.gov](mailto:mtc@nyserda.ny.gov)



## SECTION 11: NEW YORK ENERGY STAR CERTIFIED HOMES

### 11.1 PROGRAM DESCRIPTION, PAGES 11-1, 11-2

The New York ENERGY STAR™ Certified Homes Program (NYESCH or Program) is the primary component of NYSERDA's Low-rise Residential New Construction Programs (Programs), which also includes the NY Energy Smart designation for certain gut rehabilitation projects. NYSERDA developed the Energy Smart designation for gut rehabilitation projects that are not eligible for ENERGY STAR Homes Certification, due to non-energy related requirements under U.S EPA's ENERGY STAR™ Version 3.0. To streamline communication and avoid confusion among Program Partners, in 2012, NYSERDA began referring to the one- to four-family and low-rise multi-unit new construction and gut rehabilitations efforts collectively as "NYSERDA's Low-Rise Residential New Construction Programs." The NYESCH compliance pathway continues to be an enhanced version of the U.S. EPA ENERGY STAR Certified Homes program, and the consumer-facing brand of the Programs.<sup>52</sup> In return for constructing eligible residential buildings to the rigorous requirements of the Programs, NYSERDA provides technical assistance and financial incentives to participating builders and Home Energy Raters and Rating Providers. These Programs encourage the adoption of increasingly energy-efficient design and construction techniques. These Programs also require a minimum annual kWh usage reduction, achieved through the installation of very efficient ENERGY STAR™ qualified heating and cooling equipment, appliances, lighting, and electronically-commutated motors in HVAC equipment. The Programs have developed a network of approximately 250 participating builders, Home Energy Raters and Rating Providers, and HVAC Contractors who serve markets throughout the State.

In cooperation with the U.S. EPA, and the Residential Energy Services Network (RESNET), the Programs are designed to educate home builders and customers, while transforming the residential new construction market to provide substantial improvements in the overall energy efficiency of eligible buildings. More than 25,000 homes and dwelling units have been served by the Programs to date. This success is accomplished by facilitating changes in residential building design and construction practices, and supported through various training and educational activities, and targeted marketing. Builders, Home Energy Raters participating in the Programs enhance their skills and use new technologies to improve the overall sustainability and long-term energy savings of homes. An EEPS-funded incentive is provided to participating builders if a home or dwelling unit(s) meets the Programs' requirements. The Programs apply sound building science and a whole-house approach to incorporating energy efficiency into the low-rise residential new construction market. The Programs requires combustion appliance

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<sup>52</sup> The NYESCH program is based on the EPA's ENERGY STAR Certified Homes program, with additional requirements for minimum levels of annual kWh savings based on installed measures, and combustion appliance safety testing that go beyond the federal Program guidelines. EPA has significantly modified the national program, including adding "Certified" to the program name/brand, released as Version 3 (v3). V3 went into effect on January 1, 2012, for homes permitted on or after January 1, and for homes permitted prior to January 1, 2012 with a final inspection date after July, 1 2012. Due to the scope of the v3 changes EPA introduced Version 2.5 (V2.5) to ease the transition for program participants, effective July 1, 2011. One major change in V2.5/V3 is that the program no longer utilizes a minimum fixed HERS Index to qualify homes for the ENERGY STAR label. Version 2.5/3 introduced a variable HERS Index based on a Size Adjustment Factor (SAF). The SAF is designed to recognize the energy use reduction associated with smaller homes by requiring larger homes to meet higher levels of energy efficiency than smaller homes. NYSERDA staff continues to monitor how Version 2.5/3 requirements are affecting program energy savings and will communicate this to DPS staff, as data is available.

safety testing, minimum building shell tightness standards, properly sized heating and cooling systems, adequate ventilation and the incorporation of ENERGY STAR-qualified appliances and lighting.

Effective April 2014, NYSERDA consolidated the EEPS electric and gas components of the Assisted New York ENERGY STAR Certified Homes program with the electric and gas components of the Program in order to provide the market with a streamlined point of entry for high performance residential new construction projects.<sup>53</sup> In addition NYSERDA incorporated a tiered incentive structure to push the market toward even higher performing new homes.

Under the tiered structure, Tier 1 buildings are required to meet the program's minimum performance standards, which are based on US EPA ENERGY STAR Certified Homes program Version 3.0. Tier 2 buildings are required to meet all Tier 1 criteria, as well as the requirements detailed by the US EPA ENERGY STAR Certified Homes program as Version 3.1, the EPA's more rigorous version, expected to be required by the EPA shortly following New York State's adoption of energy code criteria based on International Energy Construction Code (IECC) 2012. Tier 3 supports achieving net zero energy performance by requiring significantly higher building performance in combination with use of renewable energy generation, characteristics typically associated with the installation of solar photovoltaic systems. By design, Tier 3 homes will be capable of achieving net zero energy performance, dependent upon occupant behaviors and choices related to appliances, plug loads, and the ability to space conditioning equipment.

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<sup>53</sup> The consolidation of programs and transition to a tiered incentive approach was communicated in an April 10, 2014 Notification Letter from Tom Barone, Acting V.P. of Energy Services to Secretary Burgess.

## 11.2 BUDGET

TABLE 11.1. NYESCH ELECTRIC BUDGET, PAGE 11-3

	12/17/12 Order	2012	2013	2014	2015	TOTAL
<b>General Administration<sup>1</sup></b>	\$6,434,800	\$99,315	\$115,868	\$175,895	\$175,895	\$566,973
<b>Program</b>		\$1,058,949	\$1,235,440	\$2,367,834	\$2,367,834	\$7,030,058
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$35,922	\$41,908	\$88,884	\$88,884	\$255,599
<i>Trade Ally Training</i>		\$91,201	\$106,401	\$212,245	\$212,245	\$622,093
<i>Incentives and Services</i>		\$728,830	\$850,302	\$1,611,781	\$1,611,781	\$4,802,695
<i>Direct Program Implementation</i>		\$202,996	\$236,829	\$454,923	\$454,923	\$1,349,672
<b>Program Evaluation<sup>1</sup></b>	\$344,844	\$62,072	\$72,417	\$156,780	\$156,780	\$448,048
<b>NYS Cost Recovery Fee</b>	\$117,247	\$21,104	\$24,622	\$43,229	\$43,229	\$132,183
<b>TOTAL</b>	\$6,896,891	\$1,241,440	\$1,448,347	\$2,743,737	\$2,743,737	\$8,177,261
<p><sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.</p> <p>Effective April 2014, the unexpended EEPS II electric budget for the Assisted New York ENERGY STAR Homes program was reallocated to the EEPS II electric budget for the NYESCH program. , over the 2014 and 2015 program years.</p> <p>Note: Columns and rows may not exactly add up due to rounding.</p>						

**TABLE 11.2. NYESCH GAS BUDGET, PAGE 11-4**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>General Administration<sup>1</sup></b>	\$34,331,118	\$529,869	\$618,181	\$972,407	\$390,788	\$2,511,245
<b>Program</b>		\$5,649,732	\$6,591,355	\$11,135,983	\$4,589,395	\$27,966,465
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$752,023	\$877,360	\$1,049,582	-\$140,272	\$2,538,693
<i>Trade Ally Training</i>		\$361,248	\$421,456	\$809,972	\$449,191	\$2,041,867
<i>Incentives and Services</i>		\$3,732,394	\$4,354,460	\$7,513,010	\$3,176,276	\$18,776,140
<i>Direct Program Implementation</i>		\$804,067	\$938,079	\$1,763,419	\$1,104,200	\$4,609,765
<b>Program Evaluation<sup>1</sup></b>	\$1,839,824	\$331,168	\$386,363	\$736,501	\$354,498	\$1,808,530
<b>NYS Cost Recovery Fee</b>	\$625,540	\$112,597	\$131,363	\$139,912	-\$193,896	\$189,976
<b>TOTAL</b>	\$36,796,482	\$6,623,366	\$7,727,262	\$12,984,803	\$5,140,785	\$32,476,216

<sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.

*Note:*

Effective April 2014, the unexpended EEPS II gas budget for the Assisted New York ENERGY STAR Homes program was reallocated to the EEPS II gas budget for the NYESCH program, over the 2014 and 2015 program years.

The budget and savings target reallocation approved on December 23, 2014, included a transfer of gas budgets from the NYESH gas program to the EmPower NY program and the low-income component of the Multifamily Performance Program, at the program level. When the transferred budgets were reapportioned by budget element and year, the result was a negative CRF budget for the NYESH gas program in 2015. Despite the negative CRF budget for NYESH gas in 2015, NYSERDA expects that the CRF will be adequately funded across the EEPS 2 gas portfolio.

Columns and rows may not exactly add up due to rounding.

### 11.3 ENERGY SAVINGS

**TABLE 11.3. NYESCH ELECTRIC SAVINGS, PAGE 11-7**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Electric Savings - MWh</b>	20,856	3,754	4,380	8,404	8,404	24,942
<i>Effective April 2014, the balance of the unacquired MWh target for the Assisted New York ENERGY STAR Homes program was reallocated to the NYESCH MWh targets for the 2014 and 2015 program years.</i>						

**TABLE 11.4. NYESCH GAS SAVINGS, PAGE 11-7**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Savings – Dth</b>	437,534	78,756	91,882	153,522	60,593	384,753
<i>Effective April 2014, the balance of the unacquired Dth target for the Assisted New York ENERGY STAR Homes program was reallocated to the NYESCH Dth targets for the 2014 and 2015 program years.</i>						

**TABLE 11.5. NYESCH ELECTRIC CUSTOMERS SERVED, PAGE 11-7**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Customers receiving electric services</b>	1,404	1,638	3,612	3,612	10,266
<i>Note: Customers receiving electric services and customers receiving gas services are not additive.</i>					

**TABLE 11.6. NYESCH GAS CUSTOMERS SERVED, PAGE 11-7**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Customers receiving gas services</b>	2,086	2,433	4,493	1,782	10,794
<i>Note: Customers receiving electric services and customers receiving gas services are not additive.</i>					

## **11.5 TOTAL RESOURCE COST (TRC) BENEFIT / COST TESTING**

### **11.5.1 DESCRIPTION OF TRC EVALUATION PROCESS, PAGE 11-8**

By requiring a whole-building performance-based approach, the Program provides incentives to builders on a per home basis rather than on a per-measure basis. Program homes are modeled using REM/Rate, or other approved energy modeling software, which takes into account the characteristics of the building (size, orientation, insulation levels and installation quality, mechanical system, appliance and lighting efficiency) and performance testing data (envelope and duct system air leakage rates) and assigns a numerical Home Energy Rating System (HERS) Index, based on its projected energy use compared to a reference home. This analysis takes into account interactive effects of measures installed to increase the energy efficiency of the building.

To be eligible for incentives through the Program, buildings are required to meet minimum requirements associated with the relevant version of the EPA ENERGY STAR Certified Homes program, in addition to achieving minimum performance standards detailed in the Program's formal publication, Program Opportunity Notice (PON 2309). These include prescriptive annual kWh savings from lighting and appliances, and minimum performance for the building envelope and mechanical systems. Minimum performance standards for each program tier can be found online at <http://www.nyserda.ny.gov/PON2309>.

Due to the whole building performance-based criteria established by U.S. EPA, and the fact that establishing minimum performance through the required HERS Index depends on interactive effects between of a multitude of measures, TRC screening at the measure level is not meaningful or practicable for this program. Past evaluations and recent analysis have shown that energy savings more than offset program costs and the incremental cost of higher performing homes relative to code-built homes.<sup>54</sup> Since all homes in the Programs must meet minimum performance criteria, NYSERDA will use a program-level screening as a proxy for project-level screening. Program-level screening reduces the administrative burden and relieves the time constraints associated with conducting a project-level TRC screening prior to implementing every project. The results of the program-level TRC screening are located in the table below. The Lower Hudson region includes projects in the following electric utilities: Orange & Rockland, Central Hudson, and Consolidated Edison projects located outside of New York City.

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<sup>54</sup> The estimated incremental cost for homes associated with the three performance tiers relative to code-build homes are as follows: Tier 1- \$4,217; Tier 2- \$4,232; Tier 3- \$18,062.

**TABLE 11.11. PROGRAM / PROJECT-LEVEL TRC FOR NYESCH, PAGE 11-9**

<b>Region</b>	<b>Tier 1</b>	<b>Tier 2</b>	<b>Tier 3</b>
<b>Market Rate Construction</b>			
NYC	2.45	2.09	1.48
Lower Hudson	1.82	1.54	1.23
Upstate	1.75	1.46	1.06
<b>Affordable Construction</b>			
NYC	2.28	1.95	1.44
Lower Hudson	1.69	1.43	1.20
Upstate	1.69	1.36	1.03

### **11.7 ELIGIBLE ENERGY EFFICIENCY MEASURES AND ASSOCIATED CUSTOMER INCENTIVES, PAGE 11-10**

The NYESCH Program is a ‘hybrid’ Program, combining an overall energy efficiency performance standard (whole-house approach) with minimum component-specific efficiency requirements. The Minimum Performance Standards (PON 2309, Attachment B) for the Low-rise Residential New Construction Programs can be found at: <http://www.nyserda.ny.gov/PON2309> . Compliance to Program standards is verified through site inspections and field-testing by a participating Home Energy Rater. Buildings must meet all applicable state and local codes. This set of specifications applies to Mixed and Cold Climates (2004 IRC Climate Zones 4, 5, 6).

Program incentives are provided directly to builders, to encourage them to make certain choices, adopt specific behaviors, and encourage market acceptance and adoption of technologies and solutions which result in higher performing homes. In April 2014, NYSERDA transitioned the NYESCH program to a tiered incentive structure in response to the evolution of the residential new construction market, which includes pending changes to the New York State Energy Conservation Construction Code (ECCC NYS) - anticipated by late 2014 - in addition to the ultimate performance goal of net zero energy homes. These incentive changes will allow New York State to continue to acquire above-code energy savings in the near-term and prepare the builder and Home Energy Rater communities for successful code compliance and higher performance new construction in future years.

Under the tiered incentive structure, a base or Tier 1 incentive will continue to be provided for buildings meeting the Program’s minimum performance standards (based on US EPA ENERGY STAR Certified Homes Version 3.0), with two additional incentive tiers for achieving higher levels of performance. The mid-performance or Tier 2 incentives will require buildings to meet all Tier 1 criteria and additionally meet the requirements detailed by the US EPA ENERGY STAR Certified Homes as Version 3.1, expected to be required by the EPA shortly following New York State’s adoption of energy code criteria based on International Energy Construction Code (IECC) 2012. The highest incentive level, or Tier 3, supports achieving net zero energy performance by requiring significantly higher building performance in combination with use of renewable energy generation, characteristics typically associated with the

installation of solar photovoltaic systems. By design, Tier 3 homes will be capable of achieving net zero energy performance, dependent upon occupant behaviors and choices related to appliances, plug loads, and control over space conditioning equipment. Achievement of all levels of performance involves costs associated with design consultation and third party performance verification, in addition to the incremental measure-specific costs. Larger, free-standing homes striving to achieve higher performance will typically incur significantly higher incremental costs, yet have the potential to secure significantly higher energy savings. Therefore, the incentive structure includes adjustments to the higher tier incentives based on the square footage of the dwelling.

A "First Plan Review and First Rating per Program Version"<sup>55</sup> incentive of \$1,000 is available to support the first plan review and first Home Energy Rating delivered to a builder for each new version of the U.S. EPA ENERGY STAR Certified Homes program. The updates and changes to program performance standards, which are required to ensure program requirements remain consistently above the current ECCC of NYS, can present significant hurdles to participation. Feedback received during recent stakeholder meetings held by NYSERDA indicate a need for support at the 'point of entry,' as builders and raters may be reluctant to commit resources to participation at the new performance level until program guidelines and compliance requirements are fully understood. In addition, a \$500 per dwelling unit incentive for affordable new construction projects is available to owner-occupied projects, where the homebuyer meets the income threshold.

The Program combines gas and electric efficiency measures to achieve the required energy efficiency thresholds. The Program incentives will be prorated based on energy savings between EEPS natural gas and EEPS electric funding. If the home heats with a fuel other than natural gas or electricity (such as propane), the dekatherm portion of the incentive will be paid from another funding source. The incentive structure is as follows:

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<sup>55</sup> Between 2010 and 2012, the US EPA ENERGY STAR Certified Homes Program, on which the NYESH program is based, quickly transitioned from a program Version 2.0 to Version 2.5, before adopting the currently published program Version 3.0. These transitional changes were in direct response to changes to IECC, locally adopted as ECCC2010 of NYS. EPA has indicated that the ENERGY STAR Certified Homes standards will continue to reflect a 15% savings above the current (local) energy code. Therefore, compliance with the EPA's Version 3.1 will be necessary to achieve the desired level of savings, once a more rigorous energy code is adopted by New York State.



**TABLE 11.8. NYESCH CUSTOMER INCENTIVES, PAGE 11-10**

Incentive	Size of Housing Unit	
	<1,500 ft <sup>2</sup>	>1,500 ft <sup>2</sup>
Builder Home Incentive (BHI) - Tier 1 (ENERGY STAR Version 3.0, with minimum performance standards)	\$2,000/unit	\$2,000/unit
Builder Home Incentive (BHI) - Tier 2 (ENERGY STAR Version 3.1, with minimum performance standards)	\$2,500/unit	\$3,000/unit
Builder Home Incentive (BHI) - Tier 3 (ENERGY STAR Version 3.1, with minimum performance standards as the base requirement, additionally designed to perform as a net zero energy home)	\$4,000/unit	\$8,000/unit
Model or Display Home Incentive offered to builder (offered in addition to BHI)	\$1,000/unit	\$1,000/unit
Affordable Housing Incentive (only available to home buyers, who will occupy the home)	\$500/unit	\$500/unit
First Plan Review and Rating Incentive (one incentive per EPA program version)	\$1,000	\$1,000

**TABLE 11.12. NEW YORK ENERGY STAR CERTIFIED HOMES OEM TIMELINE, PAGE 11-13**

Activity	2013	Jan 2014	Feb 2014	Mar 2014	Apr 2014	May 2014	June 2014	July 2014	Aug 2014	Sept 2014	Oct 2014	Nov 2014	Dec 2014
<b>PLANNING</b>													
Events													
Public Relations													
Email Marketing													
Online Advertising													
Paid Search/PPC													
<b>CONSUMER AWARENESS/DEMAND GENERATION</b>													
Online Advertising - Media													
Direct Marketing - Email													
Paid Search/PPC													
eNewsletter													
Microsite Development & Maintenance													
Development/Updates of Collateral & Other Tools													
Media Relations													
Retail Events													
Focus Groups													
<b>BUILDER / DEVELOPER AWARENESS/DEMAND GENERATION</b>													
Online Advertising - Media													
Direct Marketing - Email													
Paid Search/PPC													
Media Relations													
Retail Events													
Focus Groups													
<b>BUILDER / DEVELOPER ENGAGEMENT</b>													
Microsite Development & Maintenance													
Association Marketing/Events													
Development/Updates of Collateral & Other Tools													
<b>ANALYSIS</b>													
Monthly Metrics Reporting													

## SECTION 12: HOME PERFORMANCE WITH ENERGY STAR

TABLE 12.1. HPWES ELECTRIC BUDGET, PAGE 12-3

	12/17/12 Order	2012	2013	2014	2015	TOTAL
<b>General Administration<sup>1</sup></b>		\$353,888	\$386,802	\$419,125	-\$451,229	\$708,586
<b>Program</b>	\$18,857,588	\$3,773,331	\$4,124,280	\$4,468,916	-\$4,811,232	\$7,555,295
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$65,000	\$289,930	\$289,930	\$289,930	\$934,790
<i>Trade Ally Training</i>		\$215,214	\$187,270	\$206,694	\$229,510	\$838,688
<i>Incentives and Services</i>		\$2,990,950	\$3,171,887	\$3,461,041	-\$5,921,196	\$3,702,682
<i>Direct Program Implementation</i>		\$502,167	\$475,193	\$511,251	\$590,524	\$2,079,135
<b>Program Evaluation<sup>1</sup></b>	\$1,010,588	\$221,180	\$241,751	\$261,953	-\$282,019	\$442,865
<b>NYS Cost Recovery Fee</b>	\$343,600	\$75,201	\$82,195	\$89,064	-\$95,886	\$150,574
<b>TOTAL</b>	\$20,211,776	\$4,423,600	\$4,835,028	\$5,239,058	-\$5,640,365	\$8,857,321
<p><sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.</p> <p>Note: Columns and rows may not exactly add up due to rounding.</p>						

**TABLE 12.2. HPWES GAS BUDGET, PAGE 12-4**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>General Administration<sup>1</sup></b>	\$57,167,296	\$1,069,111	\$1,170,637	\$1,204,606	-\$6,064	\$3,438,290
<b>Program</b>		\$11,399,394	\$12,481,917	\$12,844,114	-\$64,655	\$36,660,770
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$1,680,200	\$1,515,055	\$1,385,886	\$644,224	\$5,225,365
<i>Trade Ally Training</i>		\$1,021,906	\$1,084,712	\$1,197,976	\$1,283,028	\$4,587,622
<i>Incentives and Services</i>		\$6,669,638	\$7,621,614	\$7,688,913	-\$4,770,389	\$17,209,776
<i>Direct Program Implementation</i>		\$2,027,650	\$2,260,536	\$2,571,339	\$2,778,482	\$9,638,007
<b>Program Evaluation<sup>1</sup></b>	\$3,063,627	\$668,194	\$731,648	\$752,879	-\$3,790	\$2,148,931
<b>NYS Cost Recovery Fee</b>	\$1,041,633	\$227,186	\$248,760	\$255,979	-\$1,289	\$730,636
<b>TOTAL</b>	\$61,272,556	\$13,363,885	\$14,632,962	\$15,057,578	-\$75,799	\$42,978,626
<p><sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.</p> <p>Note: Columns and rows may not exactly add up due to rounding.</p>						

**TABLE 12.3 HPWES ELECTRIC SAVINGS, PAGE 12-7**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Electric Savings - MWh</b>	30,045	6,576	7,187	7,788	-8,384	13,167

**TABLE 12.4. HPWES GAS SAVINGS, PAGE 12-7**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Savings - Dth</b>	1,048,410	228,657	250,371	257,636	-1,274	735,390

**TABLE 12.6. HPWES ELECTRIC CUSTOMERS SERVED, PAGE 12-7**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Customers receiving Electric Services</b>	5,978	6,534	7,080	-7,622	11,970
<i>Note: Customers receiving electric services and customers receiving gas services are not additive.</i>					
<i>Note: These figures represent projects and not necessarily number of units.</i>					

**TABLE 12.6. HPWES GAS CUSTOMERS SERVED, PAGE 12-8**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Customers receiving Gas Services</b>	6,929	7,587	7,807	-39	22,284
<i>Note: Customers receiving electric services and customers receiving gas services are not additive.</i>					
<i>Note: These figures represent projects and not necessarily number of units.</i>					

## 12.7 ELIGIBLE ENERGY EFFICIENCY MEASURES AND ASSOCIATED CUSTOMER INCENTIVES

**TABLE 12.9. HPWES ELECTRIC AND GAS ELIGIBLE MEASURES, PAGES 12-10, 12-11**

<b>Eligible Measures List</b>	
<b>Gas Measures</b>	
<b>Building Shell</b>	Air Sealing (blower door-assisted)
	Insulation (see program rules below)
<b>Primary Heating</b>	Boiler (Hot Water)- 85% AFUE (ENERGY STAR)
	Boiler (Steam)- 82% AFUE (ENERGY STAR)
	Boiler (Condensing)- 90% AFUE (ENERGY STAR)
	Boiler Reset Control
	Duct Insulation
	Duct Sealing
	Furnace- 90% AFUE (ENERGY STAR)
	Furnace- 92% AFUE w/ ECM (ENERGY STAR)
	Furnace- 95% AFUE w/ ECM (ENERGY STAR)
	Pipe Insulation (12 ft.)
	Programmable Thermostat (1 per dwelling unit)
<b>Water Heating</b>	Storage Water Heater (ENERGY STAR, greater than or equal to 40 gallons, with a minimum EF of .67)
	Indirect Water Heater
	Pipe Insulation (12 ft.)
	Tankless Water Heater (ENERGY STAR, with a minimum EF of .82)
	Thermostatic Shower Restriction Valve
<b>Low-Flow Devices</b>	Faucet Aerator
	Low-Flow Showerhead

<b>Electric Measures</b>	
Building Shell	Air Sealing (blower door-assisted)
	Insulation (see program rules below)
Primary Heating and Cooling	Air Source Heat Pump (ENERGY STAR, minimum of 14 SEER / 8.6 HSPF) <i>(Site-specific TRC screening required)</i>
	Central Air Conditioner (ENERGY STAR, minimum of 14 SEER/11EER) <i>(Site-specific TRC screening required)</i>
	Duct Insulation
	Duct Sealing
	Room Air Conditioner (ENERGY STAR)
	Pipe Insulation (12 ft.)
	Programmable Thermostat (1 per dwelling unit)
Water Heating	Heat Pump Water Heater (ENERGY STAR, with a minimum EF of 2.2; must be installed in an unconditioned space)
	Pipe Insulation (12 ft.)
	Tankless Water Heater (ENERGY STAR, with a minimum EF of .82)
	Thermostatic Shower Restriction Valve
Appliances and Lighting	CFL (Lamp)
	Dehumidifier (ENERGY STAR)
	Faucet Aerator
	Freezer (ENERGY STAR) <i>(Site-specific TRC screening required)</i>
	LED Lamp
Refrigerator (ENERGY STAR/CEE Tier 2 or higher; must be $\geq$ 10 yrs old) <i>(Site-specific TRC screening required)</i>	
Low-Flow Devices	Faucet Aerator
	Low-Flow Showerhead

Maximum Pre-Existing and Post Installation Insulation Levels by Building Component* <i>Natural Gas or Electric Heat – with and without Central Air Conditioning (CAC)</i>		
<i>Building Component</i>	<i>Building Component</i>	<i>Building Component</i>
Attic Floor without Decking	Attic Floor without Decking	Attic Floor without Decking
Attic Floor with Decking	Attic Floor with Decking	Attic Floor with Decking
Exterior Wall	Exterior Wall	Exterior Wall
Attic Slope	Attic Slope	
Basement or Crawlspace Ceiling	Basement or Crawlspace Ceiling	



## **SECTION 13: STATEWIDE RESIDENTIAL POINT-OF-SALE PROGRAM**

### **13.7 ELIGIBLE ENERGY EFFICIENCY MEASURES AND ASSOCIATED CUSTOMER INCENTIVES, PAGE 13-9**

The Program's Sales Performance Payment initiative focuses on providing incentives for standard CFLs, while the upstream incentive model promotes quality, cost-effective solid-state lighting, and specialty and exterior CFLs, including lamps and fixtures that are currently available in the market.<sup>72</sup> NYSERDA has dedicated approximately 59% of the incentive budget for 2013-2015 for the performance based initiative for standard CFLs. The remaining 41% of the incentive budget will be dedicated for specialty CFLs and LEDs.<sup>73</sup>

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<sup>72</sup> NYSERDA Staff will work with DPS to identify which specialty and exterior CFL applications to include, with specific consideration being given to globes, reflectors, A-shape CFLs, three-way CFLs, dimmable CFLs, bare mini-spirals, GU24 based lamps, and exterior fluorescent fixtures. Interior fluorescent fixtures will not be included in this program as they are not considered to be cost-effective at this time. NYSERDA may reconsider these and other products if market activities result in cost-effective products that meet program criteria.

<sup>73</sup> The initial allocation of incentive dollars for the 2013-2015 time period was 75% to the performance based initiative for standard CFLs, with the remaining 25% allocated to LEDs and specialty CFLs (SCFLs). NYSERDA experienced significant demand for incentives for specialty CFLs and LEDs from manufacturers during 2012 and 2013. To take advantage of this demand, NYSERDA fully committed the original 2012-2015 incentive budget that was available for SCFLs and LEDs at that time. To meet the continued demand for SCFLs and LEDs, NYSERDA shifted an additional \$2 million in incentive dollars from standard CFLs to SCFLs and LEDs. This shift, communicated in a November 8, 2013 Notification Letter from Karen Hamilton to Colleen Gerwitz, results in 59% of the 2013-2015 incentive budget dedicated to standard CFLs and 41% for specialty CFLs and LEDs. NYSERDA will continue to work in consultation with DPS staff if it is determined that this ratio should be modified based on market condition, program performance, and progress toward the energy saving goals.

**TABLE 13.1 RESIDENTIAL POINT-OF-SALE PROGRAM BUDGET, PAGE 13-3**

	12/17/12 Order	2012	2013	2014	2015	TOTAL
<b>General Administration<sup>1</sup></b>		\$502,549	\$670,962	\$502,549	-\$613,109	\$1,062,952
<b>Program</b>	\$23,443,927	\$5,358,432	\$7,295,184	\$5,358,433	-\$6,678,318	\$11,333,730
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$413,127	\$413,128	\$413,128	\$413,127	\$1,652,510
<i>Trade Ally Training</i>		\$514,485	\$514,485	\$514,485	\$314,485	\$1,857,940
<i>Incentives and Services</i>		\$4,210,327	\$6,147,078	\$4,210,327	-\$7,501,423	\$7,066,309
<i>Direct Program Implementation</i>		\$220,493	\$220,493	\$220,493	\$95,493	\$756,972
<b>Program Evaluation<sup>1</sup></b>	\$1,256,372	\$314,093	\$314,093	\$314,093	-\$277,935	\$664,344
<b>NYS Cost Recovery Fee</b>	\$427,167	\$106,791	\$106,792	\$106,792	-\$94,497	\$225,878
<b>TOTAL</b>	\$25,127,466	\$6,281,865	\$8,387,031	\$6,281,867	-\$7,663,859	\$13,286,904

<sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.

Note: Columns and rows may not exactly add up due to rounding.

**TABLE 3.2 RESIDENTIAL POINT-OF-SALE PROGRAM ENERGY SAVINGS (ESTIMATED),PAGE 13-6**

	12/17/12 Order	2012	2013	2014	2015	TOTAL
<b>Electric Savings - MWh</b>	1,324,126	299,054	375,293	304,805	-278,981	700,171

**TABLE 13.3 PARTICIPATION GOALS FOR TOTAL POS (ESTIMATED) PAGE 13-7**

		2012	2013	2014	2015	Total
SPP	# of Manufacturer Partners	0	2	0	0	2
	# of Retailer Partners	0	3	0	0	3
	# of Bulbs Incented	0	7,428,085	0	0	7,428,085
Upstream Incentives	# of Manufacturer Partners	35	36	0	0	71
	# of Retailer Partners	86	89	0	0	175
	# of Bulbs Incented	247,852	266,947	0	0	514,799
<p>Note: Partners may participate in both SPP and Upstream Incentives and therefore overlap between the two partner groups is anticipated</p>						

## SECTION 14: EMPOWER NEW YORK PROGRAM

**TABLE 14.2A EMPOWER NEW YORK<sup>SM</sup> GAS PROGRAM BUDGET TOTAL FUNDING, PAGE 14-3**

<b>EmPower Gas Total</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>Total</b>
Program & Admin Costs	\$14,968,366	\$22,097,337	\$22,026,881	\$40,407,548	\$99,500,132
Program Only	\$13,684,905	\$20,202,603	\$20,148,050	\$37,925,452	\$91,961,009
Admin Only	\$1,283,461	\$1,894,734	\$1,878,830	\$2,482,098	\$7,539,123
Eval/M&V Cost	\$931,064	\$931,064	\$1,054,767	\$1,825,877	\$4,742,772
NYS Cost Recovery	\$231,592	\$231,592	\$341,626	\$807,730	\$1,612,540
<b>Total</b>	<b>\$16,131,022</b>	<b>\$23,259,993</b>	<b>\$23,423,274</b>	<b>\$43,041,155</b>	<b>\$105,855,444</b>

*Note: Columns and rows may not exactly add up due to rounding.*

**TABLE 14.2B EMPOWER NEW YORK<sup>SM</sup> GAS PROGRAM BUDGET FUNDED, PAGE 14-3**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>General Administration<sup>1</sup></b>	\$69,494,587	\$1,283,461	\$1,894,734	\$1,878,830	\$2,482,098	\$7,539,123
<b>Program</b>		\$13,684,905	\$20,202,603	\$20,148,050	\$37,925,452	\$91,961,009
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$684,354	\$684,354	\$540,386	-\$405,035	\$1,504,059
<i>Trade Ally Training</i>		\$547,795	\$547,795	\$476,175	\$619,415	\$2,191,179
<i>Incentives and Services</i>		\$11,003,381	\$17,521,079	\$17,921,578	\$35,589,675	\$82,035,713

<i>Direct Program Implementation</i>		\$1,449,375	\$1,449,375	\$1,209,912	\$2,121,397	\$6,230,059
<b>Program Evaluation<sup>1</sup></b>	\$3,724,256	\$931,064	\$931,064	\$1,054,767	\$1,825,877	\$4,724,772
<b>NYS Cost Recovery Fee</b>	\$926,368	\$231,592	\$231,592	\$341,626	\$807,730	\$1,612,540
<b>TOTAL</b>	<b>\$74,145,211</b>	<b>\$16,131,022</b>	<b>\$23,259,993</b>	<b>\$23,423,271</b>	<b>\$43,041,155</b>	<b>\$105,855,444</b>
<i>Note: Columns and rows may not exactly add up due to rounding.</i>						

**TABLE 14.4. EMPOWER NEW YORK<sup>SM</sup> GAS PROGRAM TOTAL ENERGY SAVINGS, PAGE 14-7**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Savings - Dth</b>	746,987	106,072	179,277	237,542	369,596	892,487

**TABLE 14.6. EMPOWER NEW YORK<sup>SM</sup> GAS CUSTOMERS SERVED TOTAL, PAGE 14-7**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Customers receiving Gas Services</b>	3,144	5,006	5,168	9,477	22,795

*Note: Customers receiving electric services and customers receiving gas services are not additive.*

**TABLE 14.16. EMPOWER NEW YORK<sup>SM</sup> ELECTRIC AND GAS OEM BUDGET PAGE 14-14**

<b>OEM Element</b>	<b>Electric Funds</b>	<b>Gas Funded</b>	<b>TOTAL</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>
Workshops	\$343,764	\$365,408	\$800,000	\$200,000	\$200,000	\$200,000	\$200,000
Referral Bounty	\$687,528	\$21,101	\$1,600,000	\$400,000	\$400,000	\$400,000	\$400,000
<i>Marketing Elements<sup>1</sup></i>	\$232,041	\$222,818	\$540,000	\$135,000	\$135,000	\$135,000	\$135,000
<i>Television</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<i>Radio</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<i>Internet</i>	\$343,764	\$371,321	\$800,000	\$200,000	\$200,000	\$200,000	\$200,000
<i>Print</i>	\$171,882	\$211,291	\$400,000	\$100,000	\$100,000	\$100,000	\$100,000
<i>Direct Marketing</i>	\$232,041	\$254,011	\$540,000	\$135,000	\$135,000	\$135,000	\$135,000
<i>Public Relations</i>	\$51,565	\$58,109	\$120,000	\$30,000	\$30,000	\$30,000	\$30,000
SUBTOTAL - Integrated Marketing Support <sup>2</sup>	\$1,031,292	\$1,117,550	\$2,400,000	\$600,000	\$600,000	\$600,000	\$600,000
<b>TOTAL</b>	<b>\$2,062,584</b>	<b>\$1,504,059</b>	<b>\$4,800,000</b>	<b>\$1,200,000</b>	<b>\$1,200,000</b>	<b>\$1,200,000</b>	<b>\$1,200,000</b>

<sup>1</sup>Marketing elements include collateral materials and engagement tools (position papers, case studies, etc.)

<sup>2</sup>Integrated Marketing Support breakdowns for 2013-2015 are subject to change based on ongoing evaluation and measurement for program refinement and effectiveness

## SECTION 15: ASSISTED NEW YORK ENERGY STAR CERTIFIED HOMES

### 15.1 PROGRAM DESCRIPTION, PAGES 15-1, 15-2

Effective April 2014, NYSERDA consolidated the EEPS electric and gas components of the Assisted New York ENERGY STAR Certified Homes (ANYESCH) program with the electric and gas components of the NYESCH program in order to provide the market with a streamlined point of entry for high performance residential new construction projects.<sup>88</sup> With the exception of an additional \$500/dwelling unit incentive, which is provided to the owner of an "Assisted" project, the ANYESCH and NYESCH programs and supported projects are identical with regard to minimum performance standards and remaining incentives available.

With the consolidation of programs, the balance of unexpended ANYESCH electric and gas budgets, in addition to the balance of unacquired ANYESCH electric and gas savings have been reallocated to the electric and gas components of the NYESCH program, respectively.

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<sup>88</sup> The consolidation of programs and transition to a tiered incentive approach was communicated in an April 10, 2014 Notification Letter from Tom Barone, Acting V.P. of Energy Services to Secretary Burgess.



## 15.2 BUDGET

**TABLE 15.1. ANYESCH ELECTRIC BUDGET, PAGE 15-3**

	12/17/12 Order	2012	2013	2014	2015	TOTAL
<b>General Administration<sup>1</sup></b>	\$1,967,632	\$30,369	\$35,430	\$87,694	\$0	\$153,493
<b>Program</b>		\$323,805	\$377,773	-\$49,671	\$0	\$651,907
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$18,000	\$21,000	\$4,965	\$0	\$43,965
<i>Trade Ally Training</i>		\$27,773	\$32,402	-\$21,303	\$0	\$38,872
<i>Incentives and Services</i>		\$216,215	\$252,251	-\$20,910	\$0	\$447,556
<i>Direct Program Implementation</i>		\$61,817	\$72,120	-\$12,424	\$0	\$121,513
<b>Program Evaluation<sup>1</sup></b>	\$105,446	\$18,980	\$22,144	-\$38,882	\$0	\$2,242
<b>NYS Cost Recovery Fee</b>	\$35,852	\$6,453	\$7,529	\$6,934	\$0	\$20,916
<b>TOTAL</b>	\$2,108,930	\$379,607	\$442,876	\$6,076	\$0	\$828,558

<sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.

Effective April 2014, the unexpended EEPS II electric budget for the Assisted New York ENERGY STAR Homes program was reallocated to the EEPS II electric budget for the NYESCH program, over the 2014 and 2015 program years.

Note: Columns and rows may not exactly add up due to rounding.

**TABLE 15.2. ANYESCH GAS BUDGET, PAGE 15-4**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>General Administration<sup>1</sup></b>	\$11,207,110	\$172,971	\$201,800	\$60,526	-\$1,407	\$433,890
<b>Program</b>		\$1,844,308	\$2,151,693	-\$1,120,081	-\$15,000	\$2,860,921
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$72,000	\$84,000	\$19,930	\$0	\$175,930
<i>Trade Ally Training</i>		\$154,164	\$179,858	-\$113,792	\$0	\$220,230
<i>Incentives and Services</i>		\$1,282,215	\$1,495,918	-\$923,222	-\$15,000	\$1,839,912
<i>Direct Program Implementation</i>		\$335,929	\$391,917	-\$102,997	\$0	\$624,849
<b>Program Evaluation<sup>1</sup></b>	\$600,596	\$108,107	\$126,125	-\$231,990	-\$879	\$1,363
<b>NYS Cost Recovery Fee</b>	\$204,203	\$36,756	\$42,883	\$6,170	-\$299	\$85,510
<b>TOTAL</b>	<b>\$12,011,909</b>	<b>\$2,162,142</b>	<b>\$2,522,501</b>	<b>-\$1,285,374</b>	<b>-\$17,585</b>	<b>\$3,381,684</b>
<p><sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.</p> <p>Effective April 2014, the unexpended EEPS II gas budget for the Assisted New York ENERGY STAR Homes program was reallocated to the EEPS II gas budget for the NYESCH program, over the 2014 and 2015 program years.</p> <p>Note: Columns and rows may not exactly add up due to rounding.</p>						

### 15.3 ENERGY SAVINGS

**TABLE 15.3. ANYESCH ELECTRIC SAVINGS, PAGE 15-7**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Electric Savings - MWh</b>	5,757	1,036	1,209	-574	0	1,671
<i>Effective April 2014, the balance of the unacquired MWh target for the Assisted New York ENERGY STAR Homes program was reallocated to the NYESCH MWh targets for the 2014 and 2015 program years.</i>						

**TABLE 15.4. ANYESCH GAS SAVINGS, PAGE 15-6**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Savings – Dth</b>	154,716	21,325	24,879	-28,169	-93	17,942
<i>Effective April 2014, the balance of the unacquired Dth target for the Assisted New York ENERGY STAR Homes program was reallocated to the NYESCH Dth targets for the 2014 and 2015 program years.</i>						

### 15.4 CUSTOMER PARTICIPATION

**TABLE 15.5. ANYESCH ELECTRIC CUSTOMERS SERVED, PAGE 15-7**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Customers receiving electric services</b>	640	746	-298	0	1,088
<i>Note: Customers receiving electric services and customers receiving gas services are not additive.</i>					

**TABLE 15.6. ANYESCH GAS CUSTOMERS SERVED, PAGE 15-7**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Customers receiving gas services</b>	836	976	-845	-5	962
<i>Note: Customers receiving electric services and customers receiving gas services are not additive.</i>					

## SECTION 16: ASSISTED HOME PERFORMANCE WITH ENERGY STAR

TABLE 16.1 AHPWES ELECTRIC BUDGET PAGE 16-3

	12/17/12 Order	2012	2013	2014	2015	TOTAL
<b>General Administration<sup>1</sup></b>	\$8,531,108	\$152,605	\$174,883	\$192,402	-\$362,966	\$156,925
<b>Program</b>		\$1,627,155	\$1,864,696	\$2,051,489	-\$3,870,130	\$1,673,210
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$25,000	\$25,225	\$25,225	\$25,225	\$100,675
<i>Trade Ally Training</i>		\$8,232	\$10,272	\$12,948	\$13,390	\$44,842
<i>Incentives and Services</i>		\$1,440,878	\$1,669,654	\$1,840,816	-\$4,103,495	\$847,853
<i>Direct Program Implementation</i>		\$153,045	\$159,545	\$172,500	\$194,750	\$679,840
<b>Program Evaluation<sup>1</sup></b>	\$457,184	\$95,378	\$109,300	\$120,251	-\$226,854	\$98,075
<b>NYS Cost Recovery Fee</b>	\$155,444	\$32,429	\$37,163	\$40,885	-\$77,130	\$33,347
<b>TOTAL</b>	<b>\$9,143,736</b>	<b>\$1,907,567</b>	<b>\$2,186,042</b>	<b>\$2,405,027</b>	<b>-\$4,537,080</b>	<b>\$1,961,557</b>
<p><sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures. Note: Columns and rows may not exactly add up due to rounding.</p>						

**TABLE 16.2 AHPWES GAS BUDGET PAGE 16-4**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>General Administration<sup>1</sup></b>	\$27,403,699	\$506,085	\$557,034	\$612,737	\$997,436	\$2,673,292
<b>Program</b>		\$5,396,136	\$5,939,371	\$6,533,308	\$10,635,156	\$28,503,970
<i>Program Planning</i>		\$0	\$0	\$0	\$0	\$0
<i>Program Outreach, Education, and Marketing</i>		\$283,850	\$286,275	\$286,275	\$286,275	\$1,142,675
<i>Trade Ally Training</i>		\$399,264	\$421,252	\$527,106	\$266,777	\$1,614,398
<i>Incentives and Services</i>		\$3,684,922	\$4,128,681	\$4,486,550	\$8,713,144	\$21,013,301
<i>Direct Program Implementation</i>		\$1,028,100	\$1,103,162	\$1,233,377	\$1,368,960	\$4,733,599
<b>Program Evaluation<sup>1</sup></b>	\$1,468,580	\$316,303	\$348,146	\$382,961	\$623,397	\$1,670,807
<b>NYS Cost Recovery Fee</b>	\$499,318	\$107,543	\$118,370	\$130,207	\$211,955	\$568,075
<b>TOTAL</b>	<b>\$29,371,597</b>	<b>\$6,326,067</b>	<b>\$6,962,921</b>	<b>\$7,659,213</b>	<b>\$12,467,944</b>	<b>\$33,416,144</b>

<sup>1</sup> NYSERDA's administration and evaluation budgets are limited to not more than 8% and 5 %, respectively, of NYSERDA's EEPS electric and gas portfolio funding. In the EEPS Orders and EEPS Operating Plan filings, these program level administration and evaluation budget rates have been used to establish administration and evaluation budgets for individual programs. As described and authorized in the October 25, 2011 EEPS Order, actual expenditures and commitments for program administration or program evaluation by program may be more than the budget so long as the total aggregate portfolio does not exceed the total aggregate EEPS electric or EEPS gas budget in each budget category. Consequently, reported total expenditures and commitments for individual programs may be over the authorized budget for the program. Also, actual commitment and expenditure of administration and evaluation budgets may be more or less than the annual budgets with expenditures occurring up to three years beyond program expenditures.

Note: Columns and rows may not exactly add up due to rounding.

### 16.3 ENERGY SAVINGS

**TABLE 16.3. AHPWES ELECTRIC SAVINGS, PAGE 16-7**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Electric Savings - MWh</b>	7,947	1,658	1,900	2,090	-3,943	1,705

**TABLE 16.4. AHPWES GAS SAVINGS, PAGE 16-7**

	<b>12/17/12 Order</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Gas Savings – Dth</b>	228,294	49,170	54,120	59,532	134,677	297,499

### 16.4 CUSTOMER PARTICIPATION

**TABLE 16.5. AHPWES ELECTRIC CUSTOMERS SERVED, PAGE 16-7**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Customers receiving electric services</b>	1,507	1,727	1,900	-3,585	1,549
<i>Note: Customers receiving electric services and customers receiving gas services are not additive.</i>					

**TABLE 16.6. AHPWES GAS CUSTOMERS SERVED, PAGE 16-8**

	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>TOTAL</b>
<b>Customers receiving gas services</b>	1,490	1,640	1,804	4,081	9,015
<i>Note: Customers receiving electric services and customers receiving gas services are not additive.</i>					

## 16.7 ELIGIBLE ENERGY EFFICIENCY MEASURES AND ASSOCIATED CUSTOMER INCENTIVES

TABLE 16.9. AHPWES ELECTRIC AND GAS ELIGIBLE MEASURES, PAGES 16-10, 16-11

<b>Eligible Measures List</b>	
<b>Gas Measures</b>	
<b>Building Shell</b>	Air Sealing (blower door-assisted)
	Insulation (see program rules below)
<b>Primary Heating</b>	Boiler (Hot Water)- 85% AFUE (ENERGY STAR)
	Boiler (Steam)- 82% AFUE (ENERGY STAR)
	Boiler (Condensing)- 90% AFUE (ENERGY STAR)
	Boiler Reset Control
	Duct Insulation
	Duct Sealing
	Furnace- 90% AFUE (ENERGY STAR)
	Furnace- 92% AFUE w/ ECM (ENERGY STAR)
	Furnace- 95% AFUE w/ ECM (ENERGY STAR)
	Pipe Insulation (12 ft.)
	Programmable Thermostat (1 per dwelling unit)
<b>Water Heating</b>	Storage Water Heater (ENERGY STAR, greater than or equal to 40 gallons, with a minimum EF of .67)
	Indirect Water Heater
	Pipe Insulation (12 ft.)
	Tankless Water Heater (ENERGY STAR, with a minimum EF of .82)
	Thermostatic Shower Restriction Valve
<b>Low-Flow Devi</b>	Faucet Aerator

	Low-Flow Showerhead
<b>Electric Measures</b>	
Building Shell	Air Sealing (blower door-assisted)
	Insulation (see program rules below)
Primary Heating and Cooling	Air Source Heat Pump (ENERGY STAR, minimum of 14 SEER / 8.6 HSPF) <i>(Site-specific TRC screening required)</i>
	Central Air Conditioner (ENERGY STAR, minimum of 14 SEER/11EER) <i>(Site-specific TRC screening required)</i>
	Duct Insulation
	Duct Sealing
	Room Air Conditioner (ENERGY STAR)
	Pipe Insulation (12 ft.)
	Programmable Thermostat (1 per dwelling unit)
Water Heating	Heat Pump Water Heater (ENERGY STAR, with a minimum EF of 2.2; must be installed in an unconditioned space)
	Pipe Insulation (12 ft.)
	Tankless Water Heater (ENERGY STAR, with a minimum EF of .82)
	Thermostatic Shower Restriction Valve
Appliances and Lighting	CFL (Lamp)
	Dehumidifier (ENERGY STAR)
	Faucet Aerator
	Freezer (ENERGY STAR) <i>(Site-specific TRC screening required)</i>
	LED Lamp
	Refrigerator (ENERGY STAR/CEE Tier 2 or higher; must be $\geq$ 10 yrs old) <i>(Site-specific TRC screening required)</i>
Low-Flow Devices	Faucet Aerator
	Low-Flow Showerhead



Maximum Pre-Existing and Post Installation Insulation Levels by Building Component* <i>Natural Gas or Electric Heat – with and without Central Air Conditioning (CAC)</i>		
<i>Building Component</i>	<i>Maximum Effective R-Value of Pre-Existing Insulation</i>	<i>Maximum Post Installation Insulation Level</i>
Attic Floor without Decking	R-15 Statewide	Cellulose and Fiberglass - R-60 Statewide Spray Foam - R-49 Statewide
Attic Floor with Decking	R-8 Statewide	R-30 Statewide
Exterior Wall	R-5 Statewide	R-13 Statewide
Attic Slope	R-5 Statewide	R-19 Statewide
Basement or Crawlspace Ceiling	Site specific TRC analysis to be conducted	
*Insulation must be accompanied by blower door-assisted air sealing, in accordance with Building Performance Institute (BPI) and program guidelines		