

**PROCESS EVALUATION and MARKET CHARACTERIZATION ASSESSMENT**

**GJGNY Outreach Program**

Final Report

Prepared for

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

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## **ABSTRACT AND KEY WORDS**

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This report presents the results of a process evaluation and market characterization assessment of the Green Jobs Green New York (GJGNY) Outreach program, through which constituency-based organizations (CBOs) conducted outreach with priority communities to encourage residential, small business/not-for-profit, and multifamily energy efficiency projects, as well as workforce development training and certification. This CBO Outreach program makes up one component of the larger GJGNY program.

Data collection activities informing this evaluation included interviews with all of the CBOs contracted to conduct outreach, site visits with selected CBOs, program materials and tracking systems review, and interviews with program and implementation staff.

At the time of this report, a majority of CBO resources are allocated to residential energy efficiency outreach. Many CBOs have successfully helped their constituencies access NYSERDA's residential energy efficiency program services through tailoring their outreach strategies to meet their constituents' needs and through providing one-on-one follow-up throughout the retrofit process. CBO focus on the small business/not-for profit and multifamily sectors was limited, and CBO potential for success in these sectors is difficult to assess at this point. In their workforce development outreach, CBOs have had success in recruiting green jobs trainees, but faced challenges in encouraging certification and accreditation of residential retrofit contractors.

**Key Words:** Green Jobs Green New York (GJGNY), Constituency-Based Organization (CBO), energy efficiency, workforce development, aggregation, outreach.

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## **SUMMARY**

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This report presents the results of a process evaluation and market characterization assessment (PE/MCA) of the Green Jobs Green New York (GJGNY) Outreach program conducted between January and July 2013.

On October 9, 2009, the GJGNY Act of 2009 was signed into law. The Act directs New York State Energy Research and Development Authority (NYSERDA) to establish and administer the GJGNY program. NYSEDA was directed to implement the program in consultation with the Division of Housing and Community Renewal, Department of Labor, Office of Temporary and Disability Assistance, Department of Public Service, Power Authority of the State of New York, Department of Economic Development, and the Department of Environmental Conservation. The program is funded with \$112 million from the proceeds of selling carbon dioxide allowances under the Regional Greenhouse Gas Initiative (RGGI).

The GJGNY program is a statewide program to promote energy efficiency and the installation of clean technologies to reduce energy costs and greenhouse gas emissions. The program provides access to no-cost and reduced-cost energy audits, installation services, low-cost financing through revolving loan funds, workforce development, job placement, and outreach by Constituency-Based Organizations (CBOs) serving targeted communities. GJGNY program components have been integrated into the following existing NYSEDA efforts: Workforce Development, Home Performance with ENERGY STAR<sup>®</sup> (HPwES), Multifamily Performance Program (MPP), Small Commercial Energy Efficiency program, and Outreach through CBOs.

CBO activities are just one component of the GJGNY program; however, they touch upon all of the other components (Workforce Development, HPwES, MPP, and Small Commercial Energy Efficiency program). Some CBOs also conduct aggregation pilots to encourage HPwES retrofits by grouping retrofit projects into clusters using the same HPwES contractor to reduce costs, streamline program processes, and provide community benefits. While the scopes of work that guide each CBO are different, as a group the CBOs work to connect community members to GJGNY program services including those that support workforce development training, as well as audits and financing, in order to spur energy upgrades. In addition to describing the specific activities of the CBOs, this PE/MCA documents the experience of the CBOs during project ramp up, including preparing their proposals and negotiating their scopes of work, the value of training and tools provided, and the outreach support services they have received.

Data collection activities informing this evaluation included in-depth interviews with NYSEDA program staff, implementation contractor staff, and each of the CBOs conducting outreach. The evaluation team also reviewed supporting program documentation and conducted site visits with four high-performing CBOs.

### **FINDINGS FOR PROGRAM COMPONENTS**

The evaluation team identified findings for each type of outreach that CBOs conducted.

#### **Residential Outreach**

CBOs' primary activity is conducting outreach to encourage residential retrofits eligible for NYSEDA's HPwES program. Although the GJGNY Outreach program will likely not meet its retrofit goals within the two-year timeframe of the program, many CBOs are successfully helping their constituencies access NYSEDA's energy efficiency programs. The most successful CBOs are leveraging their credibility with their constituents by conducting outreach activities individually tailored to meet their constituents' needs. High-touch strategies that provide one-on-one follow-up also appear to be key to generating retrofits.

Establishing good relationships with retrofit contractors and helping participants access funding to complete needed health and safety upgrades prior to the energy efficiency upgrades also emerged as elements of successful strategies.

The organizations conducting residential outreach have encountered several notable challenges. Encouraging leads to complete audits and retrofits, ensuring potential participants secure project funding, and overcoming the skepticism of potential participants to encourage retrofit completion have all been more challenging than expected. Finding reliable and time-responsive contractors and helping participants navigate the HPwES program have also challenged CBOs. Virtually all CBOs substantially adapted their strategies to overcome these challenges throughout the contract period.

### **Multifamily Outreach**

As of August 2013, CBOs had made limited progress in the multifamily sector. Because of the time involved in recruiting and assessing multifamily buildings and the complex financial factors involved in comprehensive multifamily building retrofits, current progress may not represent the full potential for CBO outreach in this sector. Additionally, three of the four organizations with multifamily goals are operating with performance payments based on progress toward their single-family goals, which could lead to prioritizing single-family projects over multifamily outreach. One CBO has successfully undertaken retrofits in buildings owned by an organization with which this CBO had an existing business relationship. It is not yet clear whether CBO outreach can be broadly successful in the multifamily sector, but this example illustrates the value of existing relationships with building owners and managers in influencing multifamily retrofits.

### **Small Business/Not-for-Profit Outreach**

In general, CBO focus on the small business/not-for-profit sector was limited. None of the CBO performance payments were awarded based on activities in this sector, so they had little external motivation. Similar to multifamily findings, preliminary results indicate that a lack of direct influence in the regional small business/not-for-profit market can be a barrier to successful CBO outreach. Many of the funded CBOs did not have existing credibility with the small business or not-for-profit sector, and instead attempted to partner with an organization or community actor with more access to and credibility with small businesses. This strategy was successful for at least one CBO. It is unclear whether other CBOs with credibility in this sector could be more successful in conducting this type of outreach.

The few CBOs who actively conducted outreach with this sector reported finding it difficult to interest small businesses and not-for-profit organizations in the Small Commercial Energy Efficiency program offer. CBOs reported several explanations for this apparent lack of interest, including the program participation requirements, other program offers in this sector, this sector's aversion to take on debt, and that the program inadequately addressed cost barriers. Given the small number of CBOs who attempted to work with this sector, it is difficult to conclude why there was so little interest.

### **Workforce Development Outreach**

CBOs conducted two types of workforce development outreach activities through the program: outreach to encourage "green jobs" training with job placement, and outreach to encourage certification and accreditation (particularly targeting residential contractors). While the workforce development component of the CBO activities has received much less attention than the residential component, CBOs have made good progress towards meeting their green jobs workforce goals. Organizations that had existing credibility in workforce development outreach and those who facilitate trainings tended to be the most successful.

Successful outreach activities that emerged from these efforts included emphasizing one-on-one follow-up and providing services that acknowledged and addressed personal or scheduling barriers that individuals face when seeking to complete job training programs.

CBOs encountered challenges in recruiting contractors to Building Performance Institute (BPI) trainings. CBOs reported that contractors, particularly the small contractors they worked with, found the upfront administrative and equipment costs too high to become an HPwES contractor, and were also unable to determine whether participating in HPwES would be good for their businesses.

### **Aggregation Pilots**

CBOs conducting aggregation pilots experienced success in generating residential retrofits and reported successful outcomes working with engaged local contractors. The formal retrofit contractor relationships these CBOs developed through aggregation facilitated open communication and retrofit completion. At the same time, though, some of the benefits of aggregation, such as cost reduction and contractor job creation, had not materialized. Several CBOs are maintaining the aggregation name while moving away from the “cluster” model because of both participant and contractor feedback. Participants become frustrated waiting for other cluster members to be recruited. Bundling retrofits did not streamline contractors’ processes. As bundling does not streamline the process, the extent to which aggregation has been effective in reducing costs is unclear. Finally, the project volume generated by aggregation has not been sufficient to support sustained contractor job creation.

## **SUMMARY OF EVALUATION FINDINGS**

The evaluation team has identified the following overarching findings from this evaluation:

### **Program Staff Provided Responsive and Effective CBO Support**

The Outreach program staff worked hard to integrate CBO activities into other GJGNY and NYSERDA programs. Cooperation between program and implementation staff members was particularly successful in the residential sector, where CBOs allocated the majority of their resources. The communication between Outreach and HPwES program and implementation staffs successfully facilitated CBO outreach in this sector. Across all CBO activities, the support provided to CBOs and Outreach staff’s responsiveness to meet evolving CBO needs was impressive.

### **Initiative Success is Difficult to Assess**

Having conducted outreach through the Outreach program for between eight and 18 months, many of the organizations involved have not yet had time to fully succeed or fail. It takes time to develop and refine outreach tactics that successfully promote retrofits or trainings within each organization’s constituency. It also takes time for recruited leads to complete projects through NYSERDA’s efficiency programs. Furthermore, even though these CBOs already occupy positions of trust within their constituencies, it may take time to leverage this existing trust into trust for energy efficiency specifically. While rates of CBO-attributed retrofits have increased throughout the program, it is not clear that additional time to conduct more outreach will lead to an exponential increase in efficiency retrofits attributed to CBOs. It may be too early to determine this with certainty, however.

### **Increasing Awareness Does Not Increase Participation**

Increasing community awareness of NYSERDA program opportunities is not, by itself, sufficient to increase targeted populations' participation in energy efficiency or workforce development programs: many CBOs quickly learned that awareness must be coupled with high-touch follow-up, as described below, to attain desired outcomes.

In all sectors of the GJGNY Outreach program, successful organizations were those that remained in contact with the participant throughout the process and helped address barriers as they emerged that, typically, were specific to the individual.

For residential efficiency retrofits, this high-touch outreach included support in working with the retrofit contractor, qualifying the participant for financing, and assisting in work scope development. For workforce development training, successful organizations addressed trainee needs beyond technical training by providing additional services, such as job skills training and transportation.

### **Effect of the Performance Payment**

The residential retrofit-based performance payment functionally de-prioritized activities other than residential outreach. Fourteen of 18 organizations have goals in more than one sector. Yet, because all but two of these organizations have performance payments based on completed residential retrofits, most CBOs prioritized their single-family retrofit activities over multifamily, small business/not-for-profit, and workforce development outreach. The effect of this payment structure means that CBO outreach success thus far is not necessarily indicative of CBO potential to conduct outreach in these other sectors. The performance payment was a focus for program staff and a source of frustration for CBOs during this first round of CBO contracts, because CBOs' contracted goals will not be met within the two-year timeframe of their contracts, affecting the total payments they expect to receive.

### **Alignment of Program Offers with Constituencies**

The success of CBO outreach is also affected by the programs they are promoting and their constituents' interest in accessing the program opportunities. While CBOs have the potential to expand program participation among previously nonparticipating populations, their success will, to some extent, reflect whether or not the program opportunity meets the needs of their constituents. While CBOs can help address individual barriers to participation among their constituents, they may be unable to overcome market and programmatic barriers to participation that are inherent in the population. Examples of programs where market barriers outside CBOs' control likely affect retrofit or training uptake include:

- **Small business/not-for-profit retrofits.** The few organizations who actively conducted outreach to small businesses and not-for-profit organizations achieved limited success in generating retrofits. CBO-reported difficulties in generating retrofits suggest that the lack of a direct link for the participants between the Small Commercial Energy Efficiency program and retrofit incentive programs may contribute to participant difficulties in overcoming transaction costs and upfront cost barriers.
- **Expanding the population of HPwES participating contractors.** In conducting outreach to nonparticipating contractors, CBOs reported finding barriers to contractor HPwES participation beyond BPI accreditation, including constraints in firms' administrative capacity, as well as uncertainty about the benefits of participation.



- **Residential HPwES retrofits in the New York City area.** The uniformly low rates of HPwES participation among 1- to 4-family homes in New York City and the immediately surrounding five boroughs suggests that there may be underlying market barriers to participation, beyond a lack of awareness and capacity to navigate the program.

## CONCLUSIONS AND RECOMMENDATIONS

The key purpose of this program is to leverage the relationships, trust, and credibility that some organizations have with their constituents to provide services to populations that would otherwise be difficult for NYSERDA to reach, particularly in the residential sector. This evaluation found preliminary evidence that these organizations are bringing NYSERDA services to these hard-to-reach constituencies. However, it remains uncertain that this type of constituency-based outreach will generate high volumes of retrofits in communities where there was previously little or no efficiency retrofit activity.

The program was successful in leveraging the CBOs' unique access to targeted residential populations. The evaluation team presents four conclusions and recommendations that provide both short-term and long-term suggestions to maximize NYSERDA's ability to leverage these organizations' positions of influence.

**Conclusion 1. The CBOs conducting GJGNY outreach were most successful when the targeted populations were part of their constituencies.** The particular value CBOs bring to GJGNY comes from their unique access to communities and constituents that NYSERDA has been unable to reach effectively. Current CBO outreach activities span several sectors, and 14 of 18 CBOs conduct outreach in more than one sector. CBOs experienced no efficiencies in attempting to conduct more than one type of outreach, however, and no CBOs conducted activities that successfully met more than a single type of outreach goal. The most successful CBOs were the ones who conducted activities that recognized and addressed the specific needs of their constituencies, rather than balancing multiple types of outreach with varying levels of alignment with their organizational abilities and their constituents' needs. These successful CBOs' constituents were also the program participation decision-makers: HPwES-eligible homeowners, job seekers, small business owners, and multifamily building owners and managers.

**Recommendation 1. Encourage focused CBO outreach by requiring that CBO applicants provide evidence that their constituents are eligible for, and can benefit from, the program offers for each sector in which they propose to conduct outreach.**

**Conclusion 2. The Outreach and HPwES programs have adjusted to the sometimes limited overlap between CBO constituents and HPwES-suitable households.** The HPwES program targets households with at least 60% of area median income (AMI), most often homeowners, who have the credit to secure a loan or otherwise afford the upfront cost of a comprehensive energy efficiency retrofit. The CBOs report a limited market for HPwES services among their constituents, who are, by definition, in economically or socially disadvantaged communities with a limited number of constituents who meet the target. In response to this overlap between CBO-targeted and low-income populations, NYSERDA staff made two programmatic changes. First, CBOs now receive \$20 compensation for each project they refer to NYSERDA's low-income program, EmPower. Second, these referrals can opt to complete a joint project between the EmPower program and HPwES, with the EmPower-eligible measures being installed first.

**Recommendation 2. Further leverage CBO outreach capabilities by increasing their integration in regional HPwES outreach.** CBO experience shows that high-touch follow-up can help convert HPwES leads to audits and then to retrofits. Expanded CBO engagement with retrofit contractors to follow-up with stalled HPwES participants in their region (those who had applied, but not yet received audits; or received audits, but not begun retrofits) could facilitate increased HPwES participation. Using CBOs to follow up with these leads would leverage the CBOs'

strengths and their position as trusted community organizations to meet GJGNY goals. Explore additional strategies to help CBOs strengthen their relationships with retrofit contractors, such as case studies of successful relationships or regional webinars. Consider establishing a sunset period for stalled audit-only leads after which CBOs can directly approach stalled leads in their regions.

**Conclusion 3. The performance payment used during the first two rounds of CBO contracts encouraged accountability in the residential sector, but did not distinguish between residential projects in standard income and targeted priority communities.** The performance payment encouraged most CBOs to focus on residential outreach. Within the residential sector, the performance payment has encouraged CBOs to monitor the effectiveness of their outreach strategies and adapt their approach in response to constituent need. The performance payment encouraged CBOs to recruit retrofits regardless of whether the participant is part of CBO's targeted priority communities. Therefore, some CBOs shifted their outreach to target non-priority, higher-income communities, in order to meet their residential retrofit goals. Preliminary performance data indicate that those CBOs that have had the most success in conducting targeted outreach to households in their priority communities (for example, recruiting the highest proportions of Assisted Home Performance with ENERGY STAR<sup>®</sup> (AHPwES) or GJGNY-financed projects, or having the highest retrofit success in an otherwise low-volume region) are not necessarily the CBOs that have made the most progress towards meeting their performance goals. There may be a tradeoff between meeting the residential performance payment goals and successfully targeting AHPwES-qualified constituents in economically distressed communities.

**Recommendation 3. Monitor the effects of the performance payment and consider alternative incentive structures to incent CBOs to target outreach to priority communities.** No CBOs will meet their residential performance goals in the first round of the CBO Outreach program; reducing the performance payment amount and goals will not necessarily fully address the issues discussed above. Explore whether other incentive structures could encourage residential outreach innovation without pressuring CBOs to recruit projects outside priority communities. For example, consider replacing the performance payment with contractual milestones that CBOs must meet to continue to receive funding.

**Conclusion 4. Data tracking limitations are a barrier to CBO outreach and goal tracking in the small business/not-for-profit sector.** The program tasks CBOs with completing small business and not-for-profit organization retrofits; however, the Outreach program and implementation staff members currently have no ability to track small business/not-for-profit retrofit progress, and limited ability to track audit progress. In the residential and multifamily sectors, participant progress is tracked in a single database, where both audit and retrofit progress are documented and associated with a CBO. Unlike the residential and multifamily sectors, small business/not-for-profit retrofits are not incented or tracked by the GJGNY Small Commercial Energy Efficiency program. This lack of data tracking affects CBOs' ability to conduct outreach in this sector and affects the Outreach program's ability to verify the effectiveness of outreach activities. Without the ability to track or verify CBO progress in the small business sector, Outreach program and implementation staff were unable to effectively support CBO outreach to small businesses and not-for-profit organizations.

**Recommendation 4. Ensure that CBO goals and key activities are tracked through NYSERDA program databases for all sectors in which CBOs conduct outreach.** Without data tracking, CBOs are unlikely to have increased success in recruiting small businesses and not-for-profit organizations. NYSERDA should either suspend small business/not-for-profit sector outreach until this issue has been resolved or clarify the process and source of the metrics that will measure outreach success in this sector.

## **INTRODUCTION AND METHODOLOGY**

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On October 9, 2009, the GJGNY Act<sup>1</sup> of 2009 was signed into New York State law. Funded by New York State's share of the RGGI funds, GJGNY legislated a statewide initiative that promotes energy efficiency, reduces energy consumption and greenhouse gas emissions, supports sustainable community development, and creates job opportunities. Administered by NYSERDA, GJGNY leverages existing NYSERDA and utility programs to promote energy efficiency retrofits in the residential, multifamily, and small business/not-for-profit sectors, as well as workforce development activities. One component of the GJGNY Initiative delivers services in targeted communities with the support of CBOs. Through this GJGNY Outreach program, CBOs conduct outreach, marketing, and education through a coordinated approach that encourages energy efficiency improvements and workforce development in targeted priority communities.

This report presents the results of a PE/MCA of the GJGNY Outreach program conducted between January and July 2013. It documents the experiences of initiative staff, implementation staff, and the CBOs involved in delivering services, and provides an overview of the activities conducted through this initiative, including challenges faced and successes realized.

### **1.1 EVALUATION CONTEXT**

Although the CBO Outreach effort operates with separate program and implementation staff, CBO activities are directly linked with numerous other NYSERDA programs and rely on NYSERDA-affiliated contractors. The Outreach program might be best understood as a cluster of programs that overlap and link to NYSERDA through a diverse set of CBO activities. The links between the CBO Outreach program and these other programs and initiatives are documented throughout the report. Although this evaluation is of the Outreach program specifically, it is impossible to fully separate the Outreach program from the context of the other NYSERDA programs. While the CBO activities touch many programmatic efforts at NYSERDA, this evaluation had neither the time nor resources to include a full review of all of the larger NYSERDA program processes that might affect how CBO activities are viewed. Instead, this evaluation is primarily focused on documenting the experience of the CBOs and understanding their successes and failures in their efforts to execute their contracts with NYSERDA.

Separate evaluation efforts are currently in progress (or recently completed) for each of the programmatic domains touched by CBOs, including a GJGNY Jobs evaluation, a GJGNY Small Commercial Energy Efficiency program evaluation, and evaluations of MPP, Workforce Development program, and HPwES program.

### **1.2 THIS REPORT**

This report presents the results of a GJGNY Outreach program PE/MCA. This evaluation has been conducted at the level of the initiative as a whole; it is not an evaluation of each of the organizations funded through the Outreach program. Results from surveys of GJGNY CBO-affiliated participants of HPwES and GJGNY audit recipients will be conducted as part of a HPwES PE/MCA currently underway. When

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<sup>1</sup> Green Jobs - Green New York Act of 2009 (A.8901/S.5888 and chapter amendment A.9031/S.6032) Laws of New York, 2009.

available, those results will be analyzed within the context of the CBO evaluation findings and reported separately.

The results presented in this report are largely synthesized from in-depth interviews. In-depth interviews are a qualitative research approach designed to allow researchers to deeply understand an issue and probe to explore issues that are new or not well understood. This approach was well suited to this research, as the initiative design leveraged the unique characteristics of each organization to reach different communities, and the CBOs' experiences reflected this diversity. In-depth interviews allowed interviewers to prioritize topics in order to complete the interview in a timeframe that would not overly burden the contact, while gaining a nuanced understanding of their experience. By conducting in-depth interviews with the entire population of CBOs, the evaluation team has attempted to capture the full range of experiences with the initiative. As a result of the data collection approach, the results presented here are often intrinsically qualitative. The evaluation team has quantified and compared CBO experiences where possible and appropriate. To preserve the anonymity of CBO respondents, the evaluation team aggregated and anonymized their responses. Where appropriate, CBO goals, progress, and activities are reported in rank-ordered lists.

### **1.2.1 Terminology**

Throughout this report, the term “residential” refers to 1- to 4-unit homes; in contrast, “multifamily” refers to buildings with five or more residential units.

This report refers to NYSERDA's combined HPwES offering (including both market rate HPwES and its assisted component, AHPwES) as “HPwES” throughout the report. Unless otherwise specified, the small business/not-for-profit market targeted by the GJGNY Small Commercial Energy Efficiency program is abbreviated to “small business” in this report.

## **1.3 FOCUS OF THE EVALUATION**

This PE/MCA documents the experiences of those involved in delivering the CBO Outreach program and provides an overview of the activities conducted through the program, including challenges faced and successes realized. Working with NYSERDA staff, the evaluation team identified the following specific research objectives of the GJGNY Outreach program evaluation:

1. Understand the experience and lessons learned by CBOs, NYSERDA, and the training and implementation contractor staff.
  - A. Document goals to achieve stated objectives and milestones in the CBO scopes of work
  - B. Understand how each CBO is operating within its community, and how the different contexts affect delivery of efficiency and workforce development to the community
2. Categorize and develop a framework for understanding CBO characteristics and how different strategies are used by different CBOs. Identify CBO strategies that appear to be most effective at encouraging audits, energy efficiency upgrades, and (where applicable) financing uptake among all targeted customer segments.
  - A. Calculate CBO “close rates” (or the extent to which outreach leads to audit and audit leads to upgrade)
  - B. Understand if, or how, CBOs are promoting financing options and facilitating the financing application process

- C. Document the relationship between the CBOs and the qualified retrofit contractors in their area (including how leads are distributed to auditors, if or how CBOs work with contractors to track participant progress, and any change in availability of BPI-accredited contractors in their area.)
  - D. Investigate potential overlap with utility programs, and how CBOs position NYSERDA opportunities and GJGNY financing relative to utility program opportunities
  - E. Document CBO outreach efforts and enhanced services (door-to-door canvassing, events, energy advisors, web/referral services)
3. Document the experience and expectations of homeowners and contractors interacting with the CBO activities.
    - A. Investigate the motivations for, and barriers to, completing home energy efficiency upgrades through the HPwES program
    - B. Understand what prevented audit recipients from completing energy efficiency upgrades through the program
    - C. Identify any upgrades audit recipients undertook to reduce energy waste in their homes subsequent to receiving the audit
    - D. Understand how contractors interacted with the CBOs and document contractor views on the additional value brought by the CBOs
    - E. Investigate the extent to which CBO activities influenced homeowners and local contractors
  4. For CBOs with workforce goals (primarily recruiting and training), document the key strategies involved and the workforce development activities underway.
    - A. Review tracking systems and referral records
    - B. Map recruitment → training referral → training → employment process
    - C. Identify key points of engagement that seem to be particularly effective in recruitment or placement
    - D. Identify factors related to success in workforce development activities, including key training partners and services offered
  5. Document specific differences in community composition, including income, ethnicity, and other characteristics of the targeted population

Note that the third research objective will occur as part of a larger HPwES participant survey expected in early 2014. CBO outreach results will be analyzed in the context of this document and reported separately.

Consistent with staff reports that the primary focus of the program is on promoting residential retrofits, this evaluation focuses primarily on residential outreach activities.

#### **1.4 RESEARCH METHODS**

This evaluation included four data collection activities:

1. In-depth interviews with initiative and implementation staff

2. In-depth interviews with CBOs
3. Site visits with case study subject CBOs
4. Review of supporting materials and databases

#### **1.4.1 In-Depth Interviews with Initiative and Implementation Staff**

In March and April 2013, the evaluation team conducted in-depth interviews with the NYSERDA program manager and three training and implementation contractor staff at Conservation Services Group (CSG). The purpose of these interviews was to understand how the Outreach program works and to learn what types of evaluation questions staff found most interesting.

#### **1.4.2 In-Depth Interviews with CBOs**

Between April and June 2013, the evaluation team conducted a total of 21 in-depth interviews with at least one staff member from each of the 18 CBOs that received GJGNY funding to conduct efficiency and workforce development outreach. Fifteen of the CBOs interviewed had one staff member who was able to answer questions about all of the outreach types; for the other three CBOs, the evaluation team interviewed two contacts at the organization in order to solicit feedback on all of the CBO's activities. These interviews were conducted by phone for 16 CBOs and in-person for two CBOs. Interviews lasted between one and two hours. The purpose of these interviews was to address the evaluation research objectives and understand CBO experiences in conducting this outreach. Topics of these interviews included:

- What is the CBO's mission and position within its community?
- What are the defining elements of the community in which the CBO operates?
- What prior energy efficiency experience does the CBO have, if any?
- How does the CBO characterize its communication with initiative staff, including the Training and Implementation Contractor (TIC)?
- What activities has the CBO undertaken as part of the initiative?
- How does the CBO promote energy efficiency opportunities in its community?
- What is the CBO's relationship with local retrofit contractors?
- Who, if anyone, has the CBO partnered with in meeting its goals?
- What systems does the CBO use to track project status and leads?
- What successes has the CBO had that are not documented in the CBO web portal?
- What have been the most successful activities, from the CBO's point of view?
- What lessons has the CBO learned in working to meet its objectives?
- What changes has the CBO made, or does it plan to make, in response to those lessons learned?

All in-depth interviews were analyzed using NVivo qualitative analysis software and Microsoft Excel.

**1.4.3 Site Visits with Case Study Subject CBOs**

In June 2013, an evaluation team member conducted four site visits with high performing CBOs jointly selected with program staff. During the site visit, an evaluation team member met with all key outreach staff members at each organization. These site visits included an in-depth discussion of the topics covered in the in-depth interview, including additional background into how the CBOs developed their proposals, their successes and lessons learned thus far, and an overview of the marketing and outreach materials CBOs use. For two CBOs, the in-depth interview was conducted at the time of the site visit. Analysis was conducted using NVivo qualitative analysis software.

**1.4.4 Review of Supporting Materials and Databases**

In addition to conducting interviews with CBOs and initiative staff, the evaluation team also reviewed supporting initiative materials, including:

- GJGNY legislation
- GJGNY Outreach program regional funding allocation documentation
- CBO contracts
- CSG monthly reports to NYSERDA
- CBO monthly reports to CSG
- CBO websites
- NYSERDA's residential audit database, the Confidential Residential Information System (CRIS)
- All training and initiative implementation documentation on the program web portal, SharePoint





Section 2:

## **GJGNY OUTREACH PROGRAM DESCRIPTION**

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The GJGNY Outreach program was legislated by the GJGNY Act of 2009, and operationalized and implemented by NYSERDA. This section describes the GJGNY Outreach program, including its position within the larger GJGNY initiative, its development, and the characteristics of the funded CBOs. This section also provides an overview of the efficiency opportunities in the state.

### **2.1 GJGNY ACT SUMMARY**

On October 9, 2009, the GJGNY Act of 2009 was signed into New York State law. Funded by New York State's share of the RGGI funds, GJGNY created a statewide initiative that promotes energy efficiency, reduces energy consumption and greenhouse gas emissions, supports sustainable community development, and creates job opportunities. GJGNY is a multi-faceted initiative with numerous short- and long-term purposes:

- Promote energy efficiency, energy conservation, and the installation of clean energy technologies
- Reduce energy consumption and energy costs
- Reduce greenhouse gas emissions
- Support sustainable community development
- Create green job opportunities, including opportunities for new entrants, the long-term unemployed, and displaced workers
- Use innovative financing mechanisms to finance energy efficiency improvements through energy cost savings

Among other directives, the Act specifies free or discounted energy audits be made available in the residential and small business sectors, and stipulates the creation of a revolving loan fund to finance energy efficiency upgrades in the residential, multifamily, and small business sectors.

One component of the GJGNY initiative delivers services in targeted communities with the support of CBOs. The Act directed NYSERDA to issue competitive grants for CBOs or CBO consortia that can “connect community members to the program, including facilitating awareness of the program and enrollment.” The Act defines a CBO as “an organization incorporated for the purpose of providing services or other assistance to economically or socially disadvantaged persons within a specified community, and which is supported by, or whose actions are directed by, members of the community in which it operates.”<sup>2</sup> As defined in the statute, customer outreach by CBOs is targeted to economically distressed communities, non-attainment areas under the federal Clean Air Act, and communities with high energy costs in relation to income.

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<sup>2</sup> Public Authorities Law Section 1891(3).

## 2.2      INITIATIVE DEVELOPMENT

After the GJGNY legislation was enacted in October 2009, the GJGNY Advisory Committee and NYSERDA developed six working groups to operationalize and support the implementation of each of the initiative's mandates. The working groups developed initiatives that would incorporate GJGNY-funded activities within NYSERDA's existing portfolio of programs, wherever possible. One of the working groups developed the GJGNY Outreach program. Although the legislation defined key elements of the GJGNY initiative, NYSERDA and the working groups had to define many of the specific program rules, including developing detailed CBO definitions, funding allocation guidelines, and key CBO activities.

The CBO Outreach program included funding for activities across five areas:

- Residential 1- to 4-family outreach
- Aggregation pilots
- Multifamily outreach
- Small business/not-for-profit outreach
- Workforce development outreach.

Each of these outreach areas aligned with another NYSERDA program. The residential CBO component of the GJGNY program was aligned with NYSERDA's existing residential program: HPwES and its lower-income component, AHPwES. HPwES offers GJGNY-subsidized energy audits for most homeowners (based on income eligibility<sup>3</sup>), 10% cash-back incentives, and access to on-bill recovery financing and low-interest loans for homeowners completing comprehensive energy efficiency projects with BPI accredited contractors. Participants with incomes between 60% and 80% of AMI receive a grant from NYSERDA covering 50% of efficiency upgrade costs in lieu of the 10% cash-back incentive. Homeowners with incomes less than 60% of AMI can participate in HPwES, but must participate in NYSERDA's low-income program, EmPower, first.<sup>4</sup> Together, market rate HPwES and AHPwES are referred to as HPwES throughout the report.

As part of their activities encouraging residential retrofits through the HPwES program, CBOs were also allowed to propose aggregation pilot initiatives. In these aggregation pilots, CBOs are expected to recruit a collection of eligible homeowners who had agreed to use the same contractor or contractor team to perform audits and retrofit work. Aggregation is expected to benefit both homeowners and contractors by simplifying the participation process and lowering costs. Aggregation is also intended to provide community benefits through encouraging local hiring and fair wages among participating contractors.

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<sup>3</sup> Households with incomes less than 200% AMI are eligible for free audits; households earning between 200% and 400% AMI are eligible for reduced-cost audits.

<sup>4</sup> The relationship between HPwES and EmPower changed in the second quarter of 2013. Before this change, any households below 80% AMI could participate in AHPwES, although CBOs targeted those not eligible for EmPower (with incomes above 60% AMI). The spring 2013 program change allowed joint EmPower-AHPwES upgrades, where EmPower-eligible homes (<60% AMI) could complete additional upgrades through AHPwES after first completing eligible EmPower program upgrades. After CBOs register with the EmPower program, they receive a \$20 referral fee for any referred EmPower project, and can count joint projects towards their GJGNY performance goals if and when the homeowner completes the AHPwES portion of the project.

GJGNY-supported CBO activities also supported small commercial and multifamily efficiency efforts, particularly in urban areas. CBOs conduct outreach to encourage small business and not-for-profit energy assessments through the GJGNY Small Commercial Energy Efficiency program, and to increase awareness of retrofit programs and GJGNY-funded loan opportunities. CBOs were also expected to encourage small business and not-for-profit organizations to complete efficiency retrofits. The GJGNY Small Commercial Energy Efficiency program provides funding for energy assessments of small businesses and not-for-profits with less than 100 kW demand (small businesses must have fewer than 100 employees).<sup>5</sup> GJGNY funding also provides low-interest loans and on-bill recovery financing to small businesses and not-for-profit organizations completing efficiency retrofits, regardless of whether they participate in a NYSERDA program, a utility program, or complete upgrades outside of an efficiency program. Section 2.3 summarizes the incentives available for small businesses and not-for-profit organizations completing efficiency retrofits. CBO multifamily outreach encourages participation in NYSERDA's MPP, which offers incentives for comprehensive multifamily upgrades and GJGNY-funded, low-interest financing.

In addition to the activities designed to inform homeowners and encourage qualified retrofit projects, CBOs were expected to partner with contractors, workforce development organizations, or organized trade groups to conduct workforce development outreach activities. These activities included:

- Facilitating awareness of, and enrollment in, GJGNY-funded training services programs and other green job training and job placement outreach
- Targeting Minority- and Women-Owned Business Enterprise (MWBE)s specifically for engagement with the program
- Encouraging contractors to pursue BPI accreditation
- Leveraging Department of Labor Career Centers and on-the-job training funding through Program Opportunity Notice (PON) 2033<sup>6</sup>

CBOs were not allowed to profit in other ways from their CBO activities. That is, CBOs receiving funding for residential outreach could not also be residential contractors, and CBOs receiving funding for workforce development outreach could not also offer workforce development training.

The GJGNY Outreach working group also defined a payment structure for the CBOs that allocated a percentage of the CBO contracts as a performance payment, which was paid based on meeting efficiency retrofit or workforce recruitment goals.

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<sup>5</sup> Through the Small Commercial Energy Efficiency program, GJGNY-funded energy assessments are available to small businesses or not-for-profits with 10 employees or less that have an average annual electric demand of 100 kW or less. In addition, American Recovery and Reinvestment Act (ARRA) provides funding for energy assessments to New York State small businesses that employ between 11 and 100 employees and not-for-profit organizations of any size with an average annual electric demand of 100 kW or less. ARRA funding expired on September 30, 2013, which limited the entities able to access free energy assessments to those small businesses or not-for-profits with 10 employees or less.

<sup>6</sup> PON 2033 funding for on-the-job contractor training was unavailable through most of the first year of the initiative, resuming in late 2012.

### 2.2.1 Regional Funding Allocation

GJGNY CBO funding was allocated statewide. The state was first divided up into 12 regions, which align with existing New York State Economic Development Regions (Table 2-1). Funding was allocated across the regions for both efficiency and workforce development. In allocating funding, NYSERDA staff worked with the Advisory Council to allocate efficiency funding based on residential characteristics including overall housing stock, owner-occupied housing stock, prevalence of disadvantaged communities (defined as the proportion of the region with more than 4% of income going to electric bills); and to allocate workforce development funding based on unemployment levels. Funding allocation was also prioritized to regions that did not also have Better Buildings Neighborhood Program (BBNP) grants.

**Table 2-1: CBO Regions and Funding Allocation**

Region	Counties	Efficiency Funding (\$)	Workforce Funding (\$)
North Country	Hamilton, Jefferson, Franklin, St. Lawrence, Lewis, Essex, Washington, Clinton, Warren, and Herkimer Counties	258,049	34,703
Bronx	Bronx County	511,659	85,041
Kings & Richmond	Kings and Richmond Counties	640,016	167,240
Queens	Queens County	466,810	123,061
New York	New York County	395,005	93,213
Southern Tier	Schuyler, Steuben, Chenango, Broome, Otsego, Tompkins, Tioga, and Chemung Counties	245,967	33,400
Western	Chautauqua, Allegany, Cattaraugus, Niagara, and Erie Counties	578,498	73,788
Finger Lakes	Seneca, Yates, Orleans, Genesee, Monroe, Livingston, Wayne, Ontario and Wyoming Counties	454,489	59,694
Central	Oswego, Oneida, Cortland, Cayuga, Onondaga, and Madison Counties	334,964	50,576
Mid Hudson & Westchester	Delaware, Greene, Sullivan, Ulster, Columbia, Dutchess, Orange, Rockland, Westchester, and Putnam Counties	504,715	107,545
Long Island Region	Nassau and Suffolk Counties	270,908	126,969
Capital	Rensselaer, Schenectady, Albany, Saratoga, Schoharie, Montgomery, and Fulton Counties	338,920	44,770
<b>Total</b>		<b>5,000,000</b>	<b>1,000,000</b>

To implement the CBO Outreach program, NYSERDA issued three separate Requests for Proposals (RFP) soliciting proposals for CBOs and the TIC responsible for overseeing them.

### 2.2.2 Training and Implementation Contractor (TIC) Selection

NYSERDA first issued an RFP to select a TIC.

- **RFP 2080 (closed October 2010).** NYSERDA selected a TIC responsible for providing structured training for the CBO organizations; geographic coordination and support of CBO Outreach initiatives; effective communication across all regions; tracking CBO goals including recruiting

efforts; assessment and fulfillment of CBO needs; assistance in planning and coordinating events, if necessary; tracking progress of referrals made to the GJGNY programs; data gathering; assistance in evaluating aggregation pilots; and regular reporting of initiative activities and results to NYSERDA.

Based on responses to this competitive solicitation, NYSERDA selected CSG to implement the Outreach program.

### 2.2.3 CBO Selection

To select CBOs, NYSERDA issued two separate RFPs soliciting proposals.

- **RFP 2038 (closed January 2011).** NYSERDA selected CBOs (“an organization incorporated for the purpose of providing services or other assistance to economically or socially disadvantaged persons within a specified community, and which is supported by, or whose actions are directed by, members of the community in which it operates”)<sup>7</sup> to implement outreach, enrollment, aggregation, and training activities in each of the 12 regions. CBOs were encouraged to target disadvantaged or otherwise hard-to-reach populations within each region.
- **RFP 2327 (closed July 2011).** Released after RFP 2038, this RFP augmented the landscape of CBOs selected through RFP 2038, to fill gaps in services or regions that were underrepresented in the first set of proposals.

As defined by the GJGNY Outreach working group, both CBO recruitment RFPs included a performance-based compensation component that withheld 25% of the total contract amount for distribution as performance milestones are met. According to the RFPs, the primary goals of the customer outreach program are to increase the number of individuals or businesses making efficiency improvements and to increase training and enrollment in workforce training programs.

NYSERDA selected 18 CBOs to conduct outreach across the two RFPs (Table 2-2). One CBO received additional funding from the second RFP to expand its outreach area.

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<sup>7</sup> Public Authorities Law Section 1891(3).

**Table 2-2: CBOs Selected**

Region	CBO	Contract Award RFP 2038	Contract Award RFP 2327	Activity Efficiency <sup>a</sup>	Activity Workforce
Queens	Asian Americans for Equality	\$410,000		R	X
Central	Affordable Housing Partnership of the Capital Region	\$338,920		R	
North Country	Adirondack North Country Association	\$292,752		R,S	X
Bronx / Kings and Richmond	Bronx Overall Economic Development Corporation	\$511,460		R,M,S	
New York	Downtown Manhattan Community Development Corporation	\$487,000		M	X
Kings and Richmond	El Puente	\$150,000		R,M,S	
Long Island	Long Island Progressive Coalition	\$372,015		R	X
Central	Northeast Parent and Child	\$44,770			X
New York	Neighborhood Housing Services of Staten Island	\$308,071		R,S	X
Finger Lakes	PathStone	\$420,753		R,S	X
Central	Public Policy and Education Fund - Central	\$385,443		R,S	X
Southern Tier	Public Policy and Education Fund - Southern Tier	\$279,363		R,S	X
Western	People United for Sustainable Housing	\$502,358		R,S	X
Mid Hudson & Westchester	Rural Ulster Preservation Company	\$606,022		R,S	X
New York	Civic Association Serving Harlem		\$175,000	R	
New York	Make the Road New York		\$350,000	R,M	X
Queens	Neighborhood Housing Services of Jamaica		\$135,149	R	
Bronx	Northwest Bronx and Community Clergy Coalition		\$85,000		X

<sup>a</sup> R = Residential outreach; M = Multifamily outreach; S= Small commercial/not-for-profit outreach

### 2.3 EFFICIENCY IN THE MARKET

At the same time the GJGNY-funded CBO outreach was being conducted, a number of other energy efficiency retrofit programs were available in the market. While the GJGNY Outreach program aligned with specific existing NYSERDA energy efficiency programs, these other programs contributed to the complexity of the tasks undertaken by the organizations involved in this program. In addition to the

NYSERDA programs described above, many utilities run efficiency programs in the residential, small business, and multifamily sectors. Programs offering efficiency services in the various sectors in New York include:

**Home Performance with ENERGY STAR® (HPwES).** NYSERDA's comprehensive residential efficiency program, described above. CBOs are responsible for generating retrofits through this program.

**EmPower New York<sup>SM</sup>.** NYSERDA's low-income program, EmPower provides free measures to households with incomes less than 60% of AMI. EmPower is also available to multifamily households.

**Small Commercial Energy Efficiency Program.** Described above, the Small Commercial Energy Efficiency program and its subcomponent, the Small Commercial Energy Efficiency Financing program, provide energy assessments and low-interest financing to small businesses and not-for-profit organizations, funded by GJGNY and augmented by American Recovery and Reinvestment Act (ARRA) funds. CBOs are responsible for generating energy assessments through this program and retrofits among energy assessment recipients of this program.

**Existing Facilities Program.** NYSERDA's primary commercial program, the Existing Facilities program offers pre-qualified and performance-based incentives for efficiency upgrades in commercial facilities.

**FlexTech Program.** A second NYSERDA program offering a wide variety of incentives for businesses exploring efficiency potential, including cost sharing for efficiency audits for businesses that do not qualify for GJGNY Small Commercial program audits.

**Multifamily Performance Program (MPP).** Described above, NYSERDA's comprehensive multifamily energy efficiency program provides efficiency services for both existing and new construction, including incentives for comprehensive retrofits of existing multifamily buildings over four units, as well as GJGNY-funded, low-interest financing. CBOs with multifamily goals are responsible for generating projects through this program.

**New York Energy \$mart<sup>SM</sup> Communities and the Economic Development Growth Extension (EDGE) program.** The New York Energy \$mart<sup>SM</sup> Communities program was a NYSERDA-funded program that used regional organizations to conduct outreach to connect community members with NYSERDA programs. Several sub-initiatives were developed under the umbrella of this program, including the Retrofit NYC Block by Block program. The New York Energy \$mart<sup>SM</sup> Communities program ended in 2012, and was replaced by the EDGE program, which facilitates similar types of community-focused outreach through 26 Regional Outreach Contractors. Both programs also conduct multifamily and small business outreach.

**Better Buildings Neighborhood Program (BBNP).** Funded by ARRA funds and administered by the Department of Energy, BBNP gave grants to 40 entities nationally to create or expand energy efficiency retrofit programs, one of which was NYSERDA. This BBNP grant was used to expand NYSERDA's HPwES program and Small Commercial Energy Efficiency program. It was also distributed to numerous sub-grantees, including New York City and numerous communities, municipalities, and utilities to expand efficiency program offerings. Some of these BBNP grantees provide efficiency programs targeting businesses as well.

**Weatherization Assistance Program (WAP).** Another ARRA-funded program, WAP provides weatherization services to low-income (<60% AMI) households.

**Utility Programs.** Several New York State utilities offer programs that provide incentives for residential efficiency improvements, such as natural gas conversion and efficient furnace upgrades. Many utilities also

offer multifamily programs and small and large commercial energy efficiency programs, including direct install programs that offer attractive alternatives to NYSERDA's small business program.

## 2.4      CBO ROLE IN GJGNY

CBOs make up a small part of the overall GJGNY effort, receiving about 5% of the \$112 million total GJGNY funding. CBO involvement in GJGNY serves two main purposes. First, almost by definition, funding community-supported and directed organizations that assist economic and socially disadvantaged persons within communities supports GJGNY's "sustainable community development" purpose. Second, CBO involvement facilitates GJGNY's provision of efficiency and workforce development services to key populations by leveraging the CBOs' positions as trusted community actors. Theoretically, CBOs can conduct outreach with populations NYSERDA is unable to reach effectively using traditional outreach methods.

Although CBOs have goals across multiple sectors of GJGNY, by virtue of funding allocation and performance payments contingent on residential retrofits, CBO activities have overwhelmingly targeted HPwES audits and retrofits. CBOs have several key leverage points to encourage efficiency audits and retrofits among these target populations. Table 2-3 summarizes the HPwES participation stages from awareness to retrofit completion and the key homeowner barriers to completing each phase. These CBO influence points are consistent with the two main functions that the CBOs perform:

- Leverage their status as trusted community agents to increase awareness and interest in HPwES
- Provide capacity support and case management to help homeowners navigate the process, by helping them complete audit and retrofit paperwork and working directly with HPwES participating contractors

Underlying this program project flow are several key assumptions about the HPwES market and CBOs' role as community influencers:

- There is a population of homeowners who are qualified and eligible for HPwES and GJGNY financing, but are unaware that, or do not think, they have the capacity to participate<sup>8</sup>
- CBOs are trusted within their communities and have access to this group of homeowners that NYSERDA does not have
- CBOs can leverage their access to these hard-to-reach homeowners to increase awareness and education about program offerings and provide support services
- Increasing awareness and support will increase program participation

Although the process differs, the same key influence points and assumptions apply to small business/not-for-profit and multifamily efficiency projects. The CBOs' influence in the workforce sector is varied, but their unique positions within communities of target populations allow them to leverage existing community relationships to connect community members with training and job opportunities.

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<sup>8</sup> The 2012 Process Evaluation and Market Characterization and Assessment of the Green Jobs - Green New York Residential Program (Final Report) documented that among nonparticipants, both awareness and perceived cost were key barriers to participating in HPwES.



**Table 2-3: HPwES Participation Stages and Key CBO Influence Points**

Participation Stage	Barrier	CBO Influence Level	Other GJGNY Influence
0 Awareness & Interest	Lack of awareness	High	
	Lack of trust & interest in opportunity	Medium	
	Ineligible (homeownership)	Low	
1 Find a contractor	Uncertainty about contractor choice	Medium	
2 Apply for an assessment	Lack of capacity to fill out paperwork	High	
3 Assessment	Assessment cost	N/A	High
	Time delay	Medium	
4 Develop work scope	Lack of understanding of work scope	High	
	Lack of interest in continuing	Medium	
	Lack of sufficient energy savings identified	Low	
5 Pay for the work	Lack of awareness of financial support	High	High
	Lack of capacity to fill out paperwork	High	
	Complexity of financing offerings	Medium	
	Ability to pay	Low	
6 Sign a contract	Lack of capacity to fill out paperwork	High	
	Lack of trust of contractor	Medium	
7 Complete retrofit	Concerns with contractor	Medium	

## 2.5 CBO CHARACTERISTICS

Contracted CBOs reported several types of organizational missions, including affordable housing, social and human services (such as education, healthcare, family support), employment services, advocacy and policy, and economic development through small business services. Most CBOs specified organization missions spanning more than one area (Table 2-4).

**Table 2-4: Types of CBO Missions (Multiple Responses Allowed)**

Organization Mission	Count of CBOs (n=18)
Affordable Housing	7
Social and Human Services	7
Economic Development – Employment Services	5
Advocacy and Policy	4
Economic Development – Small Business Services	3

### 2.5.1 Efficiency Experience

Half of the CBOs (9 of 18) reported prior experience with energy efficiency programs. This included direct experience with residential or business energy audits and/or retrofits outreach, including experience

working with efficiency programs targeting lower-income households (<60% AMI), such as ARRA-funded WAP work and NYSERDA-funded EmPower program work; and experience with Retrofit NYC Block by Block program and as **New York Energy \$mart<sup>SM</sup>** Communities affiliates. Two CBOs reported that although their organization had not had prior efficiency experience, one of their ongoing partner organizations did. An additional three CBOs without efficiency experience reported that they had staff with prior energy efficiency experience.

**2.5.2 Regional Markets**

Independent of the GJGNY effort, CBOs define their communities in different ways. In in-depth interviews, over half of CBOs reported typically conducting activities targeting specific sub-populations within their geographic region, most frequently based on income level or homeownership, but also by age, ethnicity, and immigration status (Table 2-5).

**Table 2-5: CBO Target Populations (Multiple Responses Allowed)**

<b>Population Segment</b>	<b>Count (n=18)</b>
Geographic region only	5
Segment within region	11
<i>Low or middle income</i>	6
<i>Homebuyers</i>	4
<i>By age (youth or seniors)</i>	2
<i>By minority status</i>	2
<i>Immigrants</i>	2
<i>Other</i>	1
Not specified	2

CBOs proposed to conduct outreach within one of 12 geographic regions (see Table B-1 in Appendix B). Nine CBOs target urban, New York City regions. A majority of CBOs target specific counties, ZIP codes, or neighborhoods within each region. These target regions align both with the CBO’s constituencies, but also with regions that have a particular need or demand for energy efficiency services, as defined in the GJGNY legislation.

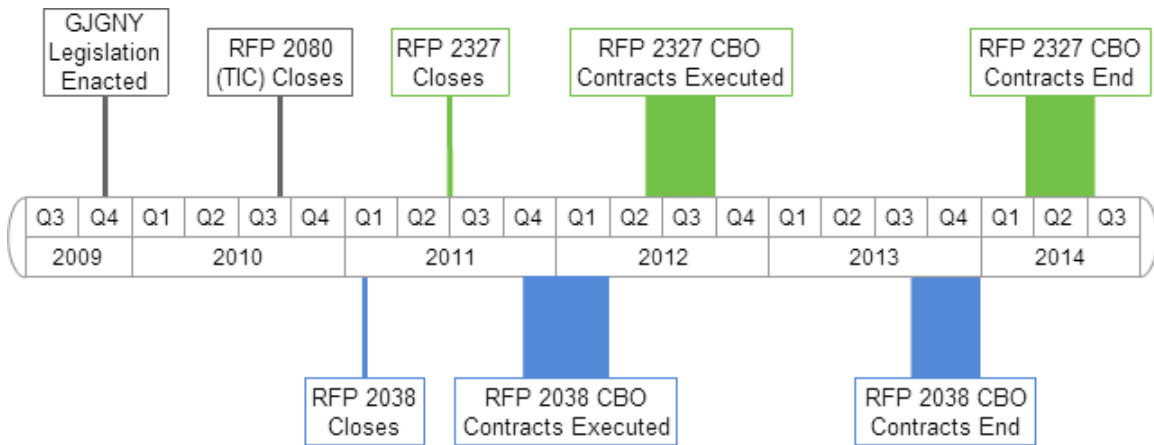
## INITIATIVE MANAGEMENT AND SUPPORT

This section discusses initiative staff and CBO perspectives on initiative management and support, including initiative start-up, management structure and communication, and data tracking. Findings in this section are based on in-depth interviews with the NYSERDA program managers, three CSG staff, and contacts from each of the 18 CBOs.

### 3.1 CONTRACTING AND START-UP

After the RFP 2038 closed, initiative staff worked with each CBO to develop a contract and a statement of work, which took several months. The first round of CBO contracts were executed between November 2011 and March 2012, and the second round of CBO contracts were executed between June and September of 2012. Figure 3-1 shows an overview of the initiative timeline.

**Figure 3-1: Timeline of Initiative Development and Implementation**



During in-depth interviews, the timing of the startup and contracting was a subject of discussion for both NYSERDA staff and CBOs. NYSERDA program staff reported that the process was relatively smooth, but time consuming; additional staff would have alleviated the work flow delays experienced during the process. All but three CBOs reported revisions and a long process to finalize the contract. This process was particularly challenging for those CBOs who had not received prior NYSERDA funding. Two CBOs specifically mentioned that incorporating administration fees into the contract was difficult. The first CBOs with executed contracts reported being unable to begin outreach before attending the training, which caused delays. A few CBO contacts commented that the initiative timeline did not align well with the retrofit season: they were still ramping up their programs when the fall and winter residential retrofit season was peaking.

#### 3.1.1 Goal Development

As defined by the GJGNY Outreach working group, all CBO contracts included a performance-based compensation component that withheld 25% of the total contract amount for distribution as performance milestones are met. The CBOs are compensated via the following compensation structure:

- Ten percent of total award upon execution of contract for staffing and ramp up;

- Up to 65% of total award paid on a monthly basis, based on invoices submitted that document actual costs, over the term of the contract; and
- Twenty-five percent performance pay, to be released as CBOs meet predetermined milestones.

The performance payment is paid in four stages. In initial contracts, CBOs received one-fourth of their performance payment on meeting 25%, 50%, 75%, and 100% of their performance goal. In early 2013, program staff and the GJGNY Advisory Council agreed to change the performance payment structure to pay CBOs one-fourth of their performance payment on meeting 10%, 20%, 50%, and 100% of their performance goals.

CBO goals were developed based on their individual RFP proposals. CBO responses to the RFP included proposed activities within any of the several sectors cited (residential, multifamily, and small business/not-for-profit efficiency, and workforce development.) Within each specific sector of work, the CBOs proposed specific lead, audit, and retrofit goals. Initiative staff used these sectors and goals to develop CBO contracts and scopes of work. Although CBOs proposed goals in each sector for which they had activities, for all but four CBOs, the performance payment was based only on residential retrofit goal completion. The exceptions include those CBOs that have no residential outreach activities and one CBO with a performance goal based on both residential and multifamily retrofits. Because of this payment structure, most of the discussion of CBO goal development focuses on residential goals.

CBO representatives reported proposing activities in sectors based largely on organization competence and mission. CBOs combined their existing activities or areas of expertise with new activities to determine the sectors in which they would conduct outreach. Some CBOs determined their activities based on existing relationships with community organizations, such as homeowner associations or community boards, while others built on their existing services, such as workforce training or community outreach. While many of the CBOs lacked previous experience with energy efficiency, many indicated that energy issues were of interest to their organizations, and they saw a role for efficiency upgrades in their communities. Comments included:

- *We have a lot of involvement in the post-home buying process - helping people with foreclosure assistance, home repairs, etc. We thought we should offer energy efficiency services to compliment these other homeowner services.*
- *We have provided a lot of services for a long time but this is the first time we have worked with any energy programs. We are conscious of the environment and want to get people interested.*
- *We have done a lot with environmental justice but we have not done efficiency directly prior to this program. We want to make the area environmentally sustainable and we do that in multiple ways- affordable living, energy efficiency, education, arts, and health and wellness.*

CBOs varied in the types of inputs they used in determining their goals. Several CBO contacts were unable to describe how their original residential retrofit goals had been developed. Four CBOs specifically reported using population estimates of target regions. The specific inputs varied, but included:

- Region population estimates
  - 1-to 4-family homeownership estimates
  - Population at target income levels (between 60% and 100% of AMI)
- Estimated feasible conversion rate from lead to audit
- Estimated feasible conversion rate from audit to retrofit

The CBOs own experience or reports of similar organizations experiences doing similar work, such as activities with **New York Energy \$mart<sup>SM</sup>** Communities also informed CBO goal development and conversion rate estimation. Some CBOs also reported considering whether the cost-per-retrofit was reasonable in developing their proposals (these CBOs did not specify how they defined “reasonable,” though).

Many CBOs indicated in interviews that their initial goals were overly ambitious. One CBO contact commented, “Our goals were ridiculous. I was taking my goal development cues from a peer and we realized pretty early we were way over our heads. We had no idea it took five to nine months to get a retrofit. We tried to make informed decisions about goals, but we didn't have all the information.”

Similarly, NYSERDA program staff reported that one of their biggest lessons learned about the initiative was the need to contextualize the CBO residential goals. Neither the CBOs nor NYSERDA staff reported having a good way to normalize the goals of the first-round CBOs. Initiative staff reported that, in retrospect, historical HPwES/AHPwES program volume in the region could have provided a way to contextualize CBO numbers. Staff reported that in some regions, the CBO goal was substantially larger than the total number of HPwES retrofits in the region over the past three years.

Echoing this lesson learned, CBOs reported identifying, in hindsight, several specific inputs that they should have considered in order to develop more realistic residential retrofit goals:

- Homeownership rates among targeted population
- Prior retrofit project time
- Allow for time required to develop and ramp-up outreach activities
- Prior years' HPwES retrofit project volume in target region

### **3.1.2 Training**

Before beginning outreach activities, CBOs were required to attend a two-day training about the initiative created by NYSERDA program staff and the training and implementation contractor, Conservation Services Group (CSG). Most CBOs sent more than one staff person to the training. For the first-round CBOs, staff conducted two trainings - one upstate and one downstate. The trainings covered outreach strategy advice, data tracking systems, CBO guidelines, efficiency program guidelines, workforce development opportunities, marketing approaches, resources available to each CBO, and general building science trainings. Except for the building science trainings, which was distributed on CD, all training materials remain available to CBOs on the initiative web portal.

All CBO contacts generally agreed that the training provided useful information, but many commented that the amount of information and the level of detail made it difficult to retain all of the information presented in the single two-day training. A few CBO contacts commented that the outreach strategies piece was less useful than the program description and data tracking components, because they were already equipped to develop and implement outreach strategies. At the same time though, at least one CBO reported still wanting more outreach training about how to “close sales” with residential customers. Generally, CBOs agreed that the trainings were as effective as possible in communicating the intricacies of a complicated set of programs in a short amount of time.

### 3.1.3 Contract Modifications

CBO contracts were revised several times during the initiative ramp-up. All CBO contracts were revised in May 2012 to formalize the previously developed retrofit goals that drive the performance payment. Several first-round CBOs have undergone additional contract changes to add or remove aggregation pilots, expand target outreach areas, or make changes to outreach partner funding. Despite both program staff and CBO advocacy, CBOs have largely been unable to revise their performance goals. The competitive selection process under which CBOs were selected played a role in this decision to maintain performance goals as contracted. In early 2013, staff succeeded in changing the performance payment structure to allow CBOs to receive more of their performance payment for accomplishing fewer retrofits (see above).

## 3.2 INITIATIVE MANAGEMENT STRUCTURE AND COMMUNICATION

The Outreach program has one NYSERDA program manager, who also manages all of the GJGNY marketing and the Department of Energy BBNP grants. The program manager works closely with other senior NYSERDA staff members familiar with the HPwES program and MPP, as needed. The implementation contractor, CSG, directly oversees the CBOs and provides support and data tracking.

The CSG team includes three CSG staff and another contracted staff person from the Pratt Institute, who conducts some of the management activities for the downstate CBOs. Several of the downstate CBOs had conducted outreach through **New York Energy \$mart<sup>SM</sup>** Communities, which the Pratt Institute had implemented in New York City. Their monthly in-person meetings became GJGNY meetings after the contract began.

### 3.2.1 Overall Management and Support

CSG is the primary source of day-to-day support for CBOs. CSG provides various types of support to CBOs, from meeting one-on-one, to designing help guides, such as the customer concern chart and the HPwES process chart. CSG staff members report trying to proactively identify areas where CBOs require support and then providing it - either one-on-one by phone or email, on the web portal, or through the monthly webinars.

CBO contacts were appreciative about the level of individual support they received from CSG and NYSERDA program staff. Nearly all CBOs specifically mentioned CSG staff's responsiveness to inquiries. The one-on-one email and phone support provided by CSG was critical to many CBOs in navigating the initiative: "they walk me through HPwES processes or reporting protocols whenever I need it."

#### Monthly Webinars

The program holds monthly CBO webinars, where CBO attendance is required. These webinars are the primary means through which efficiency program change information is disbursed to CBOs. Through monthly webinars, program and implementation staff provides CBOs with ongoing training about each of the NYSERDA programs and funding opportunities that CBOs work with; and keep CBOs updated on program changes, such as new measure eligibility, changes in GJGNY loan products, change in relationship of EmPower with CBOs, new workforce development opportunities, and new marketing materials or marketing campaigns. The webinars also serve as a forum for CBOs to discuss their own outreach activities. CSG has also invited representatives from other efficiency programs from around the nation to present strategies or lessons learned. At the end of each webinar, CSG solicits feedback and topics for the next webinars. All webinars are recorded and available through the CBO SharePoint web portal. Downstate, CBOs have additional monthly in-person meetings.

All but one CBO regularly attend the webinars. The CBO webinars are scheduled at the same time as the MPP monthly webinars, and the CBO with exclusively multifamily goals finds the MPP webinar more useful than the CBO webinar. CBOs appreciated the information provided in the webinars, particularly the information about program rule changes and the opportunity to learn from other organizations. Many CBO contacts found the monthly meetings useful for reiterating the information they were not able to retain from the initial training.

Although CSG set up SharePoint to provide a mechanism for CBOs to communicate and share ideas, relatively few CBOs have used SharePoint as a communication tool, outside of formal reporting requirements. Some CBO contacts commented that they found these features of SharePoint slightly hard to navigate. Instead, CBOs report communicating with other CBOs directly and through external meetings organized by the Center for Working Families.

### **3.2.2 Communication with Other Programs**

As CBO activities align with numerous other programs, both internal and external to NYSERDA, communication with staff of these other programs is important to the Outreach program's success. This section provides an overview of the communication between Outreach program staff and other programs.

Staff members at CSG also work on the implementation of the HPwES residential retrofit program for NYSERDA. CSG's role as the training and implementation contractor of both programs has facilitated communication between CBO implementation staff and HPwES implementation staff, as well as CBO residential goal data tracking.

CSG and NYSERDA staff members coordinate activities with other GJGNY-funded programs. Although CBOs facilitate their constituents' participation in other NYSERDA programs, they have little direct contact with program staff outside the Outreach program. CSG and NYSERDA staff members communicate with the HPwES program and MPP as needed, to troubleshoot CBO issues and confirm CBO-reported progress. A key component of this communication is data-sharing, which is discussed below. CSG and NYSERDA staff also reported communication with the Small Commercial Energy Efficiency program staff, although this communication was less frequent.

## **3.3 DATA TRACKING AND REPORTING**

Outreach program data tracking takes two forms: the case management tracking that CBOs do to monitor individual client progress, and the data tracking that both CBOs and CSG do to track initiative goal progress and meet NYSERDA reporting requirements.

The CBO SharePoint web portal is the central hub for CBO data tracking. With guidance from NYSERDA, CSG designed the SharePoint portal to have capabilities to serve as a CBO customer management system if needed, but also built in enough flexibility so that CBOs with their own customer management systems could interface with SharePoint to complete monthly reports. Working closely with NYSERDA staff, CSG staff members have augmented the capabilities of the CBO SharePoint site throughout the initiative, adding reconciliation request submittal, concern tracking, and monthly report submission, among other functionalities. Reconciliation allows CBOs to request attribution for HPwES projects in CRIS (see below), concern tracking allows CBOs to bring specific projects in need of action to CSG and NYSERDA's attention, and monthly report submission allows CBOs to submit their monthly reports to CSG staff electronically and in real time through SharePoint rather than by email.

While some CBOs use SharePoint as their only customer management system, a majority use their own internal tracking systems (such as Google Documents, Excel, Access, or even paper systems). A few CBOs

have developed web-based tracking systems (such as Google Documents) to allow contractors to access their tracking systems.

With the exception of residential audits and retrofits, all CBO goals are tracked through SharePoint. Table 3-1 summarizes the data tracking processes by activity type.

**Table 3-1: Data Tracking by Activity**

Activity	Type	Database	Who Updates	Goal Tracking Process
Residential Outreach	Leads	SharePoint	CBOs	CSG accesses CRIS
Residential Outreach	Audits Retrofits	CRIS	HPwES program	CSG accesses CRIS
Multifamily Outreach	Leads Audits Notices to Proceed to Retrofit	SharePoint	CBOs	CSG works with MPP staff to confirm in MPP database (direct access fall 2013)
Small Business/Not-for-Profit Outreach	Leads Audits Retrofits	SharePoint	CBOs	Request audit applications list from small business staff Request audit contractor project lists from auditors Cross-check lists
Workforce Development	Multiple	SharePoint	CBOs	Varied

### 3.3.1 Residential Goal Tracking

CSG's implementation of both the HPwES program and the Outreach program has facilitated valuable data tracking synergies. CSG has direct access to CRIS, and tracks CBO-driven audits and retrofits directly through that database. CBO-affiliated audits and retrofits are identified via a field on the HPwES application, which is entered into CRIS.

CBOs often pre-fill the audit application field for applicants to ensure that their influence is tracked, but if a lead generated by a CBO downloads an application form online, they have to complete this application field independently. CBOs reported that particularly early in the initiative, the application field appeared outside the page margin and was confusing, and often overlooked by applicants. Today, one of the multiple choice options on the "How did you hear about Home Performance with ENERGY STAR?" section of the assessment application lists "Constituency-Based Organization" and allows applicants to list the "CBO Name," a field which CBOs pre-fill on the applications they distribute.

To enable CBOs to verify that all their audits and retrofits are accurately attributed to them, CSG worked with NYSERDA, CBO, and HPwES staff to develop a reconciliation process. CBOs have read-only access to CRIS, and can search for applications matching their leads. CBOs then submit reconciliation requests to CSG for any CBO-affiliated HPwES audit and/or retrofit participants not properly identified in the CRIS



database. Reconciliation also occurs when a CBO begins assisting an applicant after they have already submitted an audit application (for example, through a contractor referral or helping a stalled applicant qualify for financing or develop a viable scope of work). As of the end of May 2013, CBOs had submitted a total of 792 reconciliation requests, equal to 40% of the 1,992 total CBO-attributed audits recorded over the same period.

Aggregation pilot tracking also occurs through CRIS: each “cluster” of aggregation participants is tracked via an aggregation cluster ID number assigned by CSG staff. After recruiting a group or cluster of participants, CBOs that conduct aggregation pilots use a dedicated aggregation page in SharePoint to request that CSG assign an aggregation cluster ID to these participants. After receiving this request in SharePoint, CSG staff assigns an aggregation cluster ID to participants in each aggregation cluster. These IDs mark HPwES participants as aggregation pilot participants in the CRIS database.

### **3.3.2 Multifamily Goal Tracking**

Although CSG did not have direct access to the MPP database until fall 2013, multifamily data tracking did not emerge as a concern during the evaluation. All multifamily projects completed through NYSERDA’s MPP are tracked through that program’s database. Staff reported good relationships between the two program staffs, which facilitated the process of verifying that CBO-reported multifamily projects appeared in the MPP database. CSG worked with MPP staff to verify that CBO-reported audits and retrofit reports are in the MPP database.

### **3.3.3 Small Business/Not-for-Profit Goal Tracking**

Program staff reported substantial difficulty in tracking CBOs’ small business lead, audit, and retrofit goal progress. Unlike CBO’s residential and multifamily efficiency activities, where CBO-attributed projects are completed through a single program, CBO-attributed small business retrofits need not occur through a NYSERDA program. Small business/not-for-profit audits occur through the GJGNY Small Commercial Energy Efficiency program, but retrofits may occur through any one of several NYSERDA commercial programs, through utility commercial programs, or without program assistance (see Section 2.2: Initiative Development). As such, there is no single database where small business/not-for profit audit recipients’ retrofit status is tracked. A Small Commercial program-affiliated Implementation Assistance pilot, launched in 2012, was tasked with assisting audit recipients in completing retrofits, but CBO program and implementation staff members were unsuccessful in accessing their database.<sup>9</sup> The program structure thus made it nearly impossible for CBO program and implementation staff to verify CBO-reported small commercial retrofits.

CSG and NYSERDA CBO program staff had further difficulty in establishing regular access to the small business audit application database. Lacking access to a database of completed audits either from Small Commercial or Implementation Assistance pilot staff, at one point CBO program and implementation staff successfully requested a copy of the audit application database from the Small Commercial program staff, which they compared with CBO self-reports and with lists of completed audits obtained directly from auditors. Direct contact by CSG with the auditors to verify completed audits was unsuccessful, since the auditors did not necessarily have contact with a customer after completion of the audit. As a result, to track

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<sup>9</sup> Although the Implementation Assistance pilot contractors compiled a database of completed audits, it is unknown whether they tracked the retrofit completion status of these audit recipients. See the GJGNY Small Commercial Energy Efficiency program process evaluation for more information.

the progress of the nine CBOs with small business and not-for-profit organization goals, the initiative staff relied almost completely on the CBOs to identify audit recipients with completed retrofits.

Nine CBOs conduct small business/not-for-profit activities. Some CBOs track their small business and not-for-profit projects through contact with the applicant, logging project progress in SharePoint. Other CBOs report that their work with small businesses is much less hands-on than their work with residential customers, further complicating even self-reported tracking of CBO-attributed small business and not-for-profit retrofits.

### **3.3.4 Workforce Development Goal Tracking**

The CBO's diverse workforce development goals are tracked through SharePoint, where CBOs self-report their progress. CBOs track workforce goals through ongoing contact with the trainee, but some were also able to track trainee progress through developing relationships with Department of Labor New York State Career Centers (for training programs and PON 2033-funded on the job training). NYSERDA and CSG staff reported that relationships with the New York State Career Centers were inconsistent: while some Career Centers had been responsive, others had been unresponsive to CBOs.

### **3.3.5 Monthly Reporting**

CSG tracks CBO activities and compiles a monthly report for NYSERDA. This monthly report includes summaries of goal progress, as well as narrative summaries of CSG and CBO activities.

CBOs submit monthly reports to CSG detailing their progress towards each of their deliverables (one CBO has received permission to submit bi-monthly reports). The format of these reports has shifted over time to encourage more structured reporting based on tasks in each CBO's statement of work. Currently, CBOs complete an individualized Microsoft Word form indicating progress on each activity and towards each goal. Goal-tracking is also completed directly through SharePoint for all goals, except residential audits and retrofits, which are tracked directly by the HPwES program.

While most CBOs reported that completing monthly reports was a relatively straightforward process, four reported difficulty. Although CSG has worked individually with CBOs to ensure that CBO tracking systems can be bulk-uploaded into SharePoint, some CBOs have only recently understood the efficiencies provided by the SharePoint system. A few CBOs reported that they initially submitted too much detail in their monthly reports to CSG. Even those CBOs who found the process straightforward reported that it took time; for example, outreach events that occurred within a few days of monthly reporting deadlines posed challenges for some CBOs.

## **3.4 CBO MARKETING MATERIALS**

To support their outreach, CSG and NYSERDA program staff provided CBOs with outreach training (discussed above) and marketing materials. Working with NYSERDA and CSG, marketing subcontractor Brand Cool developed a variety of marketing materials for CBO use. These marketing materials were refined over time in response to CBO feedback and requests. Currently available materials include:

- CBO overview brochures
- Translated overview brochures
- Case study template

- Sector-specific brochures: workforce development, HPwES, MPP, and Small Commercial Energy Efficiency
- HPwES/AHPwES factsheets
- Email templates (lead nurturing)
- Postcard templates
- Online banner ad templates
- Print ad templates
- Town official engagement letter
- Webpage language

Brand Cool was not contracted to produce customized materials for each CBO, but the materials they developed included varying levels of customizability, from including the CBO logo, to a fully-customizable template that the CBO could fill with their own text. NYSERDA further complemented these materials by making available to CBOs materials that staff uses to market other NYSERDA programs, such as factsheets about the HPwES loan offerings, or workforce training case studies. NYSERDA and CSG staff members have also created outreach materials for CBO use, including a customer prescreening tool and additional workforce development collateral. Although CBOs could request marketing materials through an automated Microsoft Access portal, most CBOs found this portal hard to access, and instead requested materials via email.

In addition to the materials developed for the CBOs, CBOs were allowed to develop their own marketing materials through the program, which CSG and NYSERDA staff members approved for use. CBOs' experiences using these materials to conduct outreach appears in the outreach sections of this report.



Section 4:

## 1- TO 4-FAMILY RESIDENTIAL OUTREACH

This section summarizes the results of in-depth interviews with the 15 CBOs conducting residential outreach through the GJGNY Outreach program. Additionally, this section includes results of a review of CBO and CSG monthly reports and the HPwES audit database as of May 21, 2013.

### 4.1 GOALS

Fifteen CBOs provided services to encourage comprehensive energy upgrades in residential 1- to-4 family homes. These CBOs were expected to leverage their connections within their communities to provide direct and innovative outreach and facilitate homeowner energy upgrades. Overall objectives for the residential CBOs included:

- Creating and maintaining relationships with community partners
- Building awareness of GJGNY opportunities
- Holding community outreach events and workshops
- Producing and distributing marketing materials

Each of the 15 residential CBOs created individual goals in addition to the general initiative objectives. These goals were included in CBO contracts. CBO residential goals included generating leads, facilitating audits, and facilitating retrofits (Table 4-1).<sup>10</sup> The last column shows the projected audit-to-retrofit conversion rate for each CBO: conversion rates for proposed goals range from 11% to 96%.

**Table 4-1: CBO Residential Goals**

CBO	Residential Goals Leads	Residential Goals Audits	Residential Goals Retrofits	Goal Conversion Rate
CBO 1	800	500	480	96%
CBO 2	3,600	1,200	360	30%
CBO 3	8,200	1,600	350	22%
CBO 4	3,120	1,100	340	31%
CBO 5	7,000	950	300	32%
CBO 6	6,000	1,000	300	30%
CBO 7	3,711	928	228	25%
CBO 8	1,440	480	216	45%
CBO 9	2,160	696	76	11%
				Continued

<sup>10</sup> The goals shown are the most recent CBO goals that inform performance payments, including any contract revisions.

CBO	Residential Goals Leads	Residential Goals Audits	Residential Goals Retrofits	Goal Conversion Rate
CBO 10	1,800	240	72	30%
CBO 11	315	180	50	28%
CBO 12	500	100	40	40%
CBO 13	500	75	28	37%
CBO 14	133	39	9	23%
CBO 15	98	30	8	27%

CBO numbers were assigned independently for each table.

## 4.2 RETROFIT GOAL PROGRESS

One of the goals of this evaluation is to investigate the characteristics of successful CBOs. A key component of this task is quantifying *relative* CBO success (that is, quantifying the degree to which some CBOs have been more successful than others). With between six and 12 months remaining in their two-year contract periods, CBOs have made varying levels of progress in meeting their retrofit goals. However, as CBO goals, budgets, regional contexts, and contract start dates vary widely - the number of retrofits completed alone is not a comprehensive indicator of CBO progress.

The evaluation team examined a number of metrics related to retrofit volume, creating a composite retrofit success metric to attempt to quantify relative CBO success in generating retrofits thus far. The evaluation team also investigated several potential indicators of success in reaching specific, targeted populations. Information needed to assess the extent to which each CBO is successfully reaching their targeted population is limited (Section 4.2.3). To ensure comparability across CBOs, the evaluation team excluded the four CBOs contracted through the second RFP, RFP 2327. The remaining 12 CBOs with residential retrofit goals were included in this analysis.

### 4.2.1 Retrofit Volume Metrics

As CBOs have different budgets, approaches, and territories for residential outreach, the absolute number of retrofits attributed to CBOs is not a meaningful comparison. To normalize the retrofit volume and allow comparisons between CBOs, the evaluation team considered several metrics:

- Percent of retrofit goal achieved
- Rate of contract dollars per retrofit
- Conversion rate

Each metric will be considered in turn.

#### Retrofit Goal Progress

Retrofit goal progress offers a good metric of success in generating retrofits only if goals were established consistently across CBOs. While program staff, and CBOs alike, reported that goals were too ambitious, many CBOs reported developing their goals using similar inputs - estimates of eligible population and assumed conversion rates. With the exception of one CBO with an unusually small residential retrofit goal, there was no correlation between goal size and CBO success: on average, CBOs with smaller goals were no

further towards meeting their performance payment than CBOs with larger goals. This finding suggests that CBO goal progress may be a useful indicator of success thus far.

It is important to keep in mind that retrofit goal progress alone is not a sufficient measure of CBO progress. CBOs varied in their planned ramp-up times: some CBOs had previously conducted similar work, and were prepared to quickly begin converting audits to retrofits, while other CBOs reported staged approaches that focused on outreach in the first year and retrofits in the second year of the contract. For this reason, CBO goal progress as of May 31, 2013, may not predict final achievement at the end of the program.

Nevertheless, given that goal progress directly informs the performance payment, this metric is an intrinsic component of CBO retrofit success.

#### Contract Dollars Per Retrofit

While it is not a good metric of overall CBO success, contract dollars per retrofit offers another way to control for CBO differences to facilitate comparison of progress across CBOs. Since all CBOs are targeting hard-to-reach customers and contract amounts were carefully allocated based on population and need, this metric allows a comparison of relative CBO success while controlling for differences in budgets. Contract amount is a proxy for amount spent per retrofit, but rates of CBO spending may not be equal (with over three-fourths of the contract period complete, CBOs may have spent more, or less than three-fourths of their allocated funds, because of differences in strategy and different amounts of their performance payments received). Many CBOs proposed other activities included in the contract amount, which are not included in this analysis. Because the residential retrofits alone triggered the performance payments, most CBOs with residential goals reported spending a majority of their time on residential outreach, regardless of other activities proposed. The 10 CBOs that were able to provide a numeric estimate reported spending an average of 85% of their time on residential outreach.

#### Conversion Rate

Although CBOs are primarily tasked with “outreach” to targeted homeowners, conversion from audit to retrofit is a key component in both CBO success in driving retrofits and HPwES program success in driving residential energy savings as a whole. Thus, CBO conversion rate (the ratio of retrofits to audits) is a component of CBO retrofit success.

### **4.2.2 Composite Success Metric**

Recognizing that CBO success cannot be fully captured in any single metric, the evaluation team combined each metric to develop a composite metric of CBO success. The evaluation team first ranked CBO progress on each of the three retrofit volume metrics, described above, according to the definitions described in Table 4-2.

**Table 4-2: Retrofit Volume Metric Definitions**

<b>Metric</b>	<b>Definition</b>	<b>Meaning of Rank of 1</b>
Retrofit goal progress	Rank of percentage of goal retrofits completed	<i>Most</i> progress towards goal
Contract dollars per retrofit	Rank of total contract dollars awarded per retrofit completed	<i>Fewest</i> dollars per retrofit
Conversion rate	Rank of retrofits completed per audit completed	<i>Highest</i> ratio of retrofits/audits

After ranking each CBO on the three metrics, the evaluation team calculated a composite metric by summing the ranks of each of the three individual metrics. Table 4-3 presents each CBO’s rank on each of the individual success metrics and on the composite success metric (for each metric, smaller bars are more successful CBOs). The very small number of CBOs and, in some cases, small number of retrofits, means that this analysis is not highly reliable. To avoid drawing unwarranted conclusions about the relative success of the specific CBOs, the evaluation team has binned these CBOs into three performance tiers based on the composite metric ranks: the highest performers, the mixed performers, and the lowest performers (noted in the far right column of the table). Because of a rankings tie, the highest performing group includes five CBOs, the mixed performers group includes three, and the bottom group includes four CBOs. Subsequent analyses in this section explore whether CBO characteristics and outreach strategies differ across these CBO “performance groups.”

Although the rankings among the three metrics are correlated, there is considerable variation across metrics. That is, CBOs that ranked in the top group on one metric did not necessarily rank in the top group on the other two metrics, particularly among the highest performing CBOs. No single component metric fully describes CBO retrofit success.

**Table 4-3: Comparison of Success Metrics**

CBO	Retrofit Goal Progress Rank	Contract \$ per Retrofit Rank	Conversion Rate Rank	Composite Metric	Performance Tier
CBO 1	6	2	1	9	Highest
CBO 2	3	1	7	11	
CBO 3	7	3	2	12	
CBO 4	1	4	9	14	
CBO 5	5	5	4	14	
CBO 6	4	6	6	16	Mixed
CBO 7	2	10	5	17	
CBO 8	10	7	3	20	
CBO 9	8	12	8	28	Lowest
CBO 10	9	9	11	29	
CBO 11	11	8	12	31	
CBO 12	12	11	10	33	

CBO numbers were assigned independently for each table.

**4.2.3 Target Population Uptake Metrics**

Assessing the extent to which CBOs are reaching their target population is difficult to quantify. The GJGNY legislation defines target populations in terms of community characteristics (economically distressed communities, Clean Air Act non-attainment areas, and communities with high energy costs in relation to income). Communities are heterogeneous, however; and it is not clear from the existing data whether or not CBOs are helping specifically targeted individuals access energy efficiency retrofit services.

Regional Characteristics

One possible indicator is whether or not CBOs are encouraging retrofits in areas where overall HPwES participation is low. Using data collected by CSG, the evaluation team ranked each CBO on the portion of total HPwES retrofits occurring in their region attributed to the CBO. For this ranking, the lower the



ranking number, the higher the portion of HPwES projects attributable to the CBO in that region. For example, the CBO ranked “1” is associated with the highest level of attributable HPwES projects, while the CBO ranked “12” is associated with the lowest portion of HPwES projects occurring in their region. Table 4-4 compares the composite metric rank (described above) with the portion of HPwES projects in each region attributable to each CBO. Only five CBOs influenced more than 10% of the HPwES projects occurring in their region. The three CBOs with the very highest regional performance were in the lowest performing group based on the composite success metric. Thus, many of the lowest performing CBOs are located in regions where the overall HPwES project volume is very low, suggesting that these areas were harder to reach from the outset.

**Table 4-4: Comparison of Composite Metric with Percent Regional Retrofits**

Performance Group	Composite Metric Rank	CBO % of Regional Retrofits Rank	CBO % of Regional Retrofits >10%
Highest	1	10	✓
	2	4	
	3	8	
	4	7	
	4	9	
Mixed	6	6	✓
	7	5	
	8	11	
Lowest	9	3	✓
	10	2	✓
	11	12	
	12	1	✓

Project-Level Characteristics

The evaluation team identified two potential project-level metrics to quantify CBO success that the HPwES CRIS database currently tracks:

- Proportion of retrofits occurring through the AHPwES program (number of AHPwES retrofits CBO divided by the total number of retrofits, calculated for each CBO)
- Proportion of retrofits completed where the household secured financing (number of retrofits with GJGNY financing, divided by the total number of retrofits, calculated for each CBO)

Although both metrics provide a rough estimate of whether CBOs are targeting their target demographic with GJGNY services, neither metric provides a complete picture of CBO success in recruiting their target demographic. CBOs’ target demographic is not restricted to AHPwES-eligible homeowners (those with incomes between 60% and 80% of AMI); CBOs may also recruit hard-to-reach homeowners with incomes above 80% of AMI. In some cases, these homeowners may be harder to recruit into HPwES, because their program incentives would be lower. In terms of projects with financing, CBO activities include promoting GJGNY financing, but CBO goals do not explicitly include GJGNY-financed projects. Furthermore, the indication of financing in the database does not rule out the possibility that the participant learned of the financing from another source besides the CBO. Despite these cautions, both the proportion of AHPwES retrofits and the proportion of retrofits with financing can provide a rough estimate of relative CBO success

in recruiting a subset of low- to moderate-income participants into HPwES, and relative CBO success in connecting participants with available financial resources to complete projects. This analysis should be interpreted with caution and as preliminary evidence of relative CBO success.

Using data from the CRIS database, the evaluation team examined each CBO on both success metrics. The proportion of retrofits completed through AHPwES made up 39% of all retrofits completed by CBOs, but varied across CBOs (from 26% of retrofits to 67% of retrofits). In contrast, 34% of HPwES retrofits without CBO involvement were through AHPwES. Additionally, just less than half of CBO retrofits (45%) included GJGNY financing, according to CRIS records. In contrast, one-third (33%) of HPwES retrofits without CBO involvement showed financing in CRIS. The proportion of retrofits with financing varied across CBOs - from none to 80% of projects. To avoid over-interpreting the evidence provided by these metrics, the evaluation team again used ranking to compare the results. For the proportion of retrofits occurring through the AHPwES stream, the lowest numerical value indicates the highest proportion of assisted retrofits (the CBO ranked “1” had the highest proportion of AHPwES retrofits). For the proportion of retrofits completed using financing, the lowest numerical value indicates the highest proportion of retrofits completed with financing (the CBO ranked “1” had the highest proportion of financed retrofits).

Table 4-5 presents the rankings of each CBO’s proportion of assisted retrofits and proportion of financed retrofits, providing the composite metric rank for reference. Overall, there is little clear evidence of relationship between these three metrics: CBOs in the highest performing group based on the composite metric were not notably more likely to be among the CBOs with the highest proportion of assisted projects, or the highest proportion of projects with financing. This is especially true for assisted retrofits. Note, though, that the low volume of retrofits completed by CBOs in the mixed and lowest performance groups means that each individual project is heavily weighted in their rankings: a single additional retrofit could have a relatively large effect on each of these CBO’s ranks.

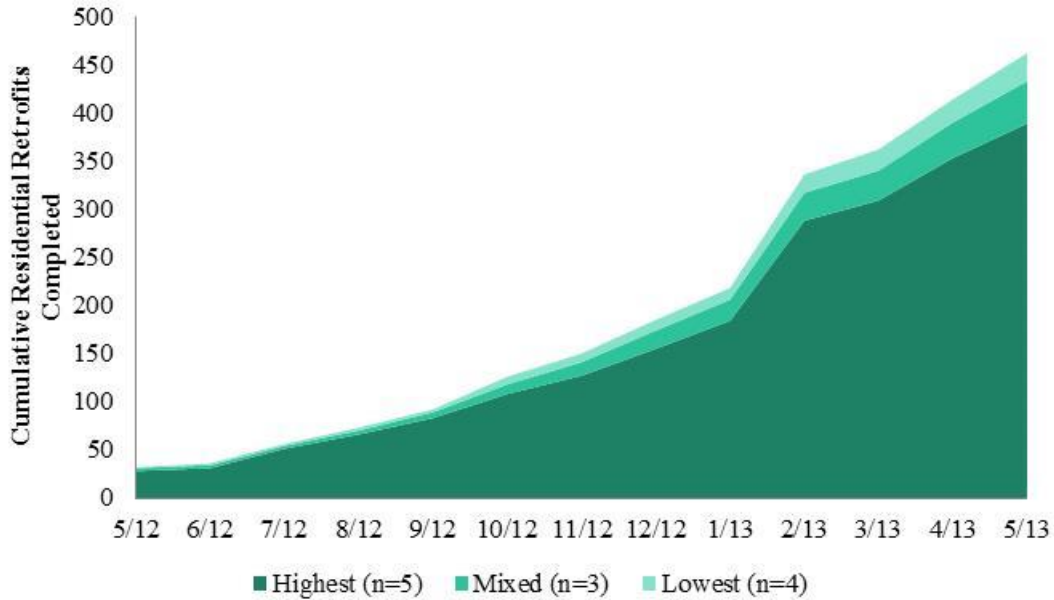
**Table 4-5: Comparison of Composite Metric with Assisted Projects and Financing Metrics**

Performance Group	Composite Metric Rank	Proportion of Assisted Projects Rank	Proportion of Projects with Financing Rank
Highest	1	5	9
	2	9	3
	3	2	7
	4	8	6
	4	12	4
Mixed	6	11	2
	7	3	11
	8	10	8
Lowest	9	6	1
	10	7	11
	11	1	10
	12	3	4

**4.2.4 Overall Progress**

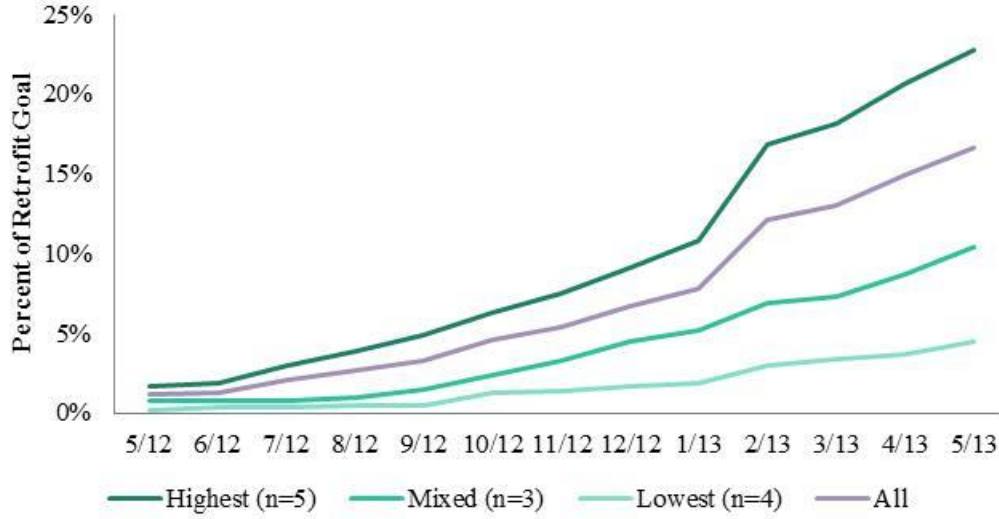
A total of 462 retrofits are attributed to CBOs from January 2012 through May 2013. The highest performing CBOs account for a majority of the initiative volume (Figure 4-1). Recall, though, that the number of CBOs in each group is uneven, accounting for some of the observed differences.

**Figure 4-1: Total Residential Retrofits Completed by CBO Performance Tier**



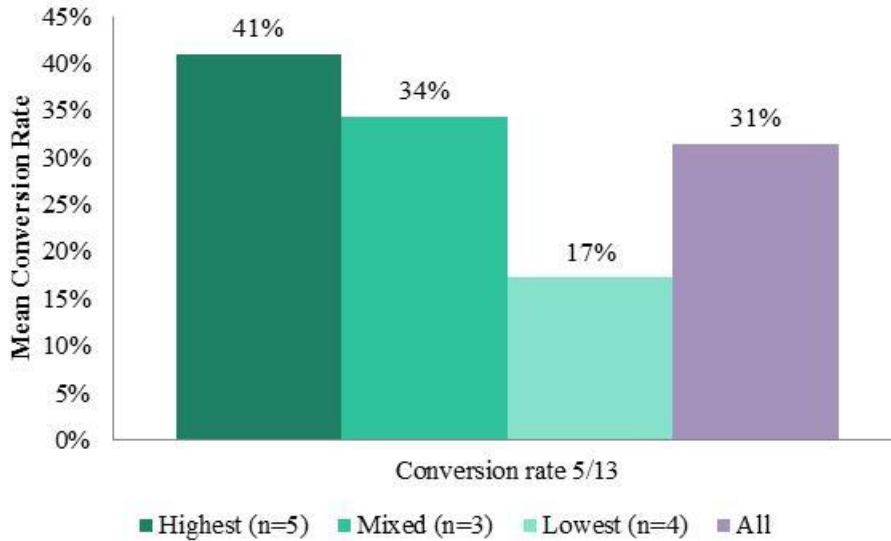
Examining average CBO goal progress by performance tier slightly decreases the differences between the three groups (Figure 4-2). Nevertheless, important differences emerge in the progress made by the performance groups. The highest performing CBOs had a faster initiative ramp-up time than the other CBOs, and continue to have an increased rate of progress, relative to the other two groups. While the rate of increase in goal progress for both high and mixed performance CBOs has increased in the last few months, the rate of goal progress for the low performing CBOs has remained relatively constant.

**Figure 4-2: Residential Retrofit Average Goal Progress by Performance Tier**



Finally, conversion rates from audit to retrofit among the lowest performing tier CBOs were considerably lower than that of both other groups (Figure 4-3).

**Figure 4-3: Average Audit to Retrofit Conversion Rate by Performance Tier**



### 4.3 ACTIVITIES

The CBOs engaged in a variety of activities while pursuing the common goal of residential energy efficiency retrofits. The following sections summarize CBO residential activities as reported from in-depth interviews and document review.

As of June 2013, four CBOs had been involved in aggregation pilots at some point.<sup>11</sup> As the outreach strategies employed by CBOs with aggregation pilots were very similar to the outreach strategies employed by other CBOs, the outreach and recruitment strategies used by all CBOs appear below. Although aggregation was not a focus of this evaluation and results are limited, Section 6.3 discusses the CBOs' broader experiences with aggregation.

#### **4.3.1 Outreach and Recruitment Strategies**

The CBOs reported using widely varying outreach methods to promote residential retrofits. Generally, the CBO contacts indicated that personal interaction at community events generated the most interest and potential participants, although additional in-person efforts often followed other methods of outreach.

##### Recruitment

CBOs reported a wide variety of recruitment strategies (Table 4-6). Proposed strategies differed across CBOs' target communities and existing activities and partners. The most frequently mentioned CBO recruitment strategies were community events (11 mentions) and working with other organizations (6 mentions).

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<sup>11</sup> As of July 2013, two CBOs had discontinued their aggregation pilots, and two CBOs were actively conducting aggregation pilots.

**Table 4-6: CBO Key Residential Recruitment Strategies (n=15; Multiple Responses Allowed)\***

Strategy	Count of Mentions
Community events	11**
Networking with other organizations	6
Direct mail	4
Leveraging community leaders	4
Door to door outreach/canvassing	4
Clergy or church outreach	3
Working with contractors	2
Referral programs	2
Social media, online outreach	2
Email	2
Phone	2
Radio	2
Television	2
Peer to peer referrals (without referral program)	2

\* Other strategies that were mentioned once: operating a model house, working with senior centers, working with social workers, using Brand Cool door hangers, and leveraging attention generated by a newspaper article.

\*\* Total strategies mentioned exceeds number of CBOs because CBOs used multiple strategies.

When asked specifically how they recruit new participants, all CBOs indicated that they use multiple strategies to recruit. CBOs reported that they attend existing events or create their own events and attempt to generate interest in HPwES by presenting potential participants with information about retrofits. CBOs offered many recruitment ideas that they had refined through trial and error. Successful strategies to recruit participants at events included pairing efficiency with other offers, working to leverage partner organizations' constituencies, working with contractors directly, and conducting face-to-face public events:

- *We offer dual topics such as home repair or real estate tax issues along with the energy efficiency. Having an event just to talk about energy efficiency does not get a lot of attendance.*
- *We have recently hit home with workshops and home shows. Public events that attract someone who might be interested in retrofits-eco-events. Face to face time is helpful. We used to work through mail.*

Once initial interest is expressed, CBOs follow up with these leads and screen them for eligibility.

The majority of CBOs reported reallocating their resources from low-touch activities, such as mailers or email towards high-touch, interpersonal outreach like in-person presentations at community events or churches. With one exception, CBOs found highly personalized, in-person approaches to be more successful than media blasts or bulk promotion of opportunities. One CBO in a small media market reported success through using local government endorsements to generate earned media coverage (both television and newspaper). Several other CBOs throughout the state initially experimented with radio, mailers, or television, but found that these low-touch approaches did not yield the desired results.

- *We find it fruitful to layer with repair programs and target people- not do mass mailers.*
- *We tried to mail and email people. This did not work at all, so we changed that to working with other communities and combining with other programs. Working with CBOs and working with contractors directly, we organize with contractors- we are much more targeted now.*

At least six CBOs mentioned linking their work to other organizations to leverage these organization's ties with their communities to recruit potential participants. Some CBOs also solicited buy-in from community leaders or local government officials, leveraging their involvement for publicity or to provide legitimacy in other communities.

### Marketing Material Use

All of the CBOs indicated that they had used at least some of the materials provided by NYSERDA, CSG, and Brand Cool to market their programs, although at least two CBOs indicated that they had switched to materials they produced themselves. The most frequently reported comment about the marketing materials was that the materials did not reflect the specific communities where they are being used. Some CBOs reported that including local people and matching images with their target populations was important to the success of the marketing and outreach materials in attracting their constituents to the program. CBOs did not indicate a need for more marketing materials; rather, CBOs reported success in complementing the provided program marketing materials with materials they produced themselves. Comments about the marketing materials provided for CBO use included the following:

- *We do use them- definitely. That's the information that we give out in the community. People who come in will have those fliers or say that they saw them. We will often pair them with something of our own that's specific to the environment that we're placing it in. We try to double it up.*
- *Many of our strategies require specific pieces and Brand Cool cannot [contractually] do custom work. They produce good quality generic stuff and there is only so much generic we can use.<sup>12</sup>*
- *They have a two page brochure that we use. The people on the front don't look like the people opening our doors but we do use them.*
- *Brand Cool material has been decent [for us] but has not generated a lot of activity. The templates for the case studies have been helpful.*
- *I think the materials are good for creating packages when we have presentations so people can take home information. We made our own flyers that we got approved by NYSERDA to promote events. They gave us materials in Chinese and this has been helpful for some of our subcontractors. They have a HPwES flyer and this shows the steps to participation. This is helpful.*
- *The general pamphlets are clear but if I place them outside, it does not attract people's attention. There are no pictures of houses, for example. The pictures make it look like family planning or healthcare brochures.*

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<sup>12</sup> Brand Cool's contract with NYSERDA includes producing materials for CBO use, but they cannot create customized materials for each CBO. See Section 3.4: CBO Marketing Materials.

### 4.3.2 Case Management Strategies

CBO contacts described having an early expectation that initial outreach and providing application paperwork would be sufficient to generate retrofits. In practice, CBOs provide applicants with support throughout the HPwES process to successfully complete retrofits. CBOs are involved in the process at any number of participation points, including:

- Prequalifying the customer
- Filling out paperwork: audit application, financing application, and retrofit application, getting utility bill information to support application
- Working with GJGNY residential financing contractor Energy Finance Solutions to submit paperwork, and troubleshooting missing paperwork or incomplete applications
- Providing lists of active qualified contractors
- Facilitating communication with contractor: Sending audit application to contractor, scheduling audit, encouraging quick audit report turnaround, scheduling sit-down with contractor and homeowner to go over audit results, trouble-shooting work scheduling
- Interpreting the audit report
- General troubleshooting and case management-type services

#### Pre-Screening and Paperwork

After recruiting a potential participant, the CBOs present that participant with the program paperwork, including the audit application and list of contractors. Many CBOs conduct pre-screening before or concurrently with filling out an audit application. The prevalence of pre-screening has increased since the initiative began, prompted by low conversion rates early in the initiative and CSG training. This pre-screening primarily includes an assessment of interest and qualifies the potential participant for financing. By qualifying or disqualifying potential participants for financing before they receive their GJGNY audit, CBOs believe they can increase the proportion of audits that will lead to retrofits. At least one CBO leverages staff's BPI certification to conduct a preliminary assessment of the efficiency opportunities in the home.<sup>13</sup>

CBOs qualified potential participants either over the phone or in person. Because income qualification questions can be sensitive, the CBOs have developed strategies to overcome reluctance to answer the questions. These strategies include building trust through in-home visits, starting the conversation with less invasive lines of questioning, and establishing credibility by demonstrating membership in the community. Several CBOs indicated that being perceived as a trusted representative of a legitimate program took time and effort. After initial interest and qualification is established, the CBOs facilitate financing arrangements for projects.

A few CBOs have negotiated with utilities to acquire direct access to utility consumption data as Energy Service Companies (ESCOs). By contracting with the local utility as an ESCO, the CBO can use a signed waiver from the potential participant to acquire the potential participant's utility consumption data directly

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<sup>13</sup> This staff member completed BPI certification to increase the CBOs knowledge about comprehensive energy efficiency retrofits, but was not a participating HPwES contractor.



from the utility. This access allows them to acquire for homeowners the utility usage history required as part of the HPwES audit application: the usage information is then included in the audit application sent to HPwES program staff.

#### Financing Promotion and Explanation of Program Value

Nearly all CBOs promote the GJGNY-funded financing as a key element of the HPwES program. As outlined above, most CBOs attempt to determine financial eligibility of potential participants early in the HPwES process, to maximize the proportion of audit recipients who are able to fund their retrofit. CBOs described the facilitation of financing arrangements as being one of the most difficult parts of the process, partly because of the need to build trust with the potential participant. Contacts explained:

- *Once a person agrees to talk to us one of our staff makes an appointment to go over things with them in their home. We try to build up some comfort. We do not start off with the paperwork because it is long and complicated.*
- *Another issue is trust. It sounds too good to be true. When you don't have to pay anything out of pocket, they don't get it. It's gotten dramatically better since we've implemented case studies, getting to be more known, ten times more people interested. I still start every presentation with a disclaimer that "I'm an employee of a non-profit, I don't get any kind of payment for your work, I know it sounds too good to be true but this is a real opportunity."*

Beyond the difficulties in facilitating the arrangements, CBOs also try to help potential participants understand the benefits of the program. CBOs report that potential participants' skepticism is manifested as a reluctance from their potential participants to bear the costs of projects and to take on debt. A lack of understanding of the financing options may also contribute. Representative CBO contact comments included:

- *The ten percent discount may not be enough incentive to get the work done. Some may say "I have a handyman who can do the same thing." The pricing for a BPI-certified contractor is much more than for other sources of getting the work done: they get feedback from customers that the pricing is higher.*
- *It is a challenge getting people to go from audit to retrofit: after they see the report they don't think they will save money. Then there are those that have monetary concerns—we will talk about financing options, on-bill, unsecured loans through HPwES, etc. Our community is debt averse, particularly if their house is not in bad shape. On-bill does not seem like a benefit when their bill is the same. People don't want to borrow money.*
- *People have concerns with financing: people are leery of liens on home. It is one more tool but it's not for everyone.<sup>14</sup>*

Even among those potential participants expressing interest in financing, CBOs had difficulty finding participants who could qualify for financing. CBOs heavily involved in promoting financing reported that the required debt-to-income ratios and qualified types of income often disqualified the potential participants they are targeting (between 60% and 100% of AMI). A midstream financing qualification change that

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<sup>14</sup> Note that none of GJGNY loan products constitutes a lien on a property. This comment demonstrates the confusion about GJGNY financing offers.

relaxed the debt-to-income ratio requirements may have somewhat improved these moderate income participants' ability to qualify:

- *At one point in time we were finding that a lot of people were disqualified due to financing. We've had to focus on slightly higher income communities to meet our performance goals. For example, people have low income but high savings, or their income is just over the line for AHPwES, and then their debt to income ratio is just too high. This kind of thing happens more often than it should.*

### Contractor Interaction

The CBOs reported that they stay involved in retrofit projects as the participants select their contractors and throughout the actual retrofit process. Over time, CBOs have formed relationships with the contractors who perform high quality audits and provide reliable service for the participants in their areas. CBOs indicated that they have formed relationships with contractors who they originally found on lists provided by NYSEERDA. Except through aggregation, CBOs are not allowed to formally recommend one contractor over another to consumers. Initiative staff members have conducted surveys with eligible HPwES contractors to better understand which are active, and have allowed CBOs to recommend from this pared-down list of active contractors, as opposed to the full HPwES contractor list on the website. Some CBOs invite these contractors to outreach events, which facilitates linking participants with contractors with whom the CBO has worked.

While CBOs can track participant progress through their read-only access to CRIS, CBOs also contact the contractor directly to understand why a project has not progressed. Some contractors contact the CBO directly with their stalled projects, allowing the CBO to follow up with the participant to find out why the project has not progressed. CBOs can also work with contractors to resolve issues about work scope and timing. This direct contractor- CBO communication reduces the time required to complete the retrofit, and helps CBOs troubleshoot participant problems. A few CBOs have implemented online tracking systems that contractors can access directly.

### Other Support

CBOs conduct other activities to help homeowners navigate the HPwES process. A few CBOs have BPI-certified staff to help homeowners assess their home's needs and interpret the audit report. CBOs also conduct regular follow-up with homeowners to encourage them to continue the process and trouble-shoot any potential issues.

This ongoing contact requires CBOs to closely track participant progress. While a few CBOs only use SharePoint, most CBOs have implemented an internal spreadsheet or other database to track participant progress through the program. One CBO uses a paper-based system. See Section 3.3.1 for an overview of the types of strategies CBOs use to track residential project progress. Several CBOs reported looking forward to the new HPwES tracking software launching in the fall of 2013, which will allow participants, contractors, CBOs, and program staff to view and update project progress, facilitating tracking and communication.

Some CBOs also work directly with Energy Finance Solutions to troubleshoot financing application problems that participants encounter, such as missing paperwork or rejected loans.

#### 4.4 OTHER FUNDING SOURCES

In their outreach to promote HPwES, CBOs encounter overlapping funding sources and other programs that are also designed to improve the comfort and reduce the energy use of potential participants. The two most frequently mentioned overlapping programs were programs targeting low-income (<60% of AMI) residents: NYSERDA's EmPower program and the Weatherization Assistance Program. The frequency with which CBOs mentioned these programs (10 of 15 CBOs mentioned EmPower) may reflect the fact that, outside of the GJGNY CBO Outreach program, many of these CBOs focus on providing services to low-income populations.

A few CBOs described a tension between meeting the needs of their existing constituency and promoting the HPwES program. CBOs are expected to promote HPwES, but for some of their constituents, the EmPower program is more appropriate. The relationship between HPwES and EmPower changed in the second quarter of 2013 to allow household with incomes below 60% AMI to participate in HPwES through joint EmPower-AHPwES projects (see Section 2.2: Initiative Development). CRIS shows that CBOs have only completed a total of 10 audits (out of almost 2,000) with EmPower-qualified homeowners, and CBOs' primary objective was to recruit household above 60% AMI. Nevertheless, several CBOs indicated concern about this change, fearing that EmPower-eligible homeowners who wanted to complete a comprehensive retrofit through AHPwES would slip through the cracks after receiving their EmPower upgrades, and not get the services they wanted.

Although initiative staff expressed concern over competing retrofit funding sources for GJGNY residential audit recipients, few contacts reported having encountered competing utility incentives. A few had encountered gas conversion incentives from utilities.

- *It's only come up once or twice. The contractors are pretty well versed in those incentives: in the audit report, they'll list it. It doesn't come up very often. Occasionally the customer will have heard of it.*
- *I do not believe ConEd offers incentives for this kind of work.<sup>15</sup>*

Just one CBO tracked these competing offers closely, but by this CBO's account, the main effect of these incentives is increased marketplace confusion.

- *We've been at similar events to NYSEG, we try to be clear that there are certain things you can't double dip. It's all SBC money, so you can't take an incentive from NYSEG and also go through the program and get more incentive. Again, just having complexity is a barrier.*

Over half of CBOs reported that supplemental grant funding available for AHPwES participants in their regions (<80% of AMI) would cover the half of the project not covered by the AHPwES grant, and/or provide additional funding for health and safety improvements. These supplemental grants available to AHPwES participants include an Affordable Housing Corporation grant, the Community Development Block Grant, and the Green and Healthy Homes Initiative.

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<sup>15</sup> Consolidated Edison (ConEd) currently offers incentives for HVAC upgrades, but not for comprehensive residential retrofits.

## 4.5 BARRIERS

As of June 2013, all of the CBOs reported that they had experienced and overcome challenges on their path to completing residential retrofits. One underlying challenge CBOs cited was time. CBOs reported that designing, implementing, and refining their outreach strategies took longer than they expected. Additionally, CBOs reported that the time required to complete the HPwES program also affected their outreach ramp-up times, as it took longer to develop completed projects to leverage as examples of the program's value. Many CBOs wished for a longer contract in which to conduct their outreach.

In addition to time, CBOs identified several key challenges to conducting residential outreach, spanning all stages of the HPwES retrofit process. These challenges are discussed below.

### 4.5.1 Recruiting Interested Leads

The first step for CBOs is recruiting participants. Many CBOs reported that recruiting participants is more difficult than they anticipated when proposing their goals. Recruitment is difficult for many reasons including challenges with identifying and accessing qualified potential participants, overcoming constituent skepticism about the program offer and lack of participant follow through. This difficulty in recruiting interested leads has resulted in lower-than expected rates of audit completion for some CBOs. One CBO explained that, "the rate of audit completion from initial contact to audit complete is 6% when we estimated that half of the leads would complete audits." Because of these difficulties, many CBOs are revising their recruitment strategies. One CBO contact commented:

- *We are doing more targeted recruitment practices. We wanted to be able to engage people that we considered more loan-ready, if they couldn't pay out of pocket. This year we are tightening our recruitment strategy. We started to be more strategic doing research upfront to get more data on a neighborhood, businesses in the area, buildings, getting feedback in terms of what people were looking for. We started zeroing in using data on reported incomes, working with sustainability groups and green groups in the area. We are now working with mortgage companies refinancing, first time home-buyer programs, establishing relationships with banks.*

Some CBOs indicated that they have had difficulty recruiting the right type of property owners because of illegally rented units or health and safety issues:

- *The prevalence of illegal rental units is a challenge. People rent out basements a lot. They don't care about legality of unit and contractors don't either. However, if the contractor sees health and safety issues, the contractor has to report this to the city. Residents do not want to take risk that someone could find out about their illegal rental unit.*
- *Health and safety and financing are biggest barriers to participation. One in five potential retrofits has health and safety issues and probably half don't move forward because of it.*

### 4.5.2 Financing

Financing was another key barrier identified by CBO representatives. Since CBO's constituents may not have the ability to pay for retrofits out of pocket, financing is a key factor in moving projects forward. Often, potential participants are either not able to qualify for financing or do not wish to take on loans or liens on their property. Several CBO contacts offered comments about financing barriers, including:

- *Financing has been our biggest challenge. We have had homeowners that do not qualify for grants but are reluctant to get financing.*

- *People are reluctant to do financing, or not qualified for financing. There are also paperwork challenges: some people are distrustful of handing over utility bills.*
- *Financing is the biggest issue. People who seem like they should be qualified, like retired teachers, then they aren't; it's crazy. Their pensions either aren't counted as income, or they have low income but high savings, or their income is just over the line for AHPwES, and then their debt to income ratio is just too high. We have to tell them to wait until the next year when their income might be 500 dollars lower, and they'd qualify for AHPwES, which is easier to get waivers for high debt to income ratios. This kind of thing happens more often than it should.*

#### 4.5.3 Overcoming Skepticism

Along with recruitment and funding issues, the CBOs encounter further barriers convincing potential participants that the offer is legitimate and beneficial. This process often involves in-person visits to build trust, extensive handholding, and repeated contact over time. CBOs explained the importance of creating trust between them and their participants and between participants and contractors:

- *Another issue is trust. It sounds too good to be true. When you don't have to pay anything out of pocket, they don't get it. Also, trusting contractors is an issue. People have had bad experiences with contractors, particularly in the wake of the hurricane.*
- *We try to build up some comfort with people when we go to their home and do the paperwork. Then, the person gets the energy assessment after that. Up to that point it's all free. Then, we have to talk to them about loans and the eligibility to get the loans. We have to ask people questions and they are suspicious. We go back to their house again to talk to them about the loans face-to-face. You are asking them questions and they are looking at you wondering "why do you need to know that?" We don't want it to be anonymous. It's all face to face when it gets to the stage that involves extensive paperwork. We are standing right there to answer questions.*
- *Well, I think people have been burned a lot with contractors. That has been an issue in terms of people wanting to follow through- a level of skepticism. In New York City, it's a harder market - people don't know their neighbors, they don't have close knit communities. It's a harder nut to crack. Giving them all the program documentation upfront as they do in other regions wouldn't work here - we have to establish trust here.*
- *Another challenge is that because the retrofit process itself takes so long you don't have the testimonials. We have a few testimonials from audit completions but it takes so long to get any retrofits [often on the order of months], it has held up the process of generating a referral base. We had wanted to hold more house parties, to have participants with completed projects come to meetings to describe their experience.*

#### 4.5.4 Converting Interested Leads to Retrofits

Nearly all CBOs report that facilitating project completion among interested homeowners has been more challenging than they anticipated. A major component of establishing trust and encouraging follow-through for the CBOs has turned out to be ongoing personal attention. Some CBOs expected this to be part of the process when they began promoting projects, while others have been surprised by the amount of work required to shepherd projects through to completion. Several CBOs reported that they form long-term relationships with many of their participants and communicate at all stages of the project. A few CBOs even reported repeatedly visiting participants in their homes in person. This type of attention is resource-

intensive for the CBOs, who often have limited staff and resources to allocate to the program. Comments from CBO contacts included:

- *My work involves a lot of handholding to shuttle a project from first contact to retrofit. Handholding is the largest part of what we do.*
- *The length of the process can be very discouraging for people. When it's not winter, there's less of a motivation until it gets cold again. There are also a lot of challenges in terms of being open to the process, which is why we spend so much time doing handholding.*
- *Some people will call a contractor right away, but nearly everyone needs a push to make an audit appointment. That step can be lost and they never get their audit. Some of them aren't sure yet if they want to go through with it. You have to stay on target – if you have 1000 interested people, and you don't do case management and follow through, it doesn't matter. You have to take them through the program.*
- *If we are involved with customer, we are involved in troubleshooting the loan application that was turned down, finding other resources for repairs needed prior to energy efficiency work, and maybe even resolving disputes with their contractor. This quality control involvement was not anticipated. We are the people on the ground who are accessible and known - we are the ones that get a call. This is a valuable role; we just didn't anticipate doing it. Some folks may get involved with us even deeper- to the point we recognize their phone numbers.*

#### **4.5.5 Finding Reliable HPwES Contractors**

Although the GJGNY program logic identifies contractor availability as a key barrier to increasing HPwES project volume, CBO contacts did not report that the availability of contractors had been a major barrier. Nearly all contacts indicated that, at the time of the interviews, there were enough qualifying contractors in their area to meet the demand for audits and retrofits. Some CBOs have encountered issues with contractors beyond availability, including lack of attention to potential participants and unresponsiveness. Program staff noted that contractor availability has been more of a barrier in the downstate market. One CBO reported that some contractors in their region steer potential participants away from the AHPwES program. Comments from CBO contacts included:

- *Some contractors just don't have the capacity to work with the program. In our homeowner forums we'll have a contractor do a presentation but then everybody wants that contractor so we only have dependable contractors come, with the capacity to do assessments and not reschedule. Some contractors were not interested until weatherization began to dry up-then they approached us.*
- *Yes, there are enough contractors- it's just a matter of the homeowner finding the contractor that meets their needs. Contractors are starting to see CBO value. I would love to blast an email to them giving them feedback on leads and jobs.*
- *I don't think the contractors provide enough information to homeowners about rebates, and about AHPwES. It's easier for the contractor to just say that the homeowner will get a 10% rebate. Contractors don't want to sell AHPwES because of the paperwork. We've come across projects where contractors sold jobs as regular and people pay out of pocket, even though they are qualified for AHPwES, because the contractors don't want to deal with the additional paperwork.*
- *The contractors can be very busy; sometimes clients get frustrated with that. Yet contractors are not confident enough in the work volume to hire a new team. In some rural communities, it's*

*challenging, we have a shorter list of eligible contractors, and even fewer that are inclined to participate at a given time.*

- *Contractors seem very reluctant to ramp up capacity and if they do, customer service quality goes down. We don't know how long the program will be around; they are not going to ramp up only to find program is not long term. We had a retrofit complete in May based on an audit done last August. We are on a 2 year contract. NYSERDA said it would typically take 60 days to go from audit to retrofit but the whole process can take years. How long the process and pipeline is has been a surprise.*

#### 4.6 LESSONS LEARNED

As of May 2012, CBOs had reached different levels of success in terms of progress toward their goals. Contacts described a variety of lessons learned and emerging successful strategies during in-depth interviews. The most frequently mentioned success strategies included maximizing face-to-face interactions, forming partnerships with contractors, and positioning projects as relevant to potential participants.

**Maximize face-to-face contact:** Contacts reported that more face-to-face contact with potential participants encouraged higher levels of participation and project completion. CBOs created opportunities for face-to-face interaction by hosting events, attending existing community events, attending church services, offering workshops, and conducting in-home visits. Comments from CBO contacts included:

- *Our events and workshops are the most face time we have with customers. They get to know who we are and what we stand for as opposed to general advertising. Looking at how we spent resources, having more of a focus on representatives and what we stand for could be beneficial on the second RFP.*
- *When we get people to the homeowner forums, and the elected officials we've recruited can really speak to what the homeowners needs are. It's quite effective.*
- *We are getting in on the ground floor and we have the time to meet, listen, and assist our participants. We're not doing hard sales; instead, we're more interactive with residents to have them take advantage of an opportunity. That role has been extremely helpful to our community and to the city and counties we've been working with. There was a level of negativity towards NYSERDA previously. There were some programs that were done in the past under the "home performance" name, but not through NYSERDA, where it wasn't as tightly regulated in terms of qualified contractors. Having a group speaking for the residents has been really helpful- as an advocate.*

**Form relationships with contractors:** Many contacts reported being able to better serve their participants by forming strong relationships with participating contractors. These relationships allowed the CBOs to connect their participants to contractors who understood the program, were reliable, and who performed quality work. CBOs also report that direct contractor communication is valuable in reducing dropouts. CBOs can work with contractors directly to help schedule audits and troubleshoot problems, which keeps homeowner motivation high by reducing the time it takes to receive audit results and ensuring homeowners have sufficient information to move forward.

- *Partnering with contractors is important. Some of these contractors wouldn't still be in this program doing home performance work if we hadn't been supporting them. Others have grown. It's been really rewarding knowing that. We're seeing the program work better for customers because of that and that's what matters.*

- *Contractor communication has been key. They feel accountable, answer calls. If we didn't have the relationship and pull them in to evolve the program, it wouldn't work like this. They call and tell us if something isn't going well on a job.*
- *We added a lot to the contractors' world. The contractors continue to tell us it's been helpful for them. It's hard for the contractors themselves to become participating HPwES contractors - they are really invested. We are going to actually build sustainable communities with people taking steps to improve their living conditions.*

**Position projects within participants' realities:** Contacts reported learning to link the energy efficiency projects with other home repairs potential participants were interested in, or to tie their marketing of the program to other topics. Another CBO strategy for making the projects appeal to potential participants is case studies, which frame the projects as something one's neighbors are doing. CBOs use case studies as a tool to legitimize the offer to skeptical homeowners and to convince them that the program can benefit people like themselves.

- *It's gotten dramatically better since we've implemented case studies; we are getting to be more known. Ten times more people are interested in the program than when it started.*
- *People are so thankful – we hear great personal stories. I remember a single mom who required all kinds of assistance but she's back in her childhood home with her kids and now is more comfortable without a huge heating bill. This program is becoming more and more known around the area.*
- *We drive homeowners towards retrofits by layering home performance with existing home repair programs.*
- *The testimonial piece is what I like the most because it sells the program. A participant, who we interviewed yesterday is 87 years old. Her house had been very drafty, and had a gas leak she was unaware of. The contractor found this health and safety issue and NYSEG took care of that. After the retrofit, she was immediately more comfortable. Her utility bill dropped. I called her to wish her a happy birthday and she told me her utility bill had dropped. The case study should be on the NYSERDA webpage next month.*
- *We have a monthly newsletter - we will do case studies of homeowners that have done retrofits and show what they think of the program.*
- *We use dual topics at events. This seems like a good strategy to get more people to show up at events.*

Other strategies mentioned by CBOs included translating the materials into the language spoken by their potential participants, tailoring the marketing materials to relate to their potential participants (such as changing the photos), educating their staff thoroughly, and using social media. Comments included:

- *Moving people through the program successfully is because of the staff's program knowledge. It's over the period of time doing program, you learn what homeowners think. We got training on national energy efficiency opinions, but not on low income or comfort of the home.*
- *Social media-that's been a huge highlight and it's fun to do as well. It enables us to engage thousands of people each month through Facebook, website, twitter, just about energy efficiency in general as well as GJGNY. It helps cultivate a community that is more educated.*



Several CBOs also reported that HPwES retrofits are somewhat seasonal and that outreach conducted during warmer months has less immediate impact than outreach conducted in cooler months, when potential participants notice high heating bills and may experience discomfort. Although CBOs conduct outreach year-round, maximizing their outreach effectiveness has led several to recognize that potential participants are more likely to undertake upgrades at certain times of the year, even though contractors may be busier.

#### 4.6.1 Correlates of Success

The evaluation team attempted to examine the relationship between CBO success and CBO characteristics and activities, including:

- Location
- Prior organization efficiency experience
- CBO mission
- CBO residential outreach activities

CBO success was related to CBO location: none of the four first-round CBOs in the New York City region and surrounding boroughs ranked in the highest residential performance group. These urban organizations are also located in regions with low overall HPwES volume, suggesting that there are substantial barriers to completing HPwES retrofits with priority populations in these regions.

Prior organizational efficiency experience was largely unrelated to residential outreach success: the highest performance CBOs were mixed in their prior experience with efficiency, and a majority of the lowest performing CBOs reported some experience with efficiency in the past.

Residential retrofit success was not strongly related to CBO missions (Table 4-7). While three of the highest progress CBOs reported that one of their organization's primary missions was affordable housing, not all affordable housing CBOs were successful. Furthermore, two of the high progress CBOs reported that their primary missions were around advocacy, rather than providing services.

**Table 4-7: First-Round Residential CBO Mission by Success (Multiple Responses Allowed)**

Mission	Highest Success (n=5)	Lowest or Mixed Success (n=7)
Advocacy	2	1
Affordable Housing	3	2
Employment	0	2
Small Business Services	0	3
Social Services	1	3

The evaluation team attempted to identify whether there were any residential outreach activities correlated with CBO success. This analysis was largely fruitless, though, because the CBO's activities are so rooted in their community context. Although CBOs conducted different activities to promote residential retrofits, because these activities were largely conducted within the context of their communities, the community itself is a confounding factor in the success of these activities.



## **WORKFORCE DEVELOPMENT OUTREACH**

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This section summarizes the experiences of the 13 CBOs conducting workforce development outreach. Topics covered include goals, progress towards meeting goals, challenges, and successes of these CBOs. Data informing this section includes in-depth interviews with each of the 13 CBOs with workforce goals and a review of initiative documentation (including each CBO's statement of work and monthly reports).

### **5.1 GOALS**

Unlike efficiency goals, which were consistently quantified in leads, audits, and retrofits, CBO's workforce goals spanned a variety of activities and were expressed with varying levels of specificity in CBO contracts. Broadly, CBO workforce development goals span two categories: first, goals related to individual green job training and job placement; and second, clean energy certification and accreditation goals.

#### **5.1.1 Green Jobs Workforce Goals**

The first category of CBO goals involves referring individuals to training that will result in green jobs. These goals are:

- Raise awareness of training opportunities among target regions and populations
- Screen potential applicants for clean-energy workforce development programs
- Refer people to training
- Get people trained
- Place trainees in jobs

CBOs operationalized these broad goals into two types of numeric goals.

1. Training Goal: Ten CBOs had goals related to training a certain number of people in their service area.
2. Job Placement Goal: Seven CBOs intended to place a certain number of people in jobs with local contractors. Six of the seven intended to place people they trained or referred to training; and one of the seven intended to place people in jobs.

#### **5.1.2 Clean Energy Certification and Company Accreditation Goals**

The second category of CBO goals involves clean energy certification and accreditation for contractors. These goals are:

- Educate contractor firms on GJGNY opportunities
- Assist with BPI accreditation for Minority- and Women-Owned Business Enterprise (MWBE) contractors
- Document jobs created by GJGNY in the region

CBOs operationalized these broad contractor goals into concrete goals. Seven CBOs assisted local contractors with receiving BPI accreditation. In five of the seven cases, CBOs paid specific attention to accrediting MWBE contractors.

CBOs have between one and three types of workforce goals. Table 5-1 categorizes each CBO's workforce goal - as reported in their NYSERDA contracts - by training individuals, job placement, or contractor BPI accreditation.

**Table 5-1: Workforce Goals by Workforce Topic**

<b>Organization</b>	<b>Green Jobs Training Goal</b>	<b>Green Jobs Job Placement Goal</b>	<b>BPI Certification/ Accreditation Goals</b>
Asian Americans for Equality			Yes
Adirondack North Country Association	Yes		
Downtown Manhattan Community Development Corporation			Yes
Long Island Progressive Coalition	Yes		
Make the Road New York	Yes	Yes	
Northeast Parent and Child	Yes		Yes
Neighborhood Housing Services of Staten Island		Yes	
Northwest Bronx and Community Clergy Coalition	Yes	Yes	Yes
PathStone	Yes	Yes	
Public Policy and Education Fund - Central	Yes		Yes
Public Policy and Education Fund - Southern Tier	Yes	Yes	Yes
People United for Sustainable Housing	Yes	Yes	
Rural Ulster Preservation Company	Yes	Yes	Yes
<b>Total CBOs</b>	<b>10</b>	<b>7</b>	<b>7</b>

### 5.1.3 Workforce Development through Aggregation

Besides the workforce development goals discussed above, the aggregation pilots conducted by CBOs also had workforce development components. The community benefits elements of the aggregation pilots stipulated local hiring and living wages for retrofits conducted through HPwES, which were important workforce development activities not fully quantified in this section. The documented job placements through these pilots are included below, and the other aggregation benefits are discussed in more detail in Section 6.3.

## 5.2 PROGRESS

Workforce goal progress is broken into two categories. The first section, below, summarizes CBO progress towards general green jobs workforce goals; and the second section summarizes contractor workforce goal progress.

### 5.2.1 Green Jobs Workforce Goals and Progress

The CBOs with workforce goals proposed to enroll a total of 769 people in training, of which just under half would complete training, and 189 would receive jobs. As of the end of May 2013, CBOs reported reaching about 95% of their training attendance goals, 57% of their completed training goals, and 63% of their job placement goals (Table 5-2). Only one CBO had job placement goals without training goals.

**Table 5-2: Training and Job Placement Goals and Progress**

Organization	Attend Training Goal <sup>a</sup>	Attend Training Progress <sup>a</sup> <sup>b</sup>	Complete Training Goal	Complete Training Progress <sup>b</sup>	Receive Jobs Goal	Receive Jobs Progress <sup>b</sup>
CBO 1	200	18	50	2	25	3
CBO 2	150	117	130	93	90	86
CBO 3	96	53	24	Not reported <sup>c</sup>	8	2
CBO 4	75	40 <sup>a</sup>	None	N/A	75 <sup>d</sup>	4
CBO 5	60	Not reported <sup>c</sup>	None	N/A	30	1
CBO 6	50	368	25	29	15	24
CBO 7	43	0	8	0	3	0
CBO 8	40	72	20	18	None	N/A
CBO 9	30	51	20	20	None	N/A
CBO 10	15	50	15	10	None	N/A
CBO 11	None	N/A	None	N/A	8	3
<b>Total</b>	<b>779</b>	<b>769</b>	<b>292</b>	<b>172</b>	<b>254</b>	<b>123</b>

<sup>a</sup> Includes goals of individuals referred to trainings and enrolled in trainings.

<sup>b</sup> Current progress towards goal. Numbers reported by CBOs in May 31, 2013 reports.

<sup>c</sup> CBOs did not report their progress on these goals in their reports.

<sup>d</sup> Reported as of October 31, 2012.

CBO numbers were assigned independently for each table.

With between three and nine months until the end of their contracts cumulatively, the CBOs appear on track to meet program workforce training goals overall. It is unclear at this point whether the somewhat lower cumulative progress towards training completion and job placement is a function of the necessary lag time between training enrolment, training completion, and job placement, or another factor.

There is considerable variation in individual CBO goal progress, though. Four CBOs exceeded their training attendance goals and one far exceeded their goals, constituting about half of all trainees. Two other CBOs appear on track to meet their training attendance goals. Two CBOs are seemingly behind in meeting their training attendance goals, and the progress of the final two CBOs is unknown.

Progress towards meeting training completion and job placement goals is similar to the training attendance goal progress. CBOs that have met, or are close to meeting, their attendance goals are meeting, or are close to meeting, their training completion and job placement goals.

At the same time, though, three CBOs reported no plans to replace recently-departed workforce development coordination staff, suggesting that workforce development outreach work may slow for some CBOs as they prioritize residential retrofits and activities included in the performance payment.

### 5.2.2 Clean Energy Certification and Company Accreditation Goals and Progress

Contractor recruitment has proved more challenging than expected. As a group, the seven CBOs with workforce goals related to contractors have reached about one-quarter of their collective goal (22 of 96 contractors receiving information about BPI accreditation). The CBOs reached about 10% (7 of 72) of their MWBE contractor goal, suggesting that reaching this population has been challenging.

**Table 5-3: Contractor Workforce Goals and Progress**

Organization	BPI Accreditation Goal	BPI Accreditation Progress <sup>a</sup>	MWBE Goal	MWBE Progress <sup>a</sup>
CBO 1	30	15	6	Not reported
CBO 2	24	3	24	3
CBO 3	10	0	10	0
CBO 4	10	0	10	0
CBO 5	10	3	10	3
-CBO 6	10	1	10	1
CBO 7	2	0	2	0
<b>Total</b>	<b>96</b>	<b>22</b>	<b>72</b>	<b>7</b>

<sup>a</sup> Numbers reported by CBOs in May 31, 2013 reports.

CBO numbers were assigned independently for each table. One CBO had proposed translating course materials for non-English speakers, but had to adjust after their contract was in place because the BPI course they were going to translate was cancelled by BPI. Therefore, this CBO changed their workforce goal and developed an exam preparation course for non-English speaking contractors that assists them in receiving BPI accreditation.

## 5.3 ACTIVITIES

Guided by the information NYSEERDA provide in monthly webinars, CBOs conducted numerous activities related to their two workforce goal areas: individual green jobs training goals and accreditation/certification goals. Activities that supported CBOs individual goals are discussed in the next section, followed by a section describing CBO activities supporting contractor goals.

As of June 2013, three CBOs conduct aggregation pilots that support their workforce development goals. These CBOs' experiences with the aggregation pilot facilitation of workforce development are discussed in Section 6.3.

All but two of the CBOs with workforce goals also have energy efficiency goals (residential, small business, and/or multifamily). Nearly all of these CBOs reported spending considerably less effort on their workforce goals in comparison to their energy efficiency goals. The two CBOs that only had workforce goals spent all their GJGNY time on workforce goals.

**5.3.1 Training and Job Placement**

- All workforce CBOs stated they would refer their constituency to “green” training. Review of contracts and monthly reports revealed that the 11 CBOs with training goals conducted five types of activities to support their goals (Table 5-4).
- **Partner with community groups:** Establishing formal relationships with other community groups to help attract potential trainees.
- **Partner with Department of Labor New York State Career Centers, where possible:** Developing a partnership with their local Department of Labor Career Center to access potential trainees.
- **Work with training providers:** Work with training providers to arrange trainings for interested trainees.
- **Provide translation services:** Translating existing training or outreach materials to improve outreach to non-English speaking populations.
- **Form workforce committee:** Forming a committee that includes representatives from the local Career Center, contractors, community colleges, and local government to inform workforce activities.

**Table 5-4: Training and Job Placement Activities (Multiple Responses Allowed)**

Activity	Count (n=11)
Partner with community groups	9
Partner with local Department of Labor Career Centers	6
Provide basic job skills training	2
Work with training providers	2
Provide translation services	1
Form workforce committee	1

Partner with Community Groups

Most of the CBOs reported they partnered with another group to assist with outreach to potential trainees. Examples of partner organizations include local United Way job skill classes, local colleges, and military bases. CBOs collaborated with these organizations because each of these groups had access to people who would soon be in need of jobs, such as recent graduates, and soldiers leaving military service, and green jobs might be a possibility for these groups. CBOs hosted green job events at their partner organizations and participated in existing job forums in order to promote “green” training opportunities.

Partner with Department of Labor Career Centers

Six of the nine CBOs that collaborated with community groups explicitly stated in their contracts that they would conduct outreach about green training opportunities to local Department of Labor Career Centers. Examples of the collaboration between the Department of Labor Career Centers and CBOs include:

- A staff person from the regional Department of Labor Career Center attended a CBO training and jobs event to meet members of the community to promote Career Center services to local job seekers
- A CBO reported providing marketing materials to Department of Labor Career Centers advertising green training opportunities
- A CBO referred their constituents to Career Centers for possible job placements
- A CBO developed a case study of an HPwES contractor working with their local Career Center to be used in marketing other HPwES contractors

At least one CBO indicated they had prior relationships with their Department of Labor Career Center. This existing relationship made it easy for the CBO to share job opportunities and coordinate training efforts.

#### Provide Job Skills Training

At least two CBOs reported offering basic job skills training to potential energy efficiency trainees. These basic job skills trainings cover “soft skill” topics, such as customer service, resume writing, and teamwork. One of these CBOs reported that offering basic job skills training “may not help us with our BPI accredited and certification goals, but will help us get folks labor skills training and entry level jobs in the program markets.”

#### Work with Workforce Training Providers

Two CBOs reported working with training providers to offer training to their constituents.<sup>16</sup> While CBOs were not permitted to offer trainings directly, they were allowed to partner with training organizations to offer needed trainings to constituents. CBOs who arranged these trainings reported success in training their constituents. One CBO also offers support services, such as transportation assistance to trainees to ensure trainees successfully complete their training program.

#### Provide Translation Services

One CBO reported translating training materials, prepared by a local union, into Spanish. This training is specifically targeting Spanish speakers, a population not widely recruited for green jobs training.

#### Form Committee

One upstate CBO formed a committee to help inform their contractor and training goals. This committee included a Department of Labor representative, contractors, local community college staff and training providers, and government representatives. This committee helped determine the capacity of the region in recruiting people interested in green jobs. The contractors on the committee have provided feedback about how to do on-the-job training.

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<sup>16</sup> Note that while program guidelines forbid CBOs to offer trainings directly, CBOs were allowed to partner with training organizations to offer needed trainings to constituents.



### 5.3.2 Clean Energy Certification and Accreditation Activities

All CBOs reported marketing certification and accreditation opportunities to contractors. One CBO used contractor lists maintained by their local utility to reach out to contractors and explained the benefits of being a NYSERDA partner. A CBO explained the benefits of becoming BPI accredited to a group of contractors during their regular meetings.

In addition to marketing training opportunities for contractors, CBOs reported four other activities (Table 5-5) aimed at supporting their contractor workforce goals.

**Table 5-5: Certification and Accreditation Activities (Multiple Responses Allowed)**

Activity	Count (n=7)
Collaborate with Department of Labor Career Center	4
Provide bilingual training	2
Form association of contractors	1
Qualify to be BPI testing facility	1

#### Collaborate with Department of Labor Career Centers

Four CBOs indicated some type of collaboration with their local Department of Labor Career Center to facilitate contractor BPI accreditation. One downstate CBO reported in a monthly report that they are in contact with their local Department of Labor Career Center, but no contractors have registered with the Career Center because the contractors are waiting to become BPI accredited before registering. One CBO reported that a representative from the local Department of Labor Career Center sits on their workforce committee. Another reported difficulty with their partnership with the Department of Labor Career Center. According to this CBO contact, there were several contractors interested in hiring, but when they were referred to the Department of Labor Career Center, the center was “non-responsive and complicated.” Program staff noted that this was an issue for downstate CBOs, particularly.

#### Provide Bilingual Training

Two CBOs indicated they work with BPI and other established training providers to provide certification trainings for non-English speaking individuals, rather than just referring leads to other training providers. One CBO prepared a BPI exam preparation course specifically designed for non-English speaking contractors. Another CBO translated the Builder Operator Certification Training and recruited a bi-lingual trainer for course deployment.

## 5.4 OTHER FUNDING SOURCES

Other funding sources did not generally contribute to CBO workforce development activities. One CBO indicated that their GJGNY efforts built upon projects they began with ARRA funds. The ARRA funds helped the CBO’s local training provider develop a curriculum and course that teaches basic construction skills.

## 5.5 BARRIERS

CBOs identified challenges to recruiting trainees, job placement, increasing contractor awareness of GJGNY opportunities, working with Department of Labor Career Centers, and working with MWBEs. The following sections outline these challenges.

### 5.5.1 Recruiting Trainees

CBOs reported several barriers to recruiting potential trainees, one of which was getting trainees to qualify for training. Two CBOs reported that one of the difficulties in getting people enrolled in a BPI course was the pre-screening criterion. The CBOs' constituents were "unemployed for a while, have drug histories, criminal records," all of which precluded them from meeting the HPwES hiring criterion. More generally, one CBO stated some applicants are "not the best fit for this type of work" and that the CBO needs to make "sure that we attract the people who are appropriate and interested in getting credentials in this type of work."

Other challenges included:

- **Finding a qualified instructor:** One CBO contact described having to postpone the training they helped develop with their training partner because they could not find a qualified instructor.
- **Getting employed people to take training:** CBOs reported that training was not always attractive to currently employed candidates. A potential trainee's current job, while perhaps not desirable, is certain, and the commitment required to take a training for an unknown job may not be attractive.
- **Training times and availability.** Some training candidates cannot take time off from their current jobs to attend training. One CBO reported that trainings were not offered at appropriate times for employed potential trainees, and some were cancelled because of low enrollment.
- **Overcoming a lack of knowledge about "green" jobs:** One CBO declared, "workforce development was supposed to reach low-income, disenfranchised communities. Those individuals don't understand green energy. They don't understand the employment aspect of it – what kind of job that would even be." Teaching people about "green" jobs and the potential opportunities took this CBO longer than anticipated.

### 5.5.2 Job Placement

CBOs reported that it often took trainees a long time to realize job opportunities. According to one CBO representative, "when contractors were hiring, 6-8 months had passed since training" and many of those trainees pursued non-efficiency related activities in the meantime. This CBO suggested aligning training with when contractors will be hiring by surveying contractors to get a better sense of when they will be hiring.

### 5.5.3 Department of Labor Relationship and Trainee Tracking

Although several CBOs reported successful relationships with Department of Labor New York State Career Centers, initiative staff reported that several other CBOs, particularly downstate, had encountered unresponsiveness in attempting to coordinate with local Department of Labor Career Centers, and that this unresponsiveness had hampered training and job placement tracking. A few CBO contacts confirmed that they had been unsuccessful in developing a relationship with their local Career Center.

#### **5.5.4 Contractor Outreach**

Three CBOs reported that increasing the awareness of contractors about GJGNY opportunities was not sufficient to motivate contractors to become HPwES partners. While long-standing established contractors already knew about GJGNY opportunities, smaller, less established contractors had less incentive and time to devote to learning about GJGNY opportunities. Furthermore, training funds available through the Department of Labor for these types of contractors were expended, making it even more difficult to convince contractors to learn more about GJGNY. Beyond the training funds, some CBOs mentioned that contractors were reluctant to commit time to a class without a guarantee they will receive work: “None of my contractors are experienced working with NYSERDA. If contractors know they are going to get work, it’s one thing. But the class is a big investment so they need to think there will be a profit.”

Beyond the barriers to attending training, CBOs reported that there was not an incentive for contractors, particularly small contractors, to be interested in GJGNY opportunities. According to one contact, “there is a lot of stuff involved in doing the program. If contractors have enough work, they don’t want to outlay capital for equipment, make the effort, or pay the cost of going through additional training” to pursue GJGNY opportunities.

#### **5.5.5 Working with MWBEs**

It is not clear what challenges exist for CBOs doing outreach to MWBE contractors. As a group, CBOs only reached about 10% of the outreach goals to MWBE contractors. CBOs provided varying and incomplete explanations for this finding. One CBO contact commented that they encountered far fewer MWBEs than they had anticipated. In fact, this CBO was contemplating sponsoring workshops to assist MWBEs in becoming certified, reporting that this process was “daunting.”

### **5.6 LESSONS LEARNED**

An analysis of CBOs’ work on meeting their workforce objectives reveals the lessons described below.

Facilitating basic job skills training can better prepare trainees for subsequent green jobs training. One of the challenges CBOs faced was potential trainees that were ineligible or ill prepared for green jobs trainings. At least two CBOs have attempted to overcome that challenge by offering or referring potential trainees to workforce development training that teaches students basic job skills, such as customer service and resume writing.

CBOs are struggling to overcome barriers to recruiting contractors, particularly small contractors. Several CBOs indicated difficulty with getting smaller, less established contractors interested in GJGNY opportunities. According to these CBOs, smaller, less established contractors have less time and money to devote to training opportunities. One strategy to overcome that challenge is to offer training scholarships for contractors. One CBO reported scholarships were at least somewhat successful in recruiting contractors to take trainings, but scholarships only cover training fees, not the time away from work. Each hour spent in training is time a contractor is not doing billable work, something some contractors cannot afford. Program staff, and some CBOs, mentioned that small contractors might also find it difficult to participate in the HPwES program. Both the administrative overhead required, and the HPwES requirement to complete a minimum threshold of work through the program annually, may make the HPwES program less attractive for small contractors, and thus make the CBO’s recruitment of small firms more difficult.



## OTHER SECTORS

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In addition to conducting residential and workforce development outreach, many CBOs conducted multifamily outreach, small business/not-for-profit outreach, and aggregation pilots. This section discusses CBOs’ experiences conducting these types of outreach.

### 6.1 MULTIFAMILY OUTREACH

This section presents findings from in-depth interviews with the four CBOs that had multifamily performance goals. Topics discussed include CBO progress towards meeting their goals, the types of activities they conducted, the challenges they faced, and the successes they realized.

#### 6.1.1 Goals and Progress

Among the 18 grantees awarded GJGNY funds, four CBOs, all located in New York City, proposed goals to encourage multifamily property owners to participate in NYSERDA’s MPP. The multifamily goals of the GJGNY initiative leverage CBOs’ existing relationships in their communities to promote the program. CBOs assist property owners and management companies with tasks, such as finding an auditing firm (their MPP Partner) and answering questions about the administrative tasks associated with MPP participation.

As Table 6-1 shows, each CBO proposed different goals for their multifamily leads, audits, and retrofits. The table also shows progress towards meeting their goals from the start of the initiative to May 31, 2013 (from CBO self-reports).<sup>17</sup> Leads come from CBO outreach events, CBO partner agencies, or door-to-door outreach conducted by CBO staff. Audits are the number of properties where a lead has received an audit from a NYSERDA-approved MPP Partner (engineering firm). Retrofits are the number of properties with a NYSERDA-approved project plan (an Energy Reduction Plan, or an “Exhibit C” in prior versions of the MPP) and a Notice to Proceed to construction. (As multifamily projects completed through MPP may span years, completed retrofits are not an appropriate measure of CBO success across a two-year contract.)

**Table 6-1: CBOs, MPP Goals, and Progress toward Goals**

CBO	Leads Goal	Leads Progress	Audit Goal	Audit Progress	Retrofit Goal	Retrofit Progress
CBO 1	267	278	76	0	20	0
CBO 2	150	78	40	25	20	11
CBO 3	66	50	25	0	6	0
CBO 4	30	0	8	0	2	0

CBO numbers were assigned independently for each table.

Only one CBO has completed any audits or retrofits in this sector as of May 31, 2013. The lack of progress in meeting MPP goals, combined with the contracts expiring in the fourth quarter of 2013 for three of the four CBOs, suggest that the CBOs are unlikely to meet their multifamily goals.

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<sup>17</sup> A total of about 18 months for each CBO except one that was contracted under the second RFP and has had 11 months to conduct outreach.

### 6.1.2 Activities

The performance payment structure affected the amount of outreach that CBOs performed in sectors other than residential. All but one of these CBOs have goals in other areas: residential, small business, or workforce. Two CBOs receive their performance payment based on residential goal progress, and one receives its performance payment for meeting their overarching energy efficiency retrofit goals, of which multifamily is one small part. Only the CBO receiving a performance payment solely based on multifamily retrofits reported spending a significant amount of time on multifamily outreach.

Because of this limited focus on multifamily outreach, three of the four CBOs provided little insight into their multifamily activities in interviews with the evaluation team. As a result, this section draws from CBO's monthly reports and contracts, as well as interviews, to understand CBOs' experiences with, and lessons learned from, conducting multifamily outreach. Table 6-2 summarizes the proposed activities of each CBO and lists examples of actual activities.

**Table 6-2: Summary of Proposed and Actual Activities in Support of Goals**

CBO	Multifamily Perf. Payment	Proposed Outreach Activities	Activities Conducted
CBO 1	Yes	Provide tenant education	Not reported
CBO 1	Yes	Conduct needs assessment of buildings	Explain MPP to Property Managers
CBO 1	Yes	Organize meetings with large property owners and management companies	Promoted GJGNY at conference
CBO 1	Yes	Direct property owners to MPP Partners	Assist participant in soliciting bids for MPP Partner
CBO 1	Yes	Assist MPP Partner with application process	Continued work with participant and Partner to keep projects moving to retrofit phase
CBO 2	Part	Organize meetings with large property owners	Identify appropriate partner to assist with outreach to multifamily owners
CBO 2	Part	Direct property owners to MPP Partners	Continued work with cooperatives
CBO 2	Part	Assist MPP Partner with application process	Not applicable; no multifamily buildings have entered the audit/retrofit phase
CBO 3	No	None	Presentations with partners
CBO 3	No	None	Discussions with building management to schedule audits
CBO 4	No	None	No specific multifamily activities conducted

CBO numbers were assigned independently for each table.

CBO 4 did not propose any activities related to multifamily and ultimately determined the multifamily market was considerably different from the residential market. These differences made it difficult to do

simultaneous or similar outreach to both markets. Because their payments are based on accomplishing their residential goals, staff reported devoting their effort to the residential sector.

Among the remaining three CBOs, all reported leveraging relationships with partners to conduct multifamily outreach. Three of the four CBOs had prior relationships with organizations that had access to multifamily properties. These relationships included an affordable housing owner, a property management company, and other organizations providing affordable multifamily housing services. Each CBO's outreach design leveraged these relationships to facilitate outreach efforts and garner retrofit projects. These CBOs reported working with affiliates to recruit property managers and building owners to participate in MPP. Two of the CBOs reported their primary activities involved working with their affiliates to encourage them to retrofit buildings.

In addition to working with organizations that had connections to multifamily properties, CBO 1 had existing experience working with and managing multifamily properties. Further detail about this CBO's outreach strategies is included in the case study section.

### 6.1.3 Other Funding Sources

None of the CBOs reported leveraging other funding sources to conduct multifamily outreach.

### 6.1.4 Barriers

CBOs reported several explanations for why they struggled to conduct outreach in the multifamily sector. Three of the four CBOs receive their performance payment based on meeting other goals, and their focus on multifamily outreach was thus less than other goals areas. These contacts verified that multifamily goals were secondary to their other goals: "Multifamily is such a different animal than 1-4 residential, and our major milestones were in the 1-4 family sector, so multifamily has not been a focus for us."

Despite the lack of emphasis on achieving multifamily goals, each of the four CBOs provided the following information about difficulties reaching the multifamily market.

**Limited Time Spent on Multifamily Outreach:** Three of the four CBOs reported spending limited time on multifamily outreach. One CBO stated their intention to increase their multifamily marketing efforts in the summer of 2013. Up until this time, this CBO relied on their existing relationships with a property management firm to attract possible participants.

**Partnership Dissolved:** The partner one CBO had planned to utilize, to assist them with their multifamily goals, dissolved at the beginning of their project. Therefore, this CBO had to pursue a new partner that took time away from conducting outreach.

**No Leverage with Key Decision Makers:** One CBO reported that attempts to call property managers and building owners had been unsuccessful: few had even agreed to listen to the CBO's offer, let alone expressed interest. Some potential property managers were unwilling to participate because the MPP's payback period of 8 to 12 years exceeded their requirements.

**Reluctance to Finance Efficiency Work:** According to one CBO, multifamily owners, particularly co-ops, are reluctant to finance efficiency work.

**Owners Choose Easier, but less Comprehensive Alternatives:** One CBO contact reported that Consolidated Edison (ConEd) offers incentives that can seem more attractive to multifamily owners. "People will compare programs and choose which programs fit their needs best. Some decide to use ConEd

instead of NYSERDA's MPP. People think it is too much work to do NYSERDA MPP and they wind up doing smaller projects and getting incentives from ConEd.”

Although no CBO contacts mentioned the timeframe of multifamily projects, the slower pace at which comprehensive multifamily retrofit projects typically proceed may also be a barrier to CBO success over the course of a two-year contract. It is too early to tell whether this is a barrier to CBO success, but the fact that only a single CBO reported completing any audits suggests that it is not the most important barrier.

### 6.1.5 Successes

The small number of CBOs conducting multifamily outreach and the low emphasis on multifamily outreach for many of these CBOs largely precludes drawing conclusions about the correlates of CBO success. Nevertheless, results indicate that CBOs with existing experience in multifamily building management and strong relationships with building owners may be well placed in the market to successfully generate multifamily retrofits.

## 6.2 SMALL BUSINESS AND NOT-FOR-PROFIT OUTREACH

This section summarizes in-depth interviews conducted with the nine CBOs that had small business/not-for-profit goals. Topics include their progress towards meeting their goals, challenges they faced, and successes they realized.

### 6.2.1 Goals and Progress

Nine CBOs had energy efficiency lead, audit, and retrofit goals in the small business/not-for-profit sector. Table 6-3 summarizes the small business goals of each CBO and their progress towards meeting those goals as of May 31, 2013.

**Table 6-3: Small Business Goals and Progress towards Meeting Those Goals**

CBO	Leads Goal	Leads Progress <sup>a</sup>	Audit Goal	Audit Progress <sup>a</sup>	Retrofit Goal	Retrofit Progress <sup>a</sup>
CBO 1	240	71	80	4	35	0
CBO 2	200	58	60	11	30	0
CBO 3	400	228	100	8	17	0
CBO 4	400	48	74	40	10	14
CBO 5	200	422	25	4	10	0
CBO 6	100	14	30	0	10	0
CBO 7	75	28	19	3	5	0
CBO 8	50	24	15	0	5	0
CBO 9 <sup>b</sup>	0	0	0	0	0	0

<sup>a</sup> Based on monthly reports submitted by CBOs to CSG by May 31, 2013.

<sup>b</sup> This CBO has conducted small business outreach, but has no goals and no reported progress.

CBO numbers were assigned independently for each table. As Table 6-3 shows, eight of the nine CBOs have not achieved any retrofits. Only one CBO has realized their retrofit goal, and –one has met their lead



goal as of May 31, 2013. While six CBOs recorded completed audits, none has met their audit goal. Given the lack of an established process for CBOs and initiative staff to confirm CBO progress with small business and not-for-profits (see Section 3.3.3), the reported progress may underestimate actual CBO activity.

**6.2.2 Activities**

This section highlights some of the key activities CBOs undertook to conduct small business outreach.

While nine CBOs have small business goals, CBOs received performance payments based on meeting their residential retrofit goals (and in two cases, multifamily goals) only. As a result, few CBOs conducted outreach activities specifically targeting small businesses/not-for-profits. In the words of one CBO, “A lot of our small business outreach was through our residential work.”

When asked what percentage of their GJGNY time they spent on small business efforts versus their other goal areas, all nine CBOs suggested that small business received limited attention. Of the seven contacts who were able to estimate a percentage of their time spent on small business, all committed less than 20% of their GJGNY effort to small business.

Additionally, several CBOs reported that they spent less time managing the progress of their small business leads than they did their residential leads. While all CBOs reported following up with residential leads to ensure they scheduled and conducted their audit, several CBOs reported making no contact with their small business leads after referring them to the auditor in their region. (The Small Commercial Energy Efficiency program has one audit firm in each of four regions statewide. NYSERDA staff initially helped match CBOs with the auditor in their region.)

The evaluation team attempted to document the small business outreach activities each CBO conducted. All CBOs reported conducting community outreach, such as attending community events and making presentations to local Chambers of Commerce, business associations, and similar community groups. In most cases, though, CBO outreach at these events was primarily focused on residential outreach, with small business information presented as appropriate. Two CBOs relied solely on their community events outreach to generate interest in small business retrofits; for these CBOs, the evaluation team found limited evidence of other activities targeting small businesses specifically. Seven of the nine CBOs reported at least one activity conducted specifically targeting small businesses, including working with partner organizations and canvassing (Table 6-4). The following sections summarize each of these outreach types.

**Table 6-4: Activities Specifically Targeting Small Businesses (Multiple Responses Allowed)**

Activity	Count (n=9)
Partner with organization with economic development focus	4
Canvassing door-to-door	3
Phone and email outreach	1
Obtain additional support funding	1
None	2

### Partner with Economic Development Agency or Individual

CBOs reported varying amounts of experience working with small businesses prior to GJGNY. For example, one is an economic development organization that focuses on growing small businesses. Other CBOs appear to have less background in working with small businesses. For instance, two CBOs have traditionally focused more on affordable housing issues and less on providing services to small businesses.

Three CBOs partnered with a person or organization expected to help generate leads for the Small Commercial Energy Efficiency program. One CBO worked directly with a small business auditor that made presentations on behalf of the CBO and could explain the process to an interested small business or not-for-profit organization because of his experience in delivering audits. This same CBO reported collaborating with the Cornell Cooperative Extension (CCE) office to promote the program as well.

Two downstate CBOs worked with interns from another organization to help with canvassing and explaining the program at trade shows and community events. One of these CBOs reported this collaboration was not fruitful. One of these CBOs also reported working with two local business improvement districts to generate interest in the Small Commercial Energy Efficiency program.

### Canvass Door-to-Door

Three CBOs reported canvassing small businesses door-to-door in order to recruit possible participants. One CBO used an intern to assist with canvassing businesses, and another CBO mentioned relying more on canvassing to recruit small business participants, rather than residential participants.

One CBO reported differences in their approach between small businesses and not-for-profits. According to this contact, not-for-profit organizations required door-to-door, in-person communication; whereas small businesses did not respond as well to door-to-door canvassing.

### Obtain Support Funding

One CBO secured a grant from another funder that helps small businesses make necessary building improvements, such as fixing moisture problems, prior to efficiency improvements. This additional funding provides small businesses grant funds that cover expenses not covered by GJGNY funds. These funds have thus far encouraged 20 businesses to express interest in the program, of which 18 applied for audits. In order to receive these additional funds, the participant must commit to making efficiency improvements and secure financing (or use their own funds) to pay for any costs not covered by the grant or GJGNY funds. Contacts at this CBO reported that the additional funds are “a big part of our small business outreach. We market it as: ‘we have this grant available; it’s contingent on going through the GJGNY audit process.’ People are more interested in structural fixes. Some people are motivated by efficiency, but definitely, the matching grant is a big piece of our success.”

### **6.2.3 Barriers**

CBOs reported encountering several challenges in completing their small business outreach, including misaligned incentives, ineffective or failed partnerships, owner/tenant issues, and several other barriers to encouraging the small business market to undertake efficiency upgrades.

### De-Emphasis on Small Business Goals

The Outreach program performance payment structure functionally emphasized residential goals. As a result, three CBOs reported not actively pursuing their small business goals. They chose instead to focus on

residential goals because they were experiencing greater progress in that area and were incented to generate retrofits in this sector. One CBO underestimated how much emphasis small businesses would need from the CBO to generate retrofits. Comments from CBO contacts included:

- *Honestly, we've focused on the residential goals.*
- *The short story is we haven't devoted a lot of time to small business both because it is not fruitful, and because our core deliverables are the homeowner numbers.*
- *We were so focused on the residential piece, we assumed small businesses would not need much handholding but we found out it's just as much handholding.*

Illustrating this de-emphasis on small business/not-for-profit activities, a few of the least-engaged CBOs with activities in this sector made comments indicating a lack of complete understanding of the Small Commercial Energy Efficiency program guidelines. For example, one CBO reported they had conducted outreach with chains like CVS, which is too big to qualify for the program.

#### Failed Partnerships

Several CBOs reported that ineffective and failed partnerships also contributed to their lack of success with small business outreach. One CBO partnered with an organization that places interns in community organizations to learn “green job skills” while providing service to the community. This intern was to be placed with the CBO with the purpose of assisting the CBO in conducting outreach to small businesses. The CBO reported that this organization “really dropped the ball.” The contact went on to say their partner organization appeared eager to work on the project, but never followed through with action, which contributed to the CBO’s lack of progress in achieving its small business goals.<sup>18</sup> Another CBO proposed working with local Chambers of Commerce (through becoming a member) to recruit small businesses to participate in the program, but was advised that it would be an ineffective approach; “One of our original ideas was becoming a chamber of commerce member in the target areas, but we were advised against it by another CBO.” The CBO did not elaborate on why they were advised against joining the Chamber, but did suggest that their inability to find an effective partner affected their ability to recruit small businesses.

In addition to the CBO payment structure and partnership challenges, CBO contacts’ comments suggested underlying market barriers and program features that make it difficult to encourage small business participation. These barriers include:

- Small businesses reluctance to take on debt
- Small businesses leasing, not owning, space
- Recent participation in other energy efficiency programs
- A NYSERDA program that is difficult to explain and navigate
- A NYSERDA program that is difficult to track

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<sup>18</sup> NYSERDA worked with CBOs to modify their contracts in cases where partner involvement changed after contract execution.

### Debt Aversion

The GJGNY Small Commercial Energy Efficiency Financing program offers low-interest financing to encourage small businesses to implement audit recommendations. According to CBOs, this financing offer is not attractive to many small businesses. Contacts at five CBOs described small business' reluctance to take on debt associated with an efficiency retrofit. The two most active CBOs each reported that only one of their small business participants had acquired financing for their project. Another two CBOs explicitly stated that the cost of comprehensive retrofits dissuades small businesses from participating, indicating the out-of-pocket cost is too expensive, and small businesses are unwilling or unable to finance them.

Comments from CBO contacts included:

- *Most of the small business customers won't take on new debt; they will fund what they do themselves.*
- *Businesses are leery of borrowing money.*
- *Small businesses are reluctant to sign-up for an energy audit as they look a few steps ahead and realize that they will have to put in capital that they don't have to get retrofits done. This turns them away.*

### Prevalence of Leased Space among CBO Outreach Contacts

Three contacts reported a lack of progress in achieving their small business goals because the small businesses they contacted often leased their space and therefore did not have the authority or the willingness to make a substantial investment in the property. Two CBOs reported finding small business lessees uninterested in comprehensive efficiency investments, indicating "unless they own their space, they don't care about the building envelope." Another CBO reported similar barriers in conducting small business outreach: "unless a small business owns or substantially controls the building, it's a tough nut to get them to take on loans to improve the building since it's an investment they're not going to be able to hold on to."

### Recent Participation in Utility Programs

Three CBOs reported problems convincing small businesses to participate in the NYSERDA programs because many small businesses had recently participated in a utility program. CBOs suggested that the utility programs are more attractive to small businesses because they are less complex and offer incentives on lighting - something small businesses, even lessees, will invest in. Two CBOs also reported that recent participation in a utility program kept some potential participants from participating in NYSERDA's program, even though it offered the potential for deep retrofits with substantial savings. Comments included:

- *Some small businesses have told us they already participated in the Consolidated Edison lighting program for small business. We try to tell them about other opportunities but have not been successful.*
- *A lot of businesses have gone through a utility sponsored commercial lighting program and felt like they're happy and done. NYSERDA's small business program is a longer process: it has more paperwork, and is more involved.*

### Other NYSERDA Program Processes

Unlike the residential and multifamily programs, the GJGNY-funded Small Commercial Energy Efficiency Program is not directly linked with a retrofit program. While businesses can receive incentives through NYSERDA's Existing Facilities program, they can also access GJGNY financing to complete retrofits independent of receiving any incentives. Three CBOs found NYSERDA's Small Commercial Energy Efficiency program confusing to explain to potential participants. According to one CBO contact, the small business program is difficult to navigate and takes too much time for a small business to want to participate: "getting a small business to commit time to the program has been a challenge. It is a substantial investment in terms of their time." Another CBO called the current small business participation process "cumbersome." This contact explained the process this way when asked what it would take to convince more small businesses to do retrofits:

- *Even if you recruit a substantial amount of small businesses to get a free energy audit, there is no seamless process to encourage retrofits and receive incentives. Again, the customer faces a cumbersome process to apply for existing facilities. When left to their own devices this is usually something that is put on the back burner. There needs to be a better flow from audit to retrofit and better explanation of what qualifies through Existing Facilities and options for financing.*

#### **6.2.4 Successes**

CBO's reports of their experiences with small business/not-for-profit outreach revealed three main areas of success: leveraging small business energy efficiency expertise, leveraging additional small business funding, and targeting not-for-profits. In all cases, successful CBOs had clearly articulated activities targeting small businesses and not-for-profits in their contracts, and these activities were independent of their residential outreach activities.

One CBO reported success in completing audits and retrofits by having an experienced small business energy auditor contact potential participants. The auditor explained that an efficiency retrofit is "a capital plan for a small business asset and it won't cost a small business anything to find ways to increase the value of these assets." The CBO contact further explained that allowing small businesses to use their own contractor to complete the work, not a BPI-certified contractor as in the HPwES program, was also a selling point.

As indicated in the activities section, one CBO received a grant to assist small businesses and not-for-profits with non-efficiency building upgrades that can affect the success of a possible efficiency retrofit. This CBO reported that many small businesses and not-for-profits occupy older buildings in disrepair that may need structural or other fixes completed before pursuing an efficiency upgrade. Once grant funds were available to assist small businesses and not-for-profit organizations in these types of buildings, the program saw an increase in interest and participation.

Two CBOs reported greater success with garnering program interest from not-for-profit organizations compared to small businesses. "It's been easier to deal with nonprofits" compared to small businesses, stated one contact. Another CBO stated that not-for-profit organizations, particularly faith-based organizations, have received audits and then opted to complete a retrofit because their members can supply the installation labor at little or no cost to the organization.

### 6.2.5 Lessons Learned

CBO contacts comments on lessons learned from conducting outreach with small businesses and not-for-profit organizations focused on suggestions to improve future outreach to these sectors. CBOs offered three different strategies to improve CBO outreach to small businesses/not-for-profits.

#### Develop a Small Business Tracking System

Four of the six CBOs that had completed any audits reported difficulties with tracking projects from lead to audit to retrofit. All four desired a tracking system similar to what exists for residential projects. Additionally, one CBO requested the initiative supply Microsoft Project Manager to CBOs in order to track small business projects.

Currently, CBOs are using informal systems to track projects. Informal systems include:

- The memory of an auditor on the staff of the CBO
- A CBO's database
- Calls to the business owner doing the audit or retrofit

If the small business outreach initiative were to grow, a better tracking system would be required, according to these CBOs.

#### Emphasize a Focus on Small Business

The current performance payment structure incents CBOs to focus on residential work, resulting in insufficient focus and staffing to commit to providing support to small businesses. For example, one CBO reported that dedicated resources are required to recruit small business participants. Currently, this CBO contact portrays the small business program as an afterthought to their residential work in outreach: “we talk to residential customers, alerting them there is also a small business option.” This CBO contact reported being surprised at not getting small businesses to participate. Even small businesses that reportedly knew about energy efficiency did not want to participate. According to this contact, a full time staff person that could devote their efforts solely to the small business effort is required to get small businesses enrolled.

#### Find Organizations that are more Credible with Small Businesses

An upstate CBO posited that small businesses may be reluctant to work with a CBO on a program but may respond better to another business or a business organization doing the outreach. This contact suggested that businesses might have more trust in their perceived peer: another small business or organization, such as a business council.

### 6.3 AGGREGATION

As of May 2013, three of the CBOs with residential activities had active aggregation pilots. Initially, three CBOs proposed aggregation pilots, but one CBO abandoned aggregation during the first year of their

contract, and one CBO added an aggregation pilot. All four of these CBOs provided feedback about their experiences with aggregation. Two of these CBOs are also case study subjects (see Section 7: .1 and 7.3).<sup>19</sup>

Of these active aggregation pilots, two target detached single-family homes, and one targets developments of condominiums or townhouses.

Two of the CBOs reported that aggregation was critical to aligning the CBO Outreach with their missions to promote a holistic definition of sustainable communities:

- *We promote aggregation as a holistic model that has buy-in from businesses and a competitive advantage in the market. We can tell communities that they will see personal benefits, health and safety, home values, environmental benefits, benefits to the local economy. This is a deeper definition of sustainability, and it has resonated with the public that we're engaging with.*

### 6.3.1 Barriers

The three active CBOs indicated that the aggregation pilots of their residential outreach started slowly because they required special agreements with contractors and involved recruiting and defining aggregation clusters. The CBO contacts reported that creating the aggregation elements of their outreach strategy was, and continues to be, a “learning process.” Initially, the CBOs struggled to get buy-in from the parties involved in the aggregation process, such as contractors and property managers. CBO contacts explained:

- *Getting the contractors on board took months. It was backwards: we had to get contractors on board before putting in the application to NYSERDA, but contractors wanted to know we had the grant before signing on.*
- *We need more support from property management and the housing board. We needed to screen developments better. The first cluster was truly a pilot in the sense that it was less successful than anticipated.*

Two CBOs reported that creating large clusters of projects was initially challenging and caused some dissatisfaction with contractors and participants:

- *Initially there had to be three people in the cluster to move forward, now it's a cluster if anyone moves forward. The three people model wasn't how contractors were used to working. They didn't want to wait for two more people to be ready. The customers didn't like waiting either.*

Another CBO had expected to find housing of sufficiently similar stock to enable efficiencies in modeling and equipment orders, but found that the housing units had too much variation.

- *It was a lessons learned experience. We ended up finding that the units were very different, we couldn't get the modeling efficiencies we had planned. Since finishing that cluster, we've been encouraged by NYSERDA to find a new development to work in.*

Although the aggregation pilot agreements that participating contractors sign stipulate living wage requirements and local hiring practices, comments made by the two CBO contacts with the most active aggregation pilots indicate that these goals have not been fully realized. One CBO reported they were in the midst of revising their contractor aggregation agreement to more clearly define these requirements. The

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<sup>19</sup> One CBO ended its aggregation pilot in July 2013, leaving two active aggregation pilots as of that date. The text refers to the aggregation pilots at the time of interviews in May and June 2013.

other CBO contact reported that “workforce development hasn’t taken off as much as we wanted. The aggregation contractors had to promise to hire locally, but the contract wasn’t binding, they just had to do their best. Otherwise they wouldn’t have agreed to be part of the pilot. Contractors tell us they need more retrofit volume, 20-30 projects a month, to justify a new truck.”

The CBO that had abandoned their aggregation pilot reported that they had stopped it because staff turnover, a lack of organization, and delays had inhibited their execution of a complicated pilot design. They still believe that the aggregation idea is promising.

### 6.3.2 Lessons Learned

All three of the active CBOs indicated that they refined their processes over time and found a way to make aggregation work for participants and contractors. This was done by modifying their approach to work with contractors, refining the geographical area to be more flexible in accepting projects, and/or targeting more owner occupied units, such as townhouses.

- *We changed the aggregation pilot to stick with geography rather than zip code bundles. Contractors don’t mind driving all over. They like the pre-packaged deals that are already sold.*

Aggregation agreements with contractors allow CBOs to work with local contractors with whom they have a good working relationship, and to contractually stipulate project elements that they have found effective. One CBO contact commented that:

- *Contractors have to offer packages that fit each financing option available: a kitchen sink package with everything thrown in, a recommended package in between that would qualify for the an unsecured loan, and a package that fits on-bill recovery financing. They also have to commit to a shorter project timeline.*

With these improvements, the CBOs reported that they are making progress with their aggregation efforts. One CBO contact explained that the aggregation model is effective and forward-looking:

- *The contractors feel like this is the future of these energy efficiency retrofits – clusters or larger neighborhoods of retrofits. Ultimately contractors get work from word of mouth referrals, so they see the benefit of lots of work in a neighborhood. They need application support, they can’t do it themselves. The aggregation agreement included community benefits – living wage, hiring plan and training plan. We waited to learn lessons from the first round before identifying a new cluster. We’ll move forward, but we now have a checklist of requirements. We’ve shared with other CBOs what worked and what didn’t work.*



## CASE STUDIES

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This section presents case studies of four CBOs that have had success using diverse tactics to promote residential and multifamily retrofits through NYSERDA efficiency programs.<sup>20</sup> To inform these case studies, the evaluation team visited each of the four case study subject organizations in June 2013, and reviewed their contracts, monthly reports, and outreach materials.

### 7.1 LONG ISLAND PROGRESSIVE COALITION

The Long Island Progressive Coalition (LIPC) is an example of a CBO that has had success in conducting residential outreach using an aggregation model. This case study focuses on LIPC's residential outreach activities, and considers workforce development primarily in the context of the aggregation pilot.

#### 7.1.1 Organization Context

LIPC is a constituency-based advocacy organization promoting diverse issues, including sustainable development and social justice. LIPC is the Long Island affiliate of Citizen Action of New York, a grassroots organization that advocates on a variety of issues, including education, healthcare, elections, social justice, and taxation.<sup>21</sup> LIPC is primarily an activist organization rather than a service organization; this GJGNY funding is the first provision-of-services state grant that LIPC has received. LIPC lobbied for the GJGNY legislation as a member of the Working Families Party, but had not considered applying to conduct the work before another related opportunity emerged.

The Laborers International Union of North America (LIUNA), in partnership with the Sierra Club, approached LIPC to conduct a pilot program to use an aggregation model to complete residential energy efficiency retrofits in the town of Babylon. This pilot, called the Power Up Communities program, launched six months before the beginning of the GJGNY Outreach program. Because of this experience, LIPC staff decided that the GJGNY Outreach funding would allow the organization to expand the pilot to a broader area. The LIUNA and Sierra Club funding has ended, but LIPC continues to conduct expanded outreach through GJGNY.

Located in a converted house one block off Main Street in Massapequa, Long Island, LIPC serves an economically and racially diverse community with many single-family multigenerational homes. The organization targets low- and moderate-income communities throughout Suffolk County and part of Nassau County.

#### 7.1.2 Goals and Strategies

Receiving a contract of \$372,015 dollars through the GJGNY Outreach program (RFP 2038), LIPC's contracted residential energy efficiency goals were to generate 800 leads, 500 audits, and 480 retrofits through the HPwES program. The organization's audit-to-retrofit conversion rate goal is the highest

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<sup>20</sup> Some of these organizations also conducted small business and workforce development outreach. These activities are mentioned where appropriate, but are not a focus of these case studies.

<sup>21</sup> See: <http://citizenactionny.org/about-us>

projected conversion rate for any CBO. LIPC also has workforce development goals: facilitate awareness of training programs to more than 3,000 people on Long Island; refer 75 individuals into training programs; and connect 75 trainees with “employers/contractors.”

LIPC’s outreach strategy leveraged the “Power Up Communities” brand established through the Babylon pilot. The key strategies LIPC proposed, and continue to use to accomplish its goals, are its aggregation pilot and its referral program.

### **7.1.3 Activities and Accomplishments**

LIPC outreach leveraged the previous pilot in several ways: they had an established brand, “Power Up Communities”; they had experience conducting efficiency program outreach to promote retrofit projects; and they had developed relationships with contractors. This prior experience allowed LIPC to ramp up their GJGNY outreach activities quickly.

LIPC’s GJGNY strategies center on their aggregation pilot, emphasizing both outreach and case management.

#### Outreach

LIPC employed three key outreach strategies to promote its aggregation pilot: attendance at community events, working with local institutions, and organizing a referral program.

LIPC staff members have conducted GJGNY outreach through participating in various local events and working with several institutions. LIPC regularly “tables” at events, such as community festivals. They also have presented the program opportunity at religious institutions and senior centers. LIPC staff members also have tried to increase program awareness among those in a position to influence others in the community, such as social workers and clergy coalitions. In conducting outreach, staff promote the retrofit and the on-bill financing opportunities together as a revenue-neutral benefit.

LIPC’s referral program is designed to motivate other local organizations to help LIPC promote the program. LIPC works with four contractors as part of their aggregation pilot, all of whom have agreed to donate \$300 to the referring organization for each referral that results in a HPwES retrofit. Participating contractors were willing to commit to making these donations because the aggregation pilot reduces their marketing and administration costs, as LIPC recruits participants and completes the program paperwork. Below are the steps in the referral program process:

1. LIPC conducts outreach at an organization’s event.
2. A member or constituent of an organization works with LIPC and an aggregation contractor to participate in HPwES.
3. The retrofit contractor donates \$300 to the referring organization.
4. The HPwES participant tells their friends and neighbors about the program.
5. The HPwES participant’s friends and neighbors participate in HPwES.
6. The retrofit contractor donates \$200 to the original organization and \$100 to the original HPwES participant (who may donate it back to the organization) for each friend and neighbor who completes an HPwES retrofit.

This referral program motivates other local organizations to engage with the program by offering the opportunity to receive donations due to their constituents' participation in the program. The referral program has facilitated LIPC's outreach to new organizations to promote the program. For example, LIPC staff reported that, while some event organizers charge LIPC to set up a table to provide information about the program, event organizers frequently have waived those fees because of the donations the referral program provides to the referring organization.

As part of their referral program, LIPC staff relies on word-of-mouth to promote retrofits. Outreach staff encourages those with completed projects to help promote the program by sending a letter to friends and neighbors, having a house party, writing a testimonial, or inviting LIPC to their neighborhood organization.

### Case Management

In addition to building awareness of HPwES, LIPC's program outreach strategy also relies on providing ongoing support for interested leads. A typical interaction with a lead includes contact at virtually every step of the HPwES program process:

- Meet a homeowner at an event
- Call the homeowner to complete an intake form (a survey about the home)
- Mail application forms to the homeowner to prequalify them for financing, HPwES, AHPwES, or EmPower<sup>22</sup> (Staff pre-fills these forms as much as possible)
- Send forms to appropriate resources (HPwES program, EmPower program, or financing provider) to qualify homeowner
- Assign homeowner to an aggregation contractor and facilitate audit scheduling
- Call homeowner after the audit to ensure their questions were answered
- Call homeowner after contractor's sales presentation to make sure homeowner was given and understands work scope
- Schedule retrofit
- Call homeowner after retrofit is complete to explain the referral program and request help promoting the program as an "early adopter"

Outreach staff reported that the most frequent challenge they encountered was the development of the project work scope. They said it was particularly difficult to deal with scopes of work in which the contractor did not itemize the cost of the project components, the role of financing, and rebates available. LIPC helps homeowners "break down" the work scope and determine their bottom-line cost, and understand that they do not have to do everything the contractor recommends. LIPC staff reported that they successfully encouraged homeowners to complete comprehensive projects that met the homeowners' financial requirements by combining relevant incentives from NYSERDA and the Long Island Power Authority's residential program.

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<sup>22</sup> Although EmPower referrals do not count towards LIPC's performance goals, they occasionally help interested homeowners who are eligible for EmPower complete the EmPower application, with the goal of meeting their constituents' broader needs.

LIPC has found that communication with contractors is critical to converting leads to retrofits. Project staff implemented a Google Documents tracking system that enables contractors to access and update the project status and communicate with LIPC about any support they require. Having an up-to-date status on each project, and a channel through which to communicate with contractors, allows CBOs to answer homeowner questions about their project's status and contact the contractor to resolve any issues.

### Progress

LIPC staff reported that they have been successful in helping a large number of homeowners complete retrofits through the HPwES program, and have maintained a high conversion rate from audit to retrofit. As of May 31, 2013, the CRIS database showed that LIPC had generated 680 leads, 165 audits, and 83 residential retrofits. Including approved retrofit projects, their conversion rate from audit to retrofit is 60%.

### **7.1.4 Lessons Learned**

LIPC learned several key lessons in the course of conducting GJGNY outreach.

#### Goals

LIPC quickly learned that their proposed retrofit goals were unrealistic. While staff had consulted literature on expected HPwES program uptake, they said that they had developed their goals primarily to win the contract.

#### Job Creation Challenges

Staff reported that their workforce development activities had focused on connecting existing trainees with jobs, a service that was not sufficiently available through other workforce development training activities in the region.

Staff reported that they had not generated sufficient HPwES retrofit volume to stimulate their participating contractors to hire additional staff. Contractors told LIPC that they require at least 20-30 jobs per month to justify hiring a "new truck" with new employees doing HPwES retrofit work. A few aggregation contractors did hire additional staff, but LIPC staff learned that these contractors did not hire GJGNY trainees. LIPC staff commented that, although participating aggregation contractors had to sign contracts that encouraged local hiring, clauses related to hiring GJGNY trainees were not binding.

#### Aggregation Pilot Geography

While LIPC initially defined aggregation clusters by specific ZIP codes, staff quickly encountered interested homeowners in adjacent ZIP codes that were excluded from joining that cluster. To allow them to serve all interested homeowners, LIPC staff redefined aggregation clusters by broader geographic regions within their outreach area rather than by specific ZIP codes. They reported that when they asked contractors about whether expanding the geographic size of each cluster would affect the contractor's ability to deliver the program, contractors said that this change would not affect their work. Contractors told LIPC staff that, while the expanded areas might increase the amount of driving they had to do, the real benefit of the cluster was that the work already was sold, which reduced their sales costs and marketing costs substantially.

### Outreach Messaging

LIPC staff members said they also learned that, in order to generate retrofit projects, they would need to promote the whole project, rather than just the free audit. Staff found that the message that most effectively promotes the HPwES program on Long Island emphasizes energy bill savings, rather than comfort.

LIPC contacts also reported that their referral program was slow to start, in part because the time required to complete a retrofit project resulted in a time lag before the first homeowners completed their retrofits and began referring leads back to the program.

### Planned Changes

Although LIPC's outreach has heavily emphasized in-person contact, the organization plans to increase web resources to help people navigate the program independently. This strategy had worked successfully in LIPC's previous energy efficiency pilot. An increased web presence also may attract a slightly different demographic to participate in the program, while leveraging the increasing name recognition of "Power Up Communities" generated by LIPC's first two years of outreach.

## **7.2 DOWNTOWN MANHATTAN COMMUNITY DEVELOPMENT CORPORATION**

The Downtown Manhattan Community Development Corporation (DMCDC) is the only CBO whose performance payment is based solely on meeting multifamily goals. This case study outlines the ways in which DMCDC leveraged their existing relationships with building owners to effectively conduct multifamily and workforce development outreach.

### **7.2.1 Organization Context**

DMCDC advocates for affordable housing, and links with social service agencies to support housing assistance programs. DMCDC provides affordable housing planning and implementation in downtown Manhattan. Their work includes underwriting and construction management of properties owned by other entities. In this capacity, DMCDC provides asset management for groups like Asian Americans for Equality (AAFE), an organization that owns affordable housing (and also is a CBO receiving GJGNY Outreach funds). Located in downtown Manhattan, AAFE serves all of Manhattan, focusing on areas with high populations of immigrants, but where gentrification threatens to reduce the availability of affordable housing. DMCDC and AAFE share office space, and DMCDC does asset management for AAFE's properties.

Although its participation in GJGNY marked the first time DMCDC had conducted any type of workforce development outreach or had worked with NYSEDA's MPP, DMCDC staff reported that the GJGNY funding allowed them to enhance the services they provide to their constituents. DMCDC typically works with multifamily building owners and managers, and identified MPP as a service that could benefit the building owner and managers they work with, many of which need capital improvements.

### **7.2.2 Goals and Strategies**

Receiving \$487,000 through RFP 2038 to conduct GJGNY outreach, DMCDC proposed outreach activities in the multifamily sector and in workforce development. They proposed to generate 150 leads, 40 audits, and 20 retrofits through the MPP. They also proposed to educate at least 10 small contracting firms about GJGNY opportunities.

DMCDC's strategies leverage their organization's core competencies. DMCDC already had well-developed relationships with building owners and capitalized on these relationships to convince owners to do audits and retrofits through the MPP. Staff also planned to use their experience and connections with Chinese-language media to conduct outreach. DMCDC has used local media to support initiatives and proposed to leverage that experience to help promote the GJGNY Outreach program. DMCDC also recognized lack of/limited English language skills as a key barrier among its constituency, and developed training in multiple languages to overcome it.

### **7.2.3 Activities and Accomplishments**

Both types of outreach DMCDC conducts align with its position within its community.

#### Multifamily Outreach

Although DMCDC has conducted some mass media outreach and has cold-called some property management firms, their current outreach strategy focuses on hosting information sessions. DMCDC invites property owners and managers with whom they have existing relationships to attend information sessions, and encourages these contacts to invite their colleagues and acquaintances. DMCDC works with MPP Partners to conduct these sessions, and has asked MPP staff to attend. DMCDC has found this approach allows them to cover program details and answer attendees' technical questions.

All but two of DMCDC's MPP projects have been for buildings owned by AAFE. DMCDC's existing business relationship with AAFE has allowed DMCDC to provide ongoing support to these MPP projects. While AAFE's MPP Partner developed the project plan and will complete inspections, AAFE does most of the MPP retrofit work in-house. DMCDC has provided construction management support for AAFE, including helping them develop a construction plan that will allow for the MPP inspection, required at 50% project completion. Initially, DMCDC solicited seven MPP participating partner bids for AAFE's MPP projects, but found that one MPP Partner was able to merge all of the buildings into a single MPP project, thus reducing costs. Currently, DMCDC staff recommends this one MPP Partner to potential participants.

#### Workforce Development Outreach

Although DMCDC initially proposed conducting outreach to contractors, their current workforce development activities focus primarily on providing bilingual Building Operator training to educate multifamily building operators on efficient building maintenance and operations. DMCDC partnered with Solar One, the EDGE program contractor for the New York City region to deliver the training. Solar One also provided training space and a supervisory instructor to deliver this training, which is an adaptation of Solar One's Green Building Maintenance and Operations Course, originally developed with NYSERDA. Two trainings, in English and Chinese, ended July 26, 2013. A total of 22 building operators completed the trainings, which were instructed by a licensed instructor from one of the property management firms with which they work.

DMCDC staff reported that this outreach aligns well with multifamily outreach efforts, and that they promote this training opportunity at their outreach sessions for property managers and owners.

#### Progress

As of May 31, 2013, program tracking systems indicated that DMCDC had successfully recruited 79 leads, 25 audits, and 11 Notices to Proceed to retrofit. DMCDC also reported that a bilingual Building Operator Certification training with 20 enrollees was underway.

## 7.2.4 Lessons Learned

DMCDC has learned several lessons in the course of conducting multifamily outreach.

### Existing Multifamily Market Relationships

Existing relationships are key to effective outreach with multifamily building owners and managers. DMCDC staff reported that, without their existing relationship with AAFE, they likely would not have been successful. Cold-calling was not effective in recruiting projects. DMCDC staff initially called 70 property management firms, but only two were interested in receiving more information about the program. Staff reported that they often were unable to even get the building owner's contact information from the management firm.

### Understanding the Multifamily Efficiency Market

DMCDC staff found that the financing options available via GJGNY did not alleviate the up-front cost barriers faced by some potential participants. DMCDC staff reported that, while they would mention the availability of GJGNY financing, the financing offer provided by the program was not attractive to some of their leads. One association of cooperatives reported that the owners' debt would make them ineligible for the financing. Another building owner association found the overall project payback period of 8-12 years unattractive.

DMCDC staff also reported that it was essential that they understand the other incentives available for multifamily efficiency retrofits in order to promote the MPP effectively. Staff reported that potential participants frequently compared ConEd's multifamily incentives with NYSERDA's MPP incentives. Potential participants told DMCDC staff that the relative simplicity of ConEd's program, and the program's incentive levels for smaller projects, were very attractive to them. DMCDC staff also reported that the MPP tended to result in a greater return on investment for larger buildings, while their smaller buildings (fewer than 50 units) would achieve lower rates of return.

### Outreach Changes

As a result of these challenges, DMCDC staff also expanded their outreach area to recruit eligible, interested building owners and managers in Harlem and on the Lower East Side.

## 7.3 RURAL ULSTER PRESERVATION COMPANY

The Rural Ulster Preservation Company (RUPCO) is a CBO that achieved residential outreach success by identifying a regional need for consistent efficiency offerings and filling it using its staff's social media skills and regional partnerships.

### 7.3.1 Organization Context

RUPCO began 30 years ago as one of several Rural Preservation Companies, which were started to provide economic benefits to the state. RUPCO has expanded to offer comprehensive homeowner services to several counties in the Hudson Valley. The services they now provide include Department of Housing and Urban Development housing choice vouchers, rehabilitation services, foreclosure counseling, first-time homebuyer assistance, property management, and real estate development.

RUPCO responded to the GJGNY Outreach program RFP because it was a natural extension of their current activities and offered an opportunity to provide a needed service to their constituents. RUPCO is a

US Green Building Council member, had previously completed several historic preservation projects working with NYSERDA, and had administered \$1.6 million in NY Main Street funds.

### **7.3.2 Goals and Strategies**

RUPCO proposed activities to increase its constituents' access to efficiency services. Specifically, RUPCO staff identified a fragmented efficiency market in their region that included several local efficiency offerings and NYSERDA programs with which their constituents often found it challenging to engage. RUPCO proposed activities to support and deliver efficiency programs to more constituents and developed ambitious goals to direct their activities.

RUPCO received \$606,022 through RFP 2038 to conduct GJGNY outreach in three sectors: residential outreach, small business efficiency outreach, and workforce development outreach. RUPCO also conducts an aggregation pilot targeting low-rise developments, such as townhouses and condos. The organization's residential goals include generating 1,440 residential leads, 480 audits, and 216 retrofits. On the small business side, their goals include generating 240 leads, 80 audits, and 35 retrofits. RUPCO's workforce development goals are to refer 96 individuals to trainings, of which 24 would complete the training; to get eight people hired by contractors; and to work with 24 WMBEs.

RUPCO's key strategies are to work with partners to create a brand and social media presence to become a central clearinghouse unifying the patchwork of regional efficiency activities in their region. Their planned outreach leveraged partner organizations and their staff's social media skills. They organized their outreach by county; staff included a full-time outreach coordinator and administrator and three part-time staff members managed outreach in other counties.

### **7.3.3 Activities and Accomplishments**

RUPCO conducted the following diverse outreach activities to generate efficiency retrofits and conduct workforce development outreach.

#### Residential

##### *Outreach*

RUPCO's residential outreach activities leveraged partner organizations and social media to develop a brand for the region's efficiency activities. RUPCO had the support of at least 30 local organizations when it proposed to conduct GJGNY activities, and they have conducted outreach through these centers of influence to generate leads. At the start of GJGNY, several communities had local energy efficiency programs. One community had created an energy liaison position through the town clerk's office. RUPCO conducted outreach through these communities and provided a central clearinghouse for efficiency activities in the region on their website. At outreach events, staff members educated constituents about efficiency using props, such as an efficient light bulb display, a solar-powered toy cricket, or a tabletop model of a solar house, to help engage potential participants.

RUPCO staff said that social media proved an effective strategy. RUPCO's active web presence and Facebook and Twitter accounts raise awareness of RUPCO's GJGNY activities.

RUPCO also reported becoming a referral source for Central Hudson Gas and Electric customers' efficiency inquiries; after discussions with Central Hudson Gas and Electric, the utility now refers interested customers to RUPCO for more information about residential energy efficiency. This relationship



generated valuable leads. RUPCO staff said they also were in the process of making a similar connection with New York State Electric and Gas (NYSEG).

### *Follow-Up*

RUPCO staff found that following up with potential participants was important to sustaining their interest in efficiency projects. When RUPCO staff first contacted a potential participant, they explained the process to the homeowner, and then tracked their progress through read-only access to the CRIS database. Outreach staff said that customers preferred email communication, but some asked staff to help them fill out the paperwork in person. RUPCO outreach staff also communicated with contractors, as needed, to resolve any issues, such as the reasons a proposed work scope had not been approved. This communication helped move projects forward.

Outreach staff found that it was difficult to pre-screen projects before the audit and that a homeowner's willingness to proceed with a project often was not clear until after the audit. Although they tried to encourage homeowners to begin the financing paperwork process and the audit simultaneously, staff estimated that only one in five homeowners were ready to do so.

One RUPCO staff member indicated that they were in the process of becoming BPI-certified. After obtaining BPI certification, this individual planned to become an "energy coach" to consult with homeowners about their needs.

RUPCO staff also built relationships with contractors to facilitate both outreach and follow-up. They developed a short list of active contractors; contractors said they appreciated that RUPCO had raised awareness of their businesses.

### Aggregation

RUPCO added an aggregation pilot to their outreach after the start of their GJGNY contract. To prepare for the aggregation pilot, RUPCO staff hosted a focus group with contractors to assess their interest in participating in the pilot. Contractors expressed interest in word-of-mouth referrals and the application support that an aggregation pilot could provide. Accordingly, RUPCO designed their aggregation pilot to target low-rise multi-unit housing developments (such as condominiums and townhouses), in order to maximize the efficiencies of choosing housing units with similar features within a small geographic area.

RUPCO recently completed retrofit activities in its first aggregation cluster. Staff reported that it was truly a pilot, in that it was a "lessons learned experience." They said that the condominium complex chosen included a greater percentage of renters than anticipated; and among homeowners, extensive renovations within the units reduced the space similarities and diminished the audit modeling and work scope efficiencies they had anticipated.

### Small Business

RUPCO staff actively conducted outreach to small businesses/not-for-profits by partnering with regional chambers of commerce to hold outreach events and through door-to-door contacts. They leveraged these partnerships to generate referrals, then helped the small business/not-for-profit organization complete the application form, connect them with the audit firm, and review the audit report with them in person.

### Workforce Development

RUPCO's workforce development outreach focused on increasing the number of participating HPwES contractors in the region by promoting contractor training, certification and accreditation, and on-the-job training.

RUPCO staff worked with a consortium of five regional community colleges and Central Hudson Gas and Electric, which sponsored workshops for regional contractors. Attending contractors were primarily Central Hudson Gas and Electric trade allies; RUPCO staff attended workshops to explain to them the benefits of becoming an HPwES participating contractor. RUPCO staff also supported two contractors in their efforts to become approved HPwES contractors. Finally, RUPCO staff promoted PON 2033 on-the-job training funds to their affiliated contractors, and attempted to connect contractors with trainees from the community college consortium.

### Progress

As of May 31, 2013, CRIS showed that RUPCO had generated 2,109 residential leads, 448 residential audits, and 85 residential retrofits. RUPCO also had generated 71 small business leads and four small business audits. Finally, the organization also had enrolled 53 individuals in trainings and helped two individuals find jobs.

### **7.3.4 Lessons Learned**

RUPCO outreach staff reported learning several lessons about how to conduct effective energy efficiency and workforce development outreach.

### Follow-Up

Staff found that events and partnerships alone were not enough to generate completed retrofits; they learned that they had to follow up with customers to encourage them to take action. RUPCO staff said they had expected to conduct outreach and generate audits, but not be directly responsible for generating retrofits. Once the extent of the involvement required became clear, they shifted their strategy toward overcoming customer barriers to completing retrofits by helping customers complete financing paperwork and encouraging follow-through.

### Contractor Partnerships

Staff found that partnering with contractors was critical to ensuring that customers follow through with the program and that contractors had sufficient support to expand their volume of work with HPwES.

### Pre-Screening Aggregation Clusters

Although their first aggregation cluster was not as successful as they had hoped, RUPCO staff learned that support from the housing complex management, high rates of homeownership, and unit pre-screening were key components of a successful aggregation cluster. They had begun the process of identifying another low-rise housing complex to target for aggregation.

### Small Businesses not Interested in GJGNY Offer

RUPCO staff also reported difficulty in obtaining interest from small businesses. Outreach staff encountered a lack of interest in deep retrofits and financing in the small businesses they targeted; many

small business owners said they already had upgraded their lighting through their utility's incentive program, and any remaining measures had a long payback period. Staff also noted that many small businesses/not-for-profits were not interested in undertaking the somewhat complicated process to participate in the GJGNY audit program.

#### Contractors Reluctant to Hire

Another lesson RUPCO staff learned was that contractors were reluctant to hire. Although BPI certification support was readily available, RUPCO staff found that contractors had other barriers to participating in, or expanding their participation in, HPwES. Many contractors said they were hesitant to hire because they were not sure that HPwES would provide a long-term client base. RUPCO staff also observed that smaller contractors needed more "green sales" training to be able to promote the program effectively and generate jobs. RUPCO staff also encountered fewer MWBEs than they had anticipated and were contemplating conducting a workshop to help MWBEs become certified.

### **7.4 PUBLIC POLICY AND EDUCATION FUND (PPEF): SOUTHERN TIER**

The PPEF in the Southern Tier region is an example of a CBO that successfully leveraged partnerships and existing efficiency activities to conduct diverse outreach aligned with the core competencies of each of the organizations involved.

#### **7.4.1 Organization Context**

PPEF of New York is an affiliate of Citizen Action New York. Started in 1986, the organization promotes activism and policy research through several branches across the state. Two branches of PPEF received GJGNY funds to conduct efficiency outreach. This case study covers only the outreach conducted by the PPEF branch in the Southern Tier region.

Although PPEF was the primary GJGNY grantee, the Broome County CCE also played an important role in the GJGNY outreach. CCE had worked with the Mayor of Binghamton under an ARRA-funded Energy Efficiency and Conservation Block Grant to implement residential efficiency outreach in Tomkins County, through a program called the Environmental Leadership Program. This program promoted community leadership and policy change, and had created a healthy efficiency market by generating demand and providing workforce development and financing. While the GJGNY grant provided CCE with an opportunity to extend this program, according to staff, the grant's definition of CBO made them ineligible to apply as the primary CBO. As a result, CCE and PPEF partnered on the grant, and the two organizations co-developed a single proposal, with assistance from the Center for Working Families.

Both organizations conduct outreach in the Southern Tier region, which is a relatively sparsely populated de-industrialized area of New York.

#### **7.4.2 Goals and Strategies**

PPEF's GJGNY strategy combined CCE's experience conducting residential efficiency outreach and their established regional partnerships, with PPEF's aggressive media strategy to conduct residential energy efficiency and workforce development outreach. The two organizations' strategies differ, in that PPEF focuses on media coverage, while CCE focuses on word-of-mouth referrals; but both use local government partnerships to raise awareness and brand the program.

CCE's outreach area includes Binghamton and Tomkins County, while PPEF covers the seven other counties of the Southern Tier region, including 64 towns and cities.

PPEF received \$279,363 through RFP 2038 to conduct GJGNY outreach related to the residential and small business sectors, and workforce development. They proposed to generate 8,200 residential leads, 1,600 residential audits, and 350 residential retrofits. In the small commercial sector, they proposed to generate 100 leads, 30 audits, and 10 retrofits. Their workforce development goals were to place 43 individuals into training, have eight complete the training, place three individuals in jobs, and help two MWBEs receive accreditation.

### **7.4.3 Activities and Accomplishments**

Both PPEF and CCE conducted residential and workforce development outreach using a variety of strategies.

#### Residential Outreach

PPEF developed an aggressive media outreach strategy focused on publicizing HPwES success stories. The small size of the media market in Binghamton and the surrounding counties allowed PPEF to receive coverage from news media and secure high-visibility coverage in local print and on radio. Staff started by conducting program "launches" in each county, sending press releases and stories to local papers in particular towns or regions. They continued to conduct outreach region by region, to maximize exposure while avoiding saturating each market. A letter of recommendation from the Mayor of Binghamton helped them secure the endorsement of other regional government officials. They conducted outreach events, generated newspaper ads and articles, and did radio interviews in each of their focus regions.

PPEF's most successful media activities showcased successful HPwES participants, their contractors, and the endorsements of local government officials. The presence of local officials helped increase news coverage of these events, which, in turn, generated calls from interested homeowners. A recent testimonial of an 88-year-old woman about her experience with the program highlighted her satisfaction with her home's improved comfort and her contractor. The presence of the city's mayor drew local TV coverage to the event at the participant's house.

Although maximizing their audit-to-retrofit conversion rate was not a primary concern for PPEF, they regularly adjusted their outreach strategy based on the types of outreach that would generate the most promising leads. To facilitate this adjustment, PPEF staff tracked the source of program awareness for each contact. They reported that the publicized testimonials and newspaper ads were quite effective in generating participants.

CCE's outreach strategy focused on events and high-touch outreach, such as "lunch and learns" with local employers. Leveraging local government officials and other influential community members, CCE presented the program opportunity at several area events. For example, some of CCE's most successful events were an energy fair at a regional high-tech firm and a neighborhood-based event called "Home Energy Efficiency Night," for which they sponsored a raffle and prizes and demonstrated energy-efficient equipment.

CCE also worked with social service agencies, credit unions, and other housing professionals, including real estate agents and home inspectors, to increase their awareness of the opportunity. This was a longer-term strategy to raise awareness of the program among key players in the housing market, who often had access to homeowners when they were considering home improvements.

### *Case Management*

PPEF has developed a tracking system to ensure that they followed up with potential participants at each phase of the HPwES process. This process relied primarily on a paper system that included a call sheet logging each contact with potential participants and tracking their progress. PPEF staff said they also backed this system up electronically. Outreach staff contacted participants at each stage of the process to ensure they were able to move forward.

The organizations also worked with the local utility to receive direct access to customers' utility data. This access facilitated the audit application process; the CBO could obtain participants' required utility bill history for them after the participant signed a waiver.

Another element of PPEF and CCE's case management strategy was their relationship with contractors. Staff reported that there were just 11 active participating contractors in the Southern Tier region. Both organizations followed up with contractors regularly about individual HPwES projects. CCE invited contractors to attend their monthly GJGNY/workforce development meetings, and this has proved valuable in building contractor relationships.

### Workforce Development Outreach

PPEF and CCE have conducted several types of workforce development outreach. PPEF worked with a coalition of regional stakeholders, including the Department of Labor, contractors, and city government, to examine the market barriers to "green" workforce development. One of the key barriers they identified was that the target audiences - low-income disenfranchised communities - were not aware of and did not understand the opportunities available. In response, this coalition decided to develop a website to serve as a central clearinghouse for GJGNY workforce development opportunities, modeled after a similar Tompkins County CCE website for the Ithaca region. This website is still under development. Workforce development outreach staff reported that several contractors have used PON 2033 funds for on-the-job training, but this opportunity was relatively independent from PPEF oversight.

CCE's Environmental Leadership Program integrated job creation with efficiency outreach. The program includes an Energy Corps, made up of at least 30 interns, who conducted outreach and educated constituents about GJGNY opportunities.

### Progress

As of May 31, 2013, CRIS showed that PPEF had generated 3,421 leads, 533 residential audits, and 105 residential retrofits. PPEF also had generated 14 small business leads.

### **7.4.4 Lessons Learned**

Both PPEF and its partner, CCE, reported learning several lessons about conducting effective outreach.

### Reducing Participant Barriers

Conducting this outreach revealed two key barriers to residential retrofit completion that the CBO can help potential participants overcome - time and complexity. PPEF and CCE found that the longer the HPwES process took and the more steps required, the more homeowners tended to drop out of the program. Both organizations developed strategies that emphasized case management and contractor communication to attempt to overcome these barriers.

### Influencing Small Businesses

Both PPEF and CCE attempted to conduct small business/not-for-profit outreach. Although both organizations had modest success in generating leads, they found that, unless small businesses own or substantially control their building, they are uninterested in loans or major improvements because they cannot keep the equipment or systems in which they might invest.

### Time Pressure

One of the lessons learned by PPEF and CCE is that the time-limited nature of the program made it challenging to reach their constituencies effectively. The two-year contract period restricted the CBOs' ability to develop a more permanent infrastructure and knowledge base. Instead, they reported feeling pressured to focus on outreach tactics that could produce the fastest returns, even though those are not always the activities that most effectively meet their constituencies' needs for efficiency and job creation. Similarly, the organizations received feedback that retrofit contractors were unwilling to commit resources to expanding their participation in a program of uncertain duration. In the long-term, PPEF and CCE staff reported that they could provide a needed service in their region by becoming more of a one-stop-shop for efficiency opportunities, but they were not able to implement this in the allotted two-year timeframe.

## **CONCLUSIONS AND RECOMMENDATIONS**

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Through the GJGNY Outreach program, organizations that have well-developed constituencies conducted outreach to encourage energy efficiency retrofits in the residential, multifamily, and small business/not-for-profit sectors, and workforce development outreach to encourage green jobs training and certifications. This chapter summarizes findings across each of these types of outreach, followed by overarching findings, conclusions, and recommendations.

### **8.1 FINDINGS FOR PROGRAM COMPONENTS**

The evaluation team identified findings for each type of outreach that CBOs conducted.

#### **8.1.1 Residential Outreach**

CBOs' primary activity is conducting outreach to encourage residential retrofits eligible for NYSERDA's HPwES program. Although the GJGNY Outreach program will likely not meet its retrofit goals within the two-year timeframe of the program, many CBOs are successfully helping their constituencies access NYSERDA's energy efficiency programs. The most successful CBOs are leveraging their credibility with their constituents by conducting outreach activities individually tailored to meet their constituents' needs. High-touch strategies that provide one-on-one follow-up also appear to be key to generating retrofits. Establishing good relationships with retrofit contractors and helping participants access funding to complete needed health and safety upgrades prior to the energy efficiency upgrades also emerged as elements of successful strategies.

The organizations conducting residential outreach have encountered several notable challenges. Encouraging leads to complete audits and retrofits, ensuring potential participants secure project funding, and overcoming the skepticism of potential participants to encourage retrofit completion have all been more challenging than expected. Finding reliable and time-responsive contractors and helping participants navigate the HPwES program have also challenged CBOs. Virtually all CBOs substantially adapted their strategies to overcome these challenges throughout the contract period.

#### **8.1.2 Multifamily Outreach**

As of August 2013, CBOs had made limited progress in the multifamily sector. Because of the time involved in recruiting and assessing multifamily buildings and the complex financial factors involved in comprehensive multifamily building retrofits, current progress may not represent the full potential for CBO outreach in this sector. Additionally, three of the four organizations with multifamily goals are operating with performance payments based on progress toward their single-family goals, which could lead to prioritizing single-family projects over multifamily outreach. One CBO has successfully undertaken retrofits in buildings owned by an organization with which this CBO had an existing business relationship. It is not yet clear whether the CBO outreach can be broadly successful in the multifamily sector, but this example illustrates the value of existing relationships with building owners and managers in influencing multifamily retrofits.

#### **8.1.3 Small Business/Not-for-Profit Outreach**

In general, CBO focus on the small business/not-for-profit sector was limited. None of the CBO performance payments were awarded based on activities in this sector, so they had little external

motivation. Similar to multifamily findings, preliminary results indicate that a lack of direct influence in the regional small business/not-for-profit market can be a barrier to successful CBO outreach. Many of the funded CBOs did not have existing credibility with the small business or not-for-profit sector, and instead attempted to partner with an organization or community actor with more access to and credibility with small businesses. This strategy was successful for at least one CBO. It is unclear whether other CBOs with credibility in this sector could be more successful in conducting this type of outreach.

The few CBOs who actively conducted outreach with this sector reported finding it difficult to interest small businesses and not-for-profit organizations in the Small Commercial Energy Efficiency program offer. CBOs reported several explanations for this apparent lack of interest, including the program participation requirements, other program offers in this sector, this sector's aversion to take on debt, and that the program inadequately addressed cost barriers. Given the small number of CBOs who attempted to work with this sector, it is difficult to conclude why there was so little interest.

#### **8.1.4 Workforce Development Outreach**

CBOs conducted two types of workforce development outreach activities through the program: outreach to encourage "green jobs" training with job placement, and outreach to encourage certification and accreditation (particularly targeting residential contractors). While the workforce development component of the CBO activities has received much less attention than the residential component, CBOs have made good progress towards meeting their green jobs workforce goals. Organizations that had existing credibility in workforce development outreach and those who facilitate trainings tended to be the most successful. Successful outreach activities that emerged from these efforts included emphasizing one-on-one follow-up and providing services that acknowledged and addressed personal or scheduling barriers that individuals face when seeking to complete job training programs.

CBOs encountered challenges in recruiting contractors to Building Performance Institute (BPI) trainings. CBOs reported that contractors, particularly the small contractors they worked with, found the upfront administrative and equipment costs too high to become an HPwES contractor, and were also unable to determine whether participating in HPwES would be good for their businesses.

#### **8.1.5 Aggregation Pilots**

CBOs conducting aggregation pilots experienced success in generating residential retrofits and reported successful outcomes working with engaged local contractors. The formal retrofit contractor relationships these CBOs developed through aggregation facilitated open communication and retrofit completion. At the same time, though, some of the benefits of aggregation, such as cost reduction and contractor job creation, had not materialized. Several CBOs are maintaining the aggregation name while moving away from the "cluster" model because of both participant and contractor feedback. Participants become frustrated waiting for other cluster members to be recruited. Bundling retrofits did not streamline contractors' processes. As bundling does not streamline the process, the extent to which aggregation has been effective in reducing costs is unclear. Finally, the project volume generated by aggregation has not been sufficient to support sustained contractor job creation.

## **8.2 SUMMARY OF EVALUATION FINDINGS**

The evaluation team has identified the following overarching findings from this evaluation:



### **8.2.1 Program Staff Provided Responsive and Effective CBO Support**

The Outreach program staff worked hard to integrate CBO activities into other GJGNY and NYSERDA programs. Cooperation between program and implementation staff members was particularly successful in the residential sector, where CBOs allocated the majority of their resources. The communication between Outreach and HPwES program and implementation staffs successfully facilitated CBO outreach in this sector. Across all CBO activities, the support provided to CBOs and Outreach staff's responsiveness to meet evolving CBO needs was impressive.

### **8.2.2 Initiative Success is Difficult to Assess**

Having conducted outreach through the Outreach program for between eight and 18 months, many of the organizations involved have not yet had time to fully succeed or fail. It takes time to develop and refine outreach tactics that successfully promote retrofits or trainings within each organization's constituency. It also takes time for recruited leads to complete projects through NYSERDA's efficiency programs. Furthermore, even though these CBOs already occupy positions of trust within their constituencies, it may take time to leverage this existing trust into trust for energy efficiency specifically. While rates of CBO-attributed retrofits have increased throughout the program, it is not clear that additional time to conduct more outreach will lead to an exponential increase in efficiency retrofits attributed to CBOs. It may be too early to determine this with certainty, however.

### **8.2.3 Increasing Awareness Does Not Increase Participation**

Increasing community awareness of NYSERDA program opportunities is not, by itself, sufficient to increase targeted populations' participation in energy efficiency or workforce development programs: many CBOs quickly learned that awareness must be coupled with high-touch follow-up, as described below, to attain desired outcomes.

In all sectors of the GJGNY Outreach program, successful organizations were those that remained in contact with the participant throughout the process and helped address barriers as they emerged that, typically, were specific to the individual.

For residential efficiency retrofits, this high-touch outreach included support in working with the retrofit contractor, qualifying the participant for financing, and assisting in work scope development. For workforce development training, successful organizations addressed trainee needs beyond technical training by providing additional services, such as job skills training and transportation.

### **8.2.4 Effect of the Performance Payment**

The residential retrofit-based performance payment functionally de-prioritized activities other than residential outreach. Fourteen of 18 organizations have goals in more than one sector. Yet, because all but two of these organizations have performance payments based on completed residential retrofits, most CBOs prioritized their single-family retrofit activities over multifamily, small business/not-for-profit, and workforce development outreach. The effect of this payment structure means that CBO outreach success thus far is not necessarily indicative of CBO potential to conduct outreach in these other sectors. The performance payment was a focus for program staff and a source of frustration for CBOs during this first round of CBO contracts, because CBOs' contracted goals will not be met within the two-year timeframe of their contracts, affecting the total payments they expect to receive.

### 8.2.5 Alignment of Program Offers with Constituencies

The success of CBO outreach is also affected by the programs they are promoting and their constituents' interest in accessing the program opportunities. While CBOs have the potential to expand program participation among previously nonparticipating populations, their success will, to some extent, reflect whether or not the program opportunity meets the needs of their constituents. While CBOs can help address individual barriers to participation among their constituents, they may be unable to overcome market and programmatic barriers to participation that are inherent in the population. Examples of programs where market barriers outside CBOs' control likely affect retrofit or training uptake include:

- **Small business/not-for-profit retrofits.** The few organizations who actively conducted outreach to small businesses and not-for-profit organizations achieved limited success in generating retrofits. CBO-reported difficulties in generating retrofits suggest that the lack of a direct link for the participants between the Small Commercial Energy Efficiency program and retrofit incentive programs may contribute to participant difficulties in overcoming transaction costs and upfront cost barriers.
- **Expanding the population of HPwES participating contractors.** In conducting outreach to nonparticipating contractors, CBOs reported finding barriers to contractor HPwES participation beyond BPI accreditation, including constraints in firms' administrative capacity, as well as uncertainty about the benefits of participation.
- **Residential HPwES retrofits in the New York City area.** The uniformly low rates of HPwES participation among 1- to 4-family homes in New York City and the immediately surrounding five boroughs suggests that there may be underlying market barriers to participation, beyond a lack of awareness and capacity to navigate the program.

## 8.3 CONCLUSIONS AND RECOMMENDATIONS

The key purpose of this program is to leverage the relationships, trust, and credibility that some organizations have with their constituents to provide services to populations that would otherwise be difficult for NYSERDA to reach, particularly in the residential sector. This evaluation found preliminary evidence that these organizations are bringing NYSERDA services to these hard-to-reach constituencies. However, it remains uncertain that this type of constituency-based outreach will generate high volumes of retrofits in communities where there was previously little or no efficiency retrofit activity.

The program was successful in leveraging the CBOs' unique access to targeted residential populations. The evaluation team presents four conclusions and recommendations that provide both short-term and long-term suggestions to maximize NYSERDA's ability to leverage these organizations' positions of influence.

**Conclusion 1. The CBOs conducting GJGNY outreach were most successful when the targeted populations were part of their constituencies.** The particular value CBOs bring to GJGNY comes from their unique access to communities and constituents that NYSERDA has been unable to reach effectively. Current CBO outreach activities span several sectors, and 14 of 18 CBOs conduct outreach in more than one sector. CBOs experienced no efficiencies in attempting to conduct more than one type of outreach, however, and no CBOs conducted activities that successfully met more than a single type of outreach goal. The most successful CBOs were the ones who conducted activities that recognized and addressed the specific needs of their constituencies, rather than balancing multiple types of outreach with varying levels of alignment with their organizational abilities and their constituents' needs. These successful CBOs' constituents were also the program participation decision-makers: HPwES-eligible homeowners, job seekers, small business owners, and multifamily building owners and managers.

**Recommendation 1. Encourage focused CBO outreach by requiring that CBO applicants provide evidence that their constituents are eligible for, and can benefit from, the program offers for each sector in which they propose to conduct outreach.**

**Conclusion 2. The Outreach and HPwES programs have adjusted to the sometimes limited overlap between CBO constituents and HPwES-suitable households.** The HPwES program targets households with at least 60% of area median income (AMI), most often homeowners, who have the credit to secure a loan or otherwise afford the upfront cost of a comprehensive energy efficiency retrofit. The CBOs report a limited market for HPwES services among their constituents, who are, by definition, in economically or socially disadvantaged communities with a limited number of constituents who meet the target. In response to this overlap between CBO-targeted and low-income populations, NYSERDA staff made two programmatic changes. First, CBOs now receive \$20 compensation for each project they refer to NYSERDA's low-income program, EmPower. Second, these referrals can opt to complete a joint project between the EmPower program and HPwES, with the EmPower measures being installed first.

**Recommendation 2. Further leverage CBO outreach capabilities by increasing their integration in regional HPwES outreach.** CBO experience shows that high-touch follow-up can help convert HPwES leads to audits and then to retrofits. Expanded CBO engagement with retrofit contractors to follow-up with stalled HPwES participants in their region (those who had applied, but not yet received audits; or received audits, but not begun retrofits) could facilitate increased HPwES participation. Using CBOs to follow up with these leads would leverage the CBOs' strengths and their position as trusted community organizations to meet GJGNY goals. Explore additional strategies to help CBOs strengthen their relationships with retrofit contractors, such as case studies of successful relationships or regional webinars. Consider establishing a sunset period for stalled audit-only leads after which CBOs can directly approach stalled leads in their regions.

**Conclusion 3. The performance payment used during the first two rounds of CBO contracts encouraged accountability in the residential sector, but did not distinguish between residential projects in standard income and targeted priority communities.** The performance payment encouraged most CBOs to focus on residential outreach. Within the residential sector, the performance payment has encouraged CBOs to monitor the effectiveness of their outreach strategies and adapt their approach in response to constituent need. The performance payment encouraged CBOs to recruit retrofits regardless of whether the participant is part of CBO's targeted priority communities. Therefore, some CBOs shifted their outreach to target non-priority, higher-income communities, in order to meet their residential retrofit goals. Preliminary performance data indicate that those CBOs that have had the most success in conducting targeted outreach to households in their priority communities (for example, recruiting the highest proportions of Assisted Home Performance with ENERGY STAR® (AHPwES) or GJGNY-financed projects, or having the highest retrofit success in an otherwise low-volume region) are not necessarily the CBOs that have made the most progress towards meeting their performance goals. There may be a tradeoff between meeting the residential performance payment goals and successfully targeting AHPwES-qualified constituents in economically distressed communities.

**Recommendation 3. Monitor the effects of the performance payment and consider alternative incentive structures to incent CBOs to target outreach to priority communities.** No CBOs will meet their residential performance goals in the first round of the CBO Outreach program; reducing the performance payment amount and goals will not necessarily fully address the issues discussed above. Explore whether other incentive structures could encourage residential outreach innovation without pressuring CBOs to recruit projects outside priority communities. For example, consider replacing the performance payment with contractual milestones that CBOs must meet to continue to receive funding.

**Conclusion 4. Data tracking limitations are a barrier to CBO outreach and goal tracking in the small business/not-for-profit sector.** The program tasks CBOs with completing small business and not-for-profit organization retrofits; however, the Outreach program and implementation staff members currently have no ability to track small business/not-for-profit retrofit progress, and limited ability to track audit progress. In the residential and multifamily sectors, participant progress is tracked in a single database, where both audit and retrofit progress are documented and associated with a CBO. Unlike the residential and multifamily sectors, small business/not-for-profit retrofits are not incented or tracked by the GJGNY Small Commercial Energy Efficiency program. This lack of data tracking affects CBOs' ability to conduct outreach in this sector and affects the Outreach program's ability to verify the effectiveness of outreach activities.

**Recommendation 4. Ensure that CBO goals and key activities are tracked through NYSERDA program databases for all sectors in which CBOs conduct outreach.** Without the ability to track or verify CBO progress in the small business sector, Outreach program and implementation staff were unable to effectively support CBO outreach to small businesses and not-for-profit organizations. Without this support, CBOs are unlikely to have increased success in recruiting small businesses. NYSERDA should either suspend small business sector outreach until this issue has been resolved or clarify the process and source of the metrics that will measure small business sector outreach success.

## APPENDIX A:

# INTERVIEW GUIDES

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## NYSERDA STAFF INTERVIEW GUIDE

Contact: Sue Andrews, Title: Senior Project Manager, Marketing

### Introduction

Thank you for taking the time to talk with us today. We appreciate the time you have already taken to talk with us. The information you've given us through the kickoff meeting and our other conversations has informed this interview guide. While we don't want to repeat any content covered thus far, we do want to make sure that we have a full understanding of the Outreach program efforts to date to support this process evaluation and market characterization assessment. We thought it might be best to walk through the program chronologically, starting with the program design/RFP and contracting.

1. Before we get started, though, confirm for me your title and your responsibilities with the GJGNY Outreach program.

### Legislation and Initiative Design

2. The GJGNY legislation directs NYSERDA to implement several activities to promote energy efficiency and sustainable community development, including working with CBOs. How were the details of the GJGNY CBO activities worked out (was it clear exactly what was expected of NYSERDA)?
  - a. Were the legislation's expectations for the CBOs activities clear?
  - b. How was the legislation's definition of targeted communities operationalized? (How did you go about developing the regions? How, if at all, are the "targeted communities" embedded in those regions?)
3. Although GJGNY is independent legislation and funding, GJGNY initiatives enhance some existing NYSERDA programs. How does GJGNY align with those other NYSERDA programs? Do synergies exist in terms of staffing? Tracking? Reporting?
4. How has communication with these other affiliated programs worked?

I'd also like to talk with you about working with CSG.

5. From the RFP process to contracting CSG as the GJGNY TIC, how has communication and startup with CSG been?
  - a. How has the working relationship progressed?
  - b. Were there any typical concerns or learning curve issues that you had to address with them?

CBO Selection and Contracting Process

6. Tell me about the CBO contracting process. In the evaluation kickoff meeting, we heard that the CBO contracting process was longer than anticipated. Could you elaborate on that process? Specifically:
  - a. How did the CBO's proposals need to be enhanced to further meet the needs and expectations of the program?
  - b. How did the applicant organizations match your expectations?
  - c. Most CBOs have goals in multiple areas (efficiency in residential and small business, workforce, etc.). Is that what they originally proposed? [If not:] how did those goals emerge?
  - d. Are there any explicit or implicit priorities on the multiple goals?
  - e. In our preliminary review of the CBO RFPs and Scopes of Work, we saw that 25% of CBO budgets are allocated as performance payments. Is this something that was required by the legislation or implemented by program staff? Why?
  - f. After issuing RFP 2038, which closed January, 2011, NYSERDA issued a second CBO RFP, 2327, in July 2011. Why did you decide to issue a second RFP?

CBO Training

7. We know that CSG conducts the CBO training. What is NYSERDA's role in training the CBOs?

Early Program Experiences

8. Let's shift to talking about early Outreach program progress. What did you learn right away after the CBOs started implementing the GJGNY program?
  - a. What major changes have been made since the CBOs began their activities?
  - b. Generally, what types of early feedback did you get from the CBOs? [If needed: were there any common issues that emerged?]
9. Did you make any changes to CSG's planned activities based on this early experience? Were these contractual changes?
10. How has the timeline for program ramp-up compared with your expectations?

Current Status

11. Considering the first RFP CBOs have been in the field for over a year, how do you think things are going right now?
11. Considering the first RFP CBOs have been in the field for over a year, how do you think things are going right now?
12. What have been the big successes of the Outreach program, thus far?
  - a. *[If not addressed:]* Are there particular CBO strategies that seem to be working well?

13. What have been the major lessons learned from overseeing the Outreach program thus far?
  - a. How has this Outreach program compared with your expectations?
14. The contracts for the first RFP CBOs expire in about 9 months. What upcoming issues or milestones are you anticipating between now and then?
15. What are you hearing from the CBOs about how things are going? For example, feedback about their progress on meeting their goals or about challenges they are encountering?
16. Is there anything else that it's important for me to understand about this program that I haven't asked about?

Evaluation

Finally, I want to talk with you briefly about this evaluation.

17. We are planning to talk with the GJGNY CBO Training and Implementation Contractor, CSG. Specifically, we are interested in talking with Tina, Matthew and Michael. Are we missing anyone?
18. Is there anything specific you'd like learn from this evaluation – anything that we haven't already talked about?
19. We are planning to do four case studies: two on CBOs where things are going well, and two that have faced more challenges in ramping up. Which organizations do you think might be good candidates for either group?

**TRAINING AND IMPLEMENTATION CONTRACTOR GUIDE (CONSERVATION SERVICES GROUP)**

Key Contacts: Tina Carton (Program Operations Manager), Matthew King (Program Analyst), or Michael Edmonds (Associate Program Analyst).

Introduction

Thank you for taking the time to speak with us today. As part of the process evaluation Research Into Action is conducting of the CBO component of the GJGNY program, we'd like to talk with you about your experiences implementing the Outreach program. We appreciate the time you have already taken to talk with us, through participating in several planning and scoping calls and providing us with guidance on using SharePoint. That information has informed this interview, so we can keep the time required to a minimum today.

My questions are mainly about your experience and insights in implementing this Outreach program. We thought it might be best to first walk through the Outreach program chronologically, starting with the program design/RFP and contracting. Then, we'd like to circle back with you about each CBO specifically.

Because we are talking with multiple contacts at CSG, please feel free to defer questions or topics that we would be better off pursuing with one of your colleagues.

Before we get started, do you have any questions?

1. First, I'd like to confirm your title and your responsibilities with the Outreach program.
2. How has CSG structured the implementation of this program? From the October monthly report I gather that you have an upstate coordinator and a downstate coordinator? Is that accurate? What else?
3. We know that Pratt Center is also involved, what are their specific responsibilities? (confirm if they think it will be important for us to interview a contact at Pratt)
  - a. How (if at all) do your activities overlap?

Contracting and Start-up

4. Thinking about those first months of Outreach program ramp up, what were the key issues that had to be worked out with NYSERDA? [If not covered: how were these issues resolved?]
5. CSG was competitively selected under a separate RFP to implement the HPwES program, as well. How, if at all, does the implementation of the Outreach program align with the HPwES program implementation?
  - a. Do you coordinate directly with the HPwES staff at CSG? If so, how?
6. How has communication with NYSERDA worked?
  - a. How has your working relationship progressed? [If needed, probe on: Frequency of communication, common concerns or issues you've had to work through.]



### Implementation Responsibilities

*[Reviewer note: This set will probably only need to be asked once. Most likely we will just ask Tina this set.]*

We reviewed the CSG SOW guiding this effort and see that CSG has eight tasks associated with the CBO effort. The October monthly report also provided a very comprehensive update on progress on each of your implementation tasks and the associated deliverables. I have just a couple of questions about those tasks.

7. First, part of your reporting task (Task 7) included creating GIS reports that summarize and visualize regional program status. Has that been completed? Are those available?
8. Just to confirm, are there any activities you've done to implement this Outreach program that are not included in this October report?

### Training and Ramp-Up

*[Reviewer note: we will confirm that contact was involved in the trainings.]*

9. We know you conducted trainings for the first RFP CBOs in November and December of 2011, and a training for the second RFP CBOs in October of 2012. Did all CBOs attend those trainings? [If not: Which did not?]
10. In addition to the initial trainings, you've held monthly webinars for the CBOs. I see the recordings and slides for those webinars on SharePoint. From the October report, it looks like most CBOs attend each meeting. Does that match your impressions?
  - a. How do you decide the training topics for these meetings?
11. We understand that each CBO has different approaches and skill sets. What types of support did the CBOs need to get their initiatives off the ground?
  - a. How have the CBOs used the materials you provided?

### Early Program Experiences

12. Let's shift to talking about early Outreach program progress. What did you learn right away after the CBOs started deploying the GJGNY programs?
  - a. What major changes have been made since the CBOs began their activities?
  - b. Generally, what types of early feedback did you get from the CBOs? [If needed: For example, were there any common challenges that emerged?]
13. Did CSG make any changes to its planned activities based on this early experience? Were these contractual changes?
14. How has the timeline for program ramp-up compared with your expectations?

### CSG Data Tracking and Reporting

*[Reviewer note: we will confirm that contact is the best one to talk to about tracking and reporting, this is one set of questions that probably only need to be answered once.]*

15. Tell me about the data tracking processes. How has that gone?

- a. What support have CBOs needed to use SharePoint?
  - b. We know you revised the CBO reporting templates in October to facilitate CBO reporting on each deliverable. Has that been helpful?
  - c. What other changes have you made to facilitate tracking CBO progress?
  - d. Do you think that SharePoint metrics accurately reflect CBO progress? (are there delays or gaps in reporting we should be aware of?)
16. Where are the CBO deliverables stored? (For example, BOEDC task 3 was GIS to understand their market – is that available?)

#### Documentation and QC

17. I also want to ask you about some of the documentation and quality control that you do. CSG is responsible for monitoring marketing, web communications, as well as conducting CBO reviews and/or site visits with staff. How do these tasks work? What have you found?

#### Current Status

18. Considering the first RFP CBOs have been in the field for over a year, how do you think things are going right now?
19. From your perspective, what have been the big successes of this initiative, thus far?
- a. Are there particular CBO strategies that stand out in your mind as particularly successful?
20. What have been the major lessons you have learned from implementing this Outreach program, thus far?
- a. How has this Outreach program compared with your expectations?
  - b. Have there been any implementation tasks that have been particularly challenging to implement? Which ones? How have they been challenging to implement?
21. The contracts for the first RFP CBOs expire in about 9 months. What upcoming issues or milestones are you anticipating between now and then?
22. Generally, what types of feedback are you hearing from the CBOs about how things are going right now? For example, are you hearing any feedback about their progress on meeting their goals, or about challenges they are encountering?
23. Is there anything else that it's important for me to understand about this program that I haven't asked about?

#### Individual CBO Progress

*[Reviewer note: This is a quick/high level status from CSG's perspective on the issues or progress of each CBO – it will help us prepare for the individual CBO interviews. It can also be asked of one contact, or broken up if the interview becomes too long.]*

24. We are going to be talking with each of the CBOs. We've read your October report, and reviewed the documents on SharePoint. Can you tell me what I should know before talking to each CBO,

particularly anything that isn't in that report? I'm going to go CBO by CBO – let me know if there's someone better to talk to about any of the CBOs.

**Table A-1: Interview Objectives Mapping**

CBO	Status Notes
<b>Upstate – RFP 2038 CBOs</b>	
Adirondack North Country Association	
PathStone	
People United for Sustainable Housing	
Rural Ulster Preservation Company	
Public Policy and Education Fund - Southern Tier	
Public Policy and Education Fund - Central	
Long Island Progressive Coalition	
Northeast Parent & Child	
Affordable Housing Partnership	
<b>Downstate – RFP 2038 CBOs</b>	
Bronx Overall	
El Puente	
Downtown Manhattan	
Asian Americans for Equality Community Development Fund	
Neighborhood Housing Services of Staten Island	
<b>Downstate – RFP 2327 CBOs (New CBOs)</b>	
Make the Road New York	
Civic Association Serving Harlem	
Northwest Bronx Community and Clergy Coalition	
Neighborhood Housing Services Jamaica	

Evaluation

Finally, I want to talk with you briefly about this evaluation.

- 25. Is there anyone else that you think we should talk to at CSG?
- 26. Is there anything specific you'd like learn from this evaluation – anything that we haven't already talked about?

27. We are planning to do four case studies; two on CBOs where things are going well, and two that have faced more challenges in ramping up. Which organizations do you think might be good candidates for either group?

**CBO MASTER INTERVIEW GUIDE**

**[Reviewer note: Before each CBO interview, the research team will have reviewed all existing information on the CBO and will omit any questions that will not apply. Instructions for this pre-interview review are in italic bold throughout the guide.]**

Table A-2, below, lists the objectives of the survey and the section(s) that address each.

**Table A-2: Interview Objectives Mapping**

Objectives	Section
What is the CBO’s mission and position within its community?	1.1.2-3
What are the defining elements of the community in which the CBO operates?	
What prior efficiency experience does the CBO have, if any?	
What activities has the CBO undertaken as part of the program?	1.1.4-6
How does the CBO promote energy efficiency opportunities in its community?	
What is the CBO’s relationship with local retrofit contractors?	
Who, if anyone, has the CBO partnered with in meeting its goals?	
What systems does the CBO use to track project status and leads?	1.1.7
How does the CBO characterize its communication with program staff, including the TIC?	1.1.8
What successes has the CBO had that are not documented in the SharePoint tracking system?	
What have been the most successful activities, from the CBO’s point of view?	
What lessons has the CBO learned in working to meet its objectives?	
What changes has the CBO made, or does it plan to make, in response to those lessons learned?	

Introduction

Thank you so much for taking the time to speak with me. My name is \_\_\_\_\_, I am with Research Into Action. We are conducting a process evaluation of NYSERDA’s GJGNY CBO outreach initiative as a whole. As part of this evaluation, we are talking with each of the CBOs who received funding for efficiency and workforce development outreach activities through GJGNY.

I know you have just spoken with another evaluator about the jobs created by this program. The purpose of *this* conversation is to understand your experiences with the GJGNY outreach initiative administered by NYSERDA, and get your feedback on what has worked well and what could work better for this type of outreach in the future.

I am hoping to get information on the following elements of the GJGNY outreach initiative:

- Organization history and context
- GJGNY contracting, training, and startup
- **[As applicable:]** Residential, multifamily, and small business efficiency outreach activities (including aggregation)
- **[As applicable:]** Workforce development outreach activities

- Marketing
- Tracking and reporting for NYSERDA
- Overall experience and future activities

Are you the best person to talk to about each of these topics?

To give you an idea of what I know about your organization already, I've reviewed your statement of work with NYSERDA, and I've visited your organization's website. Also, I've reviewed the monthly reports you prepare on SharePoint and other status reports prepared by CSG.

We report only summary information, and won't attribute your comments and opinions to your organization specifically.

Before we get started, do you have any questions for me?

**[If needed]** If you have questions about this research, you can also contact Carley Murray, evaluation manager at NYSERDA. (518.862.1090 x 3277).

1. First, describe your role and responsibilities with this initiative.
  - a. Is this a full-time role?

#### Organization History and Context

Next, I have a few questions that will help us understand your organization.

2. I read on your website that your organization does **[pre-fill with broad description of organization mission or activities]**. Please tell me a little more about your organization's mission and how you typically interact with your community.
3. What are the defining elements of the community that you serve? How do you define this community? **[Probe for: Geographically? Something else? Composition? Language?]**<sup>23</sup>
4. Has your organization had prior experience with efficiency programs? What kind?

#### Contracting, Training, and Startup

Now, I'd like to turn to your early experiences with the Green Jobs Green New York efforts...

5. Were you involved in the proposal and contracting process for GJGNY?
  - a. **[If no]** Is there someone else we could talk to about the proposal and contracting process?
  - b. **[If no, Skip to Q10.]**
6. Why did your organization decide to respond to the GJGNY RFP? **[Probe for: Which components were most attractive?]** How did you determine the goals for your organization?

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<sup>23</sup> We have lists of zip codes that each CBO serves. With this question, we are looking for more nuanced understanding of their targeted community – language and income barriers, certain parts of their community, other defining characteristics.

- a. **[If CBO has goals in only some of the five areas, ask]** Did you consider proposing goals in additional markets (such as small business retrofits, or workforce development)?
  - b. **[Probe for: What sources of information did you use? How did the performance payment factor into this determination?]**
  - c. **[If they did research, ask:]** Would you mind sharing this research with me?
7. How did you figure out what activities to propose?
8. Tell me about the contracting process with NYSERDA. How did that go?
- a. What were the main issues that had to be addressed? How were they addressed?
9. In late 2011, you attended a training about the program. To what extent did the training meet your expectations?
- a. Why do you say that?
  - b. Did all of your staff on this program attend this training?
  - c. How else did you prepare your staff to initiate this GJGNY work?

#### Activities

**[Adapt depending on goals].** Next, I would like to talk specifically about the activities you've implemented to meet your goals in the **1-4 family residential, small business, not-for-profit, and multifamily** efficiency markets, as well as with **workforce training and development outreach**.

10. **[Ask if not addressed above]** Thinking about your GJGNY activities overall, which would you say most closely resembles how you have incorporated this initiative into your organization? Have you...
- a. Launched new activities
  - b. Adapted and augmented existing activities
  - c. r, increased the resources allocated to existing activities.

#### *Residential Energy Efficiency Activities*

**If CBO has no 1-4 family Residential efficiency goals, skip this section.**

Now, I'd like to ask you specifically about your (single-family, 1- to 4- unit) residential efficiency outreach activities.

11. What are the general outreach strategies that you use to promote residential audits and retrofits?
12. Is this different than what you did when you first started working on this outreach initiative?
- [If yes:]** What has changed? Why?
13. Before we go further, let's discuss terminology for a minute. How do you define "participant" for your GJGNY efforts (Leads? Audit recipients? Retrofits? Contractors? Perhaps they use a different word?)

14. Walk me through a typical interaction with a lead, from initial outreach to retrofit completion. At what points do you interact with the contact? How do you keep them engaged? **[Probe as necessary]**
- a. Do you follow up after the initial outreach?
  - b. What kind of pre-screening do you do?
  - c. How do you present the process to the prospective participant?
  - d. Do you connect the contact with a contractor to complete an audit?
  - e. What types of paperwork support do you provide?
  - f. How do you keep the contact engaged and encourage retrofits?
15. **[If not addressed above:]**
- a. How often do you promote GJGNY financing? Do you track which projects include financing?
    - i. How do you promote GJGNY financing?
  - b. At what points in the process are you involved with the installation contractor?
    - i. How are you involved with the contractor?
    - ii. Do you have a particular list of contractors you work with?
      1. **[If yes:]** Could you share it with me?
16. Are there other incentives (such as utility incentives) for 1-4 family residential retrofits for homeowners in your area?
- a. How do you manage these overlapping/complimentary opportunities?
  - b. Do you have a sense of how often your leads ultimately complete retrofits through these non-NYSERDA programs? **[Probe for: Have you recommended that leads pursue these other opportunities? How has this affected your GJGNY outreach?]**
17. What challenges have you encountered in recruiting participants?
18. How has the availability of BPI-certified contractors in your area changed since you began implementing this program? Are there enough contractors to meet demand?

#### Aggregation Pilots

**If CBO has no aggregation pilot, skip this section.**

I also want to talk very briefly about your aggregation pilot.

**[PPEF Central]:**

19. I know you had an aggregation pilot that is no longer running – tell me a little about why it was stopped.

**[PUSH and LIPC]:**



20. Can you briefly describe how you got the aggregation pilot up and running? [**Probe for: Planning process.**]
21. How has aggregation been helpful in encouraging HPwES retrofits? [**Probe for: What's the theory?**]
22. What challenges have you faced in recruiting and working with participants?
23. How many contractors are involved?
24. How did you recruit contractors? [**Probe for: How did you find them? What did you promise them? What did they promise you?**]
25. What challenges have you encountered in working with contractors?
26. How much of your residential retrofit outreach work is through the aggregation pilot?

**[RUPCO]:**

27. Why did you decide to start an aggregation pilot?
28. How is the ramp-up going? [**Probe for: Where are you in the process? What do you expect from the contractors involved?**]

Small Business/ Not for Profit Energy Efficiency Activities

**If CBO has no Small Business/Not for Profit efficiency goals, skip this section.**

Now, I'd like to ask you specifically about your small business and not-for-profit efficiency outreach activities.

29. What are the general outreach strategies that you use to recruit participants for the small business/not-for-profit retrofit program?
  - a. [**Probe for: Do you target specific market segments within this sector?**]
30. Is this different than what you did when you first started working on this outreach initiative?
  - a. [**If yes:**] What has changed? Why?
31. What challenges have you encountered in recruiting participants?
32. Walk me through a typical interaction with a lead, from initial outreach to retrofit completion. At what points do you interact with the contact? How do you keep them engaged?
33. [**If not addressed above:**] Do you promote GJGNY financing?
34. Are there other incentives (such as utility incentives) for small businesses in your area?
  - a. How do you manage these overlapping opportunities? [**Probe for: Have you had leads that have chosen these other programs? Have you recommended that leads pursue these other opportunities? How has this affected your GJGNY outreach?**]

Multifamily Energy Efficiency Activities

**If CBO has no multifamily efficiency goals, skip this section.**

Now, I'd like to ask you specifically about your multifamily efficiency outreach activities.

35. What are the general outreach strategies that you use to recruit multifamily projects? **[Probe for: do you approach owners, residents, managers, co-op boards, building associations – all groups?]**
36. Is this strategy different than what you did when you first started working on this outreach initiative?
  - a. **[If yes:]** What has changed? Why?
37. What challenges have you encountered in recruiting projects?
38. Walk me through a typical interaction with a lead, from initial outreach to Energy Reduction Plan submission to retrofit completion. At what points do you interact with the contact? How do you keep them engaged?
39. **[If not addressed above:]** How often do you promote GJGNY financing? How do you promote financing?
40. Are there other incentives (such as utility incentives) for multifamily energy efficiency projects in your area?
  - a. How do you manage these overlapping opportunities? **[Probe for: Have you had leads that have chosen these other programs? Have you recommended that leads pursue these other opportunities? How has this affected your GJGNY outreach?]**

#### *Workforce Development Activities*

**If CBO has no WFD goals, skip this section.**

Now, I'd like to ask you specifically about your workforce development activities.

41. What general strategies does your organization use to meet workforce development objectives? **[Interviewer: Probe for information & referral, recruitment, direct training, or job placement; specific demographics targeted? Working with Department of Labor One-stop Centers?]**
42. What strategies have been most effective?
43. Have you made any changes in your tactics to encourage workforce training?  
How did your strategy change and why?
44. What challenges have you encountered in meeting these goals?
  - a. **[If CBO has workforce placement goals, probe]** Has the availability of funding opportunities affected your workforce goals? (Such as PON 2033 to fund on the job training.)
45. Who are your typical recruits?
46. Tell me about the trainings. Do you have a relationship with a particular training organization?
47. What kind of tracking do you do of your training placements? Do you track enrollment? Completion? Job placement? Job persistence?

- a. How do you track this?
  - b. What could program staff (that is, NYSERDA/CSG) do to help you better track your recruits?
48. **[If applicable]** One of your goals included encouraging contractor BPI certification. How has that gone? **[Probe for: Effort? Tactics? Challenges? Successes?]**

*Other Activities*

49. **[If CBO has goals across more than one area]** You have goals in **[adapt depending on CBO goals]** 1- to 4-unit residential, multifamily, small business/not-for-profit, and workforce development. Generally, what percentage of your GJGNY resources do you spend on each of these goals?
- a. Percent on residential **[outside of aggregation]** \_\_\_\_\_
  - b. Percent on residential aggregation:\_\_\_\_\_
  - c. Percent on multifamily\_\_\_\_\_
  - d. Percent on small commercial\_\_\_\_\_
  - e. Percent on workforce development\_\_\_\_\_
50. **[If not addressed above:]** How do the different types of activities interact or complement each other?
51. **[If not addressed above]** Have you partnered with other organizations to implement any of your GJGNY outreach activities? Which?
- a. **[If yes:]** How does that partnership work?
  - b. **[Probe for:]** How effective are these partnerships?
52. **[If not addressed above]** Are your GJGNY activities leveraged by other funding? If so, what type and how important is it?

Marketing

53. Switching gears a little, let’s talk about marketing. Have the marketing materials created by Brand Cool met your needs?
54. Have the marketing materials created by CSG/NYSERDA (screening documents, PowerPoint presentations) met your needs?
55. What marketing materials have you found most useful?
- a. **[If CBO has workforce activities:]** Have you used the workforce development-related marketing materials? How useful were these?
56. How could the marketing materials be more effective for you?
57. Have you received sufficient training to use these resources?
58. Have you created your own marketing or outreach materials? What kinds?

- a. Has the process for getting these materials approved by NYSERDA worked smoothly?
- b. **[If not:]** Why not?

#### Organization Structure

59. Next, I want to touch briefly on how you have structured the implementation of these outreach activities. Describe for me how you've organized your staff for these GJGNY CBO contract activities. **[Probe for: Do you have staff dedicated to delivering these outreach activities? Do you have separate staff people for different types of goals? Different counties?]**
  - a. Does any of your staff have prior experience with energy efficiency? What kind? How has this affected your outreach?
60. How consistent has your GJGNY outreach staffing been since starting this project?

#### Tracking and Reporting for NYSERDA

I also want to ask you about how you track and report your progress for the GJGNY work.

61. How do you track progress and accomplishments: is this a spreadsheet, a database, some other way?
62. Who updates this tracking system?
63. Do you track all activities internally, or do you track some directly in SharePoint?
64. How does your system interface with SharePoint:
  - a. Well,
  - b. Poorly, or
  - c. Not at all?
65. Is SharePoint up to date right now?
66. Have you encountered any challenges in completing monthly reports?
  - a. **[If yes:]** What happened? Has this been resolved?

#### Overall Experience and Future Activities

Great, thank you. In this last section, I'd like to get an overall sense of how this outreach initiative is going for you.

#### *Communication and Implementation Support*

I want to ask you about communication and the implementation support you've received.

67. Thinking about your experience from start-up to now, have you received the support you needed from program staff to conduct these outreach activities?
68. What CSG/Pratt support has been most helpful to you? **[Probe as needed]**
  - a. How helpful do you find the monthly webinars?

- b. What training materials have you found most useful?
  - c. How valuable do you find SharePoint as a resource?
69. How often do you use SharePoint as a tool to communicate with other CBOs or with implementation staff, outside of required reporting?
70. How often do you communicate directly with implementation staff, outside of webinars?
71. How would you characterize your communication with program staff?
- a. How could this communication work better for you?

*Overall Lessons Learned and Next Steps*

Finally, I'd like to understand what you've learned and what you see for the future with your GJGNY outreach activities.

72. Do you feel like you are on-track to meet your program goals?
- a. Why or why not?
73. What have been your most successful activities thus far?
74. What have been the biggest lessons you've learned from this experience?
75. What changes are you planning?
76. What could other CBOs learn from your experience?
77. Is there anything you'd like to learn from the other CBOs?
78. If a similar opportunity to do energy efficiency-related outreach became available in the future, would you be interested?



**APPENDIX B:**

**CBO REGIONS**

Table B-1 includes the region targeted by each CBO.

**Table B-1: CBO Outreach Target Region**

<b>CBO</b>	<b>Outreach Target Region</b>
Asian Americans for Equality	11101, 11102, 11103, 11104, 11105, 11106, 11109, 11120, 11351, 11352, 11354, 11355, 11356, 11357, 11358, 11359, 11360, 11361, 11362, 11363, 11364, 11365, 11366, 11367, 11368, 11369, 11370, 11371, 11372, 11373, 11374, 11375, 11377, 11378, 11379, 11380, 11381, 11385, 11386, 11390
Affordable Housing Partnership of the Capital Region	Rensselaer, Schenectady, Albany, Saratoga, Schoharie, Montgomery, Fulton
Adirondack North Country Association	Hamilton, Jefferson, Franklin, St. Lawrence, Lewis, Essex, Washington, Clinton, Warren, Herkimer
Bronx Overall Economic Development Corporation	Bronx
El Puente	Brooklyn. Specifically, 11222, 11211, 11206, 11201, 11251, 11205, 11216, 11237, 11207, 11208, 11239, 11232, 11220, 11212, 11233, 11234, 11236
Long Island Progressive Coalition	Suffolk
Neighborhood Housing Services of Staten Island	10303, 10302, 10310 , 10301, 10304, 10305, 10314, 10306, 10308, 10312, 10309, 10307
PathStone	Monroe, Ontario, Wayne, Genesee, Orleans, and Yates
Public Policy and Education Fund - Central	Onondaga, Oneida County, Oswego county, Madison County, Cortland County
Public Policy and Education Fund - Southern Tier	Broome, Chemung, Chenango, Steuben, Oswego, Tompkins, Otsego
People United for Sustainable Housing	Erie County
Rural Ulster Preservation Company	Columbia, Delaware, Dutchess, Greene, Orange, Putnam, Rockland, Sullivan, Ulster, Westchester
Civic Association Serving Harlem	10032, 10039, 10030, 10031, 10027, 10026, 10035, 10029, 10028
Neighborhood Housing Services of Jamaica	11416, 11417, 11418, 11419, 11420, 11436, 11423, 11427, 11428, 11429, 11431, 11432, 11433, 11434, 11439, 11435
Make the Road New York	Brownsville – 11212; Bushwick - 11207, 11221 and 11237; Bedford-Stuyvesant- 11205, 11206, 11216, 11221, 11233 and 11238; Crown Heights – 11225, 11213; East New York - 11207, 11208, and 11239; East Flatbush - 11226

