

Offset Project
Monitoring and Verification Report
Instructions

Building Sector Energy Efficiency

Version NY-2.0

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Overview

To demonstrate the achievement of CO₂-equivalent emissions reductions from a building sector energy efficiency offset project that has received a consistency determination from the New York State Department of Environmental Conservation (Department) a Project Sponsor must submit to the Department in accordance with these instructions a completed *Offset Project Monitoring and Verification Report – Building Sector Energy Efficiency* (“*M&V Report*”), consisting of the coversheet and all forms and related attachments.

The Project Sponsor’s inability to fully complete the *M&V Report* forms pertaining to the accredited independent verifier information will not, in and of itself, disqualify such Project Sponsor from receiving an award of CO₂ offset allowances, provided that the *M&V Report* is submitted to the Department by the applicable deadline.

Following these instructions will ensure that the *M&V Report* contains all necessary information and is submitted properly. The Project Sponsor should review the CO₂ Budget Trading Program regulations at 6 NYCRR Subpart 242-10 addressing offset projects and the award of CO₂ offset allowances.

1. Submission Instructions

Submit one (1) complete paper hardcopy original and one (1) electronic copy of the *M&V Report* in the form of a CD to the Department at the location specified below. The Model Rule requires that all offset project documentation, including *Monitoring and Verification Reports*, be signed by a Professional Engineer, identified by license number. Submit hardcopies of forms requiring signatures as originally-signed copies and scan such signed forms for electronic submission. Facsimiles of the *M&V Report* are not acceptable under any circumstances.

New York State Department of Environmental Conservation
Office of Climate Change
625 Broadway
Albany, New York 12233-1030

The *M&V Report* has three parts, as described below. Each part comprises specified forms and required documentation. Enter information directly in the fields provided or submit information or documentation as an attachment, as instructed. Include headers on all attachments indicating the form to which each is attached, and the offset project name, and offset project ID code.

The Project Sponsor should save an electronic copy for his or her file to serve as a reference for any necessary remediation.

2. Instructions for M&V Report Forms

The *M&V Report* consists of eight (8) forms divided into three parts, as follows:

Part 1. General Information Forms

- Form MV-1.1D – Coversheet
- Form MV-1.2D – General Information

M&V Report – Building Sector Energy Efficiency

- Form MV-1.3D – Attestations
- Form MV-1.4D – Project Sponsor Statement
- Form MV-1.5D – Disclosure of Greenhouse Gas Emissions Data Reporting

Part 2. Category-Specific Information and Documentation Forms

- Form MV-2.1D – Demonstration of Conformance with M&V Plan
- Form MV-2.2D – Determination of Emissions Reduction

Part 3. Independent Verification Form

- Form MV-3.1D – Independent Verifier Certification Statement and Report

The following instructions address each of the forms in numerical order. Note that some of the forms include embedded instructions.

Part 1. General Information Forms

The five (5) forms in Part 1 of the *M&V Report* address general requirements applicable to building sector energy efficiency offset projects. Instructions for the Part 1 forms are provided below.

Form MV-1.1D Coversheet

Enter the requested information in the editable text fields in the form. Check the boxes to indicate that all forms are being submitted. For information about entering the Project Sponsor, offset project name and offset project ID code, and RGGI COATS account name and number, see instructions below for Form MV-1.2D, General Information.

Submission of all forms, including the Coversheet, is required. If a form is not submitted, the *M&V Report* will not be considered complete for commencement of review by the Department.

Form MV-1.2D General Information

Enter the requested information in the editable text fields in the form. If a text field is not applicable or is unanswerable, enter “NA.” Note the following:

Offset Project ID Code: Enter the offset project ID code. The offset project ID code is the alphanumeric code generated when the Project Sponsor creates a record of the offset project in the RGGI CO₂ Allowance Tracking System (RGGI COATS). See the RGGI COATS User’s Guide for more information about creating an offset project record in RGGI COATS, available at <http://www.rggi-coats.org>.

Project Information: Enter project information. The name of the offset project should be the same name entered by the Project Sponsor when creating a project record in RGGI COATS. The project location entered should be the primary location of the project if the project consists of actions at multiple locations. The summary narrative of the project should indicate all locations where project actions occur or will occur.

Project Sponsor: Identify the Project Sponsor and provide his or her contact information. The Project Sponsor is the natural person who is the Authorized Account Representative for the RGGI COATS general account identified in the *Consistency Application*.

Project Sponsor Organization: Provide the full legal name of the organization the Project Sponsor represents, including any alternative names under which the organization also may be doing business (e.g., John Doe Enterprises, Inc., d/b/a JDE). If the Project Sponsor is representing himself or herself as an individual, enter “NA”.

RGGI COATS General Account Name and Number: Enter the RGGI COATS general account name and number. The RGGI COATS general account identified in the *Consistency Application* is the RGGI COATS account into which any awarded CO₂ offset allowances related to the offset project will be transferred.

Form MV-1.3D Attestations

Sign and date the form. Submit the originally signed form as part of the paper hardcopy *M&V Report*. Scan the signed, notarized and dated form for submission as part of the electronic version of the *M&V Report*.

Form MV-1.4D Project Sponsor Statement

Sign and date the form. Submit the originally signed form as part of the paper hardcopy *M&V Report*. Scan the signed, notarized and dated form for submission as part of the electronic version of the *M&V Report*.

Form MV-1.5D Disclosure of Greenhouse Gas Emissions Data Reporting

Check the appropriate box in the form to indicate whether greenhouse gas emissions data related to the offset project have been or will be reported to any voluntary or mandatory programs, other than the CO₂ Budget Trading Program. For each program for which data have been or will be reported, provide the program name, the program type (voluntary or mandatory), program contact information (website or street address), the categories of data reported, the frequency of reporting, when the reporting began or will begin, and reporting status (prior, current, future). The Project Sponsor must disclose future reporting related to current commitments made to voluntary programs as well as future reporting mandated by current statutes, regulations, or judicial or administrative orders.

Part 2. Category-Specific Information and Documentation Forms

The two (2) forms in Part 2 of the *M&V Report* address category-specific requirements and documentation for building sector end-use energy efficiency offset projects.

Form MV-2.1D Demonstration of Conformance with M&V Plan

Provide documentation as an attachment to Form MV-2.1D to demonstrate conformance with the M&V Plan. Each attachment must include a header that indicates it is an attachment to Form MV-2.1D and includes the offset project name and offset project ID code. The following documentation must be provided, as applicable:

1. Documentation of Project Implementation. (Note: Only applicable to first M&V Report for offset projects that were not completed at the time of Consistency Application submittal.) Attach documentation that all ECMs were implemented as specified in the *Consistency Application*. The following documentation must be provided, as applicable:
 - a. Documentation of Equipment and Materials Specifications. Provide final post-installation equipment and materials specifications for the as-installed offset project. See the documentation specifications provided in the instructions for Form 2.1, section 6. of the *Consistency Application*.
 - b. Building Plans and Project Technical Schematics. Provide final post-installation building plans and technical schematics representing the as-installed offset project. See the documentation specifications provided in the instructions for Form 2.1, section 7. b. and c. of the *Consistency Application*.
 - c. Documentation of ECM Installation. Provide final post-installation documentation of ECM installation for the as-installed offset project. See the documentation specifications provided in the instructions for Form MV-2.2D, section 1. of the *Consistency Application*.
 - d. HVAC Installation Best Practice. If applicable, provide documentation confirming application of the design intent statements provided in the *Consistency Application*. See the documentation specifications provided in the instructions for Form MV-2.2D, section 2. of the *Consistency Application*.
 2. Quality Assurance/Quality Control (QA/QC) Report. Provide a QA/QC report documenting the activities conducted during the reporting period for QA/QC of project monitoring data and documentation in conformance with the QA/QC procedures specified in the M&V Plan and summarizing findings and any remedial actions taken.
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Form MV-2.2D Determination of Emissions Reduction

Provide documentation of reporting period energy use and CO₂ emissions reductions where requested in Form MV-2.2D or as an attachment, as directed. Each attachment must include a header that indicates it is an attachment to Form MV-2.2D and includes the offset project name and offset project ID code. For each fuel type, enter baseline year and reporting

year energy use, reporting year energy savings relative to baseline year energy use, and associated CO₂ emissions reductions (in lbs CO₂). Enter the following in the form:

- **Baseline Energy Use:** Enter total annual baseline energy use by fuel type for all isolated end-uses or building systems targeted by eligible ECMs (MMBtu).
- **Reporting Period Energy Use:** Enter total annual reporting period energy use for all isolated end-uses or building systems targeted by eligible ECMs (MMBtu).
- **Energy Savings:** Enter total annual reporting period energy savings relative to the baseline year for all isolated end-uses or building systems targeted by eligible ECMs (MMBtu).
- **Emissions Reductions:** Enter total annual reporting period CO₂ emissions reductions due to total annual energy savings, in lbs CO₂, by applying the appropriate emissions and oxidation factors shown in the example table below.

An example table is provided below.

	<i>Natural Gas</i>	<i>Propane</i>	<i>Fuel Oil</i>	<i>Kerosene</i>	<i>Other</i>
baseline fuel use					
post-installation use					
annual energy savings					
emissions factor	116.98	139.04	161.27	159.41	
oxidation factor	0.995	0.995	0.99	0.99	
emissions reductions					

Attach documentation supporting calculations of reporting year energy use and CO₂ emissions reductions. Documentation must include the following:

1. **Documentation of Energy Monitoring Approach.** Provide narrative documentation of the energy monitoring procedures used to determine reporting period energy use, including demonstration of conformance with the appropriate guidelines and standards applicable to the building types included in the offset project, as follows:

- Commercial Buildings:
 - IPMVP Volume 1, Option B or D, as applicable
 - ASHRAE Guideline 14-2002
- Commercial Buildings, where the only change to the building as part of the energy efficiency project involves eligible ECMs included in the offset project:
 - IPMVP Volume 1, Option C
 - ASHRAE Guideline 14-2002
- New Commercial Buildings:
 - IPMVP Volume III, Option D
 - ASHRAE Guideline 14-2002
- Residential Buildings:
 - RESNET National Home Energy Rating Technical Guidelines, 2013

Documentation of conformance with the above-listed references must include the following:

- Clear identification of any data gaps and estimated or modeled data
- Documentation of all conditions that affect reporting period measurement (e.g., measurement process and equipment, weather, building occupancy, time of day)

Note, for projects implementing similar measures in multiple residential buildings, a representative sampling of buildings may be used to determine reporting period energy use, rather than measurement of each building. If sampling was employed during the reporting period, attach a copy of the sampling protocol used that provides demonstration at a 95 percent confidence interval that the reported value is within 10 percent of the true value. The sampling protocol and statistical method must include uncertainty and confidence interval calculations.

2. Reporting Year Energy Use Data. Provide documentation of reporting year energy use for each building included in the offset project, as outlined below:

- a. Commercial Buildings. For each building included in the offset project, provide total building fuel consumption data for the reporting year, by fuel type (MMBtu). For each building, provide records of whole-building metered energy use by fuel type for the reporting year and records of metered energy use, if available, for individual end-uses or building systems targeted by eligible ECMs.
- b. Low-Rise Residential Buildings. For each building included in the offset project, provide total building fuel consumption data for the reporting year, by fuel type (MMBtu). For each building, provide records of whole-building metered energy use by fuel type for the reporting year and records of metered energy use, if available, for individual end-uses or building systems targeted by eligible ECMs.

3. Isolation of Energy Use. Provide documentation of the isolation of energy use for each end-use or building system targeted by eligible ECMs as part of the offset project. Such isolation must ensure that each eligible ECM is isolated from all other eligible and non-eligible ECMs, as well as from overall building energy usage. There are two options for isolation of energy use for end-uses or building systems targeted by eligible ECMs:

- Direct metering of end-use or building system affected by eligible ECMs (note that if the only change to the building as part of the energy efficiency project involves eligible ECMs included in the offset project, metering of whole-building energy use is sufficient under this approach)
- Use of energy simulation modeling to apportion building energy use to each end-use or building system affected by eligible ECMs

For both of these options, ECMs must be isolated from whole-building or whole-system energy use and also adjusted for areas where multiple ECMs interact with one another (required to avoid double-counting of ECM energy use) or where one ECM utilizes more than one eligible fuel type. Provide a narrative identifying the procedures used to isolate energy use for end-uses or building systems targeted by ECMs in conformance with the following guidelines and/or standard applicable to the building types included in the offset project, as follows:

- Commercial Buildings:
 - ASHRAE Guideline 14-2002
 - ASHRAE 90.1-2013, Section 11 and Appendix G
- Residential Buildings:
 - RESNET National Home Energy Rating Technical Guidelines, 2013

If energy simulation modeling is used to isolate energy use, provide the following documentation:

- Building simulation software input file, output file, and assumptions, on CD-ROM
- Copy of software manufacturer literature showing the modeling program name and version number
- Document demonstrating that software is BESTEST or RESNET certified, as applicable

4. Adjustments to Reporting Year Energy Use. Provide documentation of adjustments that were made to reporting year energy use to address operating and weather conditions. Provide documentation of measurement conditions during the reporting year that are unusual or that changed between the baseline period and reporting period, and adjustment factors that were applied to reporting year energy use to account for such measurement conditions. Adjustments may address issues such as weather, building occupancy, and changes in building use or function. Provide documentation of adjustments applied to reporting year energy usage in accordance with the following equation:

$$\text{Energy Usage (MMBtu)} = EU_{AECM} \times A_b$$

where:

- EU_{AECM} = Annual energy use by fuel type (MMBtu) attributable to the application(s) targeted by the energy conservation measure(s).
- A_b = An adjustment factor that corrects for changes to the system of interest between when the baseline data were collected and the reporting year.

Provide documentation demonstrating that the application of any adjustments is consistent with the following guidelines and/or standards:

- Commercial Buildings:
 - ASHRAE Guideline 14-2002
 - ASHRAE 90.1-2013, Section 11 and Appendix G
- Residential Buildings:
 - RESNET National Home Energy Rating Technical Guidelines, 2013

If any of the adjustments applied above required energy simulation modeling, provide the following documentation:

- Building simulation software input file, output file, and assumptions, on CD-ROM
- Copy of software manufacturer literature showing the modeling program name and version number

- Document demonstrating that software is BESTEST or RESNET certified, as applicable

5. Total Reporting Year Energy Use. Provide a spreadsheet documenting the calculation of total reporting year energy use. Reporting year energy usage is the sum of energy use, by combustion fuel type, for all the isolated end-uses or building systems that are affected by ECMs included in the offset project. Reporting year energy usage includes the application of any adjustment factors in accordance with section 3. above.

6. Reporting Year CO₂ Emissions. Provide a spreadsheet documenting the calculation of reporting year CO₂ emissions derived from energy use and associated fuel-specific emissions and oxidation factors. Use the following formula to calculate total (summed over all combustion fuel types) reporting year CO₂ emissions in lbs of CO₂. Calculate each combustion fuel's emissions contribution separately in accordance with the following equation:

$$Emissions (lbs CO_2) = \sum_{i=1}^n (EU_i \times EF_i \times OF_i)$$

where:

EU_i = Reporting year energy use for fuel type i (MMBtu)

EF_i = Emissions factor (lbs CO₂/MMBtu) for fuel type i as shown below in Table 1

OF_i = Oxidation factor for fuel type i as shown below in Table 1

Table 1. Emissions and Oxidation Factors

Fuel	Emissions Factor (lbs. CO ₂ /MMBtu)	Oxidation Factor
Natural Gas	116.98	0.995
Propane	139.04	0.995
Distillate Fuel Oil	161.27	0.99
Kerosene	159.41	0.99

Part 3. Independent Verification Form

The form in Part 3 of the *M&V Report* addresses requirements and documentation related to the independent verifier certification statement and report. Instructions for the form in Part 3 are provided below.

Form MV-3.1D Independent Verifier Certification Statement and Report

An accredited independent verifier and licensed professional engineer must sign and date the form. Submit the originally signed form as part of the paper hardcopy *M&V Report*. Scan the signed and dated form for submission as part of the electronic version of the *M&V Report*.

The Project Sponsor's inability to fully complete the Independent Verification Form will not, in and of itself, disqualify such Project Sponsor from receiving an award of CO₂ offset allowances, provided that the *M&V Report* is submitted to the Department by the applicable deadline.

Provide the independent verifier's report as an attachment to Form MV-3.1D. The verifier report must include a header that indicates it is an attachment to Form MV-3.1D and includes the offset project name and offset project ID code.

The verifier report must document the following:

1. The verifier has reviewed the entire *M&V Report* and evaluated the contents of the report in relation to the applicable requirements of 6 NYCRR Subpart 242-10.
2. The verifier has evaluated the adequacy and validity of information supplied by the Project Sponsor to determine CO₂-equivalent emissions reductions in accordance with 6 NYCRR Subdivision 242-10.5(d), and the documentation required in the *M&V Report*.
3. The verifier has evaluated the adequacy and consistency of methods used by the Project Sponsor to quantify, monitor, and verify CO₂-equivalent emissions reductions in accordance with the applicable requirements of 6 NYCRR Subdivision 242-10.5(d) and the Monitoring and Verification Plan submitted as part of the *Consistency Application*.

The verifier report must include the following contents, in the order listed below:

- Cover page with report title and date
- Table of contents
- List of acronyms and abbreviations
- Executive summary
- Description of objective of report
- Identification of the client, including name, address, and other contact information
- Identification of the offset project
- Description of evaluation criteria (applicable regulatory provisions and documentation required in the *M&V Report*)

- Description of the review and evaluation process, including any site visits and interviews
- Identification of individuals performing the verification work, including the verification team leader and key personnel, and contact information for the team leader
- Description of the materials provided to the verifier by the Project Sponsor
- Evaluation conclusions and findings, including level of assurance provided