Standards & Quality Assurance (SQA) - Combined Residential Application

The **Standards and Quality Assurance (SQA)** module allows NYSERDA and contracted Quality Service Providers (QSPs) to identify projects that are eligible for field inspections. A random sampling of projects are selected for inspection to verify that program and technical requirements have been met. The SQA module allows inspectors to document evidence of any non-conformance through photos and written documentation. Information collected by the inspector is uploaded into the Salesforce QA checklist and an inspection report is generated. The SQA module allows the Contractor to submit corrective action documentation as needed and for the program implementer (either initiative staff or an external company providing support) to respond.

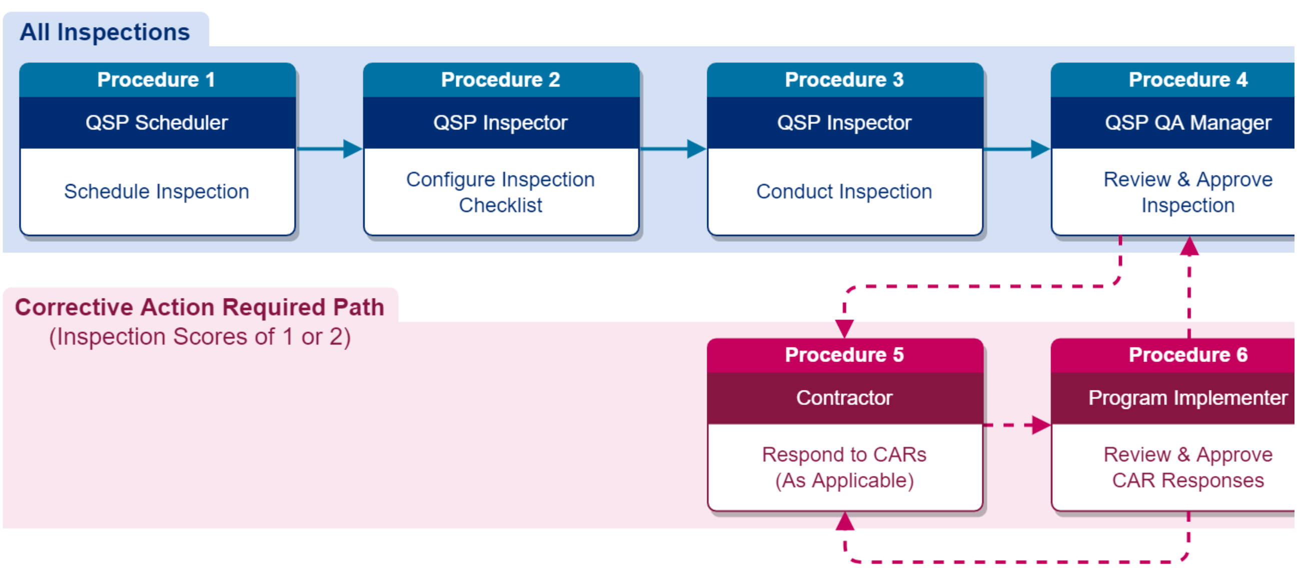
Audience: Participating Contractors

Process Overview

Process Overview

The diagram below outlines the **SQA Process Steps** for the complete inspection process. The standard inspection process is outlined in the All Inspections row. If an inspection requires **Corrective Actions**, this process is included in the Correct Action Required Path. Generally speaking, Inspections without major or critical non-conformances will typically end at the Review & Approve Inspection step in the All Inspections row. If there are any CAR Tasks, the process will include the **Corrective Action Required Path.**

Process Steps



Process Details

Process Details

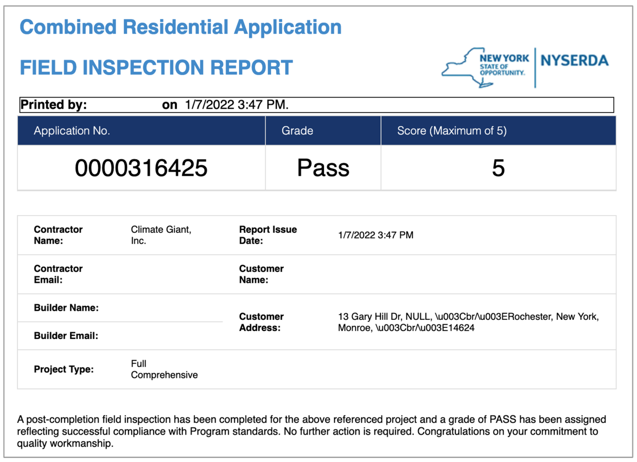
Inspections

NYSERDA conducts a minimum of three field inspections for each new participating Contractor. New contractors who have not passed three inspections are listed as **Provisional**. When they are in good standing after these inspections, their status is updated to **Full**. After an installer receives **Full** status, NYSERDA reviews a random sample of projects for review. Contractors with a **Probationary** or **Suspended** status may have 100% of their projects inspected.

Post Inspection Report

Once an inspection has been completed and submitted by the Inspector, and is reviewed and approved by the QSP QA Manager, an Inspection Report is generated and appended to the Project Inspection Record. An email is systematically sent to the Contractor with a link to the Inspection Report.

ⓘ Below are examples of the heading for an Inspection Report for both a passed and failed inspection. In an actual Inspection Report, below the Pass/Fail heading displays details on all aspects of the inspection results.



Combined Residential Application

FIELD INSPECTION REPORT

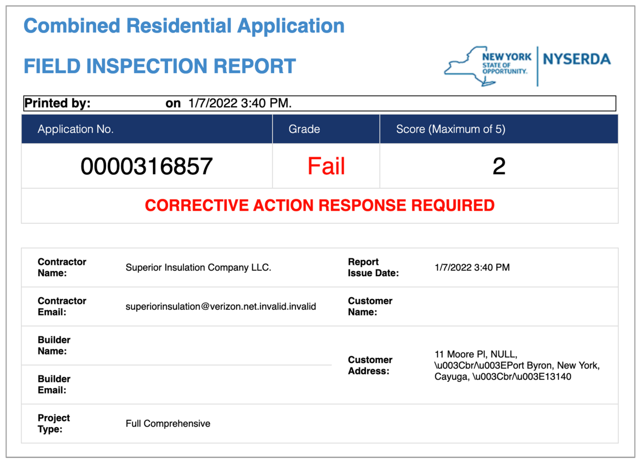
NEW YORK STATE OF OPPORTUNITY. | NYSERDA

Printed by: **on** 1/7/2022 3:47 PM.

Application No.	Grade	Score (Maximum of 5)
0000316425	Pass	5

Contractor Name:	Climate Giant, Inc.	**Report Issue Date:**	1/7/2022 3:47 PM
Contractor Email:		**Customer Name:**	
Builder Name:		**Customer Address:**	13 Gary Hill Dr, NULL, \u003Cbr/\u003ERochester, New York, Monroe, \u003Cbr/\u003E14624
Builder Email:			
Project Type:	Full Comprehensive		

A post-completion field inspection has been completed for the above referenced project and a grade of PASS has been assigned reflecting successful compliance with Program standards. No further action is required. Congratulations on your commitment to quality workmanship.



Combined Residential Application

FIELD INSPECTION REPORT

NEW YORK STATE OF OPPORTUNITY. | NYSERDA

Printed by: **on** 1/7/2022 3:40 PM.

Application No.	Grade	Score (Maximum of 5)
0000316857	Fail	2

CORRECTIVE ACTION RESPONSE REQUIRED

Contractor Name:	Superior Insulation Company LLC.	**Report Issue Date:**	1/7/2022 3:40 PM
Contractor Email:	superiorinsulation@verizon.net.invalid.invalid	**Customer Name:**	
Builder Name:		**Customer Address:**	11 Moore Pl, NULL, \u003Cbr/\u003EPort Byron, New York, Cayuga, \u003Cbr/\u003E13140
Builder Email:			
Project Type:	Full Comprehensive		

Email Communications

Contractors receive email communication about SQA inspections. When an Inspector schedules a project for SQA, an email will be sent to the contractor with the inspection date, time, and address. NYSERDA automatically sends emails for cancelled and rescheduled inspections. The **QSP QA Manager** - the designated manager from the QSP QA agency - approves and distributes inspection reports to the project applicant. In rare instances a Contractor may not be notified of an upcoming inspection upon the customer's request.

Quality Scoring

The SQA Salesforce module assigns a Quality Score (on a scale of 1 to 5) based on the inspection results. This score will be provided in the Inspection report that is generated after the Inspector completes the inspection. NYSERDA provides Contractors a link to the inspection report through Salesforce.

SQA Quality Score	Quality Score Description
1 or 2	Signifies a Failed Inspection with major and/or critical non-conformances. The Contractor must provide evidence to NYSERDA that these non-conformances outlined in the Inspection Report were resolved. Inspections in this score range may also contain minor or incidental non-conformances that will still need resolution, though the Contractor is not required to provide evidence for these issues. The inspection score may be updated if the Major and/or critical non-conformances are successfully contested
3, 4, or 5	Signifies a Passed Inspection with only minor or incidental non-conformances. The Contractor must correct these issues but is not required to provide evidence to NYSERDA.

The NYSERDA Partner Portal

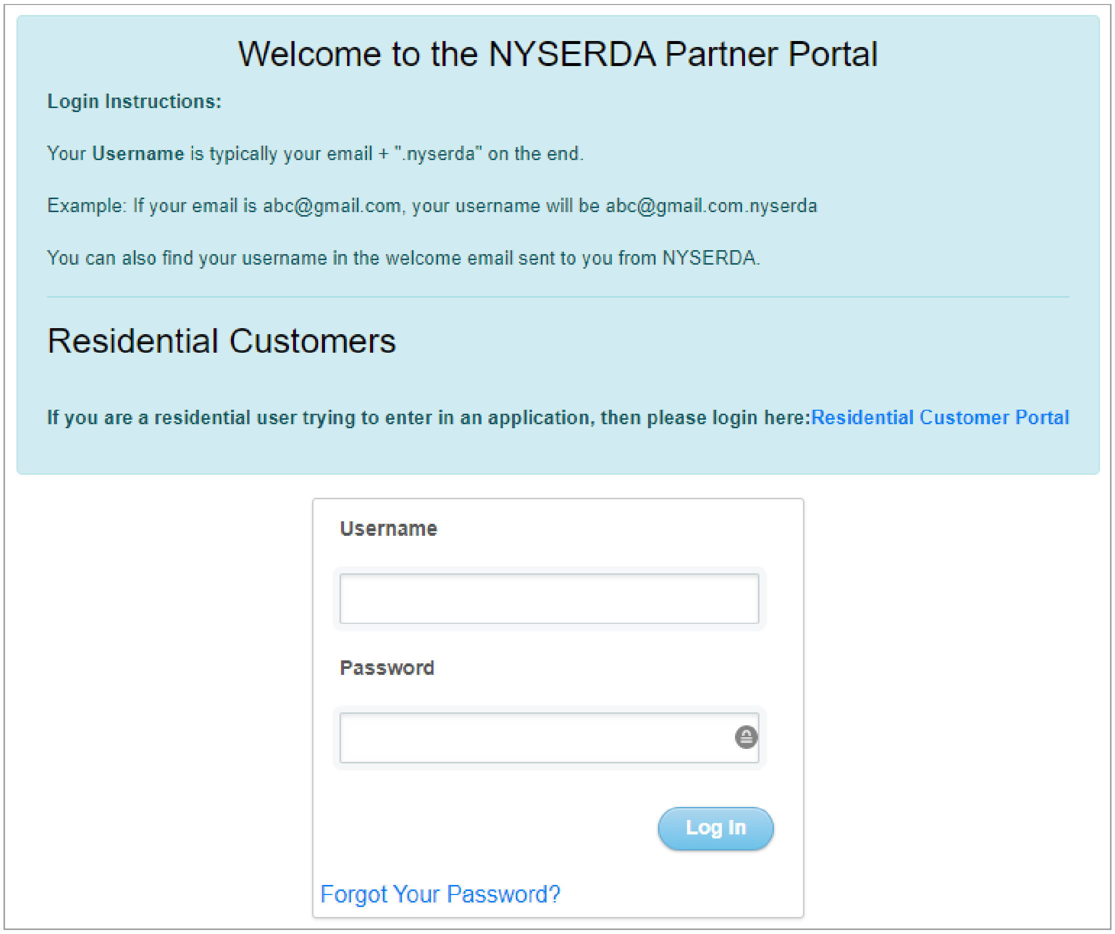
The NYSERDA Portal

The **Standards and Quality Assurance (SQA)** module is built within the NYSERDA Partner Portal (Salesforce). All activity related to scheduling, conducting, reviewing and approving inspections, and managing corrective action responses and resolutions, is documented and managed from within Salesforce.

Logging into the NYSERDA Partner Portal

1

Access the portal login page at https://portal.nyserda.ny.gov/login .

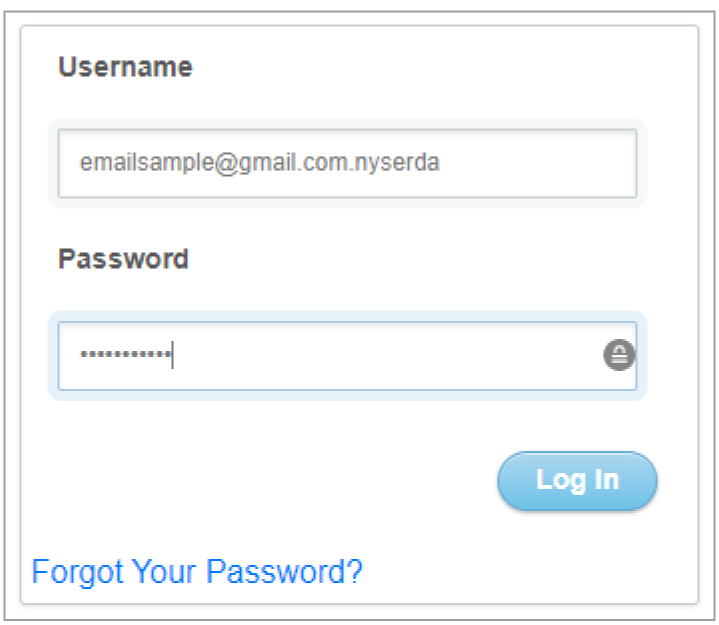


2

Enter your **Username** and **Password** and click **Log In**.

Your username is your email address through your organization with **.nyserda** added to the end as shown in the example screenshot below.

You created the password when accessing the **NYSERDA Partner Portal** the first time after receiving login information from NYSERDA. If you have forgotten the password, click the **Forgot Your Password?** Link and follow the prompts to reset your password.



Dashboard

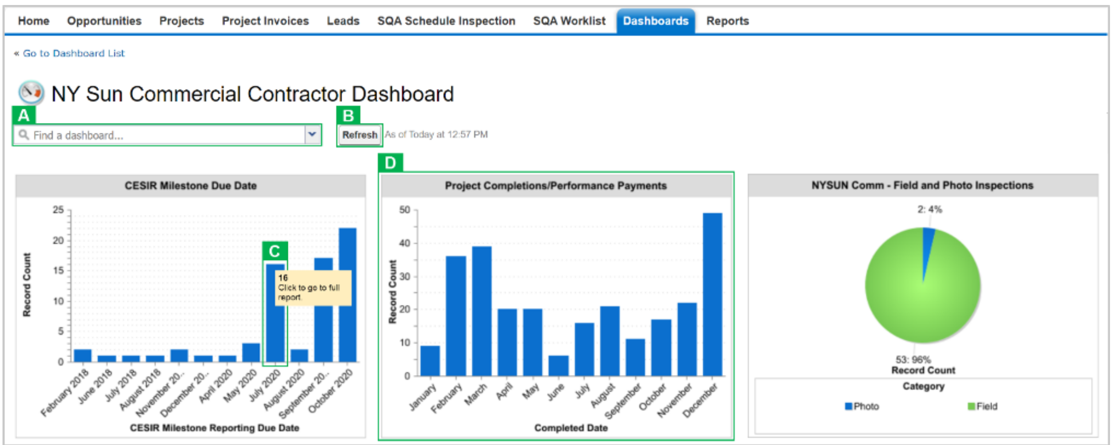
The **Dashboard** page provides an overview of your projects and to the available reports for Contractors/Builders.

1

After logging into Salesforce, click the **Dashboards** tab to access the Dashboard.

2

The **Dashboard** includes several visual charts to help you track your projects.



A	If you have access to several dashboards, use the dropdown menu to navigate between them
B	Click Refresh to update the dashboards and display the most up-to-date information
C	Hover your mouse over any data elements in any graph to reveal a tooltip with granular details
D	Each chart in the Dashboard has an underlying report that can be accessed by clicking the chart

Reports

To access all of the reports available to Contractors/Builders, follow the instructions below.

1

After logging into Salesforce, access the **Dashboards** tab.

2

Then click the **Go to Dashboard List** link.

3

Select the **Program** folder to access the report list. Once clicked, the reports will show to the right.

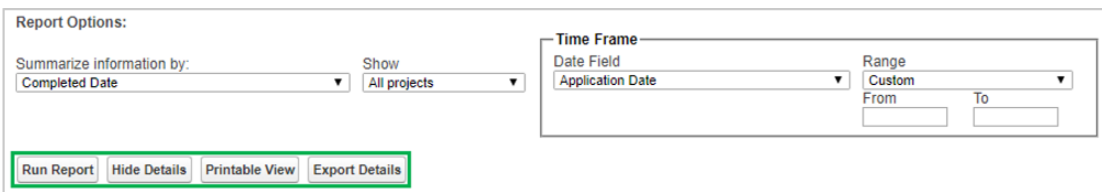
4

Below is a list of all reports available to Contractors/Builders.

Report Name	Description
Contractor Inspection Dashboard	High-level overview of completed inspections.
Photo Inspection Score	Overview of all photo inspection score over a set period of time.
2018 Inspection Scores*	List of all projects from 2018.
2019 Inspection Scores*	List of all projects from 2019.
Invoices by Payment Status**	Groups projects by invoice status and displays invoice amount.
Status and System Size*	Groups projects by project status and system size.
Waiting and Response*	Lists all projects that require input/response for process participants.
Number of Projects by Utility*	Groups projects by electric utility company.
Open Projects with Completion Deadline*	Lists all approved projects at risk for termination.
Inspection List	Lists all approved/completed field or photo inspection projects.
* Includes links to **Project** records ** Includes links to **Project** and **Invoice** records *** Includes links to **Project** and **Inspection** records	

5

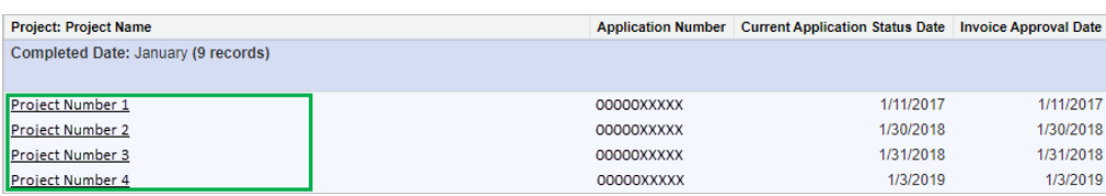
After accessing a report, use the **Filters** at the top of the page to define how the information in the report should be displayed.



Run Report	Click to update the report information based on the filters set.
Hide Details	Hides the details of each heading in the report table. Click again to unhide these details.
Printable View	Click to open the report in a print friendly format.
Export Details	Exports the report into an excel format.

6

Click any **Underlined Link** in a report table to open the corresponding **Project Record**.



Responding to Corrective Actions

Responding to Corrective Action Required (CAR) Requests

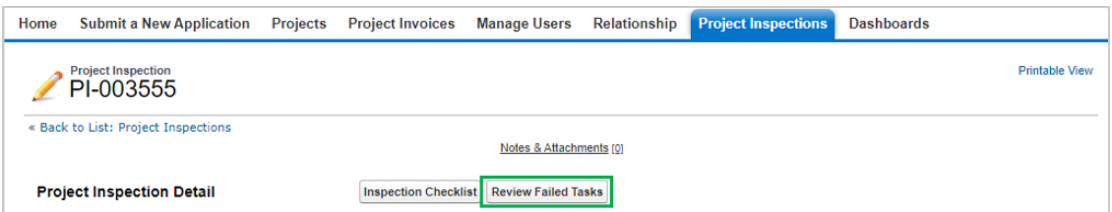
Corrective Action Required (CAR) tasks may be assigned to specific Measures or Tasks for an inspection. CARs, in general, highlight major or critical deficiencies of the installation or project.

Contractors/Builders who receive CAR tasks related to a prior inspection must resolve all Critical and Major failed tasks. This may require performing additional work on the build site to fix any documented issues. Once these issues have been resolved, Contractors/Builders should follow the following process to update the inspection record.

Resolving Corrective Actions (CARs)

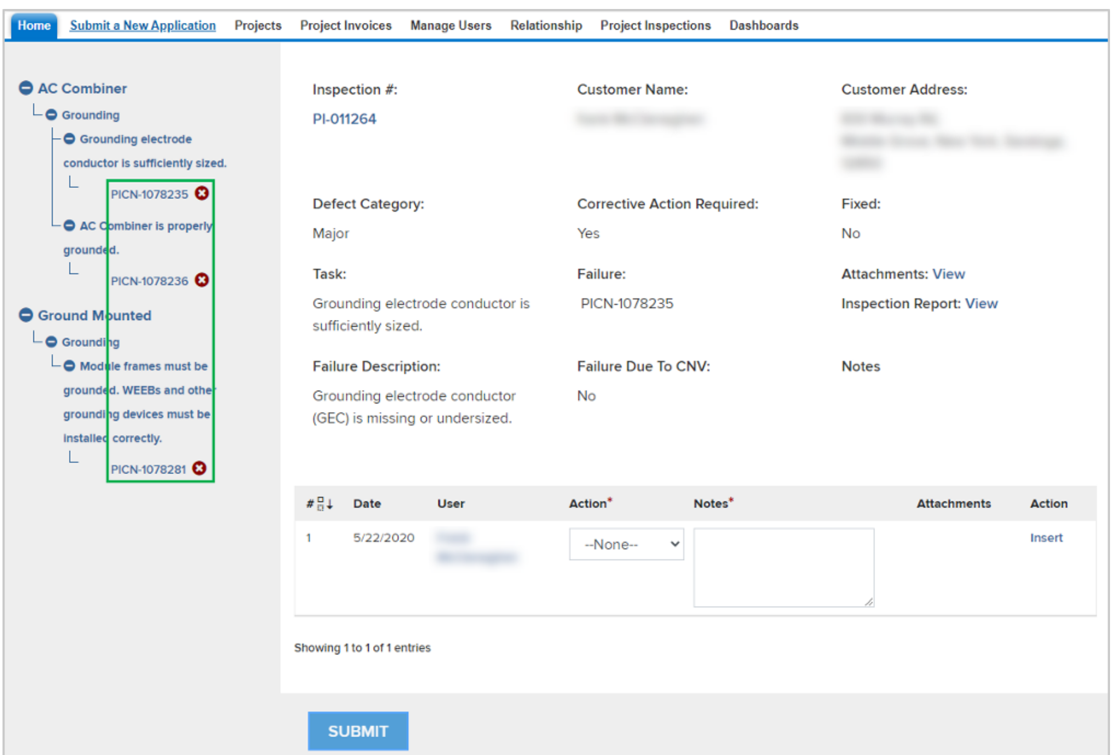
1

Contractors and Builders respond to Corrective Action Required (CAR) tasks through the **Review Failed Tasks** page in Salesforce. Access to this page can be found in the email communication sent to Contractors and Builders when an inspection uncovers CARs.



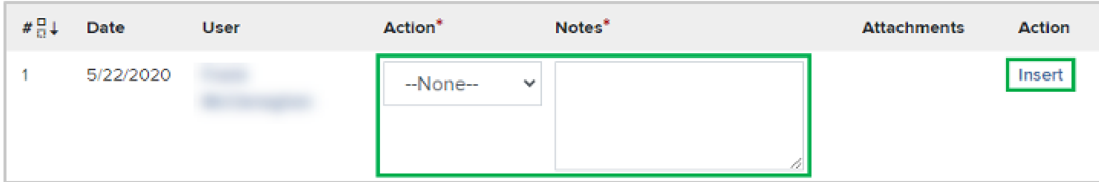
2

On the **Review Failed Tasks** page, use the side navigation bar to locate all CAR eligible failed tasks. **Major** or **Critical** failed tasks that require a response are denoted with a **Red X** to the right of the task. The first failed task will already be visible.



3

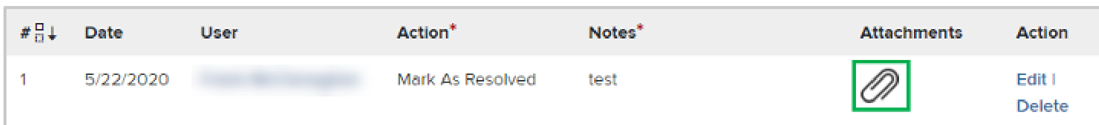
For each CAR eligible failed task, click the Action dropdown list and select **Mark as Resolved**, then add a note in the **Notes** section. Finally, click **Insert** to update the failed task and open the attachment window.



Note that an **Action** must be selected, and **Notes** documented before you are able to click the **Insert** option to upload new files or photos. Additionally, the **Mark as Resolved** option is only available for **Major** or **Critical** failed tasks. Given that **Minor** or **Incidental** failed tasks do not require a response to NYSERDA if resolved, that option is not available.

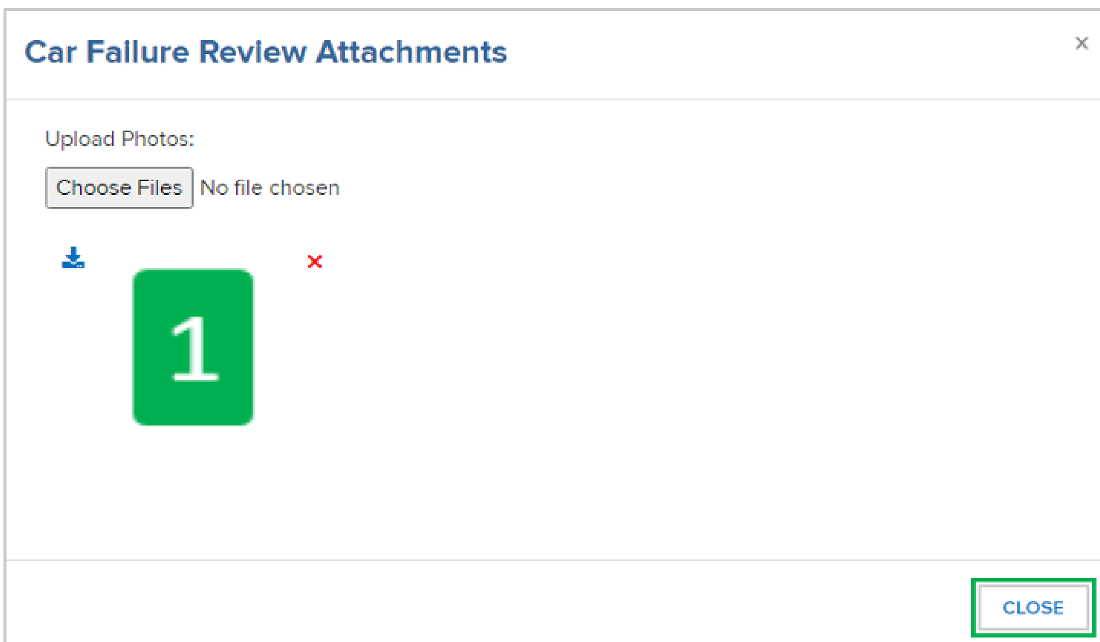
4

In the **Attachment** column, click the **Paperclip** icon to open the **CAR Failure Review Attachment** window.



5

Click **Choose Files** in the new window to locate the files on your computer. Choose the appropriate file(s) for upload.



Multiple files or photos can be uploaded at the same time. Simply select multiple files or photos during Step three of this section.

6

After a file is uploaded, a thumbnail of the file will display in the **Attachment** window. Click the **Close** button when complete.

7

After successfully responding to all Failed tasks, click **Submit** at the bottom of the page to submit your **CAR** replies for review.

8

After resolving the CAR tasks, the Program Implementer will review the submitted resolution. If the resolution is approved, no further actions are necessary for that specific CAR tasks. If the resolution is denied, the Program Implemented will reach out to request additional corrections.

9

Complete the above steps for all other CAR tasks.

Contesting Corrective Actions (CARs)

To contest a failed task, follow step 1 and step 2 from the Resolving Corrective Actions (CARs) section on this page, then:

1

To contest a failed task, select **Contest Rating** from the **Action** dropdown list.

2

Follow all additional steps from the Resolving Corrective Actions (CARs) section until all **CARs** have been resolved or contested.

- Contractors are still required to resolve any failed tasks if the Program Manager denies the contest.
- If the Program Implementer marks a **Contest Failed Task** as upheld, it will be escalated to the NYSERDA QA Manager.

3

Contested Failed Tasks that are upheld by the Program Implemented are escalated to the NYSERDA QA Manager who will also perform a review and either deny or uphold the contested failed task.

- Contractors are still required to resolve any failed tasks if the NYSERDA QA Manager denies the contest.
- Contractors will receive a follow-up notification email regarding the CAR tasks and must respond by the Respond By date in the notification.
- Failed tasks can only be contested twice.

Training Resources

Training Resources

Training Video

The video below is a recording of the training session provided to Participating Contractors on January 26, 2022. Click the Play button on the video to being watching the recording. You can also click the full window icon in the lower-right hand corner to open the video in full-screen mode.

Your browser does not support the HTML5 video element

Training Presentation

The below presentation was used during the live training session to Participating Contractors. To read through the presentation, click once to open in full-screen mode, then scroll down to review additional slides. Do not use the arrows to the right and left after opening the presentation in full-screen mode as it will navigate to other attachments on this page.

RES SQA Training... Contractors.pdf

Standards and Quality Assurance Home