Standards & Quality Assurance (SQA) - NY Sun

The **Standards and Quality Assurance (SQA)** module allows NYSERDA and contracted Quality Service Providers (QSPs) to identify projects that are eligible for field or photo 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/Builder to submit corrective action documentation as needed and for the Program Implementer (either initiative staff or an external company providing support) to respond.
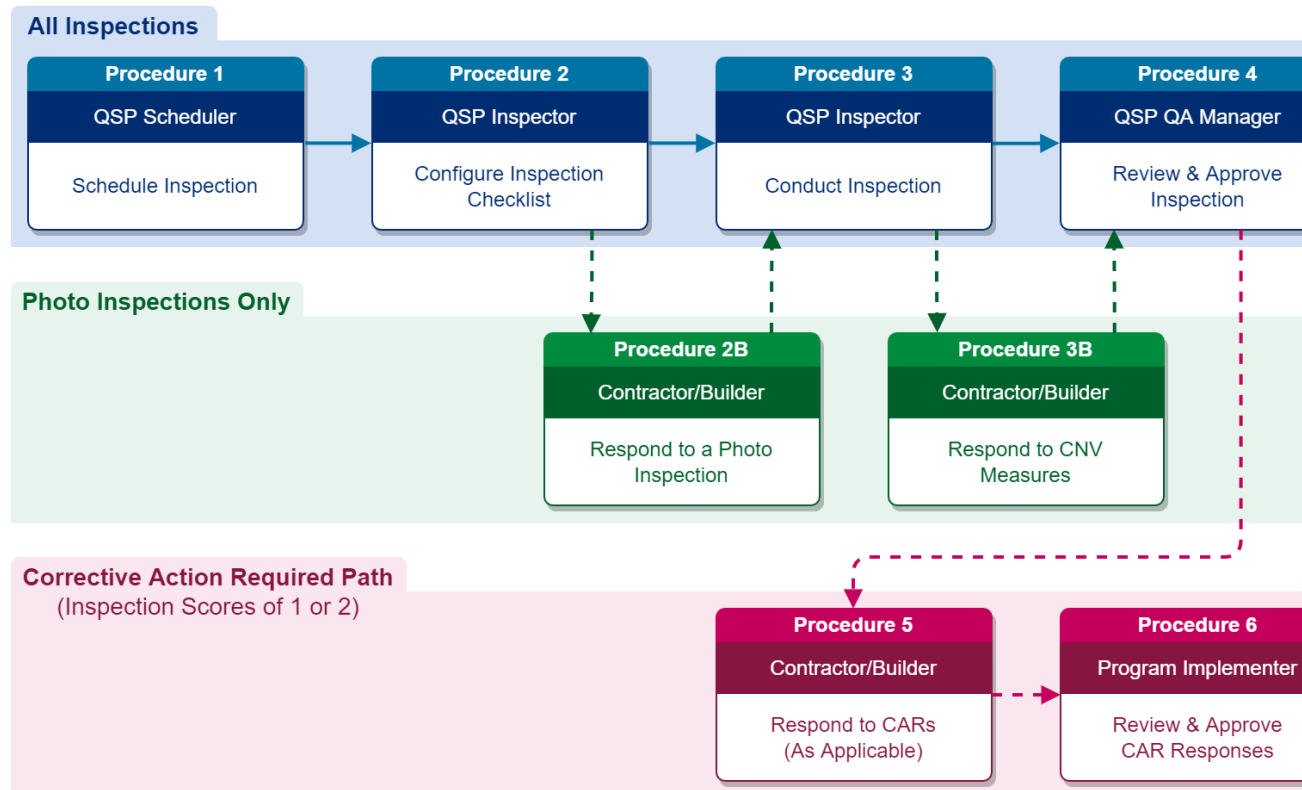
Audience: Participating Contractors

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. Additional requirements for **Photo Inspection** are outlined in the **Photo Inspections Only** row. Lastly, 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

All Inspections

Procedure 1	Procedure 2	Procedure 3	Procedure 4
QSP Scheduler	QSP Inspector	QSP Inspector	QSP QA Manager
Schedule Inspection	Configure Inspection Checklist	Conduct Inspection	Review & Approve Inspection

Photo Inspections Only

Procedure 2B	Procedure 3B
Contractor/Builder	Contractor/Builder
Respond to a Photo Inspection	Respond to CNV Measures

Corrective Action Required Path
(Inspection Scores of 1 or 2)

Procedure 5	Procedure 6
Contractor/Builder	Program Implementer
Respond to CARs (As Applicable)	Review & Approve CAR Responses

Process Overview Video

Process Details

Process Details

Inspections

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

In general, users can only schedule inspections for completed projects. However, Salesforce can allow inspections on in-progress projects if the program/initiative requires.

The SQA Module uses the following Statuses for scheduling, conducting and reviewing inspections. Users can filter projects through these statuses.

Status	Description
Not Schedule	A project with no scheduled inspection.
Scheduling in Progress	An inspection where scheduling has begun, but the scheduling procedure is incomplete.
Customer Non-Responsive	An inspection where the customer is not responding to contact efforts. Please note that there are several instances where a Scheduler, Inspector, or Program Implementer can identify the customer as non-responsive.
Scheduled	A scheduled field inspection (the Inspector has not submitted the inspection record). Scheduling an inspection automatically updates the record to this status.
Photos Requested	The Contractor or Builder must submit photos for a photo inspection request.
Photos Submitted	The Contractor or Builder has submitted photos for a photo review request.
Inspection Complete	A completed inspection where the Inspector has submitted the inspection record.
QA Manager Approval Needed	An inspection ready for QA Manager approval.
Report Issued – No Corrective Action Needed	The QA Manager has approved and issued the inspection report and there are no CAR-eligible failures (incidental and/or minor failures may remain).
Report Issued – Corrective Action Needed	The QA Manager has approved and issued the inspection report and CAR-eligible non-conformances (major and/or critical) remain unresolved.
Program Implementer Approval Needed	The Contractor or Builder has submitted their response to a CAR and it is ready for Program Implementer approval.
Contractor Non-Responsive	The Contractor or Builder has not responded to NYSERDA's request for corrective actions on a project or has not responded to a photo review request. The Program Implementer or QA Manager manually changes the status of the inspection to this status.
Contested – QA Manager Review Needed	The Contractor or Builder has contested the validity of a non-conformance (CAR-eligible or not) identified during the inspection and the Program Implementer has confirmed.

Contested – NYSERDA QA Manager Review Needed	An inspection that requires NYSERDA QA Manager review. These occur when a Contractor or Builder has contested the validity of a non-conformance (CAR-eligible or not) identified during the inspection, and both the Program Implementer and QA Manager have confirmed.
Completed	A completed inspection (inspection record complete, all non-conformances resolved, etc.)
Cancelled	An inspection cancelled at the customer's request.

Post Inspection Report

Once an inspection has been completed and submitted by the Inspector, an Inspection Report is generated and appended to the Inspection Record. An email is systematically sent to the Contractor/Builder 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.

Air Source Heat Pump Program

FIELD INSPECTION REPORT

NEW YORK STATE OF OPPORTUNITY. | NYSERDA

PP-00002299

Application No.	Grade	Score (Maximum of 5)
0000118777	Pass	5

Air Source Heat Pump Program

FIELD INSPECTION REPORT

NEW YORK STATE OF OPPORTUNITY. | NYSERDA

PP-00002299

Application No.	Grade	Score (Maximum of 5)
0000118777	Fail	1
CORRECTIVE ACTION REQUIRED		

Email Communications

Contractors and builders will always receive email communication about SQA inspections. When NYSERDA schedules a project for SQA, we will send an email 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/Builder 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 a report that is generated once the inspection is complete. NYSERDA provides Contractors/Builders a link to the inspection report through Salesforce.

SQA Quality Score	Description
1 or 2	Signifies a Failed Inspection with major and/or critical non-conformances. The Contractor/Builder 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/Builder is not required to provide evidence for resolution of these issues. The inspection score may be updated if the major and/or critical non-conformances are contested and NYSERDA approves.
3, 4 or 5	Signifies a Passed Inspection with only minor or incidental non-conformances. The Contractor/Builder must correct these issues but is not required to provide evidence to NYSERDA.

The NYSERDA Partner Portal

The NYSERDA Partner 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.
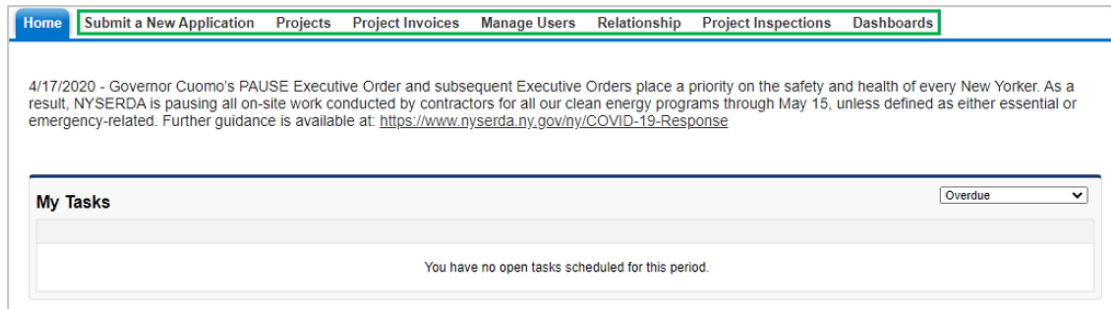
② Enter your **Username** and **Password**.

User name:	Your username is the email address used when creating your **NYSERA Partner Portal (Salesforce)** account with **.nyserda** added to the end as shown in the example screenshot above
Pass word:	You created this password when registering for the **NYSERDA Partner Portal (Salesforce)** account. If you have forgotten the password, click the **Forgot Your Password?** Link and follow the prompts to reset your password.

③ Below is an example of the **NYSERDA Partner Portal (Salesforce)** Home page after logging in. Many of the menu options along the top will be reviewed throughout this guide and provide navigation access to other parts of the Standards and Quality Assurance Salesforce build.

| Home | Submit a New Application | Projects | Project Invoices | Manage Users | Relationship | Project Inspections | Dashboards |

4/17/2020 - Governor Cuomo's PAUSE Executive Order and subsequent Executive Orders place a priority on the safety and health of every New Yorker. As a result, NYSERDA is pausing all on-site work conducted by contractors for all our clean energy programs through May 15, unless defined as either essential or emergency-related. Further guidance is available at: https://www.nyserda.ny.gov/ny/COVID-19-Response

My Tasks   Overdue ▾

You have no open tasks scheduled for this period.

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.

| Home | Submit a New Application | Projects | Project Invoices | Manage Users | Relationship | Project Inspections | Dashboards |

4/17/2020 - Governor Cuomo's PAUSE Executive Order and subsequent Executive Orders place a priority on the safety and health of every New Yorker. As a result, NYSERDA is pausing all on-site work conducted by contractors for all our clean energy programs through May 15, unless defined as either essential or emergency-related. Further guidance is available at: https://www.nyserda.ny.gov/ny/COVID-19-Response

My Tasks   Overdue ▾

You have no open tasks scheduled for this period.

② The **Dashboard** includes several visual charts to help you track your projects.
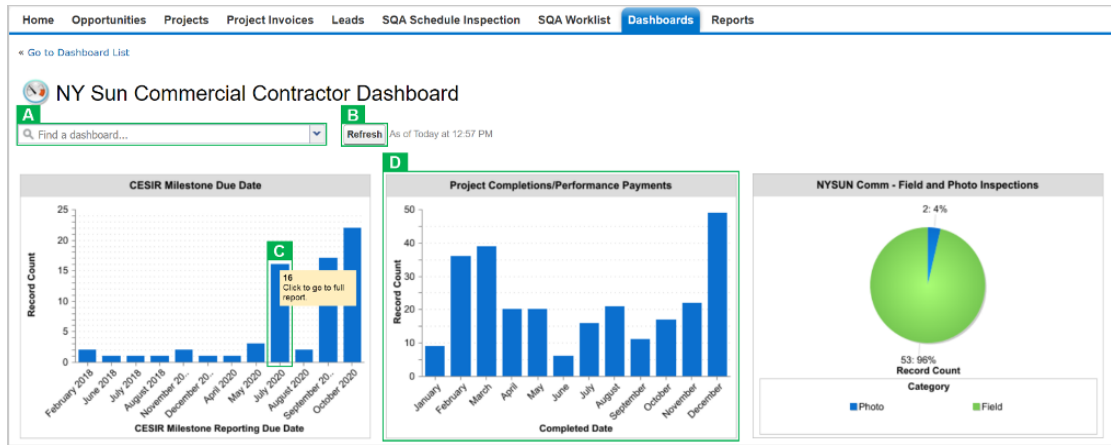
| A | If you have access to several dashboards, use the dropdown menu to navigate between them |
B	Click Refresh to update the dashboards and display the most up-to-date information
C	Hover your mouse over any data elements in any graph to reveal a tooltip with granular details
D	Each chart in the Dashboard 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.
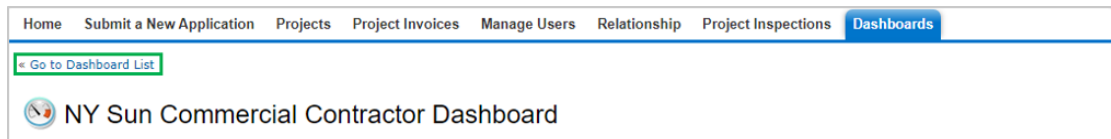
3 Select the **Program** folder to access the report list. Once clicked, the reports will show to the right.

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**.

Project: Project Name	Application Number	Current Application Status Date	Invoice Approval Date
Completed Date: January (9 records)			
Project Number 1	OOOOOXXXXX	1/11/2017	1/11/2017
Project Number 2	OOOOOXXXXX	1/30/2018	1/30/2018
Project Number 3	OOOOOXXXXX	1/31/2018	1/31/2018
Project Number 4	OOOOOXXXXX	1/3/2019	1/3/2019

Responding to Photo Inspections

Responding to Photo Inspections

Some NYSERDA Programs stipulate in their respective Program Manuals that photo inspections may be scheduled. If Contractors or Builders are performing an installation for a project under a NYSERDA program that conducts photo inspections, Contractors or Builders should be taking photos of their work at the time of installation or during project completion, regardless if any future scheduled inspection will be a field or photo Inspection. These photos will only need to be uploaded to the inspection checklist when a photo inspection has been scheduled.

When NYSERDA requests a photo inspection, Contractors or Builders will upload photos to Salesforce. There are two ways to upload photos for photo inspections. The first is by appending them to the inspection check list. The other is bulk uploading them through the project inspection record (Bulk uploading through the project inspection record will help save time). NYSERDA will review all uploads, provide a QA score, and issue CAR reports if necessary. Contractors or Builders have fifteen (15) days to upload installation/project photos after receiving an email notification requesting a photo inspection and will be reminded, via email, on the sixteenth (16) day if photos are not submitted. Below is an example of the NYSERDA email communication that Contractors or Builders will receive when the QSP QA Scheduler schedules a photo inspection. The highlighted links open the Salesforce page where users can provide evidence/photos*.
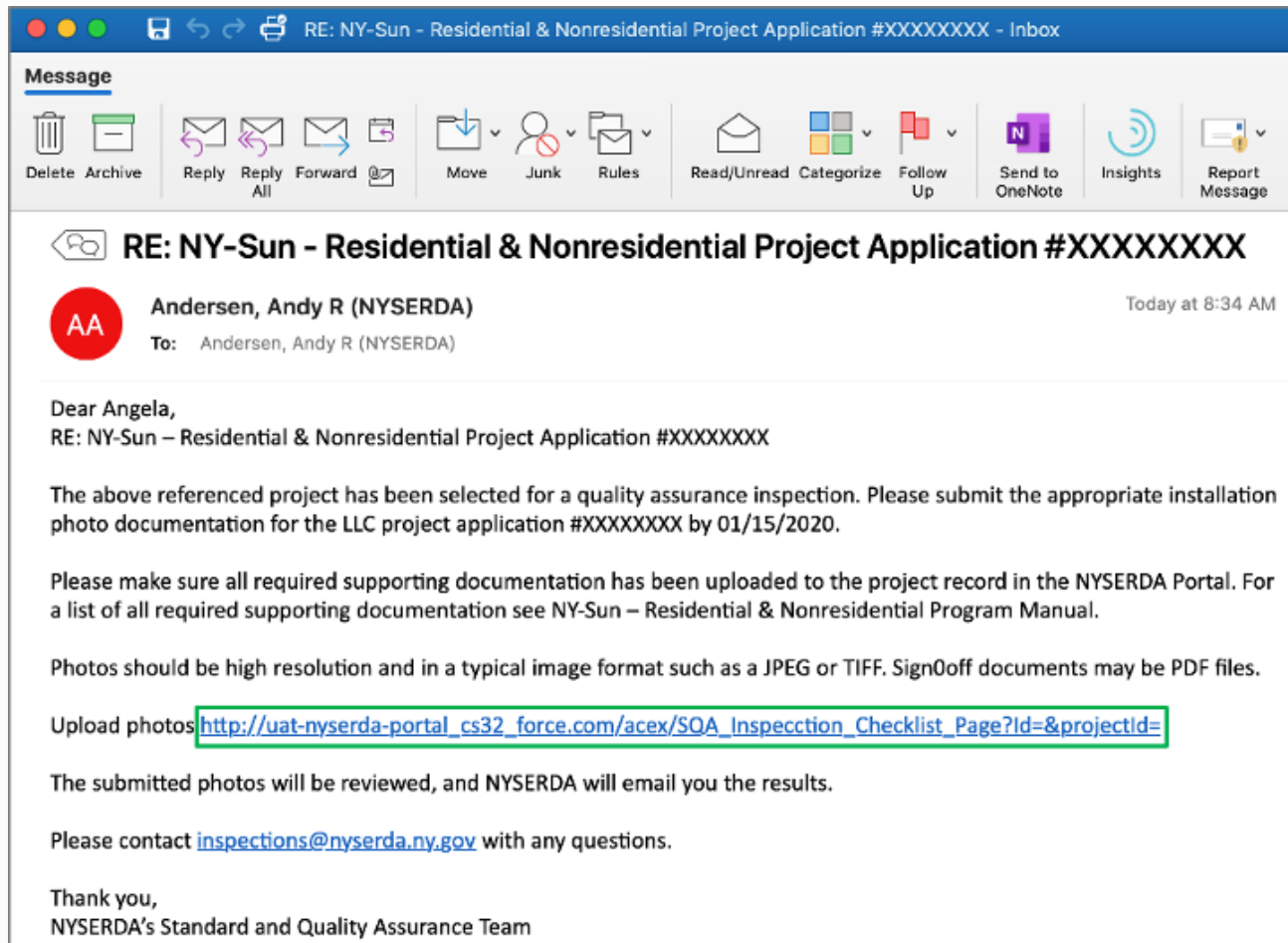
> If Contractors or Builders use the link in the email notification to access the Project Inspection Record, they will not need to log into Salesforce and navigate manually.

Adding Photos to the Inspection Check List

(1) After accessing the correct **Project Inspection Record** either by logging into Salesforce or clicking the link in the email notification, click the **Inspection Checklist** button to open the checklist where photos can be uploaded.

Home	Submit a New Application	Projects	Project Invoices	Manage Users	Relationship	Project Inspections	Dashboards

Project Inspection
PI-003555

Printable View

« Back to List: Project Inspections

Notes & Attachments [0]

Project Inspection Detail   Inspection Checklist | Review Failed Tasks

---

2

The first page of the inspection checklist outlines the first series of Inspection Tasks. Each series of Inspection Tasks is associate to a specific **Measure**, and each **Measure** is associated to a specific **Category** . There may be multiple **Categories** (and therefore multiple **Measures** and **Tasks**) assigned to an inspection.

Category:
AC Combiner

Measure:
Grounding

Checklist Version
2014

Key: P – Pass, F – Fail, N/I – Not Inspected, CNV – Could Not Verify, F-CNV – Failure due to CNV, or N/A – Not Applicable

# ↓	Task	Code Reference	P	F	N/I	CNV	N/A	Defect Category	F-CNV	Fixed	Action
1	Grounding electrode conductor is sufficiently sized.	[NEC Articles 250.66, 250.122, 250.166 and 690.47(C)]	☐	☐	☐	☐	☐	Major	☐	☐	
2	AC Combiner is properly grounded.	[NEC Articles 250.4, 250.8, 250.12 and 690.43]	☐	☐	☐	☐	☐	Major	☐	☐	
3	Grounded conductor(s) are insulated from metal enclosure surfaces and the ground terminal inside combiner box.	[NEC Article 250.24(A)(5)]	☐	☐	☐	☐	☐	Major	☐	☐	

3

To upload photos, scroll to the bottom of the inspection checklist Measure and click **Choose File**. To locate and select the photo(s) from your computer.

☐ Mark all unrated tasks as CNV ⓘ   ☐ Mark entire measure as N/A ⓘ

Inspector Notes   **Contractor Notes**

EDIT

Upload Photos: Choose Files No file chosen

There is no photo available for the selected measure.

BACK TO INSPECTION   SUBMIT   SAVE & NEXT

After a photo is successfully uploaded to the **Measure** you will see it as a list item underneath the **Choose File** button.

4

No.	File Name		Uploaded By	Date Uploaded	Action
1	PACE Reporting 1 Number.png		Frank McCleneghen	5/22/2020 11:51 AM	DELETE

5

To advance to the next Measure, click the Save & Next button.

BACK TO INSPECTION   SUBMIT   SAVE & NEXT

6

Repeat steps 3-5 above until the **Save & Next** button is no longer visible. This means you have reached the last page of the Inspection and can click **Submit** .

> Multiple photos can be uploaded for each Measure at the same time by simply selecting multiple photo files during the upload process.

7

There may be cases when a Measure in the inspection checklist should be marked as **Photo Not Applicable**. If you need to mark a Measure this way, follow the steps in the **Uploading Photos** section on this page but replace step 3 with the below instructions.

Check the **Mark entire measure as N/A** box. This will systematically mark all Tasks in the viewable Measure as N/A.

Additionally, Contractors or Builders should also click **Edit** underneath the Contractor Notes window to activate the text box and document a note in the Contractor Notes section as to why the Measure was marked as N/A. Be sure to hit **Save** when done with the note.

☐ Mark all unrated tasks as CNV ⑦   ☐ Mark entire measure as N/A ⑦

Inspector Notes   Contractor Notes

                                                       EDIT

Uploading Inspection Photos in Bulk

1

Click the **Project Inspections** tab to access the records. After accessing the correct **Project Inspection Record**, click on the **Project Inspection Number** link to open the record.

> Change the drop down menu to **Photo Inspections** for easier access to the correct record.

2

In the **Project Inspection Details** page, click the **Upload Files** link under the **Custom Links** section to open the **SQA File Upload** page.

Custom Links

Upload Files

Inspection Checklist | Review Failed Tasks

3

In the **SQA File Upload** page, drag and drop all of the applicable images into the **Drop Zone**.

SQA File Upload

Project: **AC Power, LLC - 0 Shisler Road - PV Systems**
Inspection: **PI-025946**

Drag one or more images to this Drop Zone

Uploaded photos:
(none)

After you have uploaded all your photos, click Submit. You will not be able to upload additional photos after submitting.

To understand what inspection items are reviewed during the construction photo inspection, view examples of what type of photos should be uploaded by clicking on the 'Construction Photo Resource' link within NYSERDA's Resources for Contractors page. If you need assistance or have questions about uploading photos, please contact inspections@nyserda.ny.gov.

SUBMIT

4

The list of images uploaded will display under the **Uploaded Photos** section. After reviewing the list of images, click the **Submit** button to finish uploading.

Make sure all of the applicable images are added as you will not be able to upload additional photos after clicking the **Submit** button.

SQA File Upload

Project: **AC Power, LLC - 0 Shisler Road - PV Systems**
Inspection: **PI-025946**

Drag one or more images to this Drop Zone

Uploaded photos:
• Test Photo 1.png
• Test Photo 2.png

After you have uploaded all your photos, click Submit. You will not be able to upload additional photos after submitting.

To understand what inspection items are reviewed during the construction photo inspection, view examples of what type of photos should be uploaded by clicking on the 'Construction Photo Resource' link within NYSERDA's Resources for Contractors page. If you need assistance or have questions about uploading photos, please contact inspections@nyserda.ny.gov.

SUBMIT

5   A notification will pop up, click the **OK** button to proceed.

uat-nyserda-portal.cs32.force.com says

Are you sure you want to submit? You will be unable to add any additional photos.

OK   Cancel

6   The page will redirect to the **Bulk Image Gallery**. The results or additional actions required will be emailed within 15 days.

You have successfully submitted the below photos for review. An email will be sent to you within 15 days notifying you of the results and if any further action is required.

Bulk Image Gallery

Project Name: AC Power, LLC - 0 Shisler Road - PV Systems

Total Images: 2

Responding to CNV Measures

Responding to Could Not Verify (CNV) Measures

If a photo that has previously been uploaded by a Contractor/Builder does not adequately provide information for the Inspector to assess the associated **Measure** was installed properly, the Inspector will mark the **Measure** as **Could Not Verify**. Once the Inspector has completed the inspection process and submitted their findings, Contractors/Builders will receive an email communication notifying them that a photo(s) associated with a **Measure(s)** must be re-submitted to show evidence of proper installation.

Instructions

1

To re-submit a photo, access the Inspection Report (PDF Document) from the Project Inspection Record. This report will help you easily and quickly identify all Tasks that are marked as **CNV**.

2

Next, access the **Inspection Checklist** for the Project Inspection. This can be done either by:

- Clicking the link in the email notification
- Logging into Salesforce, Accessing the Project Inspection Record and clicking on the **Inspection Checklist**.

3

Once in the Inspection Checklist, use the **Category** and **Measure** drop down fields, in conjunction with the Inspection report, to navigate to the first **Task** marked as **CNV**.
Follow the process in the **Uploading Photos** section of this guide to upload new photos for each **Measure** where a **Task** was marked as **CNV**.

Contractors should not be checking the box for inspectors when uploading an image.

70	Screenshot 2023-02-06 181913-hao cao 3.png	2/6/2023 6:24 PM	Measure Photo ☐	DELETE
71	Screenshot 2023-02-06 181850-hao cao 2 .png	2/6/2023 6:24 PM	Measure Photo ☐	DELETE
72	Screenshot 2023-02-06 181810-hao cao.png	2/6/2023 6:24 PM	Measure Photo ☐	DELETE
73	Screenshot 2023-02-10 145742-cao.png	2/10/2023 2:57 PM	Measure Photo ☐	DELETE

4   Continue until all tasks marked as CNV have a newly uploaded photo, then click **Submit**.

Responding to Corrective Actions

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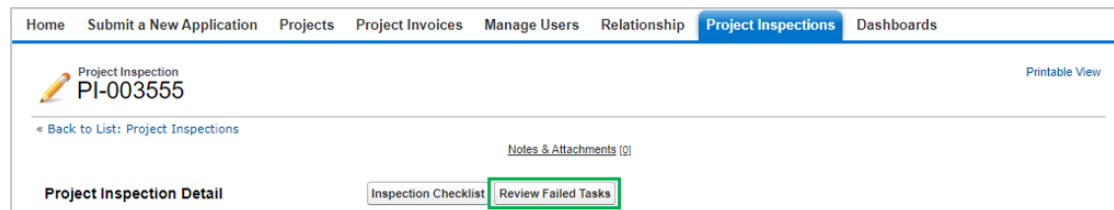
Corrective Action Required (CAR) tasks may be assigned to specific Measures or Tasks for an inspection. CARs, in general, highlight major or critical non-conformances of the installation or project.

Contractors/Builders who receive CAR tasks related to a prior inspection must resolve all Critical and Major non-conformances. 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.

| Home | Submit a New Application | Projects | Project Invoices | Manage Users | Relationship | Project Inspections | Dashboards |

Project Inspection
PI-003555   Printable View

« Back to List: Project Inspections

Notes & Attachments [0]

Project Inspection Detail   Inspection Checklist   Review Failed Tasks

2   On the **Review Failed Tasks** page, use the side navigation bar to locate all CAR eligible non-conformances that require a response are denoted with a **Red X** to the right of the task. The first non-conformance will already be visible.

3

For each CAR eligible non-conformance, click the Action dropdown list and select **Mark as Resolved**, then add a note in the **Notes** section. Finally, click **Insert** to update the non-conformance 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.

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.

Car Failure Review Attachments

Upload Photos:

Choose Files   No file chosen

1

CLOSE

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 non-conformances, 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 non-conformance, follow step 1 and step 2 from the Resolving Corrective Actions (CARs) section on this page, then:

1

To contest a non-conformance, 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 non-conformances 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 non-conformance.

- Contractors are still required to resolve any non-conformances 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.
- Non-conformances can only be contested twice.

Training Resources

Training Resources

Videos

Your browser does not support the HTML5 video element

Standards and Quality Assurance Home