

# Standards and Quality Assurance Salesforce Platform

## External User Guide

### For Contractors and Builders

June 2020



# Revision History

Date	Author	Details
06/10/2020	Andy Andersen	Initial Release

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# 1 Standard and Quality Assurance (SQA) Process Overview

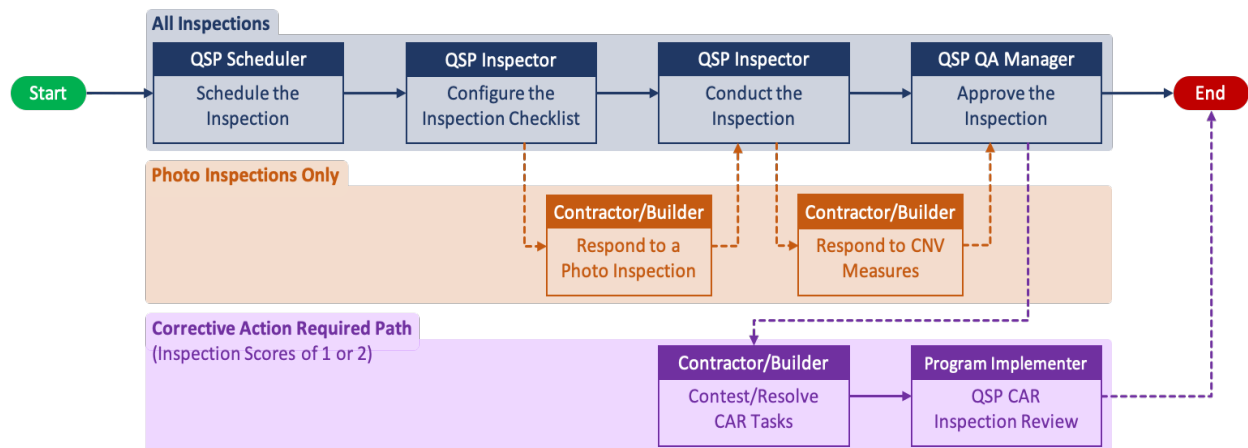
## 1.1 Introduction

The **Standards and Quality Assurance (SQA)** module allows NYSDERDA and contracted Quality Service Providers (QSPs) to identify projects that are eligible for field or photo inspections. A random sampling of projects is 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.

## 1.2 SQA Process Steps

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 failures will typically end at the **Approve Inspection** step in the **All Inspections** row. If there are any CAR Tasks, the process will include the **Corrective Action Required Path**.



### 1.3 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 reviews 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.

### 1.4 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 **QSPQA 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.

### 1.5 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/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 deficiencies. The Contractor/Builder must provide evidence to NYSERDA that these deficiencies outlined in the Inspection Report were resolved. Inspections in this score range may also contain minor or incidental deficiencies 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 deficiencies are contested and NYSERDA approves.
3, 4 or 5	Signifies a Passed Inspection with only minor or incidental deficiencies. The Contractor/Builder must correct these issues but is not required to provide evidence to NYSERDA.

## 2 The NYSERDA Portal (Salesforce)

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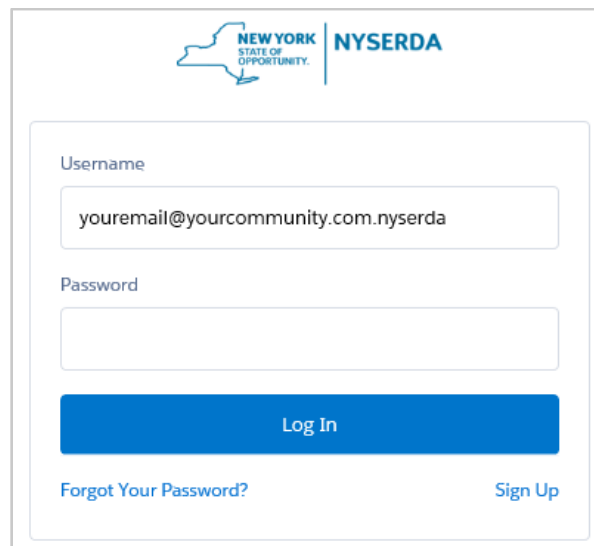
### 2.1 Introduction

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

### 2.2 Logging into Salesforce

To log into Salesforce (NYSERDA Portal), follow the instructions below:

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



The screenshot shows the NYSERDA Portal login page. At the top, there is a logo for the State of New York and the NYSERDA logo. Below the logos is a login form. The form has two input fields: 'Username' and 'Password'. The 'Username' field contains the example email 'youremail@yourcommunity.com.nyserda'. Below the input fields is a blue 'Log In' button. At the bottom of the form are two links: 'Forgot Your Password?' and 'Sign Up'.

#### Username:

Your username is the email address used when creating your **NYSERDA Portal (Salesforce)** account with **.nyserda** added to the end as shown in the example above.

#### Password:

You created this password when registering for the **NYSERDA Portal (Salesforce)** account. If you have forgotten the password, click the **Forgot Your Password?** link and follow the prompts to reset your password.

Below is an example of the **NYSERDA 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.nyserdera.ny.gov/ny/COVID-19-Response>

**My Tasks** Overdue

You have no open tasks scheduled for this period.

## 2.3 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.nyserdera.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.

Home Opportunities Projects Project Invoices Leads SQA Schedule Inspection SQA Worklist **Dashboards** Reports

« Go to Dashboard List

**NY Sun Commercial Contractor Dashboard**

**A** Find a dashboard... **B** Refresh As of Today at 12:57 PM

**C** CESIR Milestone Due Date

Month	Record Count
February 2018	2
June 2018	1
July 2018	1
August 2018	1
November 2018	1
December 2018	1
April 2020	1
May 2020	2
July 2020	16
September 2020	2
October 2020	22

**D** Project Completions/Performance Payments

Month	Record Count
January	10
February	35
March	40
April	20
May	20
June	5
July	15
August	20
September	10
October	15
November	20
December	50

NYSUN Comm - Field and Photo Inspections

Category	Record Count	Percentage
Photo	2	4%
Field	53	96%

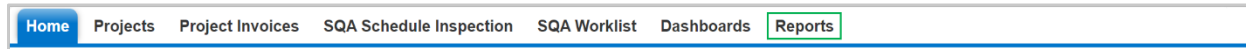
- |          |  |
|----------|--|
| <b>A</b> | If you have access to several dashboards, use the dropdown menu to navigate between them.  |
| <b>B</b> | Click <b>Refresh</b> to update the dashboards and display the most up-to-date information. |

- 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.

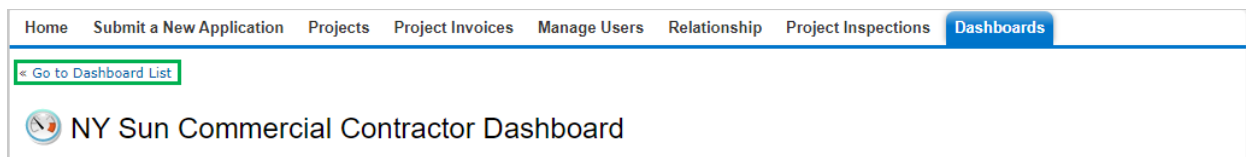
## 2.4 Reports

To access all of the reports a Contractor/Builder has access to, follow the instructions below.

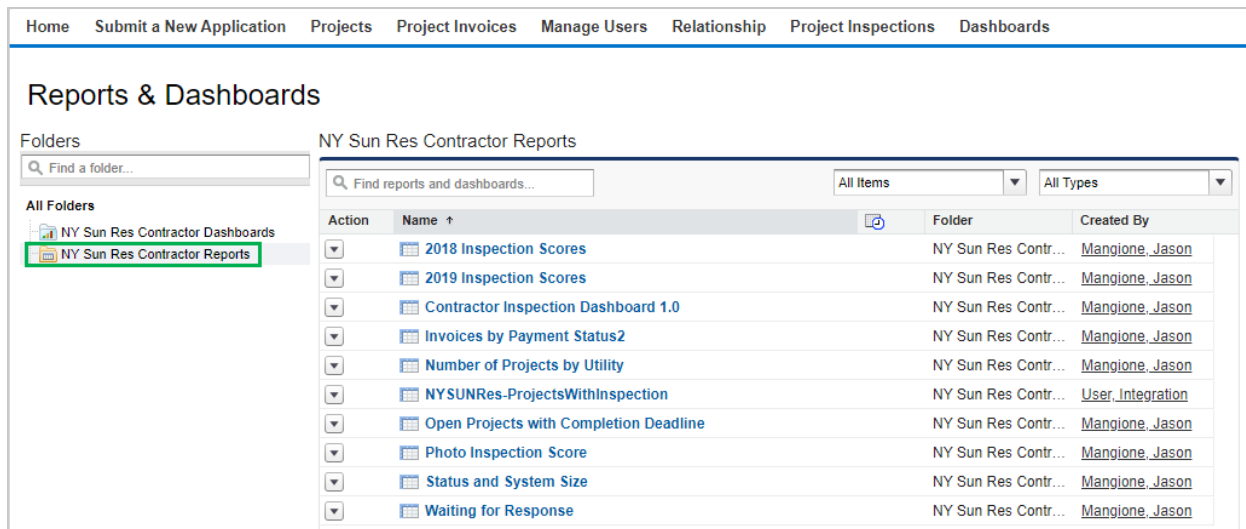
1. After logging into Salesforce, access the **Dashboards** tab click the **Reports** tab to access the Reports.



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 <b>Project</b> records	
** Includes links to <b>Project</b> and <b>Invoice</b> records	
*** Includes links to <b>Project</b> and <b>Inspection</b> 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.

**Report Options:**

Summarize information by:  Show

**Time Frame**

Date Field  Range

From  To

<b>Run Report</b>	Click to update the report information based on the filters set.
<b>Hide Details</b>	Hides the details of each heading in the report table. Click again to unhide these details.
<b>Printable View</b>	Click to open the report in a print friendly format.
<b>Export Details</b>	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	00000XXXXX	1/11/2017	1/11/2017
Project Number 2	00000XXXXX	1/30/2018	1/30/2018
Project Number 3	00000XXXXX	1/31/2018	1/31/2018
Project Number 4	00000XXXXX	1/3/2019	1/3/2019

## 2.5 Accessing Inspection Records

Even though the SQA Inspection Workflow includes automated email communications to Contractors/Builders with a link to help the Contractor/Builder navigate to the correct area of Salesforce, it can be helpful to understand how to access these records from within Salesforce. Follow the instructions below to learn how to access Inspection Records for inspection projects.

1. Log into **Salesforce** and navigate to the **Project Inspections** tab.

The screenshot shows the Salesforce interface with the 'Project Inspections' tab selected. The navigation menu includes: Home, Submit a New Application, Projects, Project Invoices, Manage Users, Relationship, **Project Inspections**, and Dashboards. Below the navigation is a notification about Governor Cuomo's PAUSE Executive Order. The main content area is titled 'My Tasks' and shows a message: 'You have no open tasks scheduled for this period.'



2. The **Project Inspections** page shows a table of all inspection records. Click the drop-down list and select either **Field Inspection** or **Photo Inspections** to toggle the list of inspection records between the two inspection types.

The screenshot shows the Salesforce 'Project Inspections' page. The 'Photo Inspections' filter is selected in the top left. Below the filter is a table with columns: Project, Record Type, Category, Status, QA Score, Inspection Date, and Report Issued Date. The table currently displays 'No records to display.'


3. To open an inspection record, click the **Project Inspection ID** relevant to the correct inspection record.

Home	Submit a New Application	Projects	Project Invoices	Manage Users	Relationship	<b>Project Inspections</b>	Dashboards
------	--------------------------	----------	------------------	--------------	--------------	----------------------------	------------

 <b>Field Inspection</b> ▼	
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	A   B   C   D   E   F   G   H   I   J   K   L   M   N   O   P   Q   R   S   T   U   V   W   X   Y   Z   Other   <b>All</b>							
Action	Project Inspections...	Project	Record Type	Category	Status	QA Score	Inspection Date	Report I
<a href="#">Edit</a>	PI-003555		Post Completion	Field	Completed	4	4/3/2018	4/11/2018
<a href="#">Edit</a>	PI-003556		Post Completion	Field	Completed	4	9/5/2019	10/1/2019

# 3 Responding to a Photo Inspection

## 3.1 Introduction

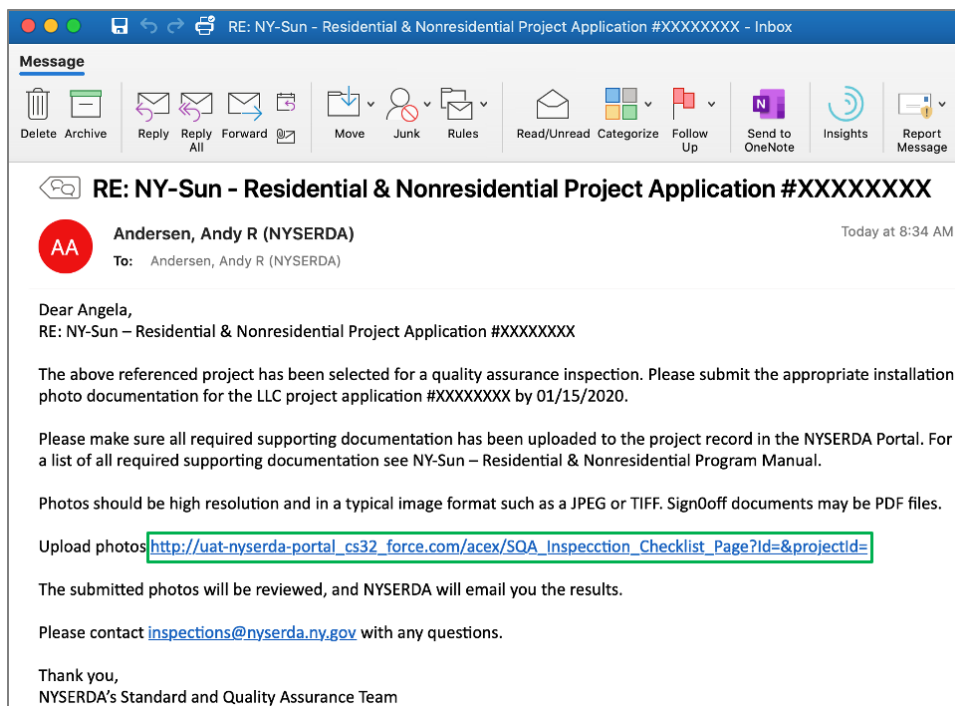
Some NYSERDA Programs stipulate in their respective Program Manuals that Photo inspections may be scheduled. If Contractors or Builders are performing an installation for a project under a NYSERDA program that conducts Photo Inspections, Contractors or Builders should be taking photos of their work at 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.

## 3.2 Email Communications

When NYSERDA requests a photo inspection, contractors or builders will upload photos to Salesforce. NYSERDA will review all uploads, provide a QA score, and issue CAR reports if necessary.

Contractors/Builders have 15 days to upload installation/project photos after receiving an email notification requesting a Photo Inspection and will be reminded, via email, on the 16th day if photos are not submitted. .

1. 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\*.



\* Note that if Contractors/Builders use the link in the email notification to access the **Project Inspection Record**, they will not need to log into Salesforce and navigate themselves as outlined in *section 2.2* and *section 2.5* of this guide.

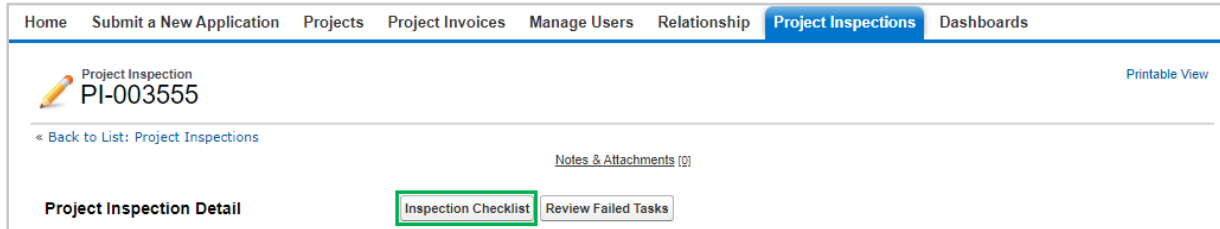
### 3.3 SQA Inspection Statuses

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

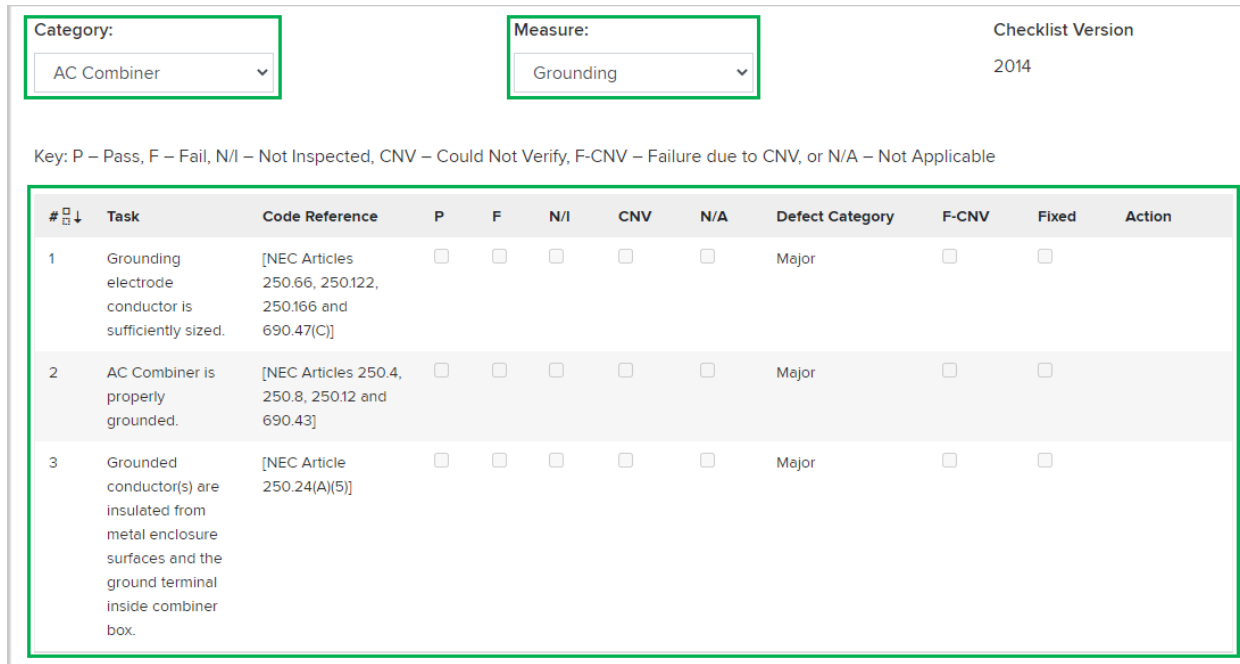
Status	Description
Not Schedule	A project with no scheduled inspection.
Scheduling in Progress	An inspection where scheduling has begun, but the scheduling procedure is incomplete.
Customer Non-responsive	An inspection where the customer is not responding to contact efforts. Please note that there are 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 <i>automatically</i> 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 failures (major and/or critical) remain unresolved.
Program Implementer Approval Needed	The Contractor/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 failure (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 failure (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 failures resolved, etc.).
Cancelled	An inspection cancelled at the customer's request.

### 3.4 Uploading Photos

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.



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.



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

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

No.	File Name	Uploaded By	Date Uploaded	Action
1	PACE Reporting 1 Number.png	Frank McCleneghen	5/22/2020 11:51 AM	<a href="#">DELETE</a>

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.

### 3.5 Marking Measures as Photo Not Applicable

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 section 3.4 *Uploading Photos* but replace *step 3* with the instructions below.

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

Additionally, Contractors/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.

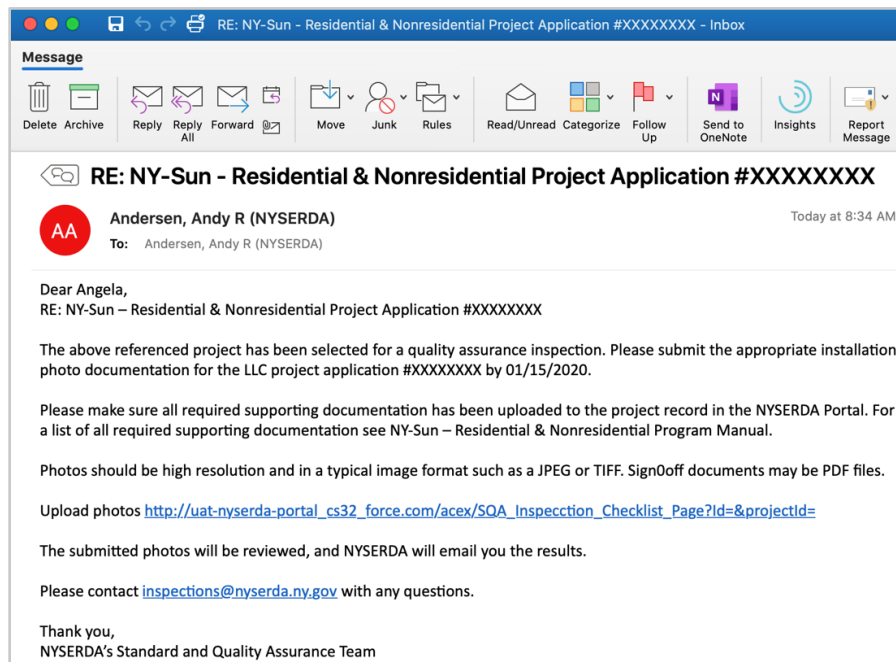
The screenshot shows a software interface with two columns of options. On the left, there is a checkbox labeled "Mark all unrated tasks as CNV" with a help icon. Below it is a text box labeled "Inspector Notes". On the right, there is a checkbox labeled "Mark entire measure as N/A" with a help icon, which is highlighted with a green border. Below it is a text box labeled "Contractor Notes", also highlighted with a green border. At the bottom center, there is a blue button labeled "EDIT".



## 4 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.



1. To resubmit 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
  - OR
  - 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 section 3.4 *Uploading Photos* of this guide to upload new photos for each **Measure** where a **Task** was marked as **CNV**.

4. Continue until all tasks marked as CNV have a newly uploaded photo, then click **Back to Inspection** and log out.

## 5 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**

**PP-00002299**




**NYSERDA**

Application No.	Grade	Score (Maximum of 5)
<b>0000118777</b>	<b>Pass</b>	<b>5</b>

**Air Source Heat Pump Program**

**FIELD INSPECTION REPORT**

**PP-00002299**



**NYSERDA**

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

# 6 Responding to Corrective Action Required Tasks (CARs)

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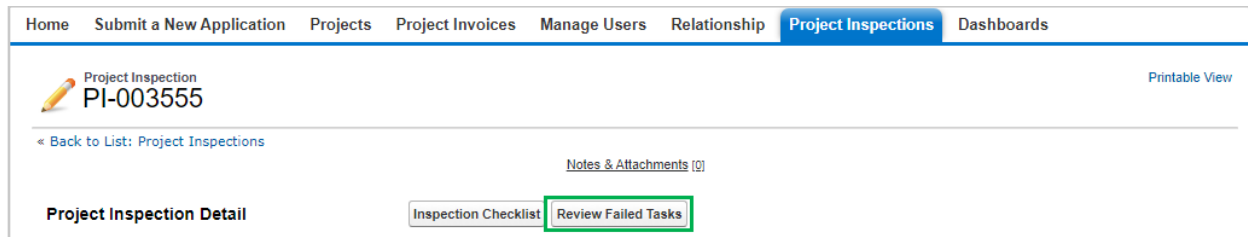
## 6.1 Introduction

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.

## 6.2 Resolving Corrective Actions (CARs)

1. Follow instructions earlier in this guide to access the Project Inspection Record and click the **Review Failed Tasks** button.



Contractors/Builders will receive an email notification regarding CAR tasks. Within this notification is a direct link to the **Review Failed Tasks** page.

2. On the **Review Failed Tasks** page, use the side navigation bar to locate all CAR eligible failed tasks. 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.

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

AC Combiner

- Grounding
  - Grounding electrode conductor is sufficiently sized.
    - PICN-1078235
  - AC Combiner is properly grounded.
    - PICN-1078236
- Ground Mounted
  - Grounding
    - Module frames must be grounded. WEEBs and other grounding devices must be installed correctly.
      - PICN-1078281

Inspection #: PI-011264

Customer Name: [Redacted]

Customer Address: [Redacted]

Defect Category: Major

Corrective Action Required: Yes

Fixed: No

Task: Grounding electrode conductor is sufficiently sized.

Failure: PICN-1078235

Attachments: View

Inspection Report: View

Failure Description: Grounding electrode conductor (GEC) is missing or undersized.

Failure Due To CNV: No

Notes

#	Date	User	Action*	Notes*	Attachments	Action
1	5/22/2020	[Redacted]	--None--			Insert

Showing 1 to 1 of 1 entries


SUBMIT

- 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.

#	Date	User	Action*	Notes*	Attachments	Action
1	5/22/2020	[Redacted]	--None--			Insert

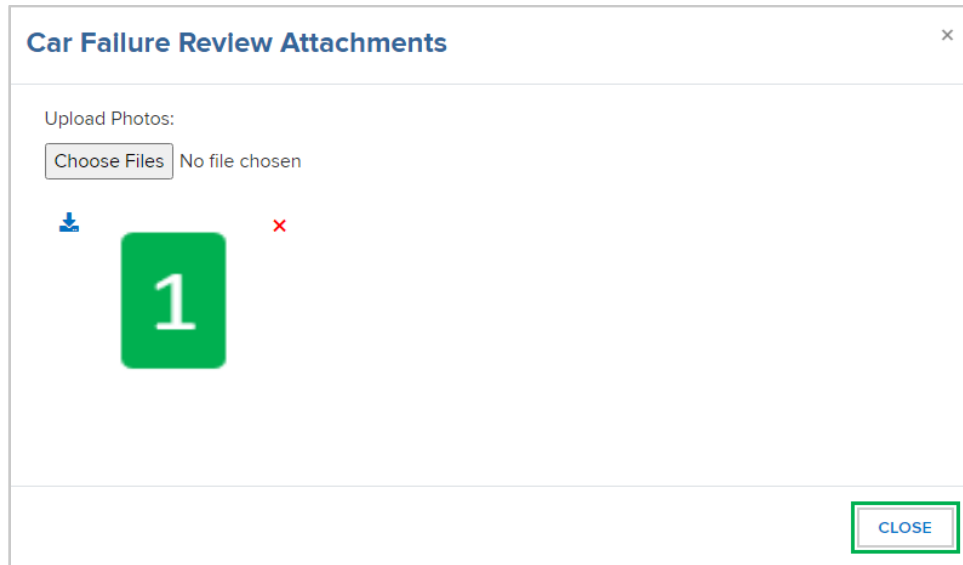
Note that an **Action** must be selected, and **Notes** documented before you are able to click the **Insert** option to upload new files or photos.

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

#	Date	User	Action*	Notes*	Attachments	Action
1	5/22/2020	[Redacted]	Mark As Resolved	test		Edit   Delete

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

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



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

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.

### 6.3 Contesting Corrective Actions (CARs)

\* To contest a failed task, follow *step 1* and *step 2* from section 5.2 *Resolving Corrective Actions (CARs)*.

1. To contest a failed task, select **Contest Rating** from the **Action** dropdown list.
2. Follow all additional steps from section 5.2 *Resolving Corrective Actions (CARs)* until all **CARs** have been resolved or contested.
3. **Contested Failed Tasks** are either **Denied** or **Upheld** by Program Implementers during the review process.
  - 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.

**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.



**State of New York**

Andrew M. Cuomo, Governor

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

Richard L. Kauffman, Chair | Alicia Barton, President and CEO