

New York State Clean Heat Statewide Heat Pump Program

Quality Policies and Procedures

For Clean Heat Participating Contractors

March 2021



NYS Clean Heat

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1 Overview

Program administrators maintain the integrity of the program through managing the Quality Assurance/Quality Control (QAQC) system for the program. The QAQC program has several components including the establishment of program standards and field and/or photo/desk site visits. On-site (field) and virtual visits include the verification of contracted scope of work, accuracy of site conditions used to select equipment, comparison of installation to approved construction documents, and the observation of functional tests demonstrating the capabilities of the heat pump installation.

Program administrators, or its representatives, will conduct routine review and site visits on a systematic sampling basis to visit the customer site before, during and/or after installation of a heat pump system as deemed appropriate. QAQC contractor may contact the utility customer, site owner and/or participating contractor to facilitate and schedule such QAQC activities.

QAQC activities are conducted by a qualified, independent third party, competitively selected by the program administrator. This third-party contractor, also known as the QAQC contractor, will administer such QAQC during the performance of their activities.

QAQC site visits/activities will be conducted using standardized methods for both on-site and virtual visits as approved by the program administrator. The QAQC contractor will utilize the standardized methods to verify that all required documentation necessary to demonstrate compliance with applicable codes and standards as well as manufacturers warranties, if applicable, have been satisfied as determined by the authority having jurisdiction. The QAQC contractor does not inspect projects for the purpose of determining code compliance or enforcement but rather confirms that a Certificate of Completion and/or Occupancy or Letter of Attestation has been approved. The QAQC methods, and associated instruments used in service of these activities such as checklists, will be available for review on the program administrator's NYS Clean Heat Statewide Heat Pump Program's web page and updated on a routine basis.

The QAQC site visit will provide program administrators with an opportunity to evaluate the accuracy of the application information and associated design documents as well as to observe that the system is capable of performing the sequence of operation required to ensure such systems are sufficient to provide heating. The QAQC contractor does not provide assurance that the system satisfies health and safety requirements as these are the sole jurisdiction of the code enforcement official. Any eminent hazard observed during a site visit or the ability to safely access the site will be reported to the appropriate authority.

Such field or virtual visit(s) will be at a time convenient to the site owner/customer or their designated representative. The site owner/customer is given the option of having the contractor attend the field inspection. If the customer declines to have the contractor present at the time of the field inspection, no notice of scheduled site visits will be sent out. If the site owner/customer accepts the attendance of the contractor, a notice of the scheduled field or virtual visit will be sent to both parties a week in advance. The program administrator will make a reasonable effort to accommodate the schedule of the

contractor, but the schedule of the site owner/customer and efficient inspection scheduling take precedence.

2 Program Roles and Responsibilities

The licensed installation contractor, having satisfied the program's required credentials to be designated as participating contractor, shall be solely responsible for the installation of heat pump system equipment in conformance with the design documents and manufacturer's instructions. The participating contractor and designer are responsible for adherence to all applicable local codes and standards. The role and responsibilities of the contractor are as follows:

- Party to the agreement with the customer and or their designated representative
- Responsible for the installation of the equipment in accordance with local codes and standards, applicable manufacturer's installation instructions, and design documents (if applicable).
- Responsible for the performance of the equipment for a minimum duration of twelve months
- Agrees to terms of program administrator specific Utilities Participating Contractor Agreement
- Responsible for addressing customer complaints, warranties, and production guarantees
- Responsible for maintaining a credentialed person on staff and providing direct supervision of the work
- Responsible for ensuring all documentation, including applicable start-up checklists, have been provided in accordance with QAQC checklists.

3 Project Assessment

The purpose of the heat pump on-site or virtual visit is to provide the Program Administrator with an opportunity to evaluate the accuracy of the site analysis, design documentation, and the installed function of heat pump equipment to determine compliance with program rules that will influence the actual energy savings for program evaluation purposes, and to verify that the heat pump system has satisfied the requirements of both local code and standards and associated manufacturer's instructions as evidenced by associated approvals and warranties

3.1 On-Site or Virtual Visits

QAQC visits are scheduled at the site owner/customer's convenience. Customers are encouraged to allow the participating contractors to attend the site visit to answer questions and perform functional tests as may be required to demonstrate compliance with program rules. If the customer agrees, the contractor will be notified between 5 and 14 days of the scheduled site visit. Reasonable effort will be made to accommodate the schedule of the contractor and/or designer, but the site owner/customer's convenience and efficient scheduling of site visit take precedence.

Site owners/customers have the right to request the installation contractor not attend the site visit. In these situations, the contractor will not be notified of the scheduled site visit, but they will receive a report within 15 business days.

3.2 Sampling Protocol

Projects completed through the program may be selected for in-progress, and post-completion observation visits by the Program Administrator or its QAQC contractor. Although projects selected for site visits generally occur within 30 to 90 days from the date of application completion,¹ the program administrator reserves the right to visit projects at any time should specific concerns be brought to their attention. The QAQC contractor should not regularly schedule site visits later than 90 days from project completion unless in response to special circumstances.

The program administrator and/or its QAQC contractor will select specific completed projects for visits following a sampling protocol. The sampling protocol utilizes rational sampling of completed units with sampling rates primarily based upon the current heat pump program participating contractor experience and performance in satisfying program expectations and rules. A rational sampling approach allows installation participating contractors with satisfactory performance to benefit from reduced administrative effort associated with a lower review rate. Participating contractors will receive at least one site visit per year regardless of their experience and performance in the program.

¹ "Application completion" refers to the date the program administrator finished processing the project, and the project fulfilled all program requirements and is ready for payment.

4 Selecting Completed Projects for Site visits

The purpose of the site visits is to provide the program administrator with an opportunity to evaluate the accuracy of the site analysis, conformance with design documents, as well as the operational performance of the installed heat pump equipment as such criteria may influence the actual energy savings for program evaluation purposes.

4.1 Air Source Heat Pump (ASHP) and Heat Pump Water Heater (HPWH) Project Selection

It is anticipated that observation visits will be conducted on a minimum number of projects in accordance with the previously described selection methods.

The targeted rational sampling approach is based on the overall quality performance using a 5-point scoring system, where 3 is the minimum quality requirement versus the average annual production volume of the contractor. An example of this approach is presented in the following figure.

The program administrator will determine the specific sampling rate and provide notice to the quality services provider as necessary to achieve desired program objectives.

		AVERAGE QUALITY SCORE		
		< 3	= 3	4-5
CONTRACTOR PRODUCTION VOLUME	HIGH	Up to 100%	5%	2.5%
	MED	Up to 100%	7.5 %	5%
	LOW	Up to 100%	7.5 %	5 %

The program administrator may select any completed project at any point in the future for site visits based upon the site owner/customer or designated representative complaints, warranty related issues,

or a review of the work done by a participating contractor under status review or program disciplinary action and for any other cause at the sole discretion of the program administrator.

4.2 Ground Source Heat Pump (GSHP) Project Selection

The program administrator will determine the specific sampling rate and provide notice to the quality services provider as necessary to achieve desired program objectives.

4.2.1 GSHP Small System Project Selection

The program administrator selects specific completed projects for site visits following a sampling protocol. The sampling protocol utilizes rational sampling of completed units with sampling rates primarily based upon the current GSHP program participating contractor's experience and performance.

The program administrator intends to conduct site visits for ground source heat pumps based on the following sampling rates:

- **Provisional** status: installation contractor will initially be subject to up to 100% inspection rate. After demonstrated competency, their site visit rate will be lowered when moved to full status. Installation contractor must achieve a score of 3.0 or better on three consecutive inspections to advance to full status. If any of the first three visits receive a failing score, the participating contractors will be subject to further visits until which time three consecutive projects receive a score of 3 or higher.
- **Full** status: installation contractor and/or designers will be subject to a 30% inspection rate for up to 12 months and lowered to 15% inspection rate of units installed after 12 months.
- **Probationary** status: participating contractors will be subject up to 100% review overall.
- **Suspended** status: participating contractors will not be eligible to participate in the program until which time the program administrator in their sole judgement deem, they have satisfied the basis of their suspension.

The program administrator may select any completed project at any point in the future for field inspection based upon site owner or customer complaints, warranty related issues or a review of the work done by a participating contractor under status review or program disciplinary action and for any other cause at the sole discretion of the program administrator.

4.3 Custom Heat Pump System Project Selection

- All participating contractors will be subject up to 100% field assessment for all Category 4 Custom projects.

AVERAGE QUALITY SCORE

		AVERAGE QUALITY SCORE		
		< 3	= 3	4-5
CONTRACTOR PRODUCTION VOLUME	HIGH	Up to 100%	5%	2.5%
	MED	Up to 100%	7.5 %	5%
	LOW	Up to 100%	7.5 %	5 %

5 Participation Status and Status Review Process

Participating contractors are classified in one of the following status designations: provisional, full, probationary, suspended, or terminated. Each designation is subject to limitations or requirements associated with that designation. The program administrator reserves the right to modify the definition, limitations, and requirements of these designations. A participating contractor's progression into and/or through any status designation will be determined at the program administrator's sole discretion.

5.1 Provisional Status

All new participating contractors will initially be classified as provisional.

- Provisional contractors will be listed on the NYS Clean Heat Statewide Heat Pump Program Participating Contractor Network web page and their status will be designated accordingly.
- Provisional contractors are limited to 10 applications in design review at a given time for any single program administrator. Any additional application(s) may be submitted after previous projects or application(s) have successfully satisfied the minimum performance score.
- Provisional contractors may be recommended for mentoring by the program administrator.
- Following the completion of the third project review, the program administrator will conduct a formal review to evaluate a change in status. Evaluation for a change in status to full contractor will be based upon the quality and consistency of work and full compliance with program rules including current qualifications as described.

5.2 Full Status

Participating contractors who have successfully completed the terms of the provisional period and have demonstrated through past performance that they provide quality services will be placed in full status.

- Full contractors (full participating contractors) will be listed on NYS Clean Heat Statewide Heat Pump Participating Contractor Network web page and may be denoted as such.
- Full participating contractors must consistently deliver projects that attain a satisfactory score with both the document reviews and site visits.
- Full participating contractors must meet program standards in terms of timely responses to the program administrator's communications and site visits corrective action requests.
- Full participating contractors must take effective corrective actions to non-conformances applicable to all program rules as identified by the program administrator.
- Full participating contractors are required to maintain the credentialing standards referenced in the Participation Requirements Section. Failure to satisfy this program

requirement and present appropriate documentation will result in an immediate change to probationary status.

5.3 Probationary Status

Probationary status is reserved for participating contractors who have failed to consistently meet the requirements of the program. Probation is prescriptive in nature with both a specific list of requirements and a time frame for achieving those results.

Participating contractors may be placed in probationary status for any of the following reasons:

- Violation of program rules or business ethical standards.
- Failure to consistently deliver completed projects which satisfy the minimum score.
- Failure to take effective corrective actions on a designated critical or major non-conformance or a repeated incidental of minor non-conformances in work quality or performance.
- Three or more corrective action notices that have not been responded to, or remain unresolved, for more than 30 days.
- A lapse in maintenance of required credentials.

The probationary period will not be less than 90 days. Projects completed by participating contractors on probationary status may receive enhanced oversight. During the probationary period, the participating contractor:

- Will remain on the New York State Heat Pump Program Participating Contractor Network web page.
- May not submit new applications.
- Will be subject to increased scrutiny as outlined in this manual.
- Must remediate all issues related to probation, as directed by the program administrator.
- Must submit to the program, in writing, an agreed-upon action plan designed to ensure future violations are avoided.
- Must demonstrate successful results through three consecutive projects of a similar nature for the same program administrator.

Upon satisfactory completion of the action plan and all remediation, and upon review of probationary period results, the program administrator will determine, in its sole discretion, whether to return the participating contractor to full status, continue the probationary period or to suspend and/or terminate the participating contractor from the program.

5.4 Suspended Status

Participating contractors who fail to satisfactorily address non-conformances identified by the program will be placed in suspended status and may be removed.

Suspension from the program may occur if the participating contractor:

- Fails to adequately fulfill the terms of the probationary period.
- Is placed on probation for a second time within a 12-month period of time.
- Has outstanding and unresolved request(s) for return of any financial incentives associated with a past project to the Program Administrator due to failure to meet program requirements.
- Has submitted any program application or rebate application documentation where there is falsification of any required documentation, including, but not limited to, permits, approvals, and signatures.
- Has had a lapse in the maintenance of required credentials while on probationary status.
- Fails to consistently deliver completed projects that do not meet the minimum required score associated with the site visit criteria.

During a suspension, the participating contractor:

- Will be removed from the NYS Clean Heat Statewide Heat Pump Participating Contractor Network web page.
- Will not be allowed to submit new applications to any of the program administrators NYS Clean Heat programs.
- Must complete any work that was in progress at the time of suspension
- Is prohibited from representing him/herself as a Participating Contractor except in the execution of remedial action.
- May, depending on the reasons for suspension, be directed by the program administrator to remediate issues related to the suspension, and may be required to submit to the program, in writing, an agreed upon action plan designed to ensure future violations are avoided.

Suspended participating contractors will either progress to probationary status upon satisfactory completion of the specified remedial activities and resolution of issues related to the suspension or they will be prohibited from future program participation. Nothing in this program status relieves the suspended participating contractor of the responsibility to fulfill any outstanding obligations to the program, or program customers as directed by the program administrator.

5.5 Terminated Status

Terminated status is reserved for participating contractors (such a participating contractor will be referred to as a terminated participating contractor) that have failed to satisfy the terms of their agreement with the program.

Termination from the program may occur if the participating contractor:

- Has been on suspended status for more than 30 days and has been unresponsive to or failed to adequately fulfill the terms of their suspension.
- Has had their maintenance of credentials lapse while suspended.
- Submits falsified documents or unauthorized signatures or other fraudulent documentation and actions to the program.
- Commits illegal actions while participating in the program.
- Is convicted or has a principal who is convicted of a criminal charge that casts the program in negative light or calls the integrity or workmanship of the participating contractor into question.
- Is in gross violation of the program standard.
- Fails to meet the terms of the provisional period.

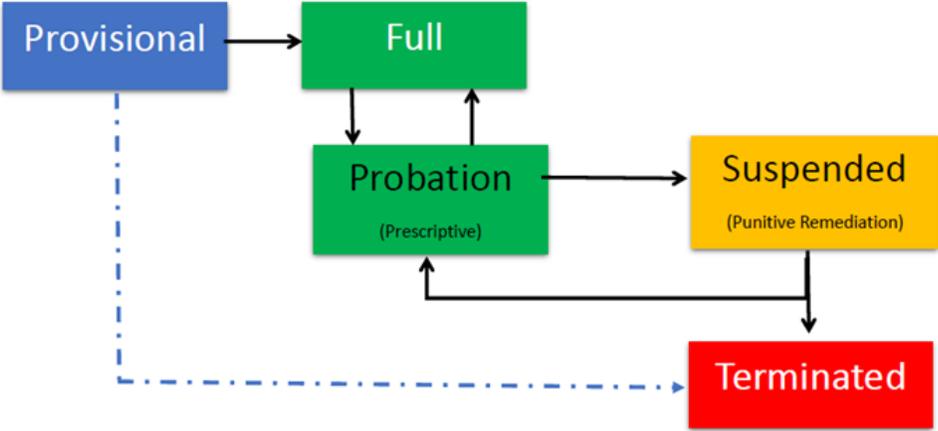
Terminated participating contractors are prohibited from future participation in of any of the NYS Clean Heat programs. Customers with incomplete projects will be notified of the participating contractor's termination. If appropriate, the program administrator may notify the New York State Attorney General, the New York State Department of Labor, the Better Business Bureau, or others of the program administrator's findings and decision to terminate the participant.

The officers, directors, and owners of the terminated participating contractor are prohibited from being or becoming officers, directors, or owners of any other participating contractor. Nothing in this process relieves the terminated Participating Contractor of the responsibility to fulfill any remaining obligation to the program, or their customers.

5.6 Inactive Status

Participating contractors may be declared inactive if they have not had an approved project in the program over a 24-month period of time. They will be removed from the Participating Contractor Network website, no longer receive communication, nor be eligible for incentives or financing options. Should they wish to participate in the future, they may reapply under the rules in place at that time.

5.7 Diagram of Status Changes



6 Contractor Evaluation Process

Review of contractor eligibility will be conducted monthly to assess contractor performance and program compliance in relation to their current status. Participating contractor monthly reviews and associated project reviews are intended to assist performance improvement through the identification of needed training, recognize participating contractors providing high-quality services, manage program risk, and ensure market confidence.

To monitor a contract effectively, the program administrator and the QAQC contractor must carefully document performance and work cooperatively with the participating contractor.

Procedure:

1. The QAQC contractor will coordinate with the program administrator every month.
2. Prior to meeting the QAQC contractor will generate a contractor performance summary report from the data collected on all QAQC site visits.
 - The QAQC contractor highlights underperforming contractor having a scores of less than 3 during the previous 12 months provided that at least three inspections completed.
 - The QAQC contractor highlights non-conformance trends for the overall program and for each individual contractor.
 - The QAQC contractor highlights overdue Corrective Action Reports, CARs.
 - The QAQC contractor compiles list of contractors with three or more of the same nonconformance over a six-month period.
3. Program administrators maintains notes on trends identified for each contractor that is updated monthly.
4. The QAQC contractor evaluates contractor performance and provides status change recommendations.
 - Provisional contractors with three project completions meeting minimum QAQC standards (score 3 or higher) by the sixth inspected project or within one year, recommend move to Full status.
 - Provisional and full contractor recommend move to probation based on the performance trend.
 - Review scores below a 3 for the 12-month inspection average, inspection rate and project volume. If trending downward, recommend the contractor move status and provide the Program Administrator a list of the contractor nonconformances.
 - If trending downward and installation activity is low, a watch is put on the contractor. The Program Administrator will review application status to see how many applications are in the pipeline while the contractor is on the watch list.
5. The program administrator and QAQC contractor agree contractor is to be demoted.

- The program administrator will draft a disciplinary action letter detailing why the contractor is being put on probation or suspension, what has failed, CARs if applicable, provide an action plan for improvement, and the terms of probation or suspension.
 - Probation – 90 days
 - Suspension – 90 days or until terms of suspension have been addressed as outlined in the disciplinary action letter.
 - The program administrator sends letter to QAQC contractor to review.
 - The program administrator sends a signed disciplinary action letter to the contractor and saves a copy.
 - The program administrator schedules a conference call with the QAQC contractor and the contractor to review the disciplinary action letter; the conference call is scheduled within one week from issuance of the letter.
 - The program administrator will change the contractor’s status on SharePoint.
 - Every two weeks after the initial conference call, the program administrator schedules a conference call with the contractor and the QAQC contractor to review their progress through the disciplinary action plan.
6. The program administrator and QAQC contractor agree the contractor has fulfilled all requirements of the disciplinary letter.
- The program administrator will send status letter to the contractor and save a copy
 - Status can change from probation to full or suspended to probation
 - Status will never change from suspended to full
 - The program administrator will change the contractor’s status on the QAQC database.
7. The contractor has not fulfilled all requirements of the probation letter by the due date.
- The program administrator and QAQC contractor will research why the requirements were not met.
 - No inspections due to no project completions – extend probation period
 - Inspection scores not improving – extend probation or suspend
 - The QAQC contractor will review all inspection reports and identify trends
 - The program administrators will review program compliance issues

6.1 Participating Contractor Feedback and Training

Contractor feedback is anticipated to have significant, direct positive effects, as performance feedback encourages participation in training opportunities as provided by New York State Energy Research and Development Authority (NYSERDA) workforce development efforts.

During contractor evaluations, the program administrator and the QAQC contractor will have identified non-conformance trends for each contractor individually and the heat pump program overall.

Based on the non-conformances identified in the QAQC inspections, the Joint Utilities will work with NYSERDA to develop training programs and resources to recommend to contractors for continuous improvement.

7 Status Notification Process

The status review process for administering probationary, suspended, or terminated status is as follows:

- The program administrator will provide written notice of at least 10 business days of its intention to take action. This notice will outline the specifics for disciplinary action along with supporting documentation for the proposed action.
- During this period, the participating contractor will have the opportunity to respond to the notice.
- If the participating contractor fails to respond to the program administrator prior to the end of the notice period, the stated disciplinary action will go into effect without further notice.
- The program administrator will promptly review any request for an appeal of the decision received before the end of the notice period.
- The program administrator will confirm, reverse, or place its action on hold based upon a review of all information received within 10 business days of receipt.
- Intended and final action letters will be sent via email and U.S. mail. The notice period commences on the date of the email from the program administrator.

The program administrator reserves the right to shorten notice periods or take immediate action in the event of an emergency, as determined by the program administrator.

When a participating contractor fails to consistently complete projects to the satisfaction of program requirements or fails to respond to or remedy noted non-conformances, the program administrator may review their status and take further action.

A participating contractor may be moved to probation or suspended status, in which specific results and a timeline for demonstrating those results will be prescribed and monitored. The participating contractor may be terminated from the program if determined necessary.

8 QAQC Site visit Report

Following the site visit, the third-party QAQC contractor will produce a detailed report and determine whether the project fully complies with all program requirements.

The report will be available to the participating contractor approximately five business days after the visit following an internal review and scoring by the QAQC contractor. The report will be available to the system owner upon submission of a request directly to the program administrator.

The site visit report will provide all evaluated elements of the project and list any nonconformances identified. Projects that have nonconformances designated as critical (health and safety) or major (system performance) attributes will automatically fail. Projects that have only nonconformances related to minor or incidental attributes will pass. The contractor is responsible for correcting all nonconformances identified in the time required by the program administrator. Participating contractors are required to submit proof to the program administrator demonstrating correction of all major and critical non-conformances identified on the site visit report.

9 Scoring Criteria

The scoring criteria characteristics will be used as a guideline for QAQC contractor to observe criteria associated with installation quality but does not relieve the participating contractor's responsibility to meet all program criteria.

These QAQC scores will:

- Allow the program administrators to gauge the relative quality of installations across contractors, regions, or other screening criteria
- Allow the program administrators to track trends in installation quality over time
- Provide valuable feedback to participating contractors

9.1 Overall QAQC Inspection Scoring Criteria

Each inspection will receive a score, on a 5-point scale. This score is an indicator of the overall quality and compliance with Program requirements, based on the number and type of nonconformances observed.

Specific criteria for each score are as follows:

Defect Class	QAQC Score				
	5	4	3	2	1
Incidental	3	Allowed	Allowed	Allowed	Allowed
Minor	0	1	3	Allowed	Allowed
Major	0	0	0	1	2 or more
Critical	0	0	0	0	1 or more

When assigning a score, the QAQC contractor will consider the highest level of nonconformance observed. For example, a system with two major nonconformances would receive a score of 1, even if it had no minor or incidental nonconformances. Systems with any critical nonconformance will automatically receive a score of 1. A system with four minor nonconformances, would receive a score of 2 or 1 depending on severity. Similarly, a system with only one minor nonconformance would receive a score of 4 since it does not quite meet the requirements to get a 5 but exceeds the thresholds to receive a score of 3.

The final score will be determined by the QAQC contractor and the program administrator, who will have the sole discretion, if necessary, to recommend a higher or lower score, based on a holistic view of the installation.

9.2 Non-conformance Categories

9.2.1 Incidental

An incidental nonconformance is a violation that does not require a licensed professional to address and is not expected on its own to pose a substantial risk of system failure or hazard.

9.2.2 Minor

Minor nonconformances require a licensed professional to address but not expected to pose a substantial risk of system failure or hazard. An example of minor nonconformances include:

- Unit is level and properly supported/anchored

9.2.3 Major

Major nonconformances present an increased risk of system failure or hazard but not determined to be in imminent danger. An example of major nonconformances include:

- Refrigerant leak detector identifies leaks in the accessible fittings
- System controls cannot perform as anticipated in a functional test to demonstrate the sequence of operations

9.2.4 Critical

Critical nonconformances present an imminent hazard and/or probability of system failure. These issues must be addressed quickly to prevent injury or damage to property. For example:

- Conditions preventing the QAQC contractor from having clear, safe access to equipment

9.3 QAQC Score Descriptions

Each inspection will receive a score, on a 5-point scale. This score is an indicator of the overall quality and compliance with Program requirements, based on the number and type of nonconformances observed. Projects receiving an inspection score of 1–2 are considered failures whereas projects receiving an inspection score of 3-5 are passing scores.

5: System Meets All Program Criteria

A system receiving a score of 5 is in conformance with all incidental, minor, major, and critical site visit criteria. These systems are examples of best practices in heat pump system installation.

3: System Meets Key Program Requirements

A system achieving a score of 3 meets basic program requirements, but it may require modification to be considered fully compliant.

1: System Does Not Meet Program Requirements

Systems receiving a score of 1 have failed to meet key program requirements and present an imminent hazard and/or probability of system failure. These systems may require urgent attention to address safety concerns.

10 Procedure for Handling Nonconformance and Corrective

The site observation report provides details of all evaluated elements of the project and list any identified nonconformances. The report identifies the overall score of the project and whether this result passes or fails program requirements.

Projects that have non-conformances related to critical (health and safety) or major (system performance) attributes will automatically fail. Projects that have only non-conformances to minor or incidental attributes will pass.

All non-conformances are expected to be addressed and corrected regarding future work conducted in the program. Acknowledgement and plans for preventing future problems may be requested with the report.

While some non-conformances cannot be corrected post installation, others can be remedied through corrective action to the documentation, financial incentives applied to the project or remediation of the installation or its components.

When program administrators seek specific corrective action, a notice will be provided with the inspection report. The corrective action notice must be either disputed within 15 business days by contacting the program administrator or remedied within 25 business days. If corrective action is not disputed or remedied in a timely manner, the program administrator will adjust participating contractor status as described in the Participation Status and Status Review Process Section. Sufficient evidence of the remediation must be provided to the program administrator to document the completion of the required corrective action. The program administrator may opt to conduct a visit of the remediated installation.

The program administrator retains the right to provide a copy of the inspection report or specific information from the site visit directly to the system owner, all authorities having local jurisdiction, or the interconnecting utility based upon health, safety and compliance concerns or other cause at the sole discretion of the program administrator.

The program administrator may, at sole discretion, communicate by voice and/or written format with any the customer or designated representative with respect to any matter relevant to a proposed or installed heat pump system. Such communications may be in reply to an inquiry from a customer or at the program administrator's initiation.

10.1 Observation Visits Requiring Corrective Action

All non-conformances are required to be addressed within 25 business days of issuing the report.

Critical and major non-conformances require a response through the link sent with the site visit report and within the email notification.

Corrective actions will be reviewed and responded to by program administrator staff or a representative. If the program administrator accepts the corrective action, the non-conformance will be

marked resolved. If the program administrator does not accept the response, the non-conformance will be marked resubmit with a description of why the response was not accepted. The non-conformance will remain open until program administrator accepts a response.

11 System Shutdowns

If a circumstance is observed that presents an imminent hazard, the program administrator, or its representative, the QAQC contractor may contact the local utility to shut down “lock-out” the system. The Program Administrator will notify the site owner/customer or designated representative immediately whenever it takes such action.

In the event an inspector feels a heat pump system, as installed, presents an imminent hazard to the health and safety of the occupants, the following procedure will be followed:

- The QAQC contractor contacts the program administrator to review critical issues and confirm shutdown decision.
- The QAQC contractor informs both the customer and utility of such circumstances.
- The QAQC contractor calls the system contractor to notify them of the situation and the shutdown. The contractor is instructed that the system may not be operated without corrective action being taken. The contractor may address critical issues before receiving the report.
- The QAQC contractor will telephone and email notice of such observations immediately to the program administrator staff.
- The QAQC contractor will deliver a report to the program administrator within three business days.
- The participating contractor receives the report, who then must coordinate any required re-inspection with the local authority having jurisdiction or third-party inspection authority.

12 Procedure for Contesting a Score

A participating contractor may contest the findings of a report by emailing supporting documents and information to the program administrator. The request must be submitted to the program administrator within 15 business days of receiving the inspection report.

Upon review, if the program administrator agrees with participating contractor, the non-conformance will be removed. The score may or may not change based on other non-conformances. If the program administrator agrees with the QAQC, the nonconformance will stand, and the score will remain the same.



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