



The Independent Standards and Quality Assurance Team manages a network of third-party inspectors to verify a sampling of projects for compliance with program rules and technical requirements.

If you have questions, please contact the SQA team:
inspections@nyserdera.ny.gov

What contractors and builders of NYSERDA programs should expect when selected for a quality assurance inspection

NYSERDA adopted a rational sampling plan and generally inspects up to 20% of all projects to verify compliance with program rules and technical requirements. Inspection rates may vary based on a contractor or builder's status in the program or past performance.

Types of Inspections

NYSERDA programs, which include a quality assurance component, will receive field inspections. Some programs may also include photo inspections or "desk reviews" of submitted photos. If the program includes both field and photo inspections, inspections will be evenly split between the two types.

Field Inspections – When a project is selected for a field inspection and the customer is open to the contractor and/or builder attending, the contractor and/or builder will receive an email with the date and time. Customers have the right to request the contractor and/or builder not attend the inspection. In this situation, the contractor and/or builder will only be notified of the inspection results.

Photo Inspections/Desk Reviews – Contractors and/or builders are required to take construction photos for each project if the program includes a photo inspection component. NYSERDA expects photos to be taken throughout the installation process. It is not the intention to obtain photos after a request for photos is received. When a project is selected for a photo inspection, the contractor and/or builder will receive an email notification with instructions on what construction photos are needed and how to submit them.

Scores and Performance Requirements

Contractors and/or builders will be issued an inspection report by email. If a corrective action is required, directions will be provided in the email. Reports are scored on a 1- to 5-point scale with a score of 5 being the best.

Inspection Rates for Each Status

Provisional:

100% of completed projects (until approved to full status)

Full:

Up to 20% of completed projects

Probation:

100% of completed projects (until probation is resolved and full status is restored)

Suspended:

100% of completed projects (until suspension is resolved or results in termination)

Any project receiving a score of 1 or 2 will fail and the contractor and/or builder will be *required* to take corrective action and must submit photo documentation of the resolution. NYSERDA requires all participants to maintain a minimum performance score of 3 out of 5. Participants who fail to meet the minimum performance required may be subject to disciplinary action.

Program Participation and Disciplinary Statuses

Contractors and/or builders who apply to a NYSERDA incentive program that includes a quality assurance component are assigned a status of **provisional** and will be subject to their first three projects being field inspected. If the first three inspections result in an average score of 3 or better, the contractor and/or builder will be eligible to move to **full** status. If the average score is below a 3, the contractor and/or builder will be reviewed continuously until qualified or terminated.

Once achieving **full** status, contractors and/or builders should expect up to 20% of their completed projects will be inspected.

Disciplinary action can lead to temporary loss of full status, changing to either **probation** or **suspended** status. This change can be the result of non-compliance with program requirements and/or poor performance. Any type of status change will be explained initially in an email from NYSERDA. The contractor and/or builder, program staff, and SQA will meet periodically to review the action plan to address the reasons for the status change and review the progress toward restoring full status.

Suspended status will occur if the contractor does not respond or comply with action plan agreed on during probation.

After all other disciplinary actions have occurred, the next step will be **termination**. Termination will end program participation and prevent the contractor and/or builder from re-applying or receiving incentives in the future.



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