This document is a representation what will be provided by NYSERDA when requesting Shared Services support. This SOP is an example of 2 high volume, low complexity processes:

- Task 2 – Contractor Application (steps 2 & 3 outlined below)
- Task 2 – Project Application (step 4 outlined below)

1 Introduction

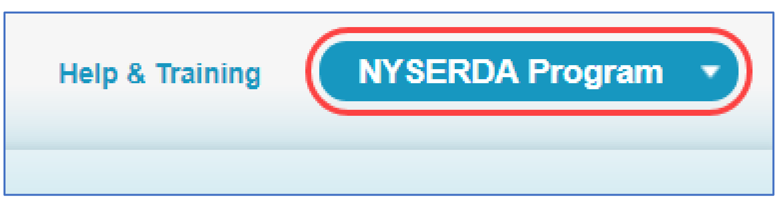
This SOP is designed for NYSERDA Program Staff and Shared Services who will manage Program A's Contractor Applications and Incentive Applications. Keep in mind that you will use the NYSERDA Program application (see Section 1.1) for all tools and resources you will need to manage the program. Additionally, please note that unless otherwise indicated, all procedures occur within Salesforce.

1.1 Contacts

Name	Role	Email Address

1.2 Salesforce Application

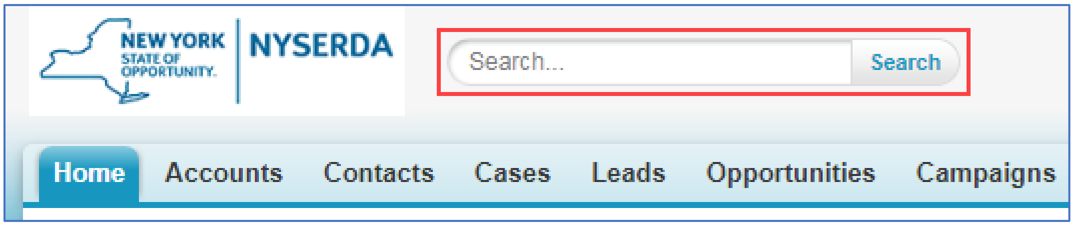
For all project and solicitation management activities, use the NYSERDA Program app. Salesforce lists your current app in the blue dropdown menu in the upper right corner.



Keep in mind that the tabs you see at the top of the page will change depending on the app you choose.

1.3 Searching for Records

There is a **Search Bar** at the top of every Salesforce page where you can search for **any record**. For Program A, you will primarily search for specific **Contractor Applications** by application number.



To expand your search, add an asterisk (*) to any search terms. This will display any record that contains the search characters. Please note that you can also search on partial terms and can typically omit leading zeroes in record numbers.

1.4 List Views

List views display a filtered list of records a list view to display relevant records. For example, you can navigate to the “Contractor Application” tab and find applications in a specific view (typically one that corresponds to a process queue).

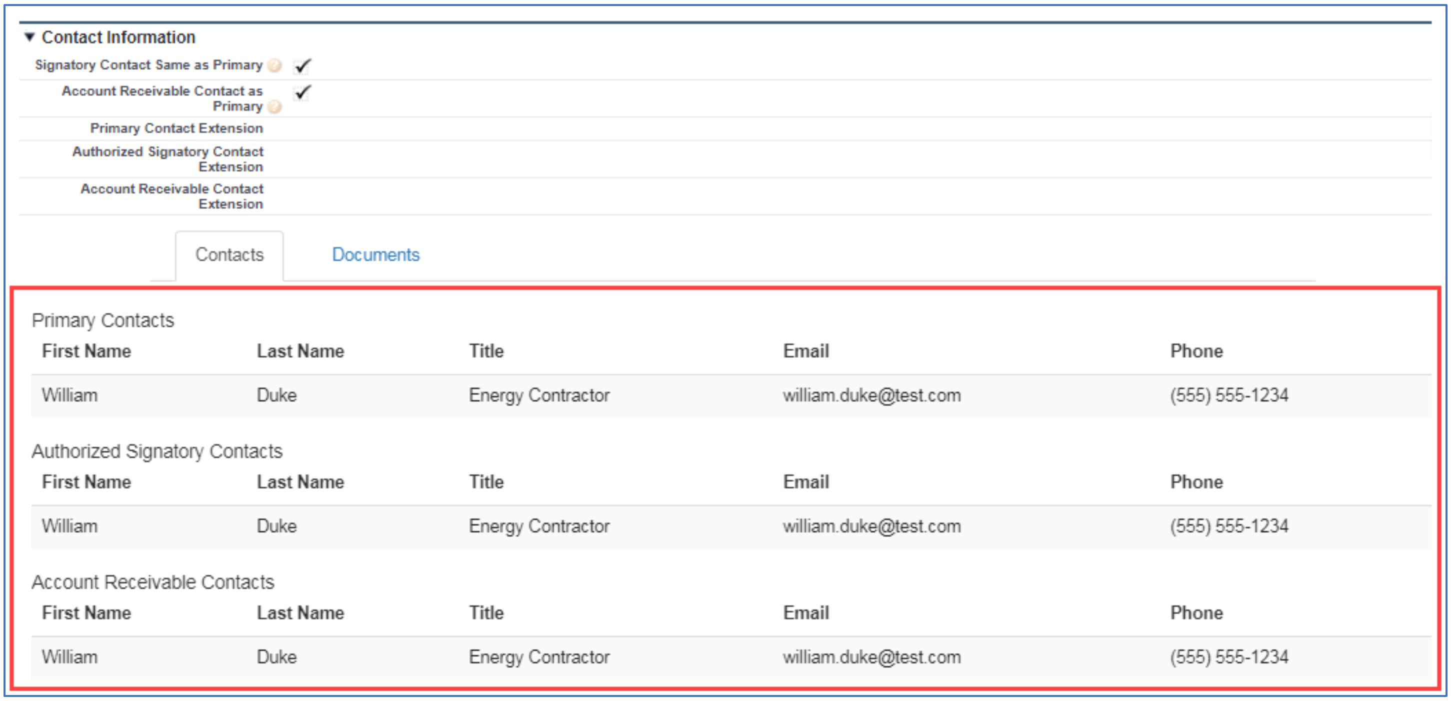
2 Reviewing Contractor Applications

1. When a contractor submits an application, the status changes to “Submitted.” This sends an email notification with a link to the application to Shared Services.
2. Manually update the application status to “Under Review.”
3. Search Salesforce for the Legal Business name on the application. If you find them already in Salesforce, check the company page to see if they already have ‘Program A’ listed under the “Program Partnership” heading. If they are already a Program A contractor, Reject the application and email the applicant to let them know.
4. Validate the application information based on the following application sections:
    a. Contractor Application Detail
    b. Company Information
    c. Contractor Details
    d. Contact Information
    e. Documents (Attachments)

2.1 Reviewing Contractor Application Contacts

Scroll down to the Contact Information heading and click the “Contacts” tab. Here, verify that the section is complete. Applications will have the following contacts:

- Primary Contacts
- Authorized Signatory Contacts
- Accounts Receivable Contacts



2.2 Contractor Application Documents Review

Click the “Documents” tab to validate the documents listed below.

- Signed Application (this will automatically populate from the Salesforce application).
- Additional documentation as required by the program

Note: Click “Attachment History” to view previously-uploaded documents.

2.2.1 Requesting Revised Attachments from an Application

1. Scroll down to the “Activity History” heading.
2. Click “Send an Email.”
3. Verify the contractor’s email address in the “To” field.
4. Enter any additional email address in the ‘Additional To” field
5. Enter a message to the contractor using one of the following methods:
   a. Click “Select Template”, choose Program A Templates, then select “Program A: Contractor Application Request for More Information Notification” to see a prepopulated message. This opens a new window with the messages you can select.
   b. Review and edit the message in the “Body” field as appropriate
6. Verify “Waiting for Customer Response” checkbox in the Contractor Application Detail section is auto-checked once the email is sent out to the Contractor.
7. Enter any relevant comments in the ‘Internal Notes’ field in the Status Date section.

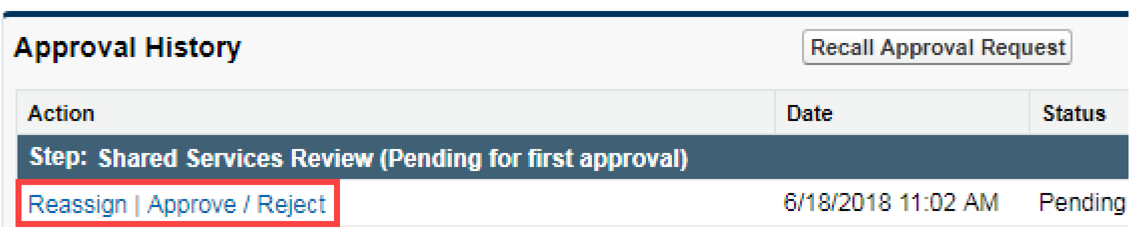
When you receive the updated document from the contractor, upload the document in Salesforce.

1. Save the document to your computer
2. Open the application record and scroll down to the “Notes & Attachments” section.
3. Click “Attach File.”
4. Click “Choose File” to open an explorer window where you can select the document.
5. Click “Attach File” to attach.
6. Repeat steps 3-5 for any additional documents. When you are ready, click “Done” to finish.
7. Uncheck the “Waiting for Customer Response” checkbox.
8. Enter the “Contractor Respond Date’ in the Status Date section.

3 Approving or Rejecting Contractor Applications

1. Open the application records and scroll down to the “Approval History” section.
2. Click Approve/Reject under the “Program A - Shared Services Review (Pending for first approval)” step. This opens the “Approval Request” page.
3. Enter any notes in the “Comments” field (you must do this prior to approval/rejection).
4. Click “Approve or Reject.” If you approve the application, the status automatically updates to “Pending Approval.” If you reject the application, the status automatically updates to “Rejected.” Please note that you must use the “Send an Email” option. Select the appropriate Program A Template and notify the Contractor of the rejection.

After the system creates the Supplier ID, Shared Services will approve the application again. The application status will automatically update to “Approved.”



3.1 Creating a Supplier ID

Once you have approved the application, the contractor application will be present in the Vendor Upload Form Report. Shared Services will pull this report daily and send to NYSERDA Finance. For that process, please refer to separate work instructions.

4 Incentive Applications

1. Navigate to the “NYSERDA Project” tab.
2. To view a list of relevant projects, click the “View” dropdown list and select the corresponding list view (e.g. Program A - Submitted Projects).
3. Before you begin reviewing the application, update the application status to “Under Review.”

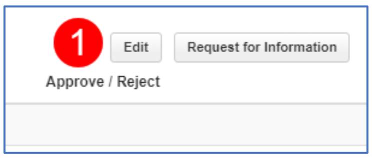
Note: If you know the application number or name of the project, search for the project using the search bar at the top of the Salesforce page.

The “Project Detail” page contains the basic project information and all the related lists (Project Roles, Project Sites etc.).

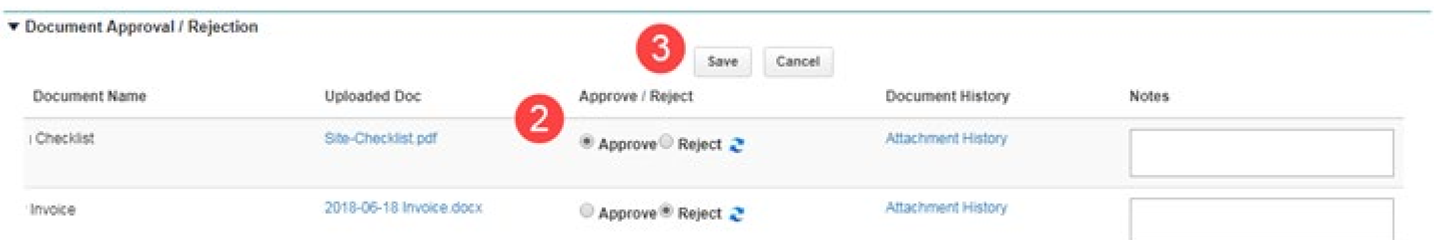
4.1 Reviewing Documents

The Program will review documents in multiple stages. However, each stage uses the following procedure. Note that Shared Services completes the initial review. They will determine if the Program A Project Manager needs to review the document.

1. Click “Edit” to approve or reject the document. This opens the document page.



2. After reviewing the document, click the corresponding radio button to approve or reject it.
3. Click “Save.”



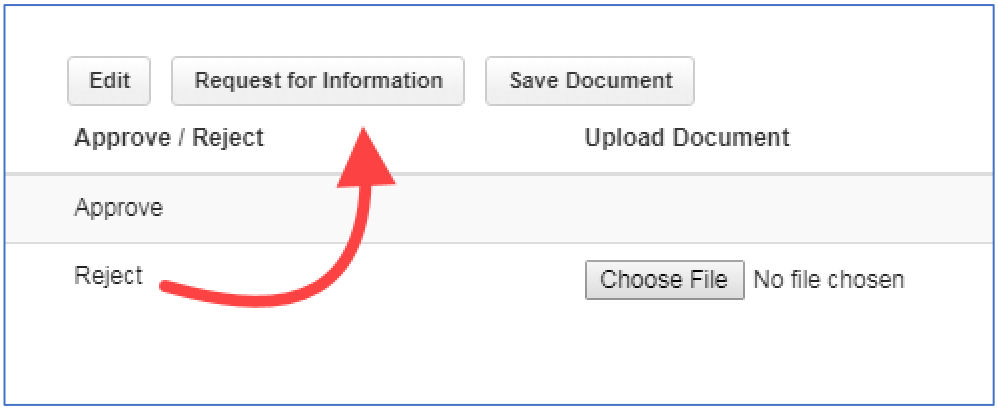
You can review multiple versions in the “Document History” section. If you reject a document, enter any details in the “Notes” field. These details automatically populate the email notification and display in the installer’s portal view/project record. Applications will need completed checklists for *each* model.

4.1.1 Requesting Information

Click “Request for Information” to email the contractor when you need additional details. Keep in mind that this button is only active when there is a rejected document. Make sure to select ‘NYSERDA No Reply’ as the ‘from.’

After the email is sent, confirm that the “Waiting for External Response” checkbox has automatically checked.

Once the requested information is received, verify that the ‘Waiting for external response’ is unchecked.



If you reject a document, enter the reason the "Notes" field. These details automatically populate the email notification and display in the contractor's portal view/project record. Make sure to put a note, with your name, in the 'Internal Comments' section of the project detailing what information is missing.

- The contractor support line number is given out to Program A contractors in case they have a question on a specific application. In the case a Program A contractor calls the line, the individual responsible for reviewing the application is also responsible for answering the questions from the contractor regarding that application.

4.1.2 Invoice Review

Ensure that the following details from the invoice match the information in Salesforce:

- First & Last Name and Address of Site Owner
- Name and Address of Participating Contractor

4.1.3 Checklist(s) Review

Ensure:

- That the Program's Checklist has been uploaded for each model that has been requested for under the incentive application
- That each checklist contains:
  - Site Name
  - Unit manufacturer model number
  - A check with a Done or N/A in each applicable box
  - Contractor's name and signature
  - Date checklist was completed

4.1.4 Approval

When a project can be approved, move the status of the project from "Under Review" to "Approved".