

#	Category	Objective / Task Description	Criteria	Document Required / Verification Method	Responsible Party	Program Phase	Defect Category	Reference
A1	Application	Program Eligibility Review	Document Review	Customer Utility Account	Participating Contractor / Utility Customer	Application	Req't.	
A2	Application	Initial Incentive Offer Review	Document Review	Engineering Analysis	Program Administrator / Implementation Contractor	Application	Req't.	
A3	Application	Verify Eligibility of Contractor	Document Review	Participating Contractor Network Database	Program Administrator / Implementation Contractor	Application	Req't.	PCN Website
A4	Application	Verify proposed equipment is listed by NEEP Database - Review of equipment model number listed on application against NEEP	Document Review	NEEP ccASHP Database	Participating Contractor / Utility Customer	Application	Req't.	NEEP ccASHP Product List
D1	Design Doc't.	Verify Load Sizing Analysis Completed via completion of Load Sizing Checklist with attachment(s)	Document Review	ACCA Manual J, S, and D or other approved methodologies	Design Professional / Participating Contractor	Design	Req't.	NYC DOB EN2: As Built Energy Analysis
D2	Design Doc't.	Verify Design Documents / Construction Permit Application	Document Review	Approved construction documents / Letter of attestation	Participating Contractor	Design	Req't.	
D3	Design Doc't.	Confirm RES / COM Check or building simulation model Analysis Completed if required	Document Review	US DOE RES / COM Check or building simulation model	Design Professional / Participating Contractor	Design	Req't.	
D4	Design Doc't.	Confirm if Commissioning is a requirement of work.	Document Review	Site Observation / NYC ECC EN2/TR8 forms or equivalent	Design Professional / Participating Contractor	Design	Req't.	
D5	Design Doc't.	Verify that cooling and heating load of all existing equipment has been documented, along with make/model, fuel type, and equipment type.	Document Review	Approved construction documents	Design Professional / Participating Contractor	Design	Req't.	ACCA QLVP-2016 Appendix A 1.18, 1.19, 2.3.8, 2.3.9
C1	Equipment	Verify installed equipment is as proposed on application, quantity, make and model	Visual Observation / Photo Documentation	Site Observation / Photo Documentation	Design Professional / Participating Contractor	Construction	Major	
C2	Installation	If required of applicable code or design documents, provide commissioning report and/or start-up documentation	Document Review	Commissioning Report / Start-up documentation	Participating Contractor	Construction	Minor	
C3	Installation	Verify documentation that condensate system was observed to be functional	Visual Observation / Photo Documentation	Site Observation / Photo Documentation	Design Professional / Participating Contractor	Construction	Major	

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C4	Installation	Verify that safe access to the site and associated equipment has been provided	Situational Awareness	Site Observation	Participating Contractor	Construction	Critical	
C5	Installation	Verify site conditions are consistent with Load Sizing Analysis or a revised energy analysis has been completed. Review of ACCA (Manual J, S, and D) or other approved heating and cooling calculation methodologies, with observed site conditions	Visual Observation / Document Review	Site Observation / NYC ECC EN2/TR8 forms or equivalent	Design Professional / Participating Contractor	Construction	Major	NYC DOB EN2: As Built Energy Analysis
C6	Installation	Confirm that approved construction documents are available during site assessment	Document Review	Approved construction documents	Participating Contractor	Design	Req't.	
C7	Installation	Confirm that pressure testing and refrigerant charge is documented if applicable	Visual Observation / Photo Documentation	Site Observation / Photo Documentation	Participating Contractor	Construction	Minor	
C8	Installation	Sample for refrigerant leaks at exposed field connections	Functional Test	Refrigerant detector	Participating Contractor	Construction	Critical	
C9	Installation	Verify that exposed new or retrofitted ductwork is properly sealed and insulated	Visual Observation / Photo Documentation	Site Observation / Photo Documentation	Participating Contractor	Construction	Major	NYC 1RCNY 5000-01
C10	Installation	Verify refrigerant line set is insulated and protected from UV when outdoors	Visual Observation / Photo Documentation	Site Observation / Photo Documentation	Participating Contractor	Construction	Major	NYC 1RCNY 5000-01
C11	Installation	Verify the presence of equipment air filters if applicable	Visual Observation / Photo Documentation	Site Observation / Photo Documentation	Participating Contractor	Construction	Minor	
C12	Installation	Verify all exposed equipment and pipe supports appear to be properly secured	Visual Observation / Photo Documentation	Site Observation / Photo Documentation	Participating Contractor	Construction	Major	
C13	Installation	Verify outdoor unit is installed with sufficient clearances.	Visual Observation / Photo Documentation	Site Observation / Photo Documentation	Participating Contractor	Construction	Major	
C14	Installation	Verify location and height of ASHP Terminal Units are sufficient for proper function	Visual Observation / Photo Documentation	Site Observation / Photo Documentation	Participating Contractor	Construction	Major	

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C15	Installation	Observe that the outdoor unit is away from or protected from increased sources of water/ice/snow from above (i.e. more than normal precipitation, e.g. beneath drip edge, beneath another heat pump, etc.) and above snow depth level according to regional snow depth chart	Visual Observation / Photo Documentation	Site Observation / Photo Documentation	Participating Contractor	Construction	Major	
C16	Installation	Verify outdoor unit is installed level. If the unit is on brackets, verify that vibration dampeners are installed.	Visual Observation / Photo Documentation	Site Observation / Photo Documentation	Participating Contractor	Construction	Major	
C17	Installation	Observe functional testing of equipment in both cooling and heating mode as conducted by contractor or operator, if conditions allow	Functional Test	Site Observation	Participating Contractor	Construction	Major	C. McCracken / CLEAResult, 2016
C18	Installation	Verify that electrical disconnect is installed in an accessible location.	Visual Observation / Photo Documentation	Site Observation / Photo Documentation	Participating Contractor	Construction	Major	2020 NFPA 70 / NEC 2020
C19	Installation	Verify maintenance instructions are available on site	Visual Observation / Photo Documentation	Site Observation / Photo Documentation	Participating Contractor	Construction	Req't.	
C20	Installation	Verify that supplemental heat does not operate when ASHP is operating or otherwise capable of meeting design load	Functional Test	Site Observation / NYC ECC EN2/TR8 forms or equivalent	Participating Contractor	Construction	Major	NYC 1RCNY 5000-01
O1	Operation	Verify approval of work is compliant with applicable codes	Document Review	Cert. of Completion / CoO / Letter of Attestation	Participating Contractor	Occupancy	Req't.	
O2	Operation	Verify Manufacturer's Warranty has been provided to owner	Document Review	Manufacturers Warranty	Participating Contractor	Occupancy	Req't.	
O3	Operation	Confirm customer/ operator has been provided with training on operation of system.	Document Review	Site Observation / Customer Confirmation	Participating Contractor	Occupancy	Major	