

Method specific scope items – Home Energy Efficiency Retrofits (HEER) (Clause 9.8 of the ESS Rule)

Requirement	Audit Procedure	Audit Tier
Calculation of energy savings	<ul style="list-style-type: none"> <li>Review the evidence provided to support the parameters used in the energy savings calculations.</li> <li>Check that the correct deemed activity energy savings formulas and factors have been used, as set out in Schedule D and E of the <i>Energy Savings Scheme Rule of 2009</i> (ESS Rule).</li> <li>Where certificates are registered on or after 14 April 2023, check that Regional Network Factor for Electricity Savings is applied in Equation 1 and not in Equations 16 or 17.</li> </ul>	1
For each implementation the original energy saver must have: <ul style="list-style-type: none"> <li>been the purchaser</li> <li>paid a net amount of at least \$30 (excluding GST) towards the cost of the implementation (which was not reimbursed or credited by anyone, including the ACP or another party).</li> </ul>	<ul style="list-style-type: none"> <li>Review tax invoices and payment records held by the ACP and its contractors/representatives.</li> <li>Confirm that the original energy saver was the purchaser and paid at least \$30 excluding GST.</li> <li>Where the Implementation has been done as part of the Community Housing Program (CHP) component of the Home Energy Action (HEA) Program and no minimum payment (at least \$30 excluding GST) has been made, confirm that the ACP has a document signed by an authorised representative of the CHP that clearly shows the address of the site and affirms that the implementation was done under the CHP component of the HEA Program.</li> </ul>	1
	<ul style="list-style-type: none"> <li>Obtain verbal or email confirmation from the purchaser that:               <ul style="list-style-type: none"> <li>they have made the co-payment</li> <li>the co-payment has not been reimbursed, credited by a third party, or made by in-kind payment.</li> </ul> </li> </ul> <p><i>Further information about guidelines on how to obtain confirmation can be found in Table 5.2 – Phone Survey scripts</i></p>	Subset or Tier 2
Site requirements	<p>Check each site is a residential building or small business site in NSW, where either:</p> <ul style="list-style-type: none"> <li>a 'residential building' means:               <ul style="list-style-type: none"> <li>a building classified by the Building Code of Australia (BCA) as a Class 1 or Class 2 building, and</li> <li>may include any non-habitable buildings (BCA class 10a or 10b) on the same site.</li> </ul> </li> <li>a 'small business site' that is entirely occupied by one business, and where the business, as a consumer of electricity at the site:               <ul style="list-style-type: none"> <li>is a Small Customer (and, for the avoidance of doubt, has not aggregated its load at the Site with consumption at other Sites for the purposes of being treated as a Large Customer under its electricity purchase arrangements), or</li> <li>is a customer of an Exempt Seller, and has an annual electricity consumption below the Upper Consumption Threshold for electricity.</li> </ul> </li> </ul>	1
	<ul style="list-style-type: none"> <li>Check the building type through a phone survey of the purchaser.</li> </ul> <p><i>Further information about guidelines on how to obtain confirmation can be found in Table 5.2 – Phone Survey scripts</i></p>	2

Requirement	Audit Procedure	Audit Tier
Equipment requirements	<ul style="list-style-type: none"> <li>Check that End-User Equipment requirements have been met by reference to: <ul style="list-style-type: none"> <li>the relevant Activity Definition requirements of the ESS Rule</li> <li>manufacturer specifications.</li> </ul> </li> </ul>	2
Implementation requirements	<ul style="list-style-type: none"> <li>Check that the implementation was done, or supervised, by an appropriately qualified installer, e.g. a person authorised to carry out electrical wiring work.</li> </ul>	1
	<ul style="list-style-type: none"> <li>Check a site assessment has been conducted on or before the implementation date based on Template – Site Assessor Declaration (Appendix A of the HEER Method Guide)</li> <li>Check the installer and purchaser co-signed a post implementation declaration based on the Template – Post Implementation Declaration (Appendix A of the HEER Method Guide).</li> </ul>	2
The implementation must have been performed by appropriately trained persons and undertaken by a person authorised to carry out electrical wiring work under section 14(1) of the Home Building Act 1989.	<ul style="list-style-type: none"> <li>Check the person's licence and that the person is included in the ACP's register of installers.</li> <li>Check compliance with minimum training requirements – as stipulated in the <i>ESS Notice 01/2013 (V3.0) – Minimum requirements of conduct</i>.<sup>1</sup></li> </ul>	2
Eligibility requirements for each implementation	<ul style="list-style-type: none"> <li>Check that the ACP has only implemented activities for which it is accredited in relation to particular activity definitions from Schedules D and E of the ESS Rule.</li> <li>Confirm that: <ul style="list-style-type: none"> <li>the ACP was accredited for the activity and the ACP was nominated as the energy saver on or before the implementation date</li> <li>the correct implementation date has been recorded by the ACP</li> <li>the ACP has met any special conditions in the Accreditation Notice in relation to the reporting of implementation data to IPART (via email).</li> </ul> </li> <li>Check that any Implementation Data Sheets or ESS Registry uploads are correct.</li> </ul>	1
Implementation address	<ul style="list-style-type: none"> <li>Check that evidence clearly identifies the address for the implementation and a Certificate of Compliance for Electrical Work (CCEW). (Also refer to ESS Notice 04/20192), where appropriate, has been completed for each implementation, including the details of: <ul style="list-style-type: none"> <li>the specifics of the work completed</li> <li>the address where the work took place</li> <li>the electrician who signed and dated the document.</li> </ul> </li> <li>Check that the tax invoice clearly shows the address where the implementation took place.</li> </ul>	1

<sup>1</sup> <https://www.energysustainabilityschemes.nsw.gov.au/Home/Document-Search/Notices/Notice-012013-Minimum-requirements-of-conduct/Notice-012013-Requirements-for-all-methods-Minimum-requirements-of-conduct-V30>

## Specific scope items for activities from Schedule E – activities E1, E2, E3, E4, E5, E11 and E13

Requirement	Audit Procedure	Audit Tier
Equipment requirements	<ul style="list-style-type: none"> <li>• Check that the electrician signed a declaration that existing dimmers are a compatible model listed in the relevant test report.</li> <li>• Note that only lighting equipment that has been accepted by the Scheme Administrator for use in installations with existing dimmers may be installed.</li> </ul>	1
	<ul style="list-style-type: none"> <li>• Check that the End-User Equipment requirements have been met by reference to:               <ul style="list-style-type: none"> <li>– the relevant Activity Definition requirements of the ESS Rule</li> <li>– manufacturer specifications</li> <li>– acceptance by the Scheme Administrator (where required), refer to the HEER Lighting Equipment requirements published on the ESS website: <a href="http://www.ess.nsw.gov.au/Home/AboutESS/Lighting-equipment-requirements/HEER-method-lighting-requirements">www.ess.nsw.gov.au/Home/AboutESS/Lighting-equipment-requirements/HEER-method-lighting-requirements</a></li> <li>– geo-tagged photographs (Note: requirements for photographs vary between activities).</li> </ul> </li> <li>• Check that the relevant lighting equipment was accepted by the Scheme Administrator on or before the date the relevant application to register ESCs was made.</li> <li>• Check that the correct Electricity Savings Factor was applied for the correct End-User Equipment type.</li> </ul>	2
	<ul style="list-style-type: none"> <li>• Check the declaration by the purchaser that it is satisfied with the light distribution of the new End User Equipment.</li> </ul>	2
Recycling requirements	<ul style="list-style-type: none"> <li>• Recycling is required for projects in a Metropolitan Levy Area (with a postcode listed in Table A25 of the ESS Rule).               <ul style="list-style-type: none"> <li>– Check that the recycling requirements have been met.</li> <li>– Compare the records authorising the removal of old or obsolete End-User Equipment with details in the signed Nomination Forms or other supporting evidence like a disposal or recycling receipt or a certificate from a program such as 'Fluorocycle' or equivalent.</li> </ul> </li> </ul>	2

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## Phone survey or site visit

Requirement	Audit Procedure	Audit Tier
Phone survey requirements	<ul style="list-style-type: none"><li>• The phone survey should confirm with the purchaser:<ul style="list-style-type: none"><li>- that a copy of the Nomination Form was provided to the Purchaser</li><li>- that it signed the Nomination Form</li><li>- that the minimum \$30 (excluding GST) payment was made in full, and that there were no other reimbursements, rebates or similar made or planned</li><li>- the date work was performed and completed, to assist in confirming the implementation date(s) of the implementation(s)</li><li>- that the implementation was undertaken at a residential or small business building</li><li>- the nature and extent of the implementation works</li><li>- that the purchaser co-signed a Post Implementation Declaration (with the installer)</li><li>- that the Purchaser is satisfied with the light distribution of the new End-User Equipment (for downlights, floodlights and PAR lamps)</li><li>- that the Purchaser is satisfied with the implementation and has not experienced issues such as lighting flicker or product failures.</li></ul></li></ul>	Subset of Tier 2

## Specific issues to be checked for versions of the ESS Rule

Rule date	Issues
ESS Rule effective from 20 April 2018	<ul style="list-style-type: none"> <li>• Definition of a site changed to be a Residential Building or Small Business Site.</li> <li>• Changes to the regional network factors (Table A24).</li> </ul>
ESS Rule effective from 31 July 2018	<ul style="list-style-type: none"> <li>• changes to the electricity savings factors for Activity E5.</li> <li>• updates to the Residential Building and Small Business Site electricity savings factors for existing and new BCA climate zones.</li> <li>• inclusion of new activities D13, D14, E12 and modification to activity E10.</li> <li>• updates to savings factors for building fabric activities including window treatments, draught proofing and chimney dampers.</li> <li>• updates to pool pump savings factors.</li> <li>• exclusion of chimney balloons as an eligible activity.</li> </ul>
ESS Rule effective from 30 March 2020	<ul style="list-style-type: none"> <li>• Clause 11.11: General transitional arrangements apply if the Implementation Date of a project is on or before 29 March 2020.</li> <li>• Changes specific to the HEER method include: <ul style="list-style-type: none"> <li>- removal of the four ESC minimum requirement.</li> <li>- changes to the definition of Implementation Date of HEER activities.</li> </ul> </li> <li>• Changes to Schedule E include: <ul style="list-style-type: none"> <li>- inclusion of new activity definition E13.</li> <li>- eligibility Requirements for activity definitions E4 and E5: existing lighting equipment must not be a luminaire modified with T5 adaptor kit.</li> <li>- equipment Requirements for activity definition E11: change to Light Output definition (clause 10)</li> <li>- implementation Requirements for activity definitions E1, E2, E3, E4, E5 and E11: changes to the licensed electrician requirement.</li> <li>- activity Energy Savings for activity definitions E1, E2, E3, E5 and E11: updates to lamp categories, savings factors, light output definition (clause 10) and luminous efficacy term.</li> </ul> </li> </ul>
ESS Rule effective from 14 April 2023	<ul style="list-style-type: none"> <li>• Clause 11.22: Special arrangements apply if the Implementation Date of a project is on or after 1 October 2022. Changes specific to the HEER method include: <ul style="list-style-type: none"> <li>- the installation of a pool pump under Activity Definition D5 where the Implementation Date is on or after 1 October 2022 that meets the requirements of <i>Energy Savings Scheme (Amendment No. 2) Rule 2022</i> is eligible to create certificates.</li> </ul> </li> <li>• Changes to Schedule D include: <ul style="list-style-type: none"> <li>- equipment requirements for activity definition D5: new power thresholds for motors.</li> </ul> </li> </ul>