

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	- Review the evidence provided to support the parameters used in the energy savings calculations. - 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). - 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 Equation 16.	1
For each implementation the original energy saver must have: - been the purchaser - paid at least the net amount prescribed in the ESS Rule towards the cost of the implementation (which was not reimbursed or credited by anyone, including the ACP or another party)	- Review tax invoices and payment records held by the ACP and its contractors/representatives. - Confirm that the original energy saver was the purchaser and paid at least the prescribed net amount towards the cost of the implementation.	1
	- Obtain verbal or email confirmation from the purchaser that: - they have made the co-payment for the correct amount - the co-payment has not been reimbursed or credited by a third party and no non-cash inducements or in-kind payments have been made or received. <i>Further information about guidelines on how to obtain confirmation can be found in the 'Phone survey or site visit' section below</i>	Subset of Tier 2
Site requirements	Check each site is a residential building or small business site in NSW, where: - a 'residential building' means: - a building classified by the Building Code of Australia (BCA) as a Class 1 or Class 2 building, and - may include any non-habitable buildings (BCA class 10a or 10b) on the same site. - a 'small business site' is a site that is entirely occupied by one business, and where the business, as a consumer of electricity at the site: - 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 - is a customer of an Exempt Seller and has an annual electricity consumption below the Upper Consumption Threshold for electricity.	1
	Check the building type through a phone survey of the purchaser. <i>Further information about guidelines on how to obtain confirmation can be found in the 'Phone survey or site visit' section below</i>	2

Requirement	Audit Procedure	Audit Tier
Equipment requirements	- Check that End-User Equipment requirements have been met by reference to: - the relevant Activity Definition requirements of the ESS Rule - manufacturer specifications.	2
Implementation requirements	Check that the implementation was done, or supervised, by an appropriately qualified installer, e.g. a person authorised to carry out electrical wiring works.	1
	- Check a site assessment has been conducted on or before the implementation date based on the Template – Site Assessor Declaration - Check the installer and purchaser co-signed a post implementation declaration based on the Template – Post Implementation Declaration.	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 <i>Home Building Act 1989</i> .	- Check the person's licence and that the person is included in the ACP's register of installers. - Check compliance with minimum training requirements – as stipulated in the Minimum requirements of conduct.	2
Eligibility requirements for each implementation	- 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. - Confirm that: - the ACP was accredited for the activity on or before the implementation date - the ACP was nominated as the energy saver on or before the implementation date - the correct implementation date has been recorded by the ACP - the ACP has met any special conditions in the Accreditation Notice. - Check that any Implementation Data Sheets or ESS Registry uploads are correct. - Confirm the activity has not been undertaken to comply with BASIX development requirements - Check that the ACP has appropriate processes in place to identify whether an implementation has been undertaken to comply with BASIX development requirements.	1
Reporting requirements	Check the ACP has complied with requirements to report information specified in clause 6.8 to the Scheme Administrator.	1
Implementation address	- Check that evidence clearly identifies the address for the implementation and a Certificate of Compliance for Electrical Work (CCEW). (Also refer to ESS Notice 04/2019), where appropriate, has been completed for each implementation, including the details of: - the specifics of the work completed - the address where the work took place - the electrician who signed and dated the document. - Check that the tax invoice clearly shows the address where the implementation took place.	1

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

Requirement	Audit Procedure	Audit Tier
Equipment requirements	• Check that the electrician signed a declaration that existing dimmers are a compatible model listed in the relevant test report. • Note that only lighting equipment that has been accepted by the Scheme Administrator for use in installations with existing dimmers may be installed.	1
	• Check that the End-User Equipment requirements have been met by reference to: – the relevant Activity Definition requirements of the ESS Rule – manufacturer specifications – acceptance by the Scheme Administrator (where required), refer to the Accepted Products List: https://tessa.energysustainabilityschemes.nsw.gov.au/ipart?id=accepted_products – geo-tagged photographs (Note: requirements for photographs vary between activities). • 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. • Check that the correct Electricity Savings Factor was applied for the correct End-User Equipment type.	2
	• Check the declaration by the purchaser that it is satisfied with the light distribution of the new End User Equipment.	2
Recycling requirements	• Recycling is required for projects in a Metropolitan Levy Area (with a postcode listed in Table A25 of the ESS Rule). – Check that the recycling requirements have been met. – 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.	2

Phone survey or site visit

Requirement	Audit Procedure	Audit Tier
Phone survey requirements	• The phone survey should confirm with the purchaser: – where the Implementation Date is on or after 12 September 2025, how it heard about the offer, and whether door knocking was part of the process (to confirm the implementation did not result from Unsolicited Doorknocking) – that a copy of the Nomination Form was provided to the purchaser – that it signed the Nomination Form – that it received the relevant HEER fact sheet/s before signing the Nomination Form and the implementation began – that the minimum co-payment was made in full for the correct amount, and that there were no other reimbursements, rebates, non-cash inducements or similar made or planned – the date work was performed and completed, to assist in confirming the implementation date(s) of the implementation(s) – that the implementation was undertaken at a residential or small business building – the nature and extent of the implementation works – that the purchaser co-signed a Post Implementation Declaration (with the installer) – that the purchaser is satisfied with the location and quality (including operation, noise and service levels) of the implementation. Examples include, but are not limited to: ○ the purchaser is satisfied with the light distribution of the new End-User Equipment (for downlights, floodlights and PAR lamps) ○ the purchaser has not experienced issues such as lighting flicker or product failures ○ the purchaser is satisfied with the installation quality and the location, system capacity, and noise levels of heat pump water heaters.	Subset of Tier 2

Specific issues to be checked for versions of the ESS Rule

Rule date	Issues
ESS Rule commencing 12 September 2025	• An activity that involves Unsolicited Doorknocking is not a RESA (clause 5.4(r)) • ACPs must not create ESCs for implementations involving installation of Banned End-User Equipment (EUE) (including replacing EUE with Banned EUE) (clause 6.10) • Pool pump calculations reference 'Maximum Tested Input Power' instead of 'Nameplate Input Power' (D5) • Lifetime for air conditioner activity increased to 12 years (D16) • Location requirements of AS/NZS 5149.3:2016 and manufacturer installation recommendations must be followed where the replacement EUE is a split system with refrigerant flows between the evaporator and tank, (D17 and D19) • For each HEER Implementation that occurs in a calendar month after September 2025 ACPs must, before the end of the next calendar month, report the information specified in clause 6.8 to the Scheme Administrator (clause 6.13)). • Where the Implementation Date is on or after 1 December 2025, and the replacement EUE has an Insulated Storage Volume of 700L or less: – the EUE provided by the manufacturer(s) of the heat pump unit and tank must have a warranty against defects covering a period of at least 5 years from the date of installation, purchase or supply as applicable, and – if the person giving the warranty against defects is not in Australia, the warranty must also include the name and contact details of who to contact in Australia in the event of a product failure (D17 and D19) • After 30 June 2026, no implementations of Activity Definitions D11, D12 and D21 may be undertaken, and no certificates may be created from such implementations (clause 9.8.6)
ESS Rule effective where Implementation Date is on or after 19 June 2024	• The Net Amount the original energy saver must pay for activity definitions D5 and D16–D21 is at least \$200 (excluding GST) per item of EUE installed where the Implementation Date is on or after 19 June 2024 (clause 9.8.1(f)). A Net Amount of at least \$30 (excluding GST) per implementation is paid for all other activity definitions in Schedules D and E (see the definition of Net Amount) • New baseline energy savings and adjustment coefficients are used to calculate energy savings for D17–D21 (Schedule D). • Climate zones are determined according to AS/NZS 4234 for D17–D21 (Schedule D). • Changes to pool pump activity (D5): – the installation of a new high efficiency pool pump is eligible for ESCs under the same Activity Definition. – equipment requirements changed, with minimum power threshold removed and minimum star rating reduced to 4 stars. – major changes to calculation of energy savings, with the factors used to calculate those savings now dependent on data from the GEMS Registry. – the pool pump lifetime has been decreased from 12 years to 10 years. • BCA Climate Zones are determined by reference to the Building Code of Australia, rather than Table A26 of the Rule.