

# Explanatory note – phone and field audit minimum requirements for prescribed activities 15, 17, 21 and 29

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The Department of Environment, Land, Water and Planning develops policy for the [Victorian Energy Upgrades](#) program. The program provides incentives for Victorian households and organisations to make energy efficiency improvements that save money on their energy bills and reduce Victoria's greenhouse gas emissions

The Essential Services Commission administers the program as the 'Victorian Energy Efficiency Target scheme' (VEET scheme) under the *Victorian Energy Efficiency Target Act 2007*.

For more information, visit [veet.vic.gov.au](http://veet.vic.gov.au).

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# Introduction

## **Accredited person internal audits**

VEET Audit and Compliance recommends that accredited persons (APs) undertake internal audits to ensure that Victorian energy efficiency certificates (VEECs) are created in compliance with the *Victorian Energy Efficiency Target Act 2007* (the Act), *Victorian Energy Efficiency Target Regulations 2008* (the Principal Regulations) and the *Victorian Energy Efficiency Target Guidelines* (the Guidelines). The implementation of service and quality assurance measures by APs is necessary to uphold the integrity of the VEET scheme.

## **Minimum audit and compliance requirements**

VEET Audit and Compliance has outlined within this document the minimum requirements for information that should be collected by APs during internal audits.

The more detailed the audits, the greater assurance APs will gain that installers are carrying out prescribed activities in accordance with the requirements of the Act.

This explanatory note does not provide an exhaustive list of all information that APs should gather in all instances and is recommended for use as a guide only. Changing circumstances, such as new prescribed activities and new business environments, may result in the need to collect information beyond what is listed in this explanatory note.

It is incumbent upon APs to remain responsive to changing circumstances and alter their internal audit regimes where necessary, in order to maintain suitable levels of assurance.

If in doubt, APs should contact the Essential Services Commission (the commission) to discuss acceptable quality assurance measures.

## Phone and field audits

When undertaking phone and field audits, APs should ensure that, at a minimum, the following information is verified and recorded.

### **General information – applicable to all activities**

For phone and field audits, APs should verify:

- the name of the resident/business
- the address of the resident/business
- whether the resident/authorised signatory was present at the time of the installation
- the number of rooms/levels in the residence/premises
- whether the resident/business had ever previously had the same activity performed at the residence/premises
- whether a copy of the assignment form was provided to the resident/authorised signatory.

### **Detailed installation information**

#### **Schedule 15 – weather sealing**

For phone and field audits, APs should verify or determine:

- the total number of products physically installed into the residence/premises and, if multiple sub-schedules are installed, breakdown the number and type of products installed per sub-schedule
- if the products were all physically installed by the installer. If not, why?
- if any spares were provided. If so, how many?
- if any of the areas were previously sealed. If so, how many?
- if the installer provided instructions on how to use the installed product (i.e. manufacturer's instructions)
- if any products had been removed or were no longer being used by the resident. If so, how many and why?
- if the door seals were installed on internal or external doors (Schedule 15A only)
- if any of the door seals impair the normal operation of the door (Schedule 15A only)
- if the window seals were installed on external windows (Schedule 15B only)
- if the window seals impair the normal operation of the window (Schedule 15B only)
- whether the installation required wiring work to be undertaken, and whether a qualified electrician conducted the installation (Schedule 15C only)

- if the installer undertaking the installation was a qualified electrician (Schedule 15D only)
- if wiring work was undertaken and, if so, whether the resident/business was supplied with a Certificate of Electrical Safety (Schedule 15C and 15D only)
- if wall seals were installed on unsealed wall vents located on the inside of the dwelling (Schedule 15E only)
- if any chimneys or flues had previously been permanently sealed. If so, how many? (Schedule 15F and 15G only)
- if the cooling outlet covers were fitted to the ceiling outlet of a ducted evaporative cooling system (Schedule 15H only)
- any other comments or issues.

### **Schedule 17 – shower roses**

For phone and field audits, APs should verify or determine:

- the total number of shower roses physically installed into the residence/premises
- if the shower roses were all physically installed by the installer. If not, why?
- if any of the existing shower roses at the premises were already low-flow/energy efficient and if any of these were replaced. If so, how many?
- if a bucket test was performed to assess whether the existing shower roses were inefficient
- the total number of bathrooms in the premises
- if any spares were provided. If so, how many?
- if the existing shower roses were decommissioned. If not, why?
- any other comments or issues.

### **Schedule 21A – GLS lamps**

For phone and field audits, APs should verify or determine:

- the total number of low energy GLS lamps physically installed into the residence/premises
- if the low energy GLS lamps were all physically installed by the installer? If not, why?
- if any spare low energy GLS lamps were provided. If so, how many?
- if any unapproved low energy GLS lamps were installed into dimmable circuits. If so, how many?
- if any existing low energy GLS lamps were replaced with low energy lamps. If so, how many?
- if the existing GLS lamps were taken away for decommissioning and confirm the quantity and types of lamps decommissioned
- any other comments or issues.

## Schedule 21B – reflector lamps

For phone and field audits, APs should verify or determine:

- the total number of low energy reflector lamps physically installed into the residence/premises
- the total number of low energy reflector lamps physically installed into each room/area of the residence/premises and the types of existing reflector lamps, to ensure compliance with the Principal Regulations (e.g. external incandescent reflector flood light (compliant), incandescent GLS lamp (non-compliant))
- if the low energy reflector lamps were all physically installed by the installer? If not, how many and why?
- if any spare low energy reflector lamps were provided. If so, how many?
- if any unapproved low energy reflector lamps were installed into dimmable circuits. If so, how many?
- if any existing low energy reflector lamps were replaced with low energy reflector lamps. If so, how many?
- if the existing reflector lamps were taken away for decommissioning and confirm the quantity and type of lamp decommissioned
- any other comments or issues.

## Schedules 21C and 21D – downlights

For phone and field audits, APs should verify or determine:

- the total number of low energy downlights physically installed into the residence/premises
- if the low energy downlights were all physically installed by the installer? If not, how many and why?
- if any spare low energy downlights were provided. If so, how many?
- if any unapproved low energy downlights were installed into dimmable circuits. If so, how many?
- if any existing low energy downlights were replaced with low energy downlights. If so, how many?
- if the existing halogen downlights were taken away for decommissioning and confirm the quantity and types of lamps decommissioned
- if the installer explained the installation process to the consumer and did a pre-installation check, including incompatible lamp/transformer combinations (Schedule 21C only)
- if the installer undertaking the installation was a qualified electrician
- if the licensed electrician conducted a pre-installation safety and compatibility inspection of all lamps and transformers (Schedule 21C only)

- if wiring work was undertaken and, if so, whether the resident/business was supplied with a Certificate of Electrical Safety
- if the existing transformers were replaced by the installer. If so, how many?
- if any of the low energy downlights had experienced flickering/failure. If so, how many?
- any other comments or issues.

### Schedule 21E – GU10 downlights

For phone and field audits, APs should verify or determine:

- the total number of low energy GU10 downlights physically installed into the residence/premises
- the total number of low energy GU10 downlights physically installed into each room/area of the residence/premises and confirm what types of lamps were replaced to ensure compliance with the Principal Regulations (e.g. two existing mains voltage halogen GU10 lamps replaced in kitchen)
- if the low energy GU10 downlights were all physically installed by the installer? If not, how many and why?
- if the installer undertaking the installation was a qualified electrician
- if wiring work was undertaken and, if so, whether the resident/business was supplied with a Certificate of Electrical Safety
- if any spare low energy GU10 downlights were provided. If so, how many?
- if any unapproved low energy GU10 downlights were installed into dimmable circuits. If so, how many?
- if any of the low energy GU10 downlights had experienced flickering/failure. If so, how many?
- if any existing low energy GU10 downlights were replaced with low energy GU10 downlights. If so, how many?
- if the existing GU10 halogen downlights were taken away for decommissioning and confirm the quantity and types of lamps decommissioned
- if wiring work was undertaken and, if so, whether the resident/business was supplied with a Certificate of Electrical Safety
- if the existing transformers were replaced by the installer, to distinguish if the claim is being made for the correct sub-schedule
- any other comments or issues.



## Schedule 21F – GU10 downlight fittings

For phone and field audits, APs should verify or determine:

- the total number of mains voltage low energy downlight fittings physically installed into the residence/premises
- the total number of mains voltage low energy downlight fittings physically installed into each room/area of the residence/premises and confirm what types of lamps/fittings were replaced, to ensure compliance with the Principal Regulations (only existing GU10 halogen lamps/fittings are permitted to be replaced)
- if the low energy downlight fittings were all physically installed by the installer? If not, how many and why?
- if the installer undertaking the installation was a qualified electrician
- if any spare mains voltage low energy downlight fittings were provided. If so, how many?
- if any unapproved mains voltage low energy downlight fittings were installed into dimmable circuits. If so, how many?
- if any mains voltage low energy downlight fittings had experienced flickering/failure. If so, how many?
- if any existing low energy lamps/fittings were replaced. If so, how many?
- if the existing GU10 mains voltage halogen lamps/fittings were taken away for decommissioning and confirm the quantity and types of products decommissioned
- if wiring work was undertaken and, if so, whether the resident/business was supplied with a Certificate of Electrical Safety
- if any existing transformers were replaced by the installer, to distinguish if claim is being made for the correct sub-schedule
- any other comments or issues.

## Schedule 29 – standby power controllers

For phone and field audits, APs should verify or determine:

- the total number of standby power controllers (SPCs) physically installed into the residence/premises (AV/IT)
- if the SPCs were all physically installed by the installer? If not, how many and why?
- which appliances were plugged into each SPC (at the time of installation)
- which rooms the SPCs were installed in
- if the resident/business has changed the set-up of their SPCs post-installation
- if any of the SPCs had been removed or were no longer being used by the resident. If so, how many and why?

- if any spare SPCs were provided. If so, how many?
- if the installer provided clear instructions to the resident/business on how to operate the device and its features
- any other comments or issues.

During SPC **field audits**, in addition to all of the above, APs should also verify or determine:

- the serial number displayed on each installed SPC (where possible)
- which appliances were plugged into each SPC (at the time of the field audit)
- which sockets each of the appliances were plugged into (e.g. master, energy saving, slave, controlled, always-on).

## Document version control

The RM reference for this document is: C/12/22036

Version	Amendments made	Date published
4.0	Schedule 15 – Update to reflect regulatory amendments, including introduction of two new sub-schedules	1 July 2017
5.0	Updated to new Victorian Energy Upgrades template	21 December 2017
5.1	Phone and field audit requirements merged to remove duplication	15 January 2018