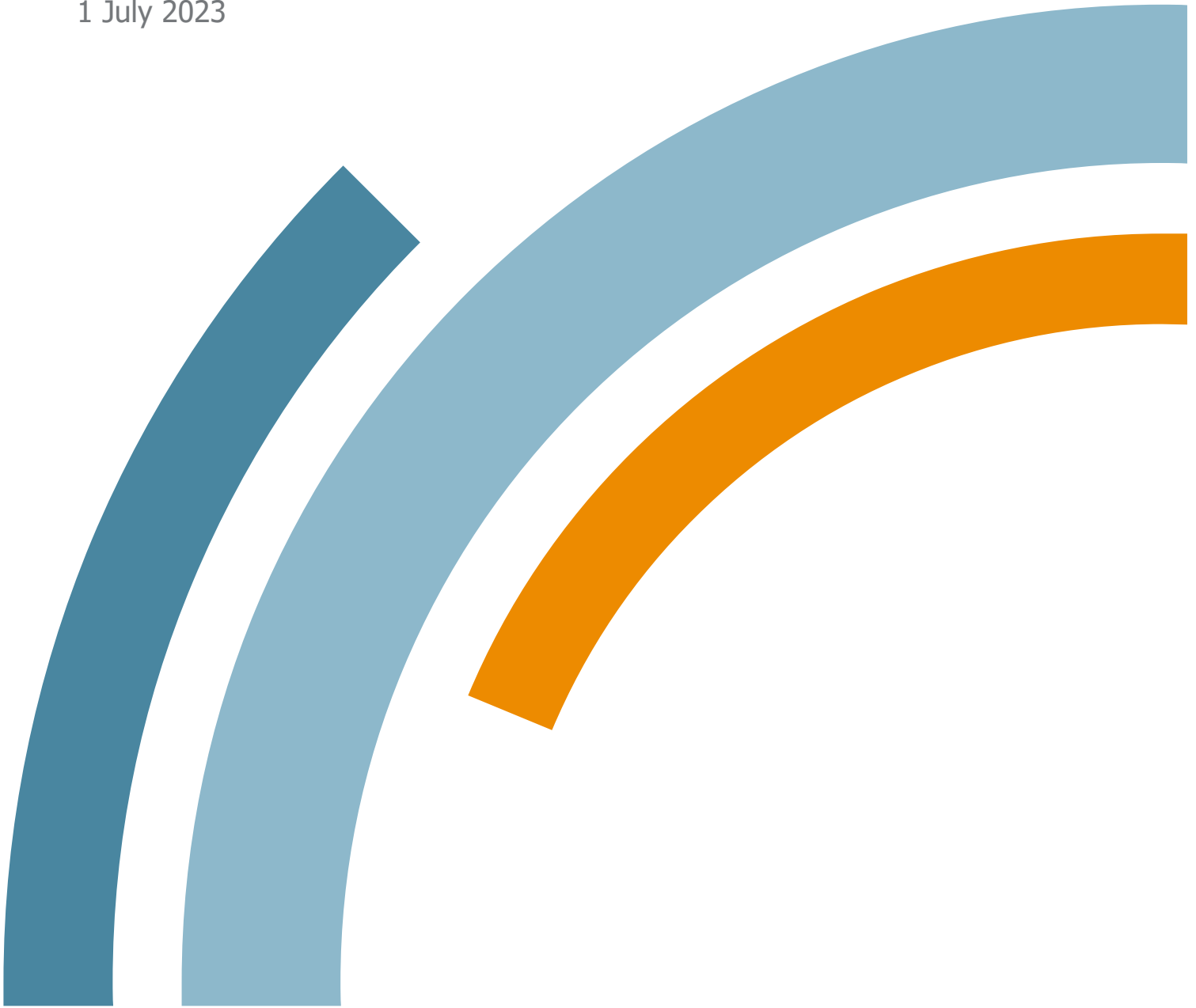


Application Guide for Accredited Persons

Version 1.0

1 July 2023



Acknowledgement

We acknowledge the Traditional Owners of the lands and waterways on which we work and live.

We acknowledge all Aboriginal and Torres Strait Islander communities and pay our respects to Elders past and present.

As the First Peoples of this land, belonging to the world's oldest living cultures, we recognise and value their knowledge, and ongoing role in shaping and enriching the story of Victoria.

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Guide overview

The objective of the Victorian Energy Upgrades (VEU) program is to reduce greenhouse gases by providing access to discounted energy efficient products and services. This guide outlines how to apply to become an accredited person (AP) under the VEU program, how to apply to renew accreditation and how to apply to vary accreditation to undertake new prescribed activities. APs may create Victorian energy efficiency certificates (VEECs).

About this guide

This guide supports applicants, on behalf of an applicant entity, to understand the application processes and requirements when:

- preparing and submitting a new application to be accredited under the VEU program
- applying for additional activities approval under their existing AP status, also referred to as a variation in existing accreditation conditions
- applying for a renewal of their existing accreditation.

Section 1: provides general information about participating in the program.

Section 2: outlines the process for lodging an application for accreditation, additional activity or renewal of accreditation.

You should also read, and be familiar with, the commission's 'Obligations and Program Guide for Accredited Persons' (available at www.esc.vic.gov.au/become-veu-accredited), particularly if applying for accreditation for the first time.

About the VEU program

The objective of the VEU program is to reduce Victoria's greenhouse gas emissions by making energy efficiency improvements more affordable for consumers and businesses and reducing long-term energy consumption. It does this by providing access to discounted energy efficient products and services through a market-based energy-efficiency certificate program.

The Essential Services Commission (the commission) administers the Victorian Energy Efficiency Target Act 2007 (VEET Act) and regulates participants in the program. Our key goal is to safeguard the integrity of the program.

Energy retailers (known as relevant entities) are required to acquire and surrender VEECs to meet annual targets set in Victorian legislation.

Summary

Accredited persons (APs) – a person or entity accredited by the commission under the program – that carry out certain energy efficiency activities in residential or non-residential premises can create VEECs. The number of VEECs able to be created is based on the greenhouse gas savings associated with the specific activity. The level of incentive or discount received by households and businesses varies depending on the market activity and VEEC price as the program is a market-based program.

Legal context for this guide

The VEU program is created by the following legislation:

- Victorian Energy Efficiency Target Act 2007 (VEET Act)
- Victorian Energy Efficiency Amendment Act 2022 (VEET Amendment Act)
- Victorian Energy Efficiency Target Regulations 2018 (VEET Regulations)
- Victorian Energy Efficiency Target (Project-Based Activities) Regulations 2017 (PBA Regulations)
- Victorian Energy Upgrades Specifications 2018 (VEU Specifications)
- Victorian Energy Efficiency Target Guidelines (VEET Guidelines)

View these documents at www.esc.vic.gov.au/veu-legislation.

The information in this publication is intended to provide general guidance only. It does not constitute legal or other professional advice and should not be relied on as a statement of the law in any jurisdiction. While the commission has made every effort to provide current and accurate information, you should obtain professional advice if you have any specific concern, before relying on the accuracy, currency or completeness of this information.

1. Introduction to applications

1.1. About becoming an accredited person

When applying for accreditation under the VEU program note that:

- your accreditation will be valid for 12 months after the date of a decision to approve your application and will need to be renewed annually to continue your participation in the VEU program
- applications for annual renewal must be submitted at least 90 days before the expiry of your accreditation
- to be granted accreditation or renewal, you will be assessed as to whether you are 'fit and proper' and 'competent and capable' to be an AP in the VEU program. In deciding whether to grant or refuse an accreditation, or renew an existing accreditation, we will consider the information and evidence available to us
- being an AP and participating in the VEU program will require your business to meet significant administrative and compliance obligations
- your compliance regime, record-keeping practices and general business processes must be of a high standard to ensure you meet both the requirements of the program and provide consumers with a high standard of service
- we will scrutinise your compliance regime and record-keeping practices during the accreditation process and when you are active in the program
- we treat compliance with the program's requirements seriously – instances of non-compliance can lead to significant financial and legal consequences for your business, and for the officers and senior managers of the applicant who were involved in non-compliance.

Ensure that you adopt business practices that are appropriate for your intended scale of participation, capabilities, and budget. Consider all options available to you for participating in the VEU program by ensuring you have a sound understanding of the program and the role and responsibilities of an AP.

If becoming an AP is not right for you, VEU program participation can occur in other ways, such as certificate trading, or by providing installation or marketing services to APs.

1.2. Before you begin your application

This document, the application form, and the VEU Registry online application tool, assume you have existing knowledge of, or have otherwise familiarised yourself with, the following aspects of the VEU program:

- the basic mechanics of the program, including the role of the commission
- your obligations as an AP
- the requirement for your fee to be paid at the time of lodging your application
- the requirement to hold a VEU administrative account and what it entitles you to do. (To apply for a VEU administrative account, use the online form at www.veu-registry.vic.gov.au)
- the nature of and method for calculating VEECs
- the nature and role of 'assigning' rights from the consumer to AP for an activity's VEECs
- the range of eligible prescribed activities, particularly those you intend to undertake
- the product approval process
- the installer approval process
- any mandatory training or qualification requirements relating to your chosen activities both in terms of the VEU program and more generally
- the VEET Act and the VEET Regulations (including the code of conduct), and other legislation relevant to your activities
- the project-based activity (PBA) Regulations and requirements, if intending to undertake project-based activities.

Please note that a VEET scheme registry account is required to be able to hold, transfer or surrender VEECs and is not the same as a VEU administrative account. A VEU administrative account provides administrative access only to the VEU Registry online portal and does not enable the holding, transfer or surrender of certificates.

For more information about the VEU program, visit www.esc.vic.gov.au/veu.

Access the application form at www.esc.vic.gov.au/become-veu-accredited.

Refer to **Appendix A** for a list of program guidance documents and forms.

1.3. VEU compliance regime

We take compliance seriously. A condition of program participation is that you will be subject to periodic audits. These audits ensure that participants maintain the necessary records and create VEECs in accordance with the requirements of the VEU legislation. Your business practices outlined in your submitted materials are key aspects of your application.

Improper creation of certificates, whether intentional or in error, can incur penalties which may lead to serious financial and legal consequences for APs.

Read more information about our compliance regime at www.esc.vic.gov.au/veu-audit-compliance.

1.3.1. Assurance audits

Every AP will be required to undertake an assurance audit at least once every two years. Independent auditors will conduct these audits at the AP's expense. The commission will publish an assurance audit schedule and provide AP's written notice, stating:

- the requirements for appointing an independent auditor to conduct the assurance audit
- the requirement for the independent auditor, when conducting an assurance audit, to comply with the matters specified in the ESC guidelines
- the matters to be covered by the assurance audit
- the required form of the audit report
- the matters to be addressed by the audit report
- the timeframe in which the assurance audit report must be provided to the commission.

1.3.2. Compliance audits

We may also conduct or require the appointment of an independent person to conduct, a compliance audit where we have reasonable grounds to suspect an AP has not complied with a provision under the VEET Act or VEET Regulations.

Before conducting a compliance audit, the AP will be provided written notice of:

- the matter(s) to be covered by the compliance audit
- the date, or dates, of the audit
- the AP's obligation to cooperate with us in relation to the conduct of the compliance audit
- requirements for the appointment of an independent auditor (if relevant).

1.4. Application and decision process

Once you have submitted a complete application form and paid the required fee, the commission makes a decision within 20 business days. This period is paused on each occasion where we request further information from the applicant and resumes only once all the requested information has been provided within our stated timeframes. The timeframe for a decision to be made can also be extended by agreement between the commission and the applicant.

To approve applications, the commission must be satisfied that all requirements are met. We must refuse an accreditation application which:

- is not submitted using the online VEU Registry
- does not provide the required information or documents
- is not accompanied by the required fee

- does not satisfy the commission that the applicant is not fit and proper or competent and capable to be accredited.

1.4.1. Incomplete applications

Where an application is incomplete, that is, it does not contain all the required information and documents, we will refuse the application. You will be given notice of the intention to refuse the application and an opportunity to submit any missing information.

Applications not containing the required information or documents will appear in the 'incomplete' queue under your 'accreditations history' screen in your VEU administrative account. You, and all users on your account identified as having an 'accreditations' role, will receive an email notification when an application is assessed as incomplete. Section 1.7 of this guide provides further information about the 'accreditations' user role.

1.4.2. Request for further information

In assessing your application, the commission may require additional information or documents be provided to consider whether the application should be approved or your accreditation renewed.

The commission may request further information from an applicant or issue a notice for further information under section 10A of the VEET Act. When a notice is issued under section 10A, it will specify the timeframe in which the requested information must be provided (not less than 14 days). The 20-business day period for the commission to process the application is paused until the requested information is received.

We may refuse an application for accreditation, or an application for additional activities, if an applicant does not comply with a notice requesting further information.

1.5. Submitting, viewing and withdrawing your application

1.5.1. Submitting your application

You must submit your application via your VEU administrative account by filling out and uploading the application form, in addition to uploading any required supporting documents.

The process for preparing and submitting an application for accreditation, additional activity and renewal of accreditation can be found in Part 2 of this guide.

1.5.2. Viewing your application

You can view the details of your submitted applications via 'Accreditation History' in your VEU administrative account.

- View approved applications in your 'approved' status queue.
- View applications still to be assessed in your 'pending assessment' status queue.
- View applications that have been returned with a request for further information in your 'incomplete' status queue.

1.5.3. Withdrawing your application

You can voluntarily withdraw your application for accreditation at any stage of the assessment process. However, please note:

- Withdrawal of an application at any stage of the assessment is final and considered to be a cancellation of your application. Should you wish to become accredited you will need to submit a new application.
- Withdrawal of your application may not result in a refund your accreditation application fee.
- Withdrawing an application will not negatively affect any subsequent applications you submit.

1.6. Important things to remember

1. You need the 'accreditations' user role within your VEU administrative account to lodge an application

The 'primary user' of your VEU administrative account has access to all functions relevant to APs, including the 'accreditations' role. That means they can perform tasks related to accreditations. For example, submit an application for accreditation. They can also assign the 'accreditations' role to other account users based on your organisational needs.

2. Complete your application in one sitting

The application portal does not permit you to save an incomplete application and return to it later. Before you begin, ensure you have the application form **and** all documentation available to upload to the portal.

3. Do not click 'submit' until you have completed your application

When you click 'submit', your application will be lodged with us and you will be unable to amend it. Do not click 'submit' until you have completed every tab and attached all the required documentation.

4. Only use the 'notes' sections for brief comments, if required

Your application should comprise your application form and supporting documents. The text boxes in the accreditations tool are for brief notes only and all information required by the application form should be included in the form itself.

5. Processing timeframes

A decision on the outcome of your application is required to be made within 20 business days from when a complete application is received, and the required fee paid.

This period is paused on each occasion where we request further information from the applicant or applicant entity and resumes only once all the requested information has been provided within our stated timeframes.

The timeframe for a decision to be made can also be extended by agreement between the commission and the applicant or applicant entity.

6. Respond to requests for further information (RFI) in a timely fashion

If we send you a request for further information (RFI) under section 10A of the VEET Act, you must respond by the requested date stated in the RFI (at a minimum, that period will not be less than 14 business days from the date of issue). If you do not respond by the stated date your application may be refused.

2. Applying for accreditation, additional activity or renewal of accreditation

Accreditation under the VEU program allows you to create Victorian energy efficiency certificates (VEECs) and submit them for registration. You can create VEECs by undertaking activities identified within the program which help Victorian energy consumers to reduce their energy consumption and complying with the program's requirements.

All AP accreditations expire 12 months after the date on which they are granted. All APs must renew their accreditation status annually, if they wish to continue participating in the VEU program. APs must ensure that applications for renewal are received at least 90 calendar days before the date of expiry.

To lodge your application, you need to:

- prepare your documentation and have it ready for upload
- log into your VEU administrative account at www.veu-registry.vic.gov.au
- open a new application for VEU accreditation, variation of accreditation conditions (additional activity) or renewal of accreditation
- upload all required documentation to the relevant tabs.

2.1. Application forms

You must have access to an active VEU administrative account and submit your application using the [VEU Accreditation Application Form](#). This applies if you are seeking accreditation, renewal of accreditation and/or a seeking a variation in accreditation conditions, including additional activities.

Completion of the application forms is external to your VEU administrative account – the form must be downloaded for use and then attached at the time of submission via the online application tool.

Beyond some minimum requirements in terms of required content, the style and detail of your upload documentation is a matter for your organisation to decide, based on your needs and the scale of your operations. For example, you might have a single operations manual that covers all aspects of your organisation's business, or you might use a set of discrete process documents, or some other arrangement entirely. Whatever approach you take, we must assess whether your documentation meets the requirements of the VEU program.

The accreditation application form is divided into two parts:

- **Part A** – comprises the general application requirements for accreditation, including ‘fit and proper person’ and ‘competence and capability’ requirements. The sections of Part A required for completion will depend on the type of application being submitted (refer below for details).
- **Part B** – applies to the VEU activity you are seeking accreditation for as part of your application, specifically:
 - Appendix A for competence and capability requirements – applicable to all activities (except those identified in appendices B to H)
 - Appendix B for public lighting upgrades (activity 35)
 - Appendix C for non-building based lighting upgrades (activity 27)
 - Appendix D for gas efficiency activities (activities 37–42)
 - Appendix E for cold room upgrades (activity 43)
 - Appendix F for commercial and industrial water heater (activity 44)
 - Appendix G for home energy rating assessment upgrades (activity 45)
 - Appendix H for project-based activities
 - Appendix I for template – Letter of Undertaking.

- Applicants seeking an initial accreditation as an AP or a renewal of accreditation must complete all sections of Part A and the appendices (Part B) relevant to the prescribed activities the applicant seeks to be approved to undertake.
- In addition, applicants applying for accreditation under public lighting upgrade (activity 27), non-building based lighting upgrade (activity 35), gas efficiency activities (activities 37-42), cold room upgrades (activity 43), commercial and industrial heat pump water heater (activity 44), home energy rating assessment upgrades (activity 45) or project-based activities (PBAs) will be required to complete questions outlined in appendices B–H.
- APs seeking to add additional prescribed activities to their accreditation are required to complete sections 1, 2, 3 (question 9), 4, 5, 6 and 8 of Part A and the appendices relevant to the prescribed activities the applicant seeks to be approved to undertake.

The following information, set out in sections that correspond to the application form, provides guidance to applicants about the information and documents required to be submitted to enable an assessment to be undertaken and a subsequent decision to be made as to approve your application for accreditation.

2.1.1. Part A – Sections 1 & 2: Applicant details

For clarity, the **applicant** refers to the individual, or the corporate entity that will be registered as an AP and the name applied to the corresponding VEU account.

Applications may be prepared on behalf of an applicant entity by a person that is an officer or senior manager of the applicant entity.

The type of application being submitted must be selected by ticking the appropriate box:

- initial accreditation – if you are applying for a new accreditation
- variation of accreditation condition – if you are applying for additional activities
- renewal of accreditation – if you are applying to renew your accreditation.

Questions 2 to 7 is about who is preparing your application, specifically:

- the VEU account name (the legal name of the applicant entity)
- the full name, job title, email and contact details of the person filling out the form
- a full list of activities (and corresponding activity numbers) for which accreditation is sought and proposed to be undertaken over the following 12 months
 - for applications for accreditation, or renewal of accreditation, the applicant must identify all activities and their corresponding activity number the applicant seeks approval to undertake (further information is available from our [website](#))
 - for APs seeking approval to undertake additional activities, the applicant must identify which additional activities the applicant entity is seeking to undertake.

2.1.2. Part A – Section 3: Applicant entity details

In this section you must provide information about the applicant entity including the organisation's overview and the relationship with scheme participants.

Questions 8 to 14 provide information about the applicant entity. This includes:

- The full legal name of the applicant entity as registered with the Australian Business Register. You must upload a copy of ABR and/or ASIC Connect record, which must be less than 30 days old from the time of upload.

- The intended business model. You must identify the models from the list (as many as applicable) that match the intended model of implementation of the applicant entity.
- Submission of a detailed organisation chart and other information/ documents. The statement or organisation chart must record:
 - the corporate structure (including any parent and related companies within the meaning of the Corporations Act 2001 (Cth))
 - all roles related to VEU activities
 - names and job titles of officers and/or senior managers responsible for the management and delivery of VEU activities and governance and compliance with the VEU program’s requirements
 - any personnel or roles based outside Victoria (the statement or organisation chart should explicitly state the number of personnel or roles based outside Victoria)
 - how any contractors or sub-contractors fit into the VEU related parts of the applicant entity’s structure.
- Documents concerning the training, qualifications and relevant experience of key personnel, as specified in the form. These must include information about past experience in the VEU program (if any) and any relevant licences, qualifications and accreditations.
- An indication of the applicant entity’s primary target market. For example, regional SMEs, residential homes, and sporting complexes.
- An estimate of the expected number of VEECs to be registered (annually), annual VEEC generated revenue and the level of VEEC revenue contributing to the applicant entity’s annual total revenue. All applicants must provide the calculations and assumptions for each activity:
 - for applicants applying for accreditation, provide a business plan and reference the relevant pages
 - for applicants applying for renewal of accreditation, estimates may be derived from historic data. A Profit and Loss (P&L) statement to verify expected annual revenue or annual report with reference to the relevant pages.
- The proportion of VEECs generated by third parties through forward contracts.

Evidence of the calculations and assumptions applied for each activity must be provided in addition to highlighting relevant pages within a business plan and/or Profit and Loss (P&L) statement.

Questions 15 to 17 require information about the scheme participants, either external third parties or employees, that support the applicant entity by undertaking prescribed activities (lead generation and/or installation) related to the creation and registration of the VEECs.

We require an understanding of your relationships with scheme participants who, in the majority of cases, will be the service providers engaging with consumers on your behalf. Consequently, we require information about them, including their name, contact details, services provided, their location and type of employment and method of remuneration.

It is an AP's responsibility to ensure that scheme participants undertaking actions on an AP's behalf, such as lead generation or installation, comply with the code of conduct (Schedule 6 of the VEET Regulations).

Questions 18 and 19 require information about the lead generation methods propose to use, and the details of the lead generators including their company names and location.

Questions 20 and 21 require you to provide a Letter of Consent where the applicant entity is a participant in a prescribed greenhouse gas scheme, as set out in the VEET Regulations and separate to VEU, and a Letter of Undertaking (as per Appendix 9).

2.1.3. Part A – Section 4: Fit and proper person requirements

Questions 22 to 35 require you to demonstrate the applicant entity is 'fit and proper' to be granted accreditation under the program.

The concept of a 'fit and proper person' takes its meaning from its context. In considering whether an applicant is a fit and proper person, we will have regard to the applicant's and its officers' honesty, integrity and reputation. We will consider those matters set out in section 10B of the VEET Act, which includes matters in relation to prior criminal conduct as well as other improper and adverse conduct.

When providing your responses, please note the following:

- the term 'officer' includes all directors and company secretary.
- the term 'senior manager' refers to persons in positions who make, or participate in making, decisions that affect the whole of, or a substantial part of, the applicant's business.

For example, chief executive officer, chief financial officer, general manager.

All applications **for accreditation** must address all questions in this section of the form unless the applicant entity has been assessed previously under a 'fit and proper person' set of criteria. Additionally, you must also provide a completed statutory declaration for each officer and senior manager of the applicant entity declaring that they have taken all reasonable steps to ensure the information provided in the application pertaining to their individual circumstances is complete, true and correct.

2.1.4. Part A – Section 5: Competence and capability requirements

The applicant must be assessed and determined to be competent and capable to be accredited. This requires the commission to assess whether the applicant has the required skills and expertise to participate in the VEU program as an AP.

The commission will have regard to the matters set out in section 10C of the VEET Act, which will include examining the skills and expertise of the applicant as a whole, in addition to the skills and expertise of key personnel outlined in Question 10 of the form.

It will include examining whether the applicant entity has appropriate licensing other regulatory approvals, in addition to ensuring processes are in place to be assured that contractors have appropriate and current professional accreditations.

Where possible, the past performance of an applicant entity or scheme participant in undertaking a prescribed activity may be assessed in addition to policies and practices to ensure all approved prescribed activities are undertaken in compliance with relevant occupational health and safety legislation.

Questions 36 and 37 require a description of the applicant entity's relevant industry experience, both in general but also specific to the VEU program, in addition to including supporting evidence.

Questions 38 to 40 require information about the applicant entity's tools and processes to record, retain and manage licensing and regulatory approvals for the applicant entity, scheme participants and any relevant personal, with the VEU program.

Question 41 requires the applicant entity to provide the steps the applicant entity will take to ensure compliance with occupational health and safety requirements.

Question 42 requires the applicant entity to describe the applicant entity's record-keeping policy relating to all your business processes that complies with the program's rules, including the VEU code of conduct.

The statement must include a description of how records are stored and the methods of collecting information associated with the following:

- lead generation and marketing
- installations (e.g., assignment forms, contracts)
- decommissioning (including internal records and any third-party receipts)
- stock management (including stock reconciliation and purchase invoices)
- audits conducted by the applicant entity

- the use of job numbers, or similar tool, to reconcile documents associated with individual installations
- security, user access, and backup
- employees (e.g., records such as contracts, ID, police checks, training certification)
- applicant entity's record-keeping policy, including evidence of record-keeping procedures and requirements specific to scheme participants.

Question 43 requires the applicant entity to provide any certifications or qualifications that are considered to be relevant but have not been covered in the rest of the application form, for example, is the applicant ISO4801 (OH&S), ISO9001 (Quality Management) and/or ISO14001 (Environmental Management) certified.

Question 44 and 45 require the applicant entity to provide information on the applicant entity's training delivery model and copies of the training materials that will be used to deliver the training to its staff and/or scheme participants.

The training material should address the following topics:

- The fundamental design and operation of the VEU program, including the role of the commission, APs and relevant entities, and an explanation of the key concepts of 'prescribed activity', 'assignment of rights' and 'VEEC'.
- The requirements to comply with the VEU code of conduct, by the applicant entity and its scheme participants, at the lead generation, marketing, contracting, installation and dispute resolution stages.
- The process the applicant entity's scheme participants must use to determine a client or consumer's eligibility to participate in the program.
- The process the applicant entity's scheme participants must use to ensure they conduct a compliant installation.
- The process the applicant entity's scheme participants must use to fulfil relevant compliance requirements, such as those related to decommissioning and record keeping.
- Any relevant information about the products/technology that the applicant entity's scheme participants should be equipped with.

If you are applying for an additional activity, you must answer additional 'competence and capability' activity specific questions relevant to the activity that you are applying for (refer to Part B of the application form).

2.1.5. Part A – Section 6: Code of Conduct

Questions 46 and 47 require you to provide documentary evidence, including templates, that demonstrate how the systems the applicant entity has, or will have, in place will ensure compliance

with the code of conduct and Australian Consumer Law for the applicant entity and its scheme participants.

Questions 48 to 50 require information on the applicant entity's complaints management process including processes relating to after sales service and handling refunds.

If you are applying for a renewal of accreditation, for **question 50A**, you must also provide a detailed report on the complaints that the applicant entity has received over the preceding 12 months while operating in the VEU program.

Questions 51 to 53 require you to provide information and supporting evidence on the applicant entity's process for verifying employees and scheme participants compliance with the VEU program requirements, including management of identified non-compliance. You must also tell us about the data validation methods and upload a copy of the applicant entity's audit scripts, if applicable.

2.1.6. Part A – Section 7: Consumer management

Question 54 requires you to provide the applicant entity's processes for communicating information about products and associated warranties to consumers as required by the VEU code of conduct. You must also tell us about the applicant entity's data protection measures and its privacy policy.

2.1.7. Part A – Section 8: Documents to be supplied

In addition to providing documentation that specifies key processes and policies to demonstrate the ability to comply with the requirements of the VEU program, you must provide the following:

- A statutory declaration from each officer and senior manager of the applicant entity declaring that the information pertaining to their individual circumstances is true and correct.
 - The statutory declaration must include the person's Director Identification Number (if they have one).
- All mandatory insurances as follows:
 - public liability insurance
 - products liability insurance and the inclusions under the policy
 - workers compensation insurance (where the AP will not be acting as a sole trader).
- A copy of the assignment form or another document intended to be provided to consumers. (This last requirement is for new applicants only.)

We will assess your internal documentation to confirm your understanding of the VEU program's requirements and your level of preparedness to comply with the program's requirements.

2.1.8. Part B – VEU activity application

Part B of the accreditation application form enables the applicant entity to respond to the information requirements specific to the activities being applied for and intended to be undertaken when participating in the VEU program.

You are required to complete at least one of the appendices provided in Part B of the application form depending on which activity you are applying to be accredited for as follows:

- Appendix A: Competence and capability requirements for all activities (except those specific to appendices B–H)
- Appendix B: Public lighting upgrade (activity 27)
- Appendix C: Non-building based lighting upgrades (activity 35)
- Appendix D: Gas efficiency related upgrades (activity 37-42)
- Appendix E: Cold room upgrades (activity 43)
- Appendix F: Commercial and industrial heat pump water heaters (activity 44)
- Appendix G: Home energy rating assessment (activity 45)
- Appendix H: Project-based activities (PBAs)
- Appendix I: Template – Letter of Undertaking

2.1.9. Part B – Appendix A: Competence and capability requirements

This appendix is applicable to all activities, except for those identified in appendices B–H.

The questions and evidentiary requirements in this section of the form are additional to the skills and experience responses provided for Section 5.1 of Part A.

Responses are required for each activity being applied for.

- **Eligibility:** For this question, you must upload a copy of the step-by-step process that the applicant entity and its scheme participants will follow to confirm the eligibility requirements of the activity or activities intended to be undertaken. The process must comply with the VEET Regulations for each VEU activity for which the applicant entity is applying.
- **Installation:** For this question, you must upload a copy of the step-by-step process the applicant entity and its scheme participants will follow to ensure that installations comply with the requirements as per VEET Regulations for all VEU activities that the applicant entity is applying for.

The process does not need to cover all technical aspects of conducting installations, but the steps taken to ensure compliance with program requirements is achieved, for example, the process must:

- be included in internal documentation (e.g. an operations manual) designed to be used by the applicant entity's scheme participants
 - make reference to how the installer will comply with the relevant activity requirements defined by the regulations, for each VEU activity for which the applicant entity is applying
 - make reference to how the installer will comply with the relevant activity requirements set out in the activity guide for each VEU activity for which the applicant entity is applying.
- **Decommissioning:** For this question, if you are applying for the activity/ies that require a product to be decommissioned, you must upload a copy of the step-by-step process that the applicant entity and its scheme participants will follow to satisfy the specific decommissioning requirements of the activity/ies the applicant entity intends to undertake. You must explain how the storage, collection, transport and deposit of decommissioned products will comply with the *Environment Protection Act 2017*.

The process must comply with the relevant activity requirements defined by the VEET Regulations, for each VEU activity for which the applicant entity is applying, noting that the process must:

- be included in internal documentation (e.g. an operations manual) designed to be used by the applicant entity's scheme participants
- make reference to how the installer will comply with the relevant activity requirements defined by the regulations, for each VEU activity for which the applicant entity is applying
- make reference to how the installer will comply with the relevant activity requirements set out in the activity guides for each VEU activity for which the applicant entity is applying
- include the practical steps taken to source and retain documentary evidence of decommissioning (e.g. recycling/scrap metal invoice evidencing weight of products decommissioned)
- include the practical steps the applicant entity and its scheme participants will take to comply with all relevant requirements set by the Environment Protection Authority in their Waste Management Policy (E-waste).

2.1.10. Part B – Appendix B: Public lighting upgrade (activity 27)

These questions require you to describe the type of public lighting upgrades the applicant entity intends to undertake and state if the applicant entity is a relevant body. For example, an energy distribution company, council or responsible road authority (if applicable).

Additionally, you are required to provide us information about the applicant entity's policies and procedures for public lighting upgrade activities.

You must also outline how the applicant entity's systems incorporate the requirements of AS/NZS 1158. The statement must explain the applicant entity's lighting design process and how the applicant entity's systems ensure compliance with the standard. When the applicant entity's lighting designs deviate from AS/NZS 1158, please explain how the applicant entity justifies deviation(s) in accordance with the standard, and how the applicant entity sets out the reasons why the deviation(s) are justified.

2.1.11. Part B – Appendix C: Non-building based lighting upgrade (activity 35)

These questions require you to describe the type(s) of non-building based lighting upgrades the applicant entity intends to undertake.

You must answer all questions in this section and are required to provide us information about the applicant entity's policies and procedures specific to non-building based lighting activities.

Additionally, the questions require information about the applicant entity's quality and safety management systems and training provision specific to non-building based lighting upgrade activities. Your response must include how the applicant entity ensures third party safety and quality management systems are in place and that the installations are fit for purpose.

You must also outline how the applicant entity's systems incorporate the requirements of AS/NZS 1158 and/or AS 2560.

2.1.12. Part B: Appendix D – Gas efficiency activities (activities 37-42)

These questions require you to provide a statement describing the type of gas efficiency upgrades the applicant entity intends to undertake.

Additionally, applications must include the applicant entity's policies and processes for gas efficiency upgrade activities, specifically:

- the decommissioning and recycling of removed equipment in accordance with the regulations
- how the applicant entity will comply with waste management requirements
- how the applicant entity will ensure that the baseline environment for an installation has not been altered prior to the installation (i.e., products replaced as part of an installation were not installed for the purposes of being decommissioned as part of the installation)
- data validation and quality assurance methods of gas efficiency upgrades.

Information is also required about the applicant entity's quality and safety management systems and training provision specific to gas efficiency upgrade activities. Your response must include how

the applicant entity ensures third party safety and quality management systems are in place and that the installations are fit for purpose. This includes acknowledging your obligation in relation to health and safety management as outlined below in addition to providing information on how you will ensure compliance with standards and competencies relating to minimum thermal efficiency requirements of activity 37 and/or activity 38.

Note: Prescribed activities must be undertaken in accordance with requirements set out in the VEET Regulations and VEU Specifications. Further, under 15(c) of the Victorian Energy Efficiency Target Regulations 2018 (the VEET Regulations), VEECs cannot be created if the prescribed activity was not undertaken in accordance with the provisions of the *Electricity Safety Act 1998*, the *Gas Safety Act 1997*, the *Occupational Health and Safety Act 2004*, the *Building Act 1993* or regulations made under those acts.

2.1.13. Part B: Appendix E – Cold room upgrades (activity 43)

These questions require you to provide a statement describing the type of cold room upgrades the applicant entity intends to undertake.

Additionally, you are required to provide the applicant entity's policies and processes for cold room upgrade activities including:

- the decommissioning and recycling of removed equipment in accordance with the regulations
- how the applicant entity will comply with waste management requirements
- how the applicant entity will ensure that the baseline environment for an installation has not been altered prior to the installation (i.e., products replaced as part of an installation were not installed for the purposes of being decommissioned as part of the installation)
- data validation and quality assurance methods for cold room upgrade activities.

You will also need to include the applicant entity's safety management systems and how they relate to cold room activities, including an acknowledgement of your obligation in relation to health and safety management. Your response must include how the applicant entity ensures that third party installers and contractors have adequate safety management systems in place (where applicable).

Note: Prescribed activities must be undertaken in accordance with requirements set out in the VEET Regulations and VEU Specifications. Further, under 15(c) of the Victorian Energy Efficiency Target Regulations 2018 (the VEET Regulations), VEECs cannot be created if the prescribed activity was not undertaken in accordance with the provisions of the *Electricity Safety Act 1998*, the *Gas Safety Act 1997*, the *Occupational Health and Safety Act 2004*, the *Building Act 1993* or regulations made under those acts.

2.1.14. Appendix F: Commercial and industrial water heater activity (activity 44)

These questions require you to provide a statement describing the type of commercial and industrial heat pump/water heater upgrades the applicant entity intends to undertake.

Additionally, you are required to provide the applicant entity's policies and processes for commercial and industrial water heater upgrade activities including:

- the decommissioning and recycling of removed equipment in accordance with the regulations
- how the applicant entity will comply with waste management requirements
- how the applicant entity will ensure that the baseline environment for an installation has not been altered prior to the installation (i.e., products replaced as part of an installation were not installed for the purposes of being decommissioned as part of the installation)
- data validation and quality assurance methods for commercial and industrial water heater upgrade activities.

You will also need to include the applicant entity's safety management systems and how they relate to commercial and industrial heat pump water heater activities. Your response must include how the applicant entity ensures that third party installers and contractors have adequate safety management systems in place (where applicable).

You must acknowledge your obligation in relation to health and safety management as outlined below in addition to requiring you to provide information on how you will ensure compliance with standards and competencies relating to design and construction, decommissioning requirements of refrigerating systems and heat pumps.

Note: Prescribed activities must be undertaken in accordance with requirements set out in the VEET Regulations and VEU Specifications. Further, under 15(c) of the Victorian Energy Efficiency Target Regulations 2018 (the VEET Regulations), VEECs cannot be created if the prescribed activity was not undertaken in accordance with the provisions of the *Electricity Safety Act 1998*, the *Gas Safety Act 1997*, the *Occupational Health and Safety Act 2004*, the *Building Act 1993* or regulations made under those acts.

2.1.15. Appendix G: Home energy rating assessment (activity 45)

These questions require you to describe the nature of the commercial relationship between the applicant and the Scorecard assessors who will be performing VEU home energy rating assessments.

Additionally, you are required to provide a copy of any template contract that you intend to use, in the engagement of Scorecard assessors.

You will also need to include a copy of the applicant's policies and procedures to ensure compliance with Victorian Energy Efficiency Target Regulations 2018 (VEET Regulations) and Victorian Energy Upgrades Specifications 2018 (VEU Specifications) for the home energy rating assessment activity. To be complete, the statement must include policies and procedures to address how you will:

- determine the eligibility of an energy consumer's premises
- contract and manage the accredited Scorecard assessors
- perform quality assurance checks of Scorecard information prior to submitting activities for VEEC creation.

You are also required to upload a copy of the applicant's policies and procedures to record, store and manage consumer information in accordance with privacy protocols (i.e., managing consumer data in line with consumer consent in the VEEC assignment form and Scorecard privacy and conflict of interest statement form).

Additionally, you must upload a copy of the applicant's certificate of currency and required insurance.

2.1.16. Appendix H: Project-Based Activities (PBA)

Participation in project-based activities (PBA) will require the publication of some project details on the VEU Registry.

Projects with approved project plans will be listed on the public Register of Approved Project Plans. The register will contain the project name, the name of the AP, the location, the methods used to abate greenhouse gases, and any other information that the commission considers appropriate.

If an AP has concerns about sharing information which they consider to be commercial-in-confidence, they should discuss these concerns with the commission before lodging a project plan.

These questions require you to provide information about the scope of potential project-based activity upgrades the applicant entity intends to undertake.

This question requires you to provide us information about the applicant entity's implementation model for PBAs. You must provide a detailed statement that describes how the applicant entity intends to create VEECs under PBA. The statement must explain how all aspects of a PBA project will be undertaken, including who will be engaging with the energy consumer, who will be

undertaking work for the purposes of the project and any commercial arrangements between your organisation and other relevant parties.

Additionally, you must provide information about the applicant entity's quality and safety management systems and how they relate to project-based activities. Your response must include how the applicant entity ensures that third party installers and contractors have adequate safety management systems in place (where applicable).

You must acknowledge your obligation in relation to health and safety management as outlined below in addition to requiring you to provide information on how you will ensure compliance with standards and competencies relating to design and construction, decommissioning requirements of project-based activities.

Prescribed activities must be undertaken in accordance with requirements set out in the VEET Regulations and VEU Specifications. Further, under 15(c) of the Victorian Energy Efficiency Target Regulations 2018 (the VEET Regulations), VEECs cannot be created if the prescribed activity was not undertaken in accordance with the provisions of the *Electricity Safety Act 1998*, the *Gas Safety Act 1997*, the *Occupational Health and Safety Act 2004*, the *Building Act 1993* or regulations made under those acts.

2.2. Collating your documentation

2.2.1. Documentation requirements

Before you submit any documentation to the VEU Registry online application tool, collate, and save the required documentation (relevant to your application type) outlined in Table 1 on your computer.

Table 1: Accreditation document requirements

	Documentation	Details	Upload to
1.	A completed application form	See the application form for more information	Tab 1 - Select Activities
2.	An organisational chart (or equivalent statement)	See the application form for more information	Tab 2 - Business/ Activity Model
3.	Copy of ABR and/or ASIC Connect record	See the application form for more information	Tab 2 - Business/ Activity Model
4.	Resumes (or similar) of key personnel	See the application form for more information	Tab 2 - Business/ Activity Model
5.	Contracts or Contract template provided to any employees and/or third-party	See the application form for more information	Tab 3 - Contractual Arrangements

	contractors/sub-contractors engaged by the application entity as scheme participants		
6.	Relevant skills and experience (statement)	See the application form for more information	Tab 5 - Competence and Capability Requirements
7.	Register of relevant licences, regulatory approvals and accreditations	See the application form for more information	Tab 5 - Competence and Capability Requirements
8.	Copies of policies and procedures relating to licencing and regulatory approvals	See the application form for more information	Tab 5 - Competence and Capability Requirements
9.	Workplace OH&S policies and procedures	See the application form for more information	Tab 5 - Competence and Capability Requirements
10.	An explanation of your record-keeping policy	See the application form for more information	Tab 5 - Competence and Capability Requirements
11.	Training materials	See the application form for more information	Tab 5 - Competence and Capability Requirements
12.	Process for determining eligibility of premises (if relevant)	See the application form for more information	Tab 5 - Competence and Capability Requirements
13.	Process for undertaking installations (if relevant)	See the application form for more information	Tab 5 - Competence and Capability Requirements
14.	Process for decommissioning (if relevant)	See the application form for more information	Tab 5 - Competence and Capability Requirements
15.	Process to comply with the VEU code of conduct (as outlined in Schedule 6 of the VEET Regulations)	See the application form for more information	Tab 6 - Code of conduct Requirements
16.	Documents provided to consumers to meet VEU code of conduct requirements (as outlined in Schedule 6 of the VEET Regulations)	See the application form for more information	Tab 6 - Code of conduct Requirements
17.	Phone audit scripts (if relevant)	See the application form for more information	Tab 6 - Code of conduct Requirements
18.	Field audit scripts (if relevant)	See the application form for more information	Tab 6 - Code of conduct Requirements
19.	Internal documents related to compliance and quality assurance	See the application form for more information	Tab 6 - Code of conduct Requirements
20.	Privacy policy (if relevant)	See the application form for more information	Tab 6 - Code of conduct Requirements

21.	Statutory declaration	See the application form for more information	Tab 7 - Documents for Approval
22.	A signed Letter of Consent	See the application form for more information	Tab 7 - Documents for Approval
23.	A signed Letter of Undertaking	See the application form for more information	Tab 7 - Documents for Approval
24.	Evidence of mandatory insurance coverage	See the application form for more information	Tab 7 - Documents for Approval
25.	Assignment forms (new applicants only)	See the application form for more information	Tab 7 - Documents for Approval

2.2.2. How to upload your documents

Upload supporting materials as a single document per tab

For example, under the competence and capability requirements tab, upload supporting materials addressing your various processes and policies (e.g. installation, eligibility, decommissioning etc.) as one document. The exception is documents to be uploaded under Tab 7 (Documents for Approval). These documents must be submitted individually.

Adhere to the following naming convention for uploaded documents

[VEU account name] – [section/tab/document name] – [version number] – [date – YYYYMMDD]

For example: ACME Electrical – processes & policies – v1.0 – 20221201

Delete superseded documents when uploading updated versions in response to an RFI

For example, the updated document from the example used above would be 'Acme Electrical – processes & policies – v2.0 – 20221213'.

Attach the updated document to the 'Processes and Policies' tab and delete the existing attachment (e.g., 'Acme Electrical – processes & policies – v1.0 – 20221201').

Attach the supporting documents to the corresponding tab as detailed in section 2.1.1

Do not attach updated documents to the 'Select activities' tab when responding to an RFI.

Failure to adhere to the above instructions may result in assessment delays.

2.3. Application process

To lodge your application:

- click on the 'New Accreditation' menu item in your VEU administrative account

- select 'Accreditation Application' if you are applying for a new accreditation
- select 'Variation of accreditation condition' if you are applying for an additional activity

2.3.1. Stage 1: Uploading your documentation

On the first tab you are required to select the activities you wish to undertake. You should then step through the tabs and upload the documents as per the instructions in each tab.

When all tabs have been completed you can click on the 'submit' button at the bottom of the accreditations page. Complete the application process by accepting the application's terms and conditions.

You will receive an application identification number and your application will now be viewable under the 'accreditations history' features located in the left-hand menu on the portal. Your application status will be 'Submitted'.

2.3.2. Stage 2: Invoicing

We will email you an invoice for the applicable accreditation fee. This fee is required to be paid before we will commence assessing your application.

2.3.3. Stage 3: Submission

After you submit your application and pay the required fee, your application is considered complete and assessment will commence. We will process your application within 20 business days unless that period is extended through agreement between the applicant and the commission or as a result of any additional requests from the commission to provide additional information.

2.3.4. Stage 4: Initial assessment

We will make an initial assessment of your application to confirm it is complete. If the application is materially incomplete, we will advise you of this and may refuse your application if the information is not promptly provided.

Where the application form otherwise contains clear omissions, we will request further information from you. The 20-business-day processing period is paused until the requested information is received.

2.3.5. Stage 5: Request for further information

We may request that you provide further information relevant to the commission's assessment of your application. Where we do so we will make that request in writing and identify the time by

which that information must be provided (not less than 14 business days). The time for the processing of the application does not accrue while this information is pending.

2.3.6. Stage 6: Assessment

The assessment of your application involves several steps.

Assessment of the information provided

We will review the information provided in the application form to assess the applicant entity's ability to comply with the program's requirements.

Additional information

We may review other sources of information which may include:

- Review of information held by the commission about the applicant (in particular for renewal of accreditation applications).
- Using information from ASIC to identify other companies that individuals named in your application have been involved with or continue to be involved with.
- Checks whether any individuals named in your organisation are currently or formerly involved with another AP as an installer or an account user.
- Researching your involvement and compliance history in similar schemes, and compliance with laws, either using publicly available information or under [formal information sharing arrangements](#) with other regulators.

2.3.7. Stage 7: Notice of approval or refusal

If approved, a written notice of the commission's decision to approve your application will be provided. This notice will identify the date of commencement of accreditation, the date of expiry and the date by which you must apply for renewal of accreditation. The notice will also identify the prescribed activities for which accreditation is granted.

If refused, written notice of the commission's decision to refuse your application will be provided.

2.3.8. Stage 8: Updating your public register information

Following receipt of a notice that your application has been approved, log into your account and select the information you want to publish on the public '[Register of APs](#)', such as:

- activities you undertake
- areas you service
- the type of service you offer

- benefits you offer to consumers.

2.3.9. Stage 9: Uploading your VEEC creations

Based on your assigned risk rating and the risk profile of the activities you undertake, we will tailor the frequency and type of documentation you need to submit to verify your VEEC creation claims.

For activities identified by the commission as having a 'high risk' of non-compliance with the program's requirements, we will have communicated to you your required audit percentage. You will need to submit these audit results as part of your VEEC creation claims for these activities.

In addition, we may also request other documentation to verify any of your VEEC creation claims. Other documentation may include assignment forms, compliance certificates and evidence of decommissioning. We will review your early VEEC creation claims closely to verify your claims are undertaken in compliance with the program requirements. As we develop confidence in your VEEC creation claims, we will typically request supporting documentation less frequently. However, where reviews undertaken reveal a pattern of non-compliance, your VEEC creation claims may be subject to further scrutiny.

2.4. Reviewing a decision

2.4.1. Internal review

If we refuse an application for accreditation or impose conditions on accreditation and you disagree with our decision, you may request an internal review. The request must be made in writing within 30 business days of the commission making a decision regarding the application and accompanied by the required fee.

The request should set out why you disagree with our decision and any supporting documents you consider are relevant to the review of the decision.

We must reconsider the decision and either confirm, vary or set aside the decision within 40 business days of receiving the request for internal review.

You will be provided with notice of a decision following the internal review that will include a statement of reasons relating to the decision.

2.4.2. Review by VCAT

You may apply to the Victorian Civil and Administrative Tribunal (VCAT) for a review of the internal review decision. Your application must be made within 28 business days of the later of either:

- the internal review decision; or
- if you requested a statement of reasons for the decisions from the internal review panel (under section 45 of the *Victorian Civil and Administrative Tribunal Act 1998*), the day:
 - the statement of reasons was given to you; or
 - you were informed that a statement of reasons will not be given [under section 46(5) of the *Victorian Civil and Administrative Tribunal Act 1998*].

You cannot seek a review at VCAT until you have sought an internal review and received written notice of our decision.

Further information on how to apply to VCAT for a review of a decision can be found at www.vcat.vic.gov.au

Appendix A: Key resources

Resource	Description
Obligations and Program Guide for Accredited Persons	This document provides information about the VEU program, obligations as an AP and guidance on creating VEECs. It must be read in conjunction with the relevant activity guide(s).
VEU Accreditation Application Form	This application should be used when applying for accreditation to undertake activities under the VEU program (aside from project-based activities, public lighting upgrades and non-building based lighting upgrades, gas efficiency, cold room and commercial and industrial heat pump water heater).
Water Heating and Space Heating/Cooling Activity Guide	This document summarises all key requirements (activity, product, training/licensing, eligible environments and installation limits, and evidence) for activities 1, 3, 5, 7, 9 10, 23 and 28.
Space Conditioning, Shower Rose and Incandescent Lighting Activity Guide	This document summarises all key activity requirements (product, installation, decommissioning, training, safety, and evidentiary) for activities 12, 13, 14, 15, 17 and 21.
Appliances Activity Guide	This document summarises all key requirements (activity, product, training/licensing, eligible environments and installation limits, and evidence) for activities 22, 24, 25, 26, 30, 31, 33 and 36.
Building Based Lighting Upgrade Activity Guide	This document summarises all key requirements (activity, product, training/licensing, eligible environments and installation limits, and evidence) for building based lighting upgrade (activity 34).
Non-Building Based Lighting Upgrade Activity Guide	This document summarises all key requirements (activity, product, training/licensing, eligible environments and installation limits, and evidence) for non-building based lighting upgrade (activity 35).
Public Lighting Upgrade Activity Guide	This document summarises all key requirements (activity, product, training/licensing, eligible environments and installation limits, and evidence) for public lighting upgrade (activity 27).
Measurement and Verification Method Activity Guide	This document summarises all key activity requirements for the project-based activities, measurement and verification method.
Benchmark Rating Method Activity Guide	This document summarises all key activity requirements for the project-based activities, benchmark rating method.
Gas Efficiency Activity Guide	This document summarises all key activity requirements for gas efficiency activities 37, 38, 39, 40, 41 and 42.

Resource	Description
Cold Room Activity Guide	This document summarises all key activity requirements for the cold room activity.
Commercial and Industrial Heat Pump Water Heater Activity Guide	This document summarises all key activity requirements for the commercial and industrial heat pump water heater activity.
VEEC Creation Audit Guide for Accredited Persons	This document outlines the types of audits which can be undertaken, the audit process and the responsibilities you will need to meet as an AP in respect of audits and record keeping.
VEEC assignment forms	VEEC assignment form templates are available from the relevant activity pages on the commission website. These templates detail the information requirements for inclusion in an activity's VEEC assignment forms.
Application Guide for Product Applicants	This document outlines the product application process. If also seeking to apply for product approval, you should review this document and submit any product applications in parallel to your application for accreditation.
VEU Compliance and Enforcement Policy	This document explains the enforcement powers available to the Essential Services Commission to secure compliance with the VEU program's legislative requirements
Code of conduct guideline	This document is designed to help you understand the code. It includes practical guidance, definitions of key terms and other useful information. The guideline does not create any additional obligations to those set out in the code.
Industry guide – generating leads and marketing under the VEU program	This industry guide is designed to help you understand the code's requirements around lead generation and marketing.
Industry guide – contracting with consumers	This industry guide is designed to help you understand the code's requirements around contracting with consumers.
Industry guide – undertaking activities under the VEU program	This industry guide is designed to help you understand the code's requirements around undertaking activities.

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