



Australian Government  
Clean Energy Regulator

## NATIONAL GREENHOUSE AND ENERGY REPORTING

# Guideline

Greenhouse and energy auditor registration

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**Important information**

This document provides a guide only and is not intended to be a substitute for the relevant legislation.

Examples in this guide are purely for illustration; they are not exhaustive and are not intended to impose or imply particular rules or requirements.

This guideline does not constitute legal advice or change legal obligations as set out in the legislation. The applicant is encouraged to seek independent advice on how the relevant legislation applies to individual circumstances.

# Registering as a greenhouse and energy auditor

This document is designed to provide general guidance to assist prospective applicants for registration as a greenhouse and energy auditor.

Audits under the schemes the Clean Energy Regulator administers are a key compliance monitoring measure and a requirement under the audit framework. These schemes include the National Greenhouse and Energy Reporting Scheme, the Emissions Reduction Fund, and the Renewable Energy Target. (More information about these audits and their requirements is available in the [audit determination handbook](#)<sup>1</sup>.)

Under the [National Greenhouse and Energy Reporting Act 2007](#)<sup>2</sup> (NGER Act), the Clean Energy Regulator registers greenhouse and energy auditors with the appropriate qualifications, knowledge, experience and other qualities to conduct these audits. The [Register of Greenhouse and Energy Auditors](#)<sup>3</sup> is published on the Clean Energy Regulator website.

## Eligibility to register

Divisions 6.4 to 6.6 of the [National Greenhouse and Energy Reporting Regulations 2008](#)<sup>4</sup> (the NGER Regulations) set out the eligibility criteria that you must satisfy to register as a greenhouse and energy auditor.

The [National Greenhouse and Energy Reporting \(Auditor Registration\) Instrument 2016](#)<sup>5</sup> (the Auditor Registration Instrument) gives substance to these criteria, and specifies the qualifications, knowledge, training and experience registered auditors require. Note: the Auditor Registration Instrument is not intended to be read in isolation and should be read in conjunction with the NGER Regulations.

## How to register

To register, you must complete and submit the [application for registration as a greenhouse and energy auditor](#)<sup>6</sup>, available for download from the Clean Energy Regulator website.

In this form, you must demonstrate that you satisfy the legislative requirements for registration as a greenhouse and energy auditor. See the next chapter, **completing the application form**, for instructions and guidance in this process.

If you are already a registered Category 1 greenhouse and energy auditor, you can also use this application form to upgrade your registration.

There are no application fees for applying to register as a greenhouse and energy auditor, or for upgrading your registration.

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<sup>1</sup> <http://www.cleanenergyregulator.gov.au/NGER/For-auditors/Requirements-and-responsibilities>

<sup>2</sup> <https://www.legislation.gov.au/Details/C2016C00733>

<sup>3</sup> <http://www.cleanenergyregulator.gov.au/NGER/For-auditors/Register-of-auditors>

<sup>4</sup> <https://www.legislation.gov.au/Details/F2016C00722>

<sup>5</sup> <https://www.legislation.gov.au/Details/F2017L00087>

<sup>6</sup> <http://www.cleanenergyregulator.gov.au/NGER/For-auditors/How-to-register-as-an-auditor>

## The Register of Greenhouse and Energy Auditors

Once you have been registered, your details will be listed in the [Register of Greenhouse and Energy Auditors](#)<sup>7</sup> on the Clean Energy Regulator website.

The NGER Regulations stipulate what information must be published in the register, so that the Clean Energy Regulator or audited entities can readily source an appropriate auditor. For each registered greenhouse and energy auditor, the register includes the auditor's name, date of registration, auditor category, employer, contact details and industry specialisation(s).

You must continue to meet the eligibility requirements detailed in the NGER Regulations and the Auditor Registration Instrument to maintain your registration.

Once registered, you will remain on the register until you elect to suspend your registration or deregister. However, under the NGER Regulations, the Clean Energy Regulator may also suspend or deregister greenhouse and energy auditors, or initiate a review of an auditor's registration.

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<sup>7</sup> <http://www.cleanenergyregulator.gov.au/NGER/For-auditors/Register-of-auditors>

## Completing the application form

Download the [application for registration as a greenhouse and energy auditor](#)<sup>8</sup> form from the Clean Energy Regulator website.

For your application to be successful, you must complete all sections of the form and include all supporting documentation listed in Part L, including the [Australian Federal Police National Police Check form](#)<sup>9</sup>, which is also available on the Clean Energy Regulator website.

Please note that it is an offence under Division 137 of the *Criminal Code Act 1995* (the Criminal Code) to provide false or misleading information or documents.

Under the relevant legislation, it is also an offence for the Clean Energy Regulator, agency support staff, registered greenhouse and energy auditors, and others to disclose information without appropriate authority. The offence carries a penalty of imprisonment. The unauthorised disclosure of information may also be an offence against section 70 of the *Crimes Act 1914*.

## Supporting documents

### Providing certified true copies

All documents submitted to support your application will need to be certified by a suitably qualified person as a true copy of the original. A suitably qualified person is an individual legally qualified to administer oaths (for example, a solicitor or a Justice of the Peace).

Certified true copies must:

- be a copy of the original onto which the 'wet ink' certification has been written or stamped
- bear a statement that the document is a true and correct copy of the original
- show the full name and qualifications of the person giving the certification
- be signed and dated, and
- be written in English.

### Documents written in languages other than English

Documents written in languages other than English need to be translated into English. Each translated document must be certified as a true and correct copy by an authorised translation service. The [National Accreditation Authority for Translators and Interpreters](#)<sup>10</sup> lists authorised translation services in Australia.

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<sup>8</sup> <http://www.cleanenergyregulator.gov.au/NGER/For-auditors/How-to-register-as-an-auditor>

<sup>9</sup> <http://www.cleanenergyregulator.gov.au/NGER/For-auditors/How-to-register-as-an-auditor>

<sup>10</sup> [http://www.naati.com.au/home\\_page.html](http://www.naati.com.au/home_page.html)

If translation services are received from another country, attach evidence that the service is from an authorised translator. Only hard copies of the original document can be certified as a true and correct copy by a translator.

## Supporting statements

At Parts G (question 23), H (question 29) and M (question 32) of the application you will be asked to provide written statements that support your claims.

Written statements form a critical element of your application and provide an opportunity to articulate in detail the qualifications, experience, and knowledge that demonstrate your eligibility and suitability for registration as a greenhouse and energy auditor.

Consider the following when drafting your written statements:

- provide accurate details such as:
  - » your audit engagements, including the corporate entity, nature of the audit, audit standards applied for the engagement, dates and duration
  - » your audit experience, presented in table format (at question 28), and
  - » the means by which knowledge has been attained and applied.
- articulate how the details provided demonstrate your suitability for the category(ies) you are applying for, and
- think about readability so that the information provided is clear and understandable.

Please limit written statements to 700 words.

## Third party checks

### Australian Federal Police National Police Checks

The Clean Energy Regulator may seek independent confirmation of the information provided in your application, particularly with regard to the 'fit and proper' person criteria at Part E.

For that reason, you must complete and submit an [Australian Federal Police National Police Check form](#)<sup>11</sup>, which gives permission for the Australian Federal Police to conduct a criminal record check. This consent form is available for download on the Clean Energy Regulator website.

You should not initiate an Australian Federal Police criminal records check yourself. The Clean Energy Regulator will initiate and pay for these third party checks.

### Foreign criminal records checks

If you have resided in a foreign country for a substantial period of time, or currently reside in a foreign country, you should obtain a criminal record check from the relevant law enforcement agency in the country of residence, and submit it with your application.

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<sup>11</sup> <http://www.cleanenergyregulator.gov.au/NGER/For-auditors/How-to-register-as-an-auditor>

## Form guidance

The explanatory notes below are not exhaustive and only address questions that may require clarification.

If you require further assistance with completing your application, contact the Clean Energy Regulator on **1300 553 542** or at [audit@cleanenergyregulator.gov.au](mailto:audit@cleanenergyregulator.gov.au).

### Part A: Personal details

#### Questions 1–7

Insert personal details as required.

#### Question 3: Have you been known by any other name(s)?

If you reply 'yes' to this question, you must provide a certified copy of your name change document (for example, your marriage or name change certificate) or a statutory declaration with your application. An example of wording for a statutory declaration is included in Appendix A.

### Part B: Category of greenhouse and energy auditor and specialisation(s)

#### Question 8: What category of registered greenhouse and energy auditor are you applying for?

There are two categories of greenhouse and energy auditors:

- Category 1, and
- Category 2.

You should consider the category of auditor for which you apply. Assessment of your application will involve matching your skill sets, experience and knowledge to the requirements of the category you have chosen. You may apply for one or both categories.

#### Knowledge and experience requirements of each category

Different knowledge and experience requirements apply to each category of greenhouse and energy auditor.

- Category 1: You must demonstrate knowledge of certain provisions of the NGER legislation or the Carbon Farming Initiative (CFI) legislation and, if relevant to your application, at least one approved Emissions Reduction Fund methodology (see Appendix B).
- Category 2: You must demonstrate knowledge and experience in audit team leadership and the provision of assurance.

## Question 9: Industry specialisations

Insert up to 10 industry specialisations relevant to your application for greenhouse and energy auditor registration. For examples of industry specialisations, refer to the Register of Greenhouse and Energy Auditors<sup>12</sup>.

## Part C: Employment

### Questions 10–12

Insert employment details as required.

## Part D: Tertiary qualifications

### Question 13: Provide your tertiary education details

It is a prerequisite for registration that you have a relevant Bachelor's, Master's, or Doctoral Degree (or equivalent) from an appropriate university or an equivalent institution of higher learning. The degree must be relevant in the opinion of the Clean Energy Regulator to functions performed by an auditor. Section 6 of the Auditor Registration Instrument clarifies what is meant by an "appropriate" university or institution of higher learning as follows:

For an Australian university or equivalent:

- a) an institution listed at Table A or Table B of the [Higher Education Support Act 2003](#),<sup>13</sup> or
- b) an institution that was equivalent to a Table A or Table B provider at a time when the degree (or equivalent) was conferred.

For an overseas university or equivalent:

- a) an institution listed in the International Handbook of Universities, or
- b) an institution that was, at the time the degree (or equivalent) was conferred, equivalent to an institution listed in the International Handbook of Universities

### Evidence of tertiary qualification

You must provide a certified true copy of your degree, graduate diploma or graduate certificate (or equivalent) from the university or institution that awarded the qualification.

If you submit your tertiary qualification as evidence of your knowledge of auditing for the purpose of NGER Regulation 6.15, you must also submit a certified true copy of your statement of academic record from the university or institution.

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<sup>12</sup> <http://www.cleanenergyregulator.gov.au/NGER/For-auditors/Register-of-auditors>

<sup>13</sup> <https://www.legislation.gov.au/Details/C2017C00003>. The list can be viewed on the [Tertiary Education Quality and Standards Agency website](#) (<http://www.teqsa.gov.au/national-register>)

## Part E: Suitability of applicant

### Questions 14–21: Fit and proper person

The NGER Regulations require an applicant to be a ‘fit and proper’ person to be a registered greenhouse and energy auditor. The criteria for a ‘fit and proper’ person predominantly relate to personal characteristics such as honesty, integrity and trustworthiness.

The Clean Energy Regulator may seek independent confirmation of the information you provide in response to questions 14 to 21. This may involve checks with third parties such as referees or relevant government agencies.

Please note that it is an offence under section 137 of the Criminal Code to provide false or misleading information or documents.

The NGER Regulations direct that the Clean Energy Regulator must have regard to the information provided at questions 14 to 21. On that basis, information you provide here may not necessarily render you ineligible for registration. It is therefore in your best interests to provide a full and accurate account of the circumstances that surround any relevant event (for example, a criminal conviction or civil liability) so that the Clean Energy Regulator has all the facts at hand to enable a well-informed decision.

You must ensure that you fill in, sign, and submit an [Australian Federal Police National Police Check form](#)<sup>14</sup> with your application.

## Part F: Membership of a professional body

### Question 22: Are you currently a member of a relevant professional body?

Insert details of relevant memberships of professional bodies.

## Part G: Legislation knowledge

### Question 23: Statement of knowledge

The NGER Regulations require an applicant to have knowledge of the legislation relevant to the category of auditor for which they are applying. Appendix B lists the knowledge requirements for each category of auditor.

Your response should be as comprehensive as possible and include practical examples providing clear evidence of your knowledge of each relevant element of legislation specified in Appendix B.

Your statement should include details of how your knowledge was obtained, including (if relevant):

- previous experience in assisting a person meet their obligations under the NGER or CFI legislation
- training in NGER or CFI legislation, and

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<sup>14</sup> <http://www.cleanenergyregulator.gov.au/NGER/For-auditors/How-to-register-as-an-auditor>

- experience in participating in Part 6 audits or any other audit under schemes administered by the Clean Energy Regulator.

Limit your statement to a maximum of 700 words.

## Part H: Audit experience

Part H collects information that will help the Clean Energy Regulator form an opinion about whether you have sufficient experience in conducting certain kinds of audits, as well as in audit team leadership. This information will assist in making a decision about whether you are appropriately qualified for the category of greenhouse and energy auditor you are applying for.

In question 28, you are required to complete a table that includes details of your audit experience and any other information that supports the claims made in questions 24–27.

The NGER legislation requires the applicant to have a minimum amount of experience in certain kinds of audits and, for a Category 2 applicant, a minimum amount of experience in leading audit teams. The experience must have been accumulated over the past five years, in at least five audits of a kind specified in the Auditor Registration Instrument.

If you possess audit experience which might be equivalent to, or which exceeds, any of the requirements provided in the Auditor Registration Instrument, you should provide a statement to that effect in response to question 29. When making a case for equivalence, you should clearly explain the audit experience that you possess and demonstrate how it is directly relevant to the requirements of the category of auditor for which you have applied.

Please note that in question 31 in the following part, you will need to provide two written references from eligible referees to confirm your competency in auditing, preparing audit reports and, if you are applying for Category 2 registration, audit team leadership.

## Questions 24–27: Audit experience, including total hours

### Category 1 experience requirements

If you are applying for registration as a Category 1 greenhouse and energy auditor, you must be able to demonstrate at least 350 individual hours of experience in:

- conducting audits of a kind as listed in the Auditor Registration Instrument within the last five years, and
- preparing audit reports for audits of a kind as listed in the Auditor Registration Instrument.

Please note that if you are applying for Category 1 and you are unable to demonstrate audit qualifications, training or certification under Part I, you will need to provide evidence of at least 700 individual hours of experience in auditing to meet registration requirements.

### Category 2 experience requirements

If you are applying for registration as a Category 2 greenhouse and energy auditor, you must be able to demonstrate that you have:

- completed at least 700 hours experience of auditing and preparing audit reports of a kind listed in the Auditor Registration Instrument, and
- completed at least 490 hours experience of audit team leadership of a kind listed in the Auditor Registration Instrument.

The audit experience must be equivalent to conducting a reasonable assurance engagement or a limited assurance engagement under the NGER Audit Determination.

#### Question 24: Number of audits

The Auditor Registration Instrument sets out the requirements for applicants to have participated in at least five audits of a particular kind over the previous five years.

#### Question 27: Audit team leadership

If you are applying for Category 2 registration, you must provide information about your experience in audit team leadership at question 27.

The NGER Regulations require that applicants for registration as Category 2 greenhouse and energy auditors have led audit teams that have three or more other members for a total of at least 490 hours over the last five years.

#### Questions 28–29: Audit log and statement

You are required to provide information about your audit experience in the table provided at question 28. There is also provision at question 29 to provide a statement to support the claims you have made at questions 24 to 27. Please note that the experience must have been gained in the last five years.

You should include information and practical examples that demonstrate your experience in:

- auditing
- preparing audit reports, and
- audit team leadership.

### Part I: Audit qualifications/training/certification

**Question 30: Do you hold any audit qualifications, or have you undertaken any auditing training or certification?**

#### Knowledge of auditing

Applicants for both Category 1 and Category 2 greenhouse and energy auditor registration are required to provide evidence that they have knowledge of auditing.

If you are currently registered as an auditor under section 1280 of the *Corporations Act 2001* or have been certified by a qualified body as an Environmental Auditor, a Principal Environmental Auditor, a Lead Environmental Auditor or a Business Improvement Environmental Auditor under AS/NZS 19011:2014, you meet the requirement for knowledge of auditing.

If you are not qualified or certified as above, then you must demonstrate knowledge of auditing in one of the following two ways:

- successful completion of a relevant training course, as listed in the Auditor Registration Instrument, or
- participation in at least five audits of a kind listed in the Auditor Registration Instrument, totalling at least 700 hours in the past five years.

## Category 2

Applicants for Category 2 registration are required to provide evidence of their knowledge of audit team leadership and assurance.

You are deemed to have knowledge of both audit team leadership and assurance if you:

- are currently registered as an auditor under section 1280 of the *Corporations Act 2001*, or
- have successfully completed a relevant training course listed in the Auditor Registration Instrument.

If you do not satisfy one of the above criteria, you may present a claim for knowledge of audit team leadership and assurance separately.

### Knowledge of audit team leadership

You can demonstrate knowledge of audit team leadership in one of two ways:

- certification by a qualified body as a Lead Environmental Auditor or a Business Improvement Environmental Auditor under AS/NZS 19011:2014, or
- successful completion of a training course in leading assurance engagements in accordance with AS/NZS ISO 19011:2014 or ISO 19011:2011, delivered by a competent training provider.

### Knowledge of assurance

You can demonstrate knowledge of assurance in one of three ways, including successful completion of a:

- prescribed course listed in regulation 9.2.03 of the *Corporations Regulations 2001*
- training course in conducting assurance engagements in accordance with ASAE 3000 or ISAE 3000, delivered by a competent training provider, or
- training course in conducting compliance engagements in accordance with ASAE 3100, delivered by a competent training provider.

If you have successfully completed any other training or have a tertiary education in audit and assurance that you consider relevant to demonstrating your knowledge of assurance, you should include this in your application.

## Part J: Referees

### Question 31: Referee details

The NGER Regulations require that applicants provide at least two signed, written references from eligible referees. Eligible referees are defined at regulation 6.18 of the NGER Regulations.

Your eligible referees must provide information confirming that you audited and prepared audit reports and that these were completed competently. They must also refer to audits of a kind relevant to the category for which you have applied.

If you are applying for registration as a Category 2 auditor, the eligible referee must provide additional information that confirms your experience as an audit team leader and that this task was performed competently.

Please note that the Clean Energy Regulator may contact referees to validate the information provided.

## Part K: Proof of identity

Part K is based on the standard Australian '100-point' identity check.

Certified true copies of the identification documents listed at Part K must be submitted with the application. Please refer to the information provided under 'Supporting documents' on page 6 of this guideline, for guidance on certified true copies.

Note: you must provide two primary identification documents or a combination of one primary and one secondary identification document or their international equivalents. One of these documents must clearly state the residential address as declared at question 6 on the application form.

## Part L: Attachments checklist

Confirm that you have gathered the supporting documents that must be attached to the application form.

## Part M: Other information

### Question 32

Part M allows you to provide any other information that may be relevant to the application, but which the Clean Energy Regulator has not specifically sought. This might include a description of courses in which you are currently enrolled but have not yet completed; a description of an Australian or international qualification that could be taken into consideration; or any other information that may be relevant.

Please ensure the statement is a maximum of 700 words.

## Declaration and signature

Make sure you read the declaration and signature page of the application carefully before signing and submitting the completed form.

Note that under Division 137 of the Criminal Code, it may be an offence to provide false or misleading information or documents to the Clean Energy Regulator in purported compliance with the NGER Act.

By signing the declaration and undertaking, you are agreeing to abide by the Greenhouse and Energy Auditor Code of Conduct. Failure to comply with the Code of Conduct may be grounds for suspension or deregistration. The Code of Conduct is attached at Appendix C.

## Submitting the application

You may submit your complete application by email. Scan your completed and signed application form, certified true copies, supporting statements and signed consent form and send to:

**audit@cleanenergyregulator.gov.au**

Alternatively, you may print and sign your completed application form and then, along with certified true copies, supporting statements and signed consent form, post it to:

**Greenhouse and Energy Auditor Registration  
Clean Energy Regulator  
GPO Box 621  
Canberra ACT 2601 Australia**

## How long does it take to process an application?

It takes up to eight weeks to process an application. This depends on the completeness and quality of the information provided. In some cases, third party checks such as the police records check may take longer than eight weeks.

## What happens if an application is incomplete?

If you have not completed all parts of the form, the Clean Energy Regulator will contact you in writing. The NGER Regulations allow three months to resubmit a completed application before it is deemed to have lapsed. The Clean Energy Regulator is unable to process applications that are incomplete or contain errors or omissions.

## How will you know if your application has been successful?

The Clean Energy Regulator will contact you in writing to advise you of the decision to register or not to register you as a greenhouse and energy auditor.

## More information

For more information, see the [auditors section](#)<sup>15</sup> of the Clean Energy Regulator website, which includes further information about Part 6 audits and registering as an auditor, as well as useful resources including the Register of Greenhouse and Energy Auditors and the audit determination handbook.

If you require assistance or have any questions regarding the registration process, please contact the Clean Energy Regulator general enquiries line on **1300 553 542** or email [audit@cleanenergyregulator.gov.au](mailto:audit@cleanenergyregulator.gov.au).

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<sup>15</sup> <http://www.cleanenergyregulator.gov.au/NGER/For-auditors>

## Appendix A: Example of wording for a statutory declaration for change of name

If you answered 'yes' to question 3 of the application form, indicating you have been known by other name(s), you must provide evidence of your name change. If you are unable to provide such evidence, then you may provide a statutory declaration.

In Australia, statutory declarations can only be witnessed and signed by a person on the [list of authorised witnesses](#)<sup>16</sup>. For applicants from countries other than Australia, the Clean Energy Regulator will accept a statutory declaration signed by a person able to certify true copies in other countries (see the 'Providing certified true copies' section on page 5).

There are significant penalties for making false statements in statutory declarations. Further information about statutory declarations is available on the [Attorney-General's Department website](#)<sup>17</sup>.

### Example wording for a statutory declaration for change of name

#### STATUTORY DECLARATION

*Statutory Declarations Act 1959*

I, [new name, address and occupation of person making the declaration] make the following declaration under the *Statutory Declarations Act 1959*:

1. I was born on [date of birth] and formally known as [former name].
2. I have attached a certified copy of my [insert type of proof of identity, eg marriage certificate].
3. I have attached certified true copies of two forms of photo identification, one in my current name (as it will appear on the register) AND one in my maiden/former name.

I understand that a person who intentionally makes a false statement in a statutory declaration is guilty of an offence under section 11 of the *Statutory Declarations Act 1959*, and I believe that the statements in this declaration are true in every particular.

*Signature of person making the declaration*

Declared at [place] on [day] of [month] [year]

Before me,

[Signature of person before whom the declaration is made]

[Full name, qualification and address of person before whom the declaration is made (in printed letters)]

<sup>16</sup> <http://www.ag.gov.au/Publications/Pages/Statutorydeclarationsignatorylist.aspx>

<sup>17</sup> <http://www.ag.gov.au/statdec>

## Appendix B: National Greenhouse and Energy Reporting legislation knowledge requirements relevant to Part G

Legislation	Knowledge requirements—Category 1	Knowledge requirements—Category 2
<b>National Greenhouse and Energy Reporting Act 2007 (NGER Act)</b>	<ul style="list-style-type: none"> <li>Part 1</li> <li>Part 2</li> <li>Part 3</li> <li>Part 3E</li> <li>Subdivision G, Division 4, Part 6</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>Part 1, Section 7</li> </ul> <p><b>and</b></p> <ul style="list-style-type: none"> <li>the provisions of the CFI Act as described below</li> </ul>	<ul style="list-style-type: none"> <li>Part 1</li> <li>Subdivision G, Division 4, Part 6</li> </ul> <p><b>and either</b></p> <ul style="list-style-type: none"> <li>Part 2</li> <li>Part 3</li> <li>Part 3E</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>the provisions of the CFI Act as described below</li> </ul>
<b>National Greenhouse and Energy Reporting Regulations 2008 (NGER Regulations)</b>	<ul style="list-style-type: none"> <li>Regulation 1.03</li> <li>Division 2.2</li> <li>Division 2.3</li> <li>Division 2.4</li> <li>Division 2.5</li> <li>Division 4.3</li> <li>Division 4.4</li> <li>Division 4.5</li> <li>Division 4.6</li> <li>Division 4.7</li> <li>Division 6.2</li> <li>Division 6.3</li> <li>Division 6.4</li> <li>Schedule 1</li> <li>Schedule 2</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>the provisions of the CFI Regulations described below</li> </ul>	<ul style="list-style-type: none"> <li>Regulation 1.03</li> <li>Division 2.2</li> <li>Division 6.2</li> <li>Division 6.3</li> <li>Division 6.4</li> <li>Division 6.5</li> <li>Division 6.6</li> <li>Division 6.7</li> </ul> <p><b>and either</b></p> <ul style="list-style-type: none"> <li>Division 2.3</li> <li>Division 2.4</li> <li>Division 2.5</li> <li>Division 4.3</li> <li>Division 4.5</li> <li>Division 4.6</li> <li>Division 4.7</li> <li>Schedule 1</li> <li>Schedule 2</li> </ul> <p><b>or</b></p> <ul style="list-style-type: none"> <li>the provisions of the CFI Regulations described below</li> </ul>

Legislation	Knowledge requirements—Category 1	Knowledge requirements—Category 2
<b>National Greenhouse and Energy Reporting (Measurement) Determination 2008 (NGER Determination)</b>	<ul style="list-style-type: none"> <li>• Part 1.1</li> <li>• Part 1.2</li> <li>• Chapter 2</li> <li>• Schedule 1</li> <li>• Schedule 2</li> <li>• Schedule 3</li> </ul>	<ul style="list-style-type: none"> <li>• Part 1.1</li> <li>• Part 1.2</li> </ul> <p><i>or</i></p> <ul style="list-style-type: none"> <li>• any approved methodology determination</li> </ul>
<b>National Greenhouse and Energy Reporting (Audit) Determination 2009 (Audit Determination)</b>	<ul style="list-style-type: none"> <li>• Part 1</li> <li>• Part 2</li> <li>• Part 3</li> <li>• Part 4</li> </ul>	<ul style="list-style-type: none"> <li>• Part 1</li> <li>• Part 2</li> <li>• Part 3</li> <li>• Part 4</li> </ul>
<b>Carbon Credits (Carbon Farming Initiative) Act 2011 (CFI Act)</b>	<ul style="list-style-type: none"> <li>• Part 1</li> <li>• Part 2</li> <li>• Part 3</li> <li>• Part 6</li> <li>• Part 9</li> <li>• Part 17</li> <li>• Part 19</li> </ul>	<ul style="list-style-type: none"> <li>• Part 1</li> <li>• Part 2</li> <li>• Part 3</li> <li>• Part 6</li> <li>• Part 9</li> <li>• Part 17</li> <li>• Part 19</li> </ul>
<b>Carbon Credits (Carbon Farming Initiative) Regulations 2011 (CFI Regulations)</b>	<ul style="list-style-type: none"> <li>• Part 1</li> <li>• Part 2</li> <li>• Part 3</li> <li>• Part 9</li> <li>• Part 19</li> </ul>	<ul style="list-style-type: none"> <li>• Part 1</li> <li>• Part 2</li> <li>• Part 3</li> <li>• Part 9</li> <li>• Part 19</li> </ul>
<b>Carbon Credits (Carbon Farming Initiative) Rule 2015 (CFI Rule)</b>	<ul style="list-style-type: none"> <li>• Part 1</li> <li>• Part 2</li> <li>• Part 3</li> <li>• Part 6</li> <li>• Part 17</li> </ul>	<ul style="list-style-type: none"> <li>• Part 1</li> <li>• Part 2</li> <li>• Part 3</li> <li>• Part 6</li> <li>• Part 17</li> </ul>
<b>Methodology determination</b>	Knowledge of at least one approved methodology determination	Knowledge of at least one methodology determination

## Appendix C: Greenhouse and Energy Auditor Code of Conduct

The following is an extract of regulation 6.46 of the National Greenhouse and Energy Reporting Regulations 2008.

1. A registered greenhouse and energy auditor must abide by the principles set out in:
  - a. subregulations (2) to (7)—while preparing for, carrying out, or assisting in carrying out, a Part 6 audit and in preparing audit reports
  - b. subregulations (8) and (9)—when the auditor is engaged in marketing or self-promotion as a registered greenhouse and energy auditor
  - c. subregulation (10)—in relation to other audit team members if the auditor is an audit team leader, and
  - d. subregulation (11)—in other situations not specifically mentioned above.

### Compliance with the law

2. The auditor must comply with laws and regulations applicable to registered greenhouse and energy auditors and the conduct of Part 6 audits.

### Integrity

3. The auditor must behave with integrity and in particular:
  - a. must be straightforward and honest in professional and business relationships relating to the carrying out of the audit and deal fairly with persons involved in the audit, and
  - b. must not allow his or her name to be associated with reports, returns, communications or other information relating to the carrying out of the audit (audit material) if he or she believes that the audit material:
    - i. contains a materially false or misleading statement
    - ii. contains statements that have been furnished recklessly, or
    - iii. omits or obscures information required to be included where the omission or obscurity would be misleading.

### Objectivity

4. The auditor must behave with objectivity and in particular:
  - a. must not compromise his or her professional judgment because of bias, conflict of interest or the undue influence of others that may arise during the audit, and
  - b. must avoid relationships that bias or unduly influence his or her professional judgment in relation to the audit.
5. The auditor must not accept gifts given by the audited body or someone associated with the audited body.
6. A reference in 5 to the auditor accepting gifts:
  - a. includes a member of the auditor's immediate family accepting gifts and hospitality, and
  - b. includes the auditor accepting hospitality.

### **Professional competence and due care**

7. The auditor must behave with competence and due care and in particular:
  - a. must act in accordance with the requirements of the Audit Determination
  - b. must act carefully, thoroughly and on a timely basis
  - c. must make the audited body aware of limitations inherent in the audit
  - d. must maintain sufficient professional knowledge and skill to ensure that he or she is able to carry out the audit, and
  - e. if the auditor is the audit team leader—must ensure that the other team members have appropriate training and supervision.

### **Marketing and promotion**

8. In marketing or self-promotion as a registered greenhouse and energy auditor, the auditor must be honest and truthful and must not:
  - a. make exaggerated claims about:
    - i. the audit services he or she provides
    - ii. his or her qualifications, or
    - iii. his or her experience gained as an auditor, or
  - b. make disparaging references or unsubstantiated comparisons to the work of other registered greenhouse and energy auditors or members of an audit team who are not registered greenhouse and energy auditors.
9. The auditor must not attempt to sell other services to the audited body to avoid impairing the independence of the auditor's ability to provide audit services under these Regulations.

### **Obligation on audit team leaders**

10. If the auditor is an audit team leader, he or she must ensure that the other audit team members comply with the Code of Conduct when assisting in carrying out the audit.

### **Professional behaviour**

11. The auditor must avoid any action that may bring discredit to the auditor or greenhouse and energy auditors generally.