**Application for audit services panel**

Application Form Part B – Lead Auditor

 Purpose of this form

This form is used to apply for appointment as a Lead Auditor for an Energy Savings Scheme (**ESS**) Panel Member. It should be accompanied by other supporting documentation as indicated in these forms.

Refer to the [Audit Services Panel Guide](http://www.ess.nsw.gov.au/Audits_and_Compliance/Join_the_audit_panel) to assist in preparation of application documentation. Essential information about the requirements of auditors is set out in the [Audit Service Panel Agreement](http://www.ess.nsw.gov.au/Audits_and_Compliance/Join_the_audit_panel), [Audit Guideline](http://www.ess.nsw.gov.au/Audits_and_Compliance/Audit_and_compliance_guides), [Audit Scope – ESC creation audits](http://www.ess.nsw.gov.au/Audits_and_Compliance/Audit_scopes)*,* [Audit Scope for Annual Energy Savings Statements](http://www.ess.nsw.gov.au/Scheme_Participants/Annual_statements_and_audits) and [ESS notices](http://www.ess.nsw.gov.au/ESS_Notices_and_Updates/). Your application information must be consistent with and meet the requirements in these documents. Information on the application process can be found on the [ESS website](http://www.ess.nsw.gov.au/Audits_and_Compliance/Join_the_audit_panel).

 Meaning of key terms, icons and colours in this form

Key terms

**Panel** means the **Audit Services Panel**. The audit service panel is managed by IPART and consists of suitably qualified and experienced audit organisations.

**Panel Member** means an **Audit Services Panel Member**. If this application is successful, you will be appointed to the Panel as a lead auditor under a Panel Member. Only Panel Members are allowed to undertake ESS audits.

Icons

** Indicates an instruction for completing this form.**

 Indicates a document or supporting evidence to be provided with the application.

* Important information to assist you with completing the application.*

 How to complete and submit an application

1. Complete [*Application Form Part B*](http://www.ess.nsw.gov.au/Audits_and_Compliance/Join_the_audit_panel)(this form).

* If applying for appointment as a Project Impact Assessment with Measurement and Verification **(PIAM&V**) auditor, you will also need to complete the [*PIAM&V application form*](http://www.ess.nsw.gov.au/Audits_and_Compliance/Join_the_audit_panel).
* If your organisation is not on the ESS Panel, you will need to complete [*Application Form Part A.*](http://www.ess.nsw.gov.au/Audits_and_Compliance/Join_the_audit_panel)

2. Finalise supporting documentation.

3. Review the completed application forms and supporting documentation to ensure that they are concise, complete, relevant and accurate. This is an opportunity to demonstrate the effectiveness of your quality assurance procedures to IPART.

4. Submit the application forms and supporting documentation to IPART.

Applicant details

1. Who is applying for appointment as a lead auditor?
* If this application is approved, the information in this question will be publicly available.

|  |  |
| --- | --- |
| Salutation: | <Type details> |
| First name: | <Type details> |
| Last name: | <Type details> |
| Job title: | <Type details> |
| Company name: | <Type details> |
| Postal address: | <Type details> |
| Contact number: | <Type details> |
| Email address: | <Type details> |

1. What is your professional background?
* Lead auditors must have a minimum of five years full-time experience in the environment and/or energy industries.
* Lead auditors must be employed by a Panel Member or a company applying for appointment to the Panel.

|  |  |
| --- | --- |
| Provide an overview of your current and/or previous employment as relevant to the ESS: | <Type details> |

Attachments

* Attach your CV.

|  |  |
| --- | --- |
| CV of lead auditor: | <Type document name (and location if it is in a larger document) or NA> |

1. What are your academic qualifications?
* List your tertiary academic qualifications.
* Add more lines, if required.

|  |  |  |
| --- | --- | --- |
| Qualification | Year awarded | Name of institution |
| <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> |

Attachment

* Attach your academic qualitifcations showing the qualification, year awarded and name of insitution.

|  |  |
| --- | --- |
| Academic qualification(s): | <Type document name (and location if it is in a larger document)> |

Audit knowledge and experience

1. What auditor certifications do you have?
* List relevant professional audit certifications or audit standards accredited to (eg NGERS, ISO, EMS, CPA).
* Add more lines, if required.

|  |  |  |
| --- | --- | --- |
| Audit certification | Date certified | Name of organisation |
| <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> |

Attachment

* Attach your auditor certifications showing the certification, date and name of awarding organisation.

|  |  |
| --- | --- |
| Auditor certification(s): | <Type document name (and location if it is in a larger document)> |

1. What experience do you have leading audits?

|  |  |
| --- | --- |
| Describe your skills and experience leading regulatory compliance audits: | <Type details> |

Attachment

* Attach your audit log showing your experience leading audits.
* The audit log must include five previous audits conducted in an industry relevant to ESS. An audit log template is provided in Appendix A, or you can create your own audit log.
* If providing your own audit log, it must outline the audit type, role performed (eg, auditor, lead auditor), project referees’ contact details (client/business name), a brief audit summary, the time period of the engagement (eg date or period it was conducted) and time spent conducting the audit

|  |  |
| --- | --- |
| Audit Log: | <Type document name (and location if it is in a larger document)> |

ESS knowledge and experience

1. What experience do you have with the ESS?
* List trainings, workshops, conferences, working groups, previous ESS audits or forums attended relevant to the ESS.
* Add more lines, if required.

|  |  |  |
| --- | --- | --- |
| Training or workshop name | Date attended | Name of organisation |
| <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> |

Attachment

* Attach certificates of ESS-related training, if avaliable.

|  |  |
| --- | --- |
| ESS-related training certificate(s), if available: | <Type document name (and location if it is in a larger document) or NA> |

1. How do your qualifications and training relate to ESS calculation methods?
* Refer to the [ESS website](http://www.ess.nsw.gov.au/Methods_for_calculating_energy_savings) for a list of calulcation methods.

|  |  |
| --- | --- |
| Describe how your qualifications and/or training relate to ESS calculation methods: | <Type details> |

1. What experience and / or knowledge do you have of the ESS legislative framework?

|  |  |
| --- | --- |
| Provide a brief summary of your understanding of the relevant legislation as it applies to the conduct of reasonable assurance audits: | <Type details> |
| How was this knowledge and/or experience acquired?: | <Type details> |

Application checklist

1. Have you completed the application form and supporting documentation?
* Tick the box when you have completed the task beside it.

|  |  |
| --- | --- |
| [ ]  | Application Form Part B – Lead Auditors has been completed for each lead auditor |
| [ ]  | The attachments are complete and relevant to the application. |
| [ ]  | Quality assurance of the application forms and attachments has been completed.  |
| [ ]  | Declaration has been signed by the applicant. |

* Tick the box for the supporting documentation that is attached to the application.

|  |  |
| --- | --- |
| [ ]  | Applicant’s CV (Question 2) |
| [ ]  | Academic qualifications (Question 3) |
| [ ]  | Auditor certifications (Question 4) |
| [ ]  | Audit log (Question 5) |
| [ ]  | ESS-related training (Question 6) |

Declaration

1. Sign the declaration for this application
* Section 158 of the Electricity Supply Act 1995 imposes a maximum penalty of $11,000 and/or six (6) months imprisonment for knowingly providing false or misleading information to the Scheme Administrator.
* This application must be signed by the applicant.

I hereby declare that:

* I have read and understood the information and requirements set out in *Application Form Part B*, the *Audit Services Panel Application Guide,* the *Audit Guideline* and the *Audit Services Panel Agreement*.
* The information in this application, including any attachments, is complete, true and correct and not misleading by inclusion or omission.
* I understand and accept the obligations placed on Lead Auditors.
* I authorise IPART to copy, record, use or disclose any of the information provided in this application for the purpose of assessing and making a decision on the application, auditing, compliance, and enforcement of laws, regulation and legislative rule, the performance of IPART’s statutory functions and for related purposes, subject to requirements of relevant laws.
* I confirm that IPART may contact the administrator of any government scheme or program to obtain information on our performance in that scheme or program, and I understand that information will form part of the ESS application assessment.
* I am aware that there are penalties for providing false or misleading information to IPART as Scheme Administrator of the Energy Savings Scheme in this application and when operating under the accreditation.

Signed by or on behalf of the applicant:

|  |  |
| --- | --- |
| Signature of authorised signatory: |  |
| Full name of signatory: | <Type details> |
| Position/Title of signatory: | <Type details> |
| Date signed: |  |

In the presence of:

|  |  |
| --- | --- |
| Signature of witness: |  |
| Full name of witness: | <Type details> |
| Date witnessed: |  |
| Relationship to signatory: | <Type details> |
| Contact number of witness: | <Type details> |

Place of signature:

* Insert the address of the location where this document was signed and witnessed.

|  |  |
| --- | --- |
| Place of signature: | <Type details> |

Appendix A – Sample Audit Log

* Applicants are required to submit an audit log to demonstrate their experience leading audits.
* Applicants may use the sample template below or create their own audit log.
* Add more lines, if required.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Relevant Audit Type | Role (eg Lead auditor, Auditor) | Audited Company | Referee: Name, Email & Phone Number | Project Summary | Date Conducted | Total Hours |
| Example ESS Audit | Lead auditor | XYZ ACP | Jane Smithjane@xyz.com02 9000 0000 | Annual Statement | 10/10/2016 | 25 hours |
| <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> |
| <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> | <Type details> |