



NABERSNZ Rating Auditing Procedure

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1 Purpose of the NABERSNZ Rating Auditing Procedure

The purpose of this document is to ensure that the auditing of NABERSNZ Certified Ratings carried out impartially and to a consistent technical standard throughout New Zealand. This auditing procedure is designed to ensure that the Accredited Assessor¹ is working within the guidelines of the Rules and the Code of Practice.

In order to maintain the highest standards and to ensure impartiality and consistency of all results, audits of the entire rating process are undertaken for a random selection of Certified Ratings by an independent, NABERSNZ Auditor. The purpose of the audit is to verify that an Accredited Assessor has complied with the NABERSNZ Processes and Procedures when completing a Certified Rating.

2 Roles and Responsibilities

2.1 Administrator – New Zealand Green Building Council (NZGBC)

The Energy Efficiency Conservation Authority (EECA) as licensee² of NABERSNZ, has engaged the New Zealand Green Building Council (NZGBC) to act on their behalf as the Administrator of the programme.

The Administrator is responsible for ensuring the overall management of NABERSNZ and the effectiveness of this auditing procedure.

The Administrator has the responsibility to ensure that the NABERSNZ assessment process is undertaken and audited to a high standard to ensure the credibility, reliability and integrity of NABERSNZ.

The Administrator is responsible for:

1. monitoring and auditing the quality of work by Accredited Assessors;
2. selecting individuals based on their excellent knowledge of NABERSNZ and the Rules to become NABERSNZ Auditors;
3. seeking approval from EECA for the appointment of these individuals;
4. ensuring the required numbers of audits are undertaken on Certified Ratings in accordance with this auditing procedure;
5. reviewing the results from the audits to determine whether any further action, such as additional training is required;
6. informing customers of any changes to a Certified Rating in accordance with the audit calculation and re-issuing the Certified Rating certificates; and

¹ Any references to Accredited Assessors also apply to Trainee Assessors unless otherwise noted.

² The New South Wales Government through the Office of Environment and Heritage (OEH) has licensed EECA to modify and administer NABERS energy and water for offices in New Zealand.

7. reporting the number of audits performed and results of these audits to EECA who will in turn report these figures to the Office of Environment and Heritage (OEH).

2.3 NABERSNZ Auditor

NABERSNZ Auditors are selected by the Administrator because of their excellent knowledge of NABERSNZ, the Rules, Assessors Code of Practice and other associated procedures. The Administrator will seek approval from EECA for the appointment of these individuals.

The NABERSNZ Auditor is responsible for undertaking audits at the request of the Administrator in accordance with this auditing procedure.

It is the NABERSNZ Auditor's responsibility to ensure they are very familiar with the current Rules for performing Certified Ratings and any approved rulings. The Auditor also needs to be very familiar with any superseded Rules as Certified Ratings are audited against the version of the Rules in place at the time the Certified Rating was performed. The Administrator will provide the Auditor with both current and earlier versions of the Rules for performing Certified Ratings.

NABERSNZ Auditors are to act in an impartial manner and must not undertake an audit where a conflict or interest exists. Conflicts of interest may include:

1. The Auditor or their company or employer is at the time of the audit or the time of the original assessment, undertaking work for, or in a contract with the tenancy/building owner whose building is subject to the Certified Rating audit.
2. The Auditor or their company or employer is at the time of the audit or the time of the original assessment, in a contractual arrangement with the Accredited Assessor or the Assessor's Company subject to the audit.

The input data and results from an audit must be treated as confidential by the NABERSNZ Auditor at all stages of the audit process and thereafter with the exception of discussing the project with the Administrator and or the Accredited Assessor being audited at any time if deemed necessary in order to complete the audit.

2.4 Accredited Assessors

The Accredited Assessor is responsible for ensuring that their Certified Rating application complies with the relevant Rules, the application is filled in correctly and the assessment is undertaken in accordance with their contractual responsibilities as an Accredited Assessor.

Where issues arise from an audit, the Accredited Assessor is responsible for responding to the Auditor within three (3) working days with the necessary information.

The Accredited Assessor is responsible for undertaking additional training or supervision to maintain a consistently high standard of performance as an Accredited Assessor where required by the Administrator, and as advised by EECA. Any additional training required is at the Accredited Assessor's own cost.

The Accredited Assessor is responsible for ensuring all Certified Rating documentation is retained for 7 years.

3 NABERSNZ Audits

The purpose of the audit is to review the quality of the Certified Rating applications performed by Accredited Assessors and to check compliance with the Rules and procedures. Audits form an important component of the NABERSNZ quality assurance process, by regularly and independently verifying the Accredited Assessor's application of the NABERSNZ methodologies and procedures.

The audit is a comprehensive check of the Certified Rating result, associated data and records, and to ensure the Accredited Assessor understands the NABERSNZ methodologies and Rules.

The NABERSNZ Auditor should work closely with the Accredited Assessor to ensure that the correct interpretations have been made and sufficient evidence is provided.

The result from a NABERSNZ audit is final.

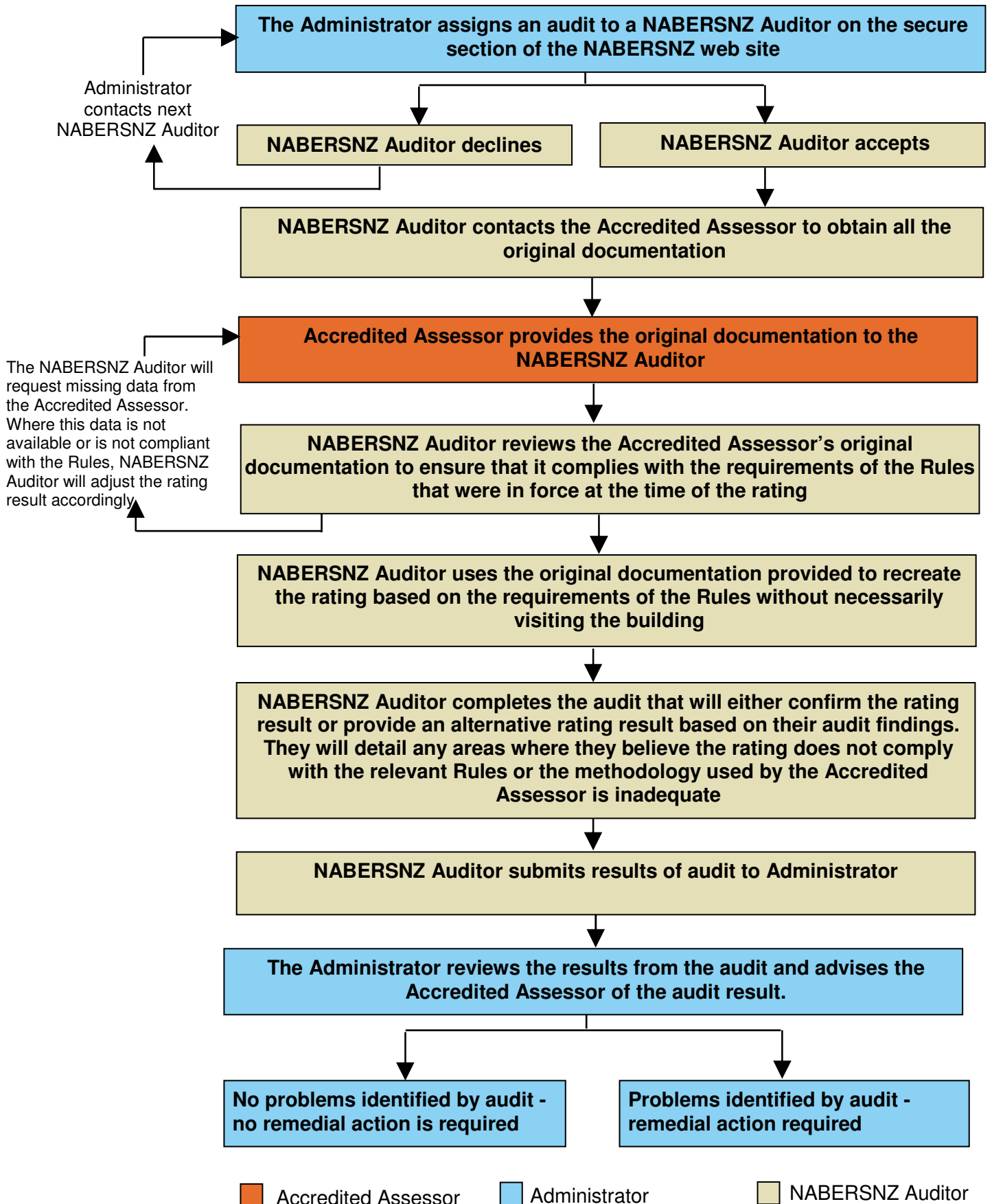
3.1 Criteria to assign NABERSNZ audits

The Administrator will assign audits to at least 10% of all Certified Ratings received in a year, selected randomly. The number of audits may be increased or reduced at the discretion of the Administrator, on approval from EECA and OEH, based on historical data and results from the auditing process.

3.2 Audit procedure

The audit process is illustrated in Figure 1.

Figure 1: NABERSNZ Audit Process



The Auditor will perform the audit by checking that the Accredited Assessor's documentation and calculations satisfy the Rules that were current at the time the Certified Rating was performed. In some cases the Auditor may be required by the Administrator to perform a site visit in order to cross check the Accredited Assessor's documentation.

It is the responsibility of the NABERSNZ Auditor to work closely with the Accredited Assessor to ensure that the correct interpretations have been made and sufficient evidence is provided for all data used in the Certified Rating.

The Auditor will record the audit results in a form which is lodged with the Administrator who will then review the audit results. If problems or mistakes are identified through the audit, the Administrator may contact the Accredited Assessor for remedial action. In this situation the Accredited Assessor will be asked to detail:

- Why the problem or error occurred,
- An action plan for correcting the problem or error, and
- A process for internal checks to ensure this does not occur again.

Where the audit identifies a change to the Certified Rating, the Administrator will notify the Accredited Assessor and customer and will re-issue an electronic copy of the Certified Rating certificate. All costs associated with remedial action will be borne by the Accredited Assessor.

The Administrator, after seeking approval from EECA, reserves the right to revoke a Certified Rating certificate where an audit identifies problems that can not be resolved by the Accredited Assessor.

In addition the Administrator, after seeking approval from EECA who will advise OEHL if the Accredited Assessor is also accredited under the Australian NABERS scheme, reserves the right to immediately revoke the accreditation of an Accredited Assessor where there has been a breach of the Accredited Assessor Agreement or Code of Practice. The Administrator will notify the Accredited Assessor and document why their accreditation has been revoked. Should the Accredited Assessor also be accredited under the Australian NABERS scheme their accreditation may also be revoked by the National Administrator of that scheme.

Where the audit identifies significant problems with the Accredited Assessor's undertaking of the NABERSNZ assessment process and/or understanding of the Rules for performing a Certified Rating the Administrator may require the Accredited Assessor to undertake further training and assessment either practical, theoretical or both, at their own cost. Once refresher training is successfully completed, the first subsequent Certified Rating completed by the Accredited Assessor will be audited. If the Accredited Assessor fails this audit their accreditation will be revoked.