Application to amend audit and certificate creation limit conditions

Version 1.0, May 2024

Purpose of this form

Use this form to apply for amendments to audit or certificate creation limit conditions. **This form is for ACPs with current accreditations under the Energy Savings Scheme (ESS) or Peak Demand Reduction Scheme (PDRS).**

You must read our [Guide for amending audit and certificate creation limit conditions](https://www.energysustainabilityschemes.nsw.gov.au/documents/guide/amending-audit-certificate-creation-limit-conditions-guide-acps) (**Guide**) which describes:

* the types of audit conditions (Section 2)
* certificate creation limit conditions (Section 3)
* how you apply to have those conditions changed, including the information you must provide to support your application (Section 4), and
* our approach to setting audit and certificate creation limit conditions (Section 5).

Not all applications will be approved. You may want to [contact us](https://www.energysustainabilityschemes.nsw.gov.au/Home/Contact-us) to discuss your situation before you apply.

How to complete and submit your application

1. Complete this form. Provide a complete response to all questions.
2. [Login to TESSA](https://tessa.energysustainabilityschemes.nsw.gov.au/ipart?id=ipart_login), select ‘Application for Amendment’ and complete the required details referring to this form in the required TESSA fields.
3. Upload this form and [submit your application](https://www.energysustainabilityschemes.nsw.gov.au/pdrs/submitting-your-application-tessa).

The [amendment process](https://www.energysustainabilityschemes.nsw.gov.au/Accredited-Certificate-Providers/Operating-as-an-ACP/Changing-your-accreditation) and information about [TESSA](https://www.energysustainabilityschemes.nsw.gov.au/tessa) is described on [our website](https://www.energysustainabilityschemes.nsw.gov.au/Accredited-Certificate-Providers/).

#### Summary of amendment needed

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|  | New ACPs normally start with pre-registration audit conditions and change to periodic audit conditions after completing an audit. It is typical to start with a low unaudited certificate creation limit and increase it in stages as you gain experience and establish your compliance history. See Section 5 of our [Guide.](https://www.energysustainabilityschemes.nsw.gov.au/documents/guide/amending-audit-certificate-creation-limit-conditions-guide-acps) No matter what you apply for you must demonstrate ongoing compliance supported by strong systems and processes that manage risk. See Section 4 of our [Guide.](https://www.energysustainabilityschemes.nsw.gov.au/documents/guide/amending-audit-certificate-creation-limit-conditions-guide-acps)  |
|  | Provide details about your request. |

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| Describe your proposed change: | Click here to enter text |

#### Rationale and relevant contributing factors

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|  | You understand your business best. To help us assess your application we need to understand why you want to change your conditions and how you will operate your business to manage any risks that come with the change. See Section 4.1 of our [Guide.](https://www.energysustainabilityschemes.nsw.gov.au/documents/guide/amending-audit-certificate-creation-limit-conditions-guide-acps)  |
|  | Provide details to support your request. |

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| Describe the reasons for your proposed change: | Click here to enter text |
| Describe changes to your business model or way of working as your business grows: | Click here to enter text |

#### Compliance risks

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|  | We consider the compliance risks associated with your business, your related ACPs and the activities you implement, and how you work with us. See Sections 4.1 to 4.3 of our [Guide](https://www.energysustainabilityschemes.nsw.gov.au/documents/guide/amending-audit-certificate-creation-limit-conditions-guide-acps). Key things we expect from you include:sustained good compliance across all accreditationsaudit findings that show good compliance, with recommendations limited to matters that are insignificant, less serious or isolatedprompt and effective responses to audit findings and recommendationslow audit error rates and errors that are not serious, persistent or systemicresponsiveness to compliance issues that may ariselow number of complaints that are minor and that you have appropriately resolved appropriate compliance controls are in place that are tailored to manage the risks of the activities you are undertaking and your business model good compliance history in similar schemes.We will also consider how responsive you have been in your dealings with us. |
|  | We usually expect you to complete at least 2 audits at different times covering a relative number of certificates before increasing your unaudited certificate creation limit. The audits must be completed successively, which allows an auditor to test recommendations from previous audits. See Section 5.3 of our [Guide.](https://www.energysustainabilityschemes.nsw.gov.au/documents/guide/amending-audit-certificate-creation-limit-conditions-guide-acps)  |
|  | Provide details to support your request. |

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| Describe the type of activities you will be undertaking: | Click here to enter text |
| Describe the risks associated with your current conditions and how those risks could change with your proposed amendment (risks could relate to compliance, operational or financial issues): | Click here to enter text |
| Describe the changes you will make to manage these risks and the controls you will have in place: | Click here to enter text |
| What resources will you add to manage additional workloads? What changes are you making to your processes and business systems? | Click here to enter text |
| Describe how your compliance record and experience supports your request *(we know your audit history so do not provide this with your application)*: | Click here to enter text |

#### Anything else?

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| You may provide any other information that you wish the Scheme Administrator to consider: | Click here to enter text |