



Australian Government

National Archives of Australia

Records Authority
2024/01085214

**Greenhouse and Energy Auditor
Services Regulation**

Clean Energy Regulator

2025



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INTRODUCTION

The Clean Energy Regulator (CER) and the National Archives of Australia have developed this records authority to set out the requirements for keeping or destroying records for the core business of Greenhouse and Energy Auditor Services Regulation. It represents a significant commitment on behalf of CER to understand, create and manage the records of its activities.

This authority is based on the identification and analysis of the business of CER. It takes into account the agency's legal and organisational information management requirements, and the interests of stakeholders, the agency and the National Archives.

The authority sets out those records that need to be retained as national archives and specifies the minimum length of time that temporary records need to be kept. This authority gives CER permission under the *Archives Act 1983*, for the destruction of the temporary records described after the minimum retention period has expired. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives on the basis of information provided by the agency.

As changes in circumstances may affect future information management requirements, the periodic review of this authority is recommended. All amendments must be approved by the National Archives.

APPLICATION OF THIS AUTHORITY

1. This authority partially replaces classes 61940, 61941, 61943, 61944 in the previously issued records authority RA 2015/00366284 for the Compliance, Investigation & Enforcement and Scheme Regulation and Management functions. These classes cannot be used to sentence records related to greenhouse energy auditor services regulation after the date of issue of this authority.
2. This authority is to be used to determine how long records must be kept. Records are matched to the relevant core business and records class in the authority.
 - Where the minimum retention period has expired and the records are not needed for CER business they should be destroyed as authorised in this authority.
 - Records that have not reached the minimum retention period must be kept until they do.
 - Records that are identified as 'retain as national archives' are to be transferred to the National Archives for preservation.
3. This authority should be used in conjunction with general records authorities such as:
 - [Administrative Functions Disposal Authority \(AFDA\) Express Version 2](#) issued by the National Archives to cover business processes and records common to Australian Government agencies; and
 - [General Records Authority 31 - Destruction of source or original records after digitisation, conversion or migration](#) (2015).
4. The normal administrative practice (NAP) provision of the *Archives Act 1983* gives agencies permission to destroy certain records without formal authorisation. This usually occurs where records are duplicated, facilitative or for short-term use only. NAP does not replace arrangements agreed to in this authority but can be used as a tool to assist in identifying records for destruction together with an agency's records authority or authorities, and with *AFDA Express Version 2*. The National Archives recommends that agencies develop and implement a NAP policy. Advice and guidance on destroying records as a normal administrative practice and on how to develop a NAP policy is available from the National Archives' website at www.naa.gov.au.
5. Records that are reasonably likely to be needed as evidence in a current or future judicial proceeding or are subject to a request for access under the *Archives Act 1983*, the *Freedom of*

Information Act 1982 or any other relevant act must not be destroyed until the action has been completed.

6. Records subject to a disposal freeze must not be destroyed until the freeze has been lifted. Further information about disposal freezes and whether they affect the application of this authority is available from the National Archives website at www.naa.gov.au.
7. Where the method of recording information changes (for example from an analogue system to a digital system, or when information is migrated from one system to a new system) this authority can still be applied, providing the records document the same core business. The information must be accessible for the period of time prescribed in this authority. The CER will need to maintain continuing access to the information, including digital information, for the periods prescribed in this records authority or until the information is transferred into the custody of the National Archives.
8. In general, retention requirements indicate a minimum period for retention. The CER may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where the CER believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.
9. Records identified as 'retain as national archives' class in this authority have been determined to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*. The determination of Commonwealth records as archival resources of the Commonwealth obliges agencies to transfer the records to the National Archives when they cease to be current and, in any event, within 15 years of the records coming into existence, under section 27 of the *Archives Act 1983*.
10. Records in the care of agencies should be appropriately stored, managed and preserved. Agencies need to meet this obligation to ensure that the records remain authentic and accessible over time. Under Section 31 of the *Archives Act 1983*, access arrangements are required for records that become available for public access including those records that remain in agency custody.
11. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody. The National Archives accepts for transfer only those records designated as national archives. Records created digitally after 1 January 2016 can be transferred in digital formats only.
12. Advice on how to use this authority is available from the CER information manager. If there are problems with the application of the authority that cannot be resolved, please contact the National Archives

CONTACT INFORMATION

For assistance with this authority or for advice on other information management matters, please contact National Archives' [Agency Service Centre](#).

AUTHORISATION

Records Authority 2024/01085214

Notice of authorisation

Person to whom notice of authorisation is given:

Mr David Parker AM
Chief Executive Officer and Chair
47 Bowes Street
Phillip ACT 2606

Purpose

Authorises arrangements for the disposal of records in accordance with section 24(2)(b) of the *Archives Act 1983*.

Determines records classed as 'retain as national archives' in this records authority to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*.

Application

All records relating to Greenhouse and Energy Auditor Services Regulation.

Authority

This authority gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. This authority will apply only with the consent of the agency currently responsible for the business documented in the records described.

This document has been authorised through a digital workflow (R23032025).

Authorising Officer	Date of issue
Josephine Secis Assistant Director-General, Collection Management National Archives of Australia	9 January 2025

GREENHOUSE AND ENERGY AUDITOR SERVICES REGULATION

The core business of regulating the services of independent greenhouse energy auditors engaged by entities such as emission reporters, scheme proponents, applicants, and participants and other entities to report on their emissions. Greenhouse and energy audits are aimed at measuring compliance with legislation and government policies that underpin schemes administered by the Clean Energy Regulator.

The **core activities** include:

- developing and maintaining the greenhouse and energy reporting audit framework in consultation with industry, greenhouse gas accounting professions, environmental audit sector;
- establishing industry-specific legislative regulations, instruments, determinations, and auditors code of conduct;
- regulating services of greenhouse and energy auditors by establishing eligibility criteria for registration, assessing, and determining applications for registration, maintaining public register, and reviewing annual reports from registered auditors;
- educating registered greenhouse and energy auditors about their obligations by hosting webinars to support auditors in their professional development, annual workshops to better understand the schemes administered by the regulator;
- monitoring compliance of the registered auditors against legislative obligations by undertaking periodic reviews, conducting inspections, reporting on auditor performance or non-compliance, and issuing audit notices to scheme participants; and
- conducting investigations into registered auditors for alleged breaches and/or complaints made by scheme proponents, emission reporters or participants, and, where necessary deregistering, suspending or revoking an auditor's registration.

The performance of the core business is supported by **general activities** such as:

- providing and receiving advice;
- arranging visits, outreach events and training;
- managing appeals against or reviews of regulator's decisions;
- consultations with industry stakeholders;
- establishing, managing, and participating in committees, and meetings;
- receiving and responding to enquiries;
- planning and reporting;
- developing and implementing operational policies, procedures; and
- identifying, assessing, and managing risks.

Cross references to other Clean Energy Regulator records authorities

For developing the agency's annual audit program, use EMISSIONS and ENERGY REPORTING.

For compliance management of agency schemes, use CARBON CREDITING ADMINISTRATION, EMISSIONS and ENERGY REPORTING, RENEWABLE ENERGY ADMINISTRATION.

Cross references to AFDA Express Version 2

GREENHOUSE AND ENERGY AUDITOR SERVICES REGULATION

For processing auditor registration fees, use FINANCIAL MANAGEMENT.

For managing the acquisition of services and goods to support the auditor services regulation business, including tendering and contracting-out arrangements, use PROCUREMENT.

For the production and distribution of publications in support of auditor services regulation business, use PUBLICATION.

For developing and executing contracts under seal or deeds, use CONTRACTS UNDER SEAL/DEEDS.

For final versions of speeches presented by the portfolio Minister, the agency head, or senior agency staff, use EXTERNAL RELATIONS

Class no	Description of records	Disposal action
63234	<p>Records documenting:</p> <ul style="list-style-type: none"> • providing, receiving and following high-level advice such as advice provided to the Auditing & Assurance Standards Board (AUASB) and responses to Questions on Notice from Senate estimates hearings relating to the audit program. Includes position papers, briefs, opinions, reports and stakeholder submissions; • high-level internal and external, including inter-governmental or inter-agency, committees, working groups, consultative groups and other bodies, where the agency provides the secretariat, is the Australian Government's main representative or plays a prominent or central role, such as the discussions on greenwashing. Includes establishment records, final versions of minutes, agenda, tabled papers, briefings and results of committee meetings such as reports and recommendations; • investigations of registered auditors who have breached legislation, acted dishonestly or fraudulently that results in significant penalties or findings; involves matters that are controversial or attract considerable official or public interest; results in major changes to agency or government policies, processes, or schemes; or results in major changes that set a precedent regarding legislative interpretation. Includes participant notices, reports, recommendations, referrals and supporting documentation, briefs of evidence containing witness statements, evidence indexes, listing exhibits to be produced by various witnesses, case notes and statements of findings; <p><i>[For investigations that do not result in significant findings or enforcement, use class 63235.]</i></p> <ul style="list-style-type: none"> • summary register containing information about current and former investigations. Includes auditor details and status, governing documents, reports and annual information statements and investigation outcomes; 	Retain as national archives

GREENHOUSE AND ENERGY AUDITOR SERVICES REGULATION

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> • final versions of the legislative framework for audits developed in consultation with external stakeholders and used by the agency as legislative instruments to regulate standards of professional conduct, compliance monitoring and investigations of complaints against a registered auditor. Includes legislative instruments that set out specific requirements for auditors to become registered. This includes final versions of the specific requirements auditors need to know when undertaking audits to help them comply with the legislation that underpins the agency's schemes, final versions of the audit determination handbook and codes of conduct; • appeals or reviews of decisions made by the agency that: are precedent setting, controversial or of public interest; or result in major changes to agency policy or programs. Includes appeals to higher authorities such as the Administrative Review Tribunal; • establishment and maintenance of the greenhouse and energy auditors register. Includes relevant datasets and associated information; • developing national and high-level reports. Includes final versions, major drafts, stakeholder consultation and supporting research; and • master versions of educational program materials 	
63235	<p>Records documenting:</p> <ul style="list-style-type: none"> • compliance monitoring of registered auditors' performance and legislative obligations. Includes receipt of auditors' annual reports, conducting annual compliance inspections, reviewing and reporting on performance or non-compliance, and where necessary, suspending, or revoking registration, or placing a condition on an auditor's registration on the published extract of registers; • applications for registration as a greenhouse or energy auditor, including identity documents, preliminary assessments, enrolments, internal reviews, notifications to applicants; <p><i>[For master/control registers, use class 63234.]</i></p> <ul style="list-style-type: none"> • investigations of registered auditors who have not breached legislation, acted dishonestly or fraudulently, or result in a determination of 'no further action'. Includes participant notices, reports, recommendations, referrals and supporting documentation, briefs of evidence containing witness statements, register of exhibits, case notes and statements of findings; 	Destroy 15 years after action completed

GREENHOUSE AND ENERGY AUDITOR SERVICES REGULATION

Class no	Description of records	Disposal action
	<i>[For investigations that result in significant findings or enforcement, use class 63234]</i> <ul style="list-style-type: none">• notifications to applicants seeking registration, re-registration, or for registration to be revoked.	
63236	Records documenting: <ul style="list-style-type: none">• routine operational administrative tasks supporting the core business; and• auditor services regulation activities other than those covered in classes 63234 and 63235.	Destroy 7 years after action completed