

# EEC Professional Certifications Framework

An initiative of the Energy Efficiency Council

## Certified EnMS Advisor Sub-Rules



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2	27 February 2024	Update to Part H, Sections 1.2.1, 1.2.2 & 1.2.3
3	16 December 2024	Changes to rules including <i>Part F: Applying for certification</i> 2.6 and <i>Part H: Renewing certification</i> , Rule 2.1.
		The addition of a new rule <i>Part F: Applying for certification</i> Rule 1.2

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## Part A: Foreword

### 1. About the Certified EnMS Advisor Sub-Rules

- 1.1 The Certified EnMS Advisor (**Certified EnMS Advisor**) Sub-Rules (the **Sub-Rules**) regulate two levels of Certified EnMS Advisor certifications that are a national certification for energy services professionals who support businesses with implementing and sustaining an energy management system (**EnMS**).
- 1.2 The Energy Efficiency Council (**EEC**) is the peak body representing Australia's energy management sector. The EEC Professional Certifications Framework (the **Framework**) and associated Professional Certifications (the **Professional Certifications**), including the Certified EnMS Advisor certifications, are owned and operated by the EEC.
- 1.3 The EEC operates the Framework, the rules relating to the Framework (the **Framework Rules**) and the Sub-Rules in accordance with the Framework Policy.
- 1.4 As with all EEC activities, the EEC Board (the **Board**) is ultimately responsible for the proper operation of the Framework and the associated Professional Certifications, including the Sub-Rules.

### 2. Sub-Rules purpose

- 2.1 The purpose of these Sub-Rules is to promote the effective delivery of energy services across Australia. To that end, the Sub-Rules do all of the following:
  - 2.1.1 define the scope for the two levels of Certified EnMS Advisor certification;
  - 2.1.2 define appropriate levels of certification for EEC certified individuals;
  - 2.1.3 define the minimum qualifications and experience, and the required skills and knowledge, for each level of certification;
  - 2.1.4 establish an independent assessment process for verifying the qualifications, experience and required skills and knowledge of individuals seeking certification; and
  - 2.1.5 define the requirements individuals must comply with in order to maintain and renew certification.

### 3. References

- 3.1 Referenced Forms (the **Referenced Forms**) – This document refers to the following Referenced Forms. Current versions of these forms are available either on the Framework website, or by request from the Secretariat (the **Secretariat**):
  - 3.1.1 Application Form (the **Application Form**);
  - 3.1.2 Continuing Professional Development (**Continuing Professional Development** or **CPD**) Log (the **CPD Log**); and
  - 3.1.3 Case Study Form (the **Case Study Form**).
- 3.2 Referenced Guides (the **Referenced Guides**) – This document should be read in conjunction with the following guide:
  - 3.2.1 Guide for Candidates (the **Guide for Candidates**).

- 3.3 Referenced Rules – This document references the Framework Rules which are administered under the EEC Professional Certifications Framework. This document should be read in conjunction with the Framework Rules.

#### 4. Priority of documents

- 4.1 The material included in the Schedules of these Sub-Rules form a part of these Sub-Rules.
- 4.2 The material listed under the headings 'Referenced Forms' and 'Referenced Guides' form a part of these Sub-Rules.
- 4.3 If there is any inconsistency between the documents, the various documents shall be accorded the following priority:
- 4.3.1 Framework Rules;
  - 4.3.2 the Sub-Rules (excluding the Schedules);
  - 4.3.3 the Schedules;
  - 4.3.4 the Referenced Forms; and
  - 4.3.5 the Referenced Guides.

#### 5. Definitions

**Application Form** means the application form for the desired level of certification and available either on the Framework website, or by request from the Secretariat.

**Assessment Panel** means the panel appointed by the Board which is responsible for establishing appropriate assessment criteria and assessing candidates for each Professional Certification.

**Assessor** means an Assessment Panel member.

**Board** has the meaning given to it in the Framework Rules.

**Business Day** means a day that is not a Saturday, Sunday, public holiday or bank holiday in Melbourne, Victoria.

**Case Study Form** means the forms to submit evidence of implementation of at least four of the Key Elements of an EnMS with 75+ hours of work undertaken available either on the Framework website, or by request from the Secretariat.

**Certification Number** means the number issued to candidates who have been successful in their certification application.

**Certification Reference Group** has the meaning given to it in the Framework Rules.

**Certified EnMS Advisor** means the lower level of certification for the Certified EnMS Advisor certification, which is awarded to an individual that have met the certification requirements for this level.

**Certified EnMS Advisor at the Advanced level** means the advanced certification level for the Certified EnMS Advisor certification, the Certified EnMS Advisor at the Advanced level, which is awarded to an individual that has met the certification requirements for this level of the certification, and therefore has experience supporting businesses with developing and delivering Key Elements of an EnMS.

**Chair** means the chair of a meeting of the Assessment Panel.

**Code of Conduct** means the code of conduct set out in the Framework Rules and the Sub-Rules.

**CPD** or **Continuing Professional Development** has the meaning given to it in the Framework Rules.

**CPD Log** has the meaning given to it in rule 4.1 in Part G.

**Directory of Certified Individuals** means a publicly accessible directory of individuals certified under these Sub-Rules.

**EEC** has the meaning given to it in rule 1.2 of Part A.

**Energy and Related Services** means any services provided with the aim of improving energy performance and/or reducing emissions.

**EnMS** has the meaning given to it in rule 1.1 of Part A and rule 1.1 of Part C.

**EnMS Advisor Training Course** means the training course required for certification as a Certified EnMS Advisor or a Certified EnMS Advisor at the Advanced level.

**Evidence Guide** has the meaning given to it in rule 6.4.2 of Part B.

**Exam** has the meaning given to it in rule 2.8.1 of Part F.

**Framework** has the meaning given to it in rule 1.2 of Part A.

**Framework Rules** has the meaning given to it in rule 1.3 of Part A.

**Guide for Candidates** has the meaning given to it in the Framework Rules.

**Independent Expert** has the meaning given to it in the Framework Rules.

**Interview** has the meaning given to it in rule 2.10 of Part F.

**Key Elements of an EnMS** has the meaning given to it in rule 2.1.2 of Part C.

**Lead Assessor** has the meaning given to it in rule 2.1 of Part F.

**Ombudsperson** has the meaning given to it in the Framework Rules.

**Professional Certifications** has the meaning given to it in rule 1.2 of Part A.

**Proposal** has the meaning given to it in rule 2.10 of Part F.

**Recognised Certifications** has the meaning given in the Framework Rules.

**Reference** has the meaning given to it in rule 2.8.2 of Part F.

**Referenced Forms** has the meaning given to it in rule 3.1 of Part A.

**Referenced Guides** has the meaning given to it in rule 3.2 of Part A.

## Certified EnMS Advisor Sub-Rules

**Reviewer** has the meaning given to it in rule 7.6 of Part F.

**Secretariat** has the meaning given to it in the Rules of Association.

**Statement of Reasons** has the meaning given to it in the Framework Rules.

**Steering Committee** has the meaning given to it in the Framework Rules.

**Sub-Rules** has the meaning given to it in rule 1.1 of Part A.



## Part B: Governance

### 1. Overview

- 1.1 The Framework and the Professional Certifications have been established to promote the effective delivery of Energy and Related Services (**Energy and Related Services**) across Australia. The Board may, at its sole discretion, alter any aspect of the Framework and/or Professional Certifications to ensure they continue to address the needs of Australia's energy management sector.
- 1.2 The decision to maintain the Framework and the Professional Certifications shall be at the sole discretion of the Board.

### 2. Delegations

- 2.1 Delegations of the Board's authority are set out in the Framework Rules.

### 3. Board

- 3.1 The Board's role is set out in the Framework Rules.

### 4. Secretariat

- 4.1 The Secretariat's role is set out in the Framework Rules.

### 5. Steering Committee

- 5.1 Governance requirements for the Steering Committee (the **Steering Committee**) are set out in the Framework Rules.

### 6. Assessment Panel

- 6.1 Each certification within the Framework has an Assessment Panel (the **Assessment Panel**) appointed to it. Governance requirements of the Assessment Panel are also set out in the Framework Rules which should be read in conjunction with these Sub-Rules. The Assessment Panel referred to in these Sub-Rules is the Assessment Panel appropriate to the Certified EnMS Advisor certification.
- 6.2 The Assessment Panel shall have a minimum of three members at any given time.
- 6.3 Meetings of the Assessment Panel must include a quorum of three members of the Assessment Panel. The first order of business of Assessment Panel meetings regarding decisions on certification shall be to nominate and vote on a Chair (**Chair**) for the meeting.
- 6.4 The Assessment Panel is responsible for undertaking all of the following duties in accordance with the Framework Rules, these Sub-Rules and associated Schedules and Guides with input from the Independent Expert (the **Independent Expert**) where required:
  - 6.4.1 drafting and maintaining the areas of assessment to ensure that the required skills and knowledge in each area remain current and relevant to industry needs, with input from the Independent Expert where required;
  - 6.4.2 drafting a confidential Evidence Guide (the **Evidence Guide**) to ensure consistency of assessment across candidates, and reviewing it where required;

- 6.4.3 drafting a register of Recognised Certifications (the **Recognised Certifications**) that lists certifications that are recognised as relevant to the areas of assessment, and reviewing it as required;
- 6.4.4 assessment of applications for certification and renewal of certification;
- 6.4.5 determining the categories of professional development that are eligible for inclusion in the CPD Log;
- 6.4.6 providing advice to the Secretariat, the Steering Committee and the Board on revisions to the Framework and/or these Rules that are necessary for them to fulfil their objectives and;
- 6.4.7 assisting with reviews or investigations of individuals certified under the Framework at the request of the Secretariat, the Steering Committee, or the Ombudsperson (the **Ombudsperson**).

## 7. Certification Reference Groups

- 7.1 Governance requirements for the Certification Reference Groups (the **Certification Reference Group(s)**) are set out in the Framework Rules.

## 8. Ombudsperson

- 8.1 Governance requirements for the Ombudsperson are set out in the Framework Rules.

## 9. Independent Expert(s)

- 9.1 Governance requirements for the Independent Expert(s) are set out in the Framework Rules.

## Part C: Scope of Certified EnMS Advisor certifications

### 1. Definition of an EnMS

- 1.1 An EnMS establishes a systematic approach to energy management. This includes energy strategy development, energy management planning, implementation of plans, and ongoing monitoring and continuous improvement.
- 1.2 A Certified EnMS Advisor is an individual with the knowledge and skills to effectively engage, advise and support a business with establishing and sustaining an effective EnMS.

### 2. Overview of certification levels

- 2.1 The Board has established two levels of certification:
  - 2.1.1 **Certified EnMS Advisor**, which may be awarded to an individual that has met the certification requirements for this level of the certification.
  - 2.1.2 **Certified EnMS Advisor at the Advanced level**, which may be awarded to an individual that has met the certification requirements for this level of the certification and has experience supporting businesses with developing and delivering key elements of an EnMS (**Key Elements of an EnMS**).

### 3. Details on certification levels

- 3.1 Certified EnMS Advisor is available to individuals with more than two (2) years energy efficiency and/or energy management experience.
  - 3.1.1 An individual may qualify to hold a Certified EnMS Advisor certification via one of two of the following pathways:

**Pathway 1:**

    1. Holding a degree in a relevant field; and
    2. Two (2) years' experience in energy efficiency and/or energy management.

**Pathway 2:**

    1. No degree in a relevant field; and
    2. Five (5) years' experience in energy efficiency and/or energy management.
- 3.2 Certified EnMS Advisor at the Advanced level is available to individuals with experience supporting businesses with developing and delivering key elements of an EnMS as set out in Schedule 1.

- 3.2.1 An individual may qualify to hold a Certified EnMS Advisor at the Advanced level certification via one of two pathways of the following pathways:

**Pathway 1:**

1. Holding a degree in a relevant field; and
2. Two (2) years' experience in energy efficiency and/or energy management.

**Pathway 2:**

1. No degree in a relevant field; and
2. Five (5) years' experience in energy efficiency and/or energy management.

- 3.3 A Certified EnMS Advisor is not required to be a technical expert in every aspect of energy management. Rather, certification indicates that they have the knowledge, relevant technical expertise and practical experience necessary to advise on the implementation of an EnMS.
- 3.4 These certifications are awarded in accordance with the requirements set out in Part E: Requirements for Certification.
- 3.5 The EEC does not guarantee the quality of work undertaken by certified individuals and expressly disclaims, to the full extent of the law, any such guarantee. Certification under the Framework Rules and these Sub-Rules is an indication only that an individual has met the relevant requirements for knowledge and experience set out in the Framework Rules and these Sub-Rules.

## 4. Coverage

- 4.1 Certified individuals are certified to advise on the implementation of EnMS as appropriate to their level of certification within Australia and its states and territories.

## **Part D: Terms of certification**

The Terms of certifications are set out in the Framework Rules, which should be read in conjunction with these Sub-Rules.

## Part E: Requirements for certification

### 1. General requirements

- 1.1 All candidates for certification must be at least eighteen years of age.

### 2. Pre-requisites for certification

- 2.1 The Board has established the following pre-requisites for each level of certification.
- 2.2 Certification as a Certified EnMS Advisor is available to energy efficiency professionals with industry experience, by demonstrating to the Assessors (the **Assessor(s)**) that they satisfy either of the following criteria:
  - 2.2.1 two (2) years' experience in energy efficiency and energy management with a bachelor's degree or higher qualification in a relevant discipline, such as commerce and business, engineering, environmental science, finance, economics, law, marketing or project management; or
  - 2.2.2 candidates without a relevant qualification must demonstrate that they have a minimum of five (5) years of experience in energy efficiency and/or energy management; and
  - 2.2.3 completion of the EnMS Advisor Training Course (the **EnMS Advisor Training Course**).
- 2.3 Certification as a Certified EnMS Advisor at the Advanced level is available to energy efficiency professionals with significant industry experience, by demonstrating to the Assessors that:
  - 2.3.1 they have either:
    - 2.3.1.1 in the case of candidates with a bachelor's degree or higher qualification in a relevant discipline, such as commerce and business, engineering, environmental science, finance, economics, law, marketing or project management degree in, two (2) years' experience in energy efficiency and/or energy management;
    - 2.3.1.2 in the case of candidates without a relevant qualification, a minimum of five (5) years of experience in energy efficiency and/or energy management; and
  - 2.3.2 they have experience of developing and implementing the Key Elements of an EnMS as set out in Schedule 1; and
  - 2.3.3 they have completed the EnMS Advisor Training Course.
- 2.4 Qualifications referred to in this Part E, Section 2 must be awarded by an Australian educational institution of good standing, or an equivalent international institution deemed satisfactory by the Assessment Panel.
- 2.5 The determination of whether a candidate satisfies these pre-requisites for certification shall be made by the Assessors in their sole discretion, in accordance with these Sub-Rules.

### 3. Assessment criteria

- 3.1 As well as meeting the applicable pre-requisites set out above (Part E, Section 2), candidates for Certified EnMS Advisor certification (at either level) must establish their eligibility for certification by satisfying the Assessors that they have:
  - 3.1.1 the required skills and knowledge in all of the areas of assessment set out in Schedule 2; and
  - 3.1.2 the knowledge necessary to engage with, advise and support a business with establishing and sustaining an EnMS.
- 3.2 Candidates for both levels of certification are assessed against the same ten areas of assessment set out in Schedule 2.
- 3.3 A confidential Evidence Guide is maintained by the Assessment Panel to assist Assessors with determining whether candidates satisfactorily demonstrate the required skills and knowledge in each area of assessment, and to assist with providing consistency of assessment between candidates.
- 3.4 The determination of whether a candidate satisfies these assessment criteria shall be made by the Assessors and Assessment Panel (if required) in their sole discretion, in accordance with Part F of these Sub-Rules.

### 4. Recognition of other certifications

- 4.1 Schedule 3 lists external certifications that are recognised as relevant to the areas of assessment.
- 4.2 Candidates holding current certifications on this list are considered to have demonstrated relevant knowledge in the areas of assessment indicated.
- 4.3 All candidates must demonstrate to the Assessors that they have the capacity to apply their knowledge in the context of an EnMS, regardless of any certifications held.

## Part F: Applying for certification

### 1. Applying for certification

- 1.1 To apply for certification, candidates must:
  - 1.1.1 complete the EnMS Advisor Training Course;
  - 1.1.2 read the Guide for Candidates and familiarise themselves with the Code of Conduct (the **Code of Conduct**; set out in the Framework Rules), the Framework Rules and these Sub-Rules;
  - 1.1.3 complete the Application Form for the desired level of certification and submit it to the Secretariat along with any supporting documentation requested in the Application Form;
  - 1.1.4 agree to be bound by the Framework Rules, these Sub-Rules and the Code of Conduct should their application for certification be successful;
  - 1.1.5 pay the required fee within the terms as set out by the Secretariat on the Framework website;
  - 1.1.6 successfully complete an online exam;
  - 1.1.7 make themselves available for an interview with two members of the Assessment Panel (being the Lead Assessor (the **Lead Assessor**) and another member of the Assessment Panel); and
  - 1.1.8 bring any requested documentation to the interview for review by the Assessors.
- 1.2 Candidates may redact any portions of documentation that they are unable to share due to commercial confidentiality requirements.

### 2. Assessment of applications

- 2.1 Assessments will be conducted by two Assessors appointed by the Secretariat, with one being appointed as the Lead Assessor.
- 2.2 The Secretariat will complete an initial review of any applications for certification to confirm that each Application Form is complete and includes information that complies with the prerequisites set out in Part E of these Sub-Rules. Incomplete Application Forms or Application Forms that do not meet the prerequisites will not be accepted and will not be assessed by the Assessors.
- 2.3 The candidate must set out in the Application Form if there are any circumstances where the candidate may require alternative assessment arrangements. The Secretariat will require evidence of the circumstances and may make reasonable adjustments to the assessment process at its discretion.
- 2.4 If the Secretariat decides not to accept an application in accordance with rule 2.2, the Secretariat must notify the candidate and may (in the Secretariat's absolute discretion), give the candidate an opportunity to rectify the deficiencies in their application.
- 2.5 If the Secretariat notifies a candidate in accordance with rule 2.4, and:
  - 2.5.1 the candidate cannot meet the requirements; or



- 2.5.2 otherwise does not or cannot rectify the deficiencies in their within 5 business days (**Business Days**) of the Secretariat providing an opportunity to do so,
- then the Secretariat will inform the candidate that their application will not proceed.
- 2.6 If the Secretariat considers that the pre-requisites for certification have been met, the Secretariat will forward the application to the Assessors for independent review. Confidential or sensitive information will be anonymised prior to the Secretariat submitting the application and associated documentation to the Assessors.
- 2.7 The Assessors will consider the candidate's application and any associated documentation and, having regard to the prerequisites and the assessment criteria set out on Part E, make a preliminary decision as to whether the candidate may be eligible for certification.
- 2.8 As part of the assessment process:
- 2.8.1 online exam assessments (the **Exam**) will be carried out by the Secretariat with support from the Lead Assessor or an Independent Expert as required; and
- 2.8.2 referees provided by the candidates (if any) will be contacted by the Secretariat to obtain a reference check (the **Reference**).
- 2.9 If the Assessors decide that the candidate is not eligible for certification, the Secretariat must inform the candidate and comply with section 6 (Notification of assessment and issue of certification).
- 2.10 If the candidate passes the Exam and Reference assessment activities, as determined by the Secretariat, the candidate will be invited to submit a proposal for establishing an EnMS (the **Proposal**) and to attend an interview (the **Interview**) with the Assessors. An invitation to an interview does not guarantee that certification will be granted.
- 2.11 The Assessors will use the Interview to verify the information provided in the candidate's Application Form, raise questions on the Proposal, review any additional documentation supplied by the candidate during the application process, and gather any additional information necessary to determine the candidate's eligibility.
- 2.12 Following the interview, if the Assessors decide that the candidate is not eligible for certification, the Secretariat must inform the candidate and comply with section 6 (Notification of assessment and issue of certification).
- 2.13 Following the interview, if the Assessors decide that the candidate is eligible for certification, the Secretariat must inform the candidate and comply with section 6 (Notification of assessment and issue of certification).
- 2.14 If the Assessors cannot agree as to whether a candidate is eligible or not eligible for certification, the candidate's application must be referred to the Assessment Panel in accordance with section 4 (Referral to Assessment Panel for certification decision).

### 3. Submission of additional information

- 3.1 If the Assessors consider the information lodged with an application is insufficient for the Assessors to determine a candidate's eligibility for certification, the Assessors may, at their discretion, request additional information from the candidate. The Assessors may also request that information provided as part of the Application Form be redrafted for clarity or relevance.
- 3.2 The Secretariat shall make requests in writing for additional or redrafted information on behalf of the Assessors.
- 3.3 The candidate must provide any additional or redrafted information within ten Business Days of receiving request for that information. Information provided following that period will only be accepted and considered at the sole discretion of the Assessors.

### 4. Referral to Assessment Panel for certification decision

- 4.1 Meetings of the Assessment Panel must include a quorum of not less than three members of the Assessment Panel.
- 4.2 Decisions on certification shall be made by a simple majority vote of the Assessment Panel. In the event of a tied vote, the Chair of the Assessment Panel meeting shall have a casting vote.

### 5. Certification at another level

- 5.1 If, following the Assessors' review of a candidate's application, the Assessors determine that the candidate is likely to be eligible at a level of certification higher than the one applied for, the Assessor will inform the candidate (via the Secretariat) and invite the candidate to submit additional material necessary to be assessed at the higher level of certification. The candidate may elect to do so in their sole discretion.

### 6. Notification of assessment and issue of certification

- 6.1 The Secretariat shall communicate the assessment determination to the candidate in writing, which must include a Statement of Reasons (the **Statement of Reasons**) that sets out the grounds for the determination, and any other relevant information.
- 6.2 Successful candidates will be issued with a certification and a Certification Number (the **Certification Number**).
- 6.3 Unsuccessful candidates will be notified of
  - 6.3.1 their right to appeal the determination in accordance with section 7 (Appeals); and
  - 6.3.2 when they can reapply in accordance with the Rules and guidance from the Assessors and the applicable reapplication fee.

### 7. Appeals

- 7.1 candidates for certification may appeal their determination if, after reviewing the Statement of Reasons, they believe the Assessors and/or the Assessment Panel (as applicable) have not properly applied the Framework Rules or these Sub-Rules to the assessment.

## Certified EnMS Advisor Sub-Rules

- 7.2 Appeals by candidates will incur a fee in respect of administration and reassessment costs. The required fee must be paid by the candidate before an appeal will be considered by the Secretariat.
- 7.3 Appeals must be made in writing to the Secretariat within ten Business Days of the candidate being notified of an unsuccessful application and must clearly state how the Framework Rules and/or Sub-Rules have not been properly applied.
- 7.4 The Secretariat shall forward appeals that meet the above requirements to the Ombudsperson for review.
- 7.5 If the Ombudsperson determines that the Sub-rules have been appropriately applied, the appeal will be dismissed and the candidate informed by the Secretariat of the Ombudsperson's decision. The Ombudsperson's decision is final.
- 7.6 If the Ombudsperson determines that the appeal is well founded, the candidate's application and the Ombudsperson's reasoning will be forwarded to a member of the Assessment Panel that did not take part in the original decision (the **Reviewer**).
- 7.7 In considering the appeal, the reviewer may, at their discretion, take into account any of the following:
  - 7.7.1 the Ombudsperson's determination;
  - 7.7.2 the original Application Form and any supporting documentation provided by the candidate;
  - 7.7.3 notes, scores and other materials produced by the Assessors and the Assessment Panel (if any) in the course of the original application and assessment process;
  - 7.7.4 the Statement of Reasons produced by the Assessors and/or the Assessment Panel;
  - 7.7.5 the appeal documentation provided by the unsuccessful applicant, and;
  - 7.7.6 any other documentation provided by the candidate to support their case.
- 7.8 If the Reviewer determines that the candidate is eligible for certification, the Reviewer will advise the Secretariat to issue the candidate a certification and a Certification Number. In such cases, the Reviewer may recommend that the fee paid to lodge the appeal is refunded. Refunds will be made at the sole discretion of the Secretariat.
- 7.9 If the Reviewer confirms the determination made by the Assessment Panel, or that there was an error but that the candidate is still not eligible for certification, that decision is final and cannot be further appealed by the candidate.

## 8. Resubmissions

- 8.1 Resubmission of an application will be subject to the standard applicable fee for assessment.

## 9. Duration of certification

- 9.1 Terms of certification commence on the date candidates are formally notified that their application has been successful. If this date is prior to 1 July 2022, the term of the certification will commence on 1 July 2022.

## Certified EnMS Advisor Sub-Rules

- 9.2 Certification as a Certified EnMS Advisor is valid for a period of three years.
- 9.3 Certification a Certified EnMS Advisor at the Advanced level is valid for a period of three years.

## 10. Changing certification level

### 10.1 Upgrading certification

- 10.1.1 Certified individuals under the Framework may seek to upgrade to a higher level of certification by submitting a new application at the desired level.
- 10.1.2 Individuals upgrading to a higher level of certification may reuse material from their previous application. This material will be re-assessed against the more stringent requirements of the higher certification level.
- 10.1.3 The Secretariat will inform the certified individual of the fee payable by the certified individual for applying to upgrade their certification.

## 11. Administration

- 11.1 All decisions relating to a candidate's certification shall be kept on file by the Secretariat along with Application Forms, associated documentation and assessment materials and the Statement of Reasons for a minimum of seven years (or arrangements shall be made to keep them in storage for an equivalent period).
- 11.2 The Secretariat shall maintain a publicly accessible directory of certified individuals (the **Directory of Certified Individuals**) that are certified under these Sub-Rules.
- 11.3 This directory shall include the name of certified individuals, Certification Numbers, certification level and status, duration of certification, date of initial certification and the states and territories in which the certified individuals operate. Certified individuals irrevocably consent to the publication of this information.
- 11.4 This directory may include the contact details of the certified individuals. Certified individuals must consent to the publication of this information.

## 12. Sequencing and timing of assessments

- 12.1 The maximum time to complete the certification process is three (3) years from the date the candidate completes the EnMS Advisor Training Course.
- 12.2 If all of the assessment steps are not completed within 12 months of the candidate completing the Exam, the candidate will need to re-sit the Exam and recommence the assessment process.
- 12.3 If all of the assessment steps are not completed within three (3) years from the date the candidate completes the EnMS Advisor Training Course the candidate will need to reapply and re-do the training and assessment process.

## **Part G: Maintaining certification**

### **1. Satisfying the requirements for certification**

- 1.1 To maintain certification, certified individuals must satisfy and continue to satisfy all the requirements for certification verified in the course of the assessment process.
- 1.2 To maintain certification, certified individuals must comply and continue to comply with the Framework Rules, these Sub-Rules and the Code of Conduct.
- 1.3 From time to time, the Assessment Panel, in consultation with the Steering Committee, the Certification Reference Group, and, if required, with the advice of an Independent Expert, may revise the areas of assessment or introduce additional requirements for certification, such as revised pre-requisites for certification or mandatory training programs for certification. Any revision must be with the approval of the Board.
- 1.4 In these instances, certified individuals may be required to show they have met the revised criteria for certification within a given timeframe.
- 1.5 Additional requirements may also be set out in the Framework Rules which should be read in conjunction with these Sub-Rules.

### **2. Maintaining currency of personal details**

- 2.1 It is the responsibility of certified individuals to notify the Secretariat in writing of any of the following:
  - 2.1.1 change of contact details;
  - 2.1.2 change of employer; or
  - 2.1.3 the revocation of any relevant certifications that were used as evidence of experience and/or continuing professional development in the CPD Log.

### **3. Payment of the scheduled fees**

- 3.1 To maintain their certification, certified individuals are required to pay all the applicable fees set out by the Secretariat.

### **4. Submission of a Continuing Professional Development Log**

- 4.1 Certified individuals are required to submit to the Secretariat a Continuing Professional Development Log on renewal that includes the following areas:
  - 4.1.1 Certified individuals must describe eligible CPD activities undertaken in the course of the three most recent years that the individual was certified and how they relate to the areas of assessment.
  - 4.1.2 Each CPD activity listed must make a substantial contribution to the development of the certified individual's skills and knowledge in one or more of the areas of assessment.
  - 4.1.3 Activities undertaken to satisfy CPD requirements in other certification programs may be used to satisfy CPD requirements under the Framework, as long as they make a substantial contribution to the development of the certified individual's skills and knowledge in one of the areas of assessment.

4.1.4 A certified individual that has had development areas identified as part of the certification process must ensure that at least one of the CPD activities in each calendar year substantially addresses each development area identified.

4.2 Where a certified individual has not been granted an exemption in accordance with Part H, not submitted their annual CPD Logs and failed to meet all CPD requirements may be required to demonstrate that they continue to satisfy all the requirements for certification by re-applying for certification. These applications will be processed in accordance with the standard application process set out in Part F: Applying for Certification.

## 5. Breaches of the requirements for maintaining certification

5.1 The Secretariat may, at any time and in its sole discretion, suspend or revoke certification if it determines that a certified individual has failed to meet any of the following requirements for maintaining certification:

5.1.1 compliance with the Framework Rules, these Sub-Rules or the Code of Conduct;

5.1.2 satisfying all the requirements for certification verified in the course of the assessment process;

5.1.3 undertaking the required CPD activities;

5.1.4 submitting any other information or materials as required; or

5.1.5 paying the required fees.

5.2 Certified individuals that have their certification suspended or revoked shall be provided with a Statement of Reasons.

5.3 Suspensions may be lifted if the certified individual complies with these requirements within a reasonable time period.

5.4 Formerly certified individuals that believe that the Secretariat has not properly applied the Framework Rules or these Sub-Rules may appeal to the Ombudsperson to review the decision by following the appeals process in Part F (Rule 7).

5.5 No fees will be refunded upon suspension or revocation of certification.

## 6. Withdrawing from the Framework

6.1 Certified individuals may revoke their certification under the Framework at any time by notifying the Secretariat in writing.

6.2 No fees will be refunded upon withdrawing certification.

## 7. Administration

7.1 All materials associated with the maintenance of certification shall be kept on file by the Secretariat for a minimum of seven years (or arrangements shall be made to keep them in storage for an equivalent period).

## Part H: Renewing certification

### 1. Requirements for renewal of certification

- 1.1 Certified individuals that wish to renew their certification must submit all necessary documentation at least six weeks prior to the expiry of their certification.
- 1.2 To renew their certification, certified individuals must satisfy all of the following requirements:
  - 1.2.1 submit the required CPD logs annually over the course of the certification period;
  - 1.2.2 for individuals renewing their Certified EnMS Advisor certification, submit one case study annually of an EnMS projects showing evidence of the implementation of at least four of the Key Elements of an EnMS  
or  
for individuals renewing their Certified EnMS Advisor at the Advanced level certification submit one case study annually of an EnMS project showing evidence of the implementation of all seven Key Elements of an EnMS;
  - 1.2.3 submit any information or materials requested by the Assessment Panel;
  - 1.2.4 complete the renewal of certification form and submit it to the Secretariat along with any documentation requested in the form;
  - 1.2.5 agree to continue to be bound by the Framework Rules, these Sub-Rules and the Code of Conduct should their application for renewal be successful; and
  - 1.2.6 pay the required fees as set out by the Secretariat.
- 1.3 Applicants that have taken formal leave (such as parental or long service leave) lasting three or more months within a one-year period may apply for a partial exemption from the requirements listed in Part H section 1.2.1, 1.2.2 or 1.2.3 (as appropriate), noting that:
  - 1.3.1 the partial exemption will only be applied up to a maximum period of one (1) year, meaning that applicants could apply to be exempt from up to one third of the time period that requirements listed in Part H section 1.2.1, 1.2.2 or 1.2.3 (as appropriate) apply.
  - 1.3.2 applications for partial exemptions from the requirements listed in Part H section 1.2.1, 1.2.2 or 1.2.3 (as appropriate) shall be considered by the Secretariat, in consultation with the Assessment Panel where necessary, on a case-by-case basis.

### 2. Assessment of renewals

- 2.1 The Secretariat will complete an initial review of any renewal application to confirm that the application is complete, and if satisfied, will forward the application to a member of the Assessment Panel for independent review. Confidential or sensitive information will be anonymised prior to the Secretariat submitting the application and associated documentation to the assessor.

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- 2.2 If the Secretariat considers that a renewal application is not complete, it must inform the applicant and provide the applicant with a reasonable opportunity (as determined by the Secretariat in its sole discretion) to submit a completed renewal application.
- 2.3 In the case of renewal applications forwarded to the Assessor by the Secretariat in accordance with rule 2.1, the Assessor will consider those applications in accordance with the requirements for certification renewal. The Assessor will take into account all relevant evidence (including the Application Form, supporting documentation, submitted materials, CPD Log).
- 2.4 The Assessor will make a preliminary determination as to whether certification should be renewed. At minimum, the Assessor shall consider whether the certified individual:
  - 2.4.1 has fulfilled the requirements for maintaining certification;
  - 2.4.2 has fulfilled the requirements for renewal of certification, including any additional requirements established by the Assessment Panel;
  - 2.4.3 has, based on available information, complied with the Framework Rules, the Sub-Rules and Code of Conduct over the period of their certification; and
  - 2.4.4 remains actively engaged in the delivery of the certified activity.

### 3. Decisions on renewal

- 3.1 The Assessor will, acting in accordance with the Framework Rules and these Sub-Rules, determine whether the certification of a certified individual should be renewed.

### 4. Notification of assessment

- 4.1 The Secretariat shall communicate the Assessor's determination to the certified individual in writing, which must include a Statement of Reasons that sets out the reasons for the determination.
- 4.2 Successful candidates will be issued with a new certification certificate.
- 4.3 Unsuccessful candidates shall be notified of their right to appeal the determination.

### 5. Process to Appeal unsuccessful renewal applications

- 5.1 Appeals regarding unsuccessful renewal applications shall follow the appeals process set out in Part F: Applying for certification.

### 6. Lapsed certifications

- 6.1 Formerly certified individuals that have allowed their certification to lapse may follow the renewal process in this Part H to renew their certification provided that they apply for renewal within one year from the date that their certification expired.
- 6.2 If a formerly certified individual renews their certification in accordance with rule 6.1, they will be required to pay both the normal re-certification fee, and an additional charge for lodging a late application for re-certification.
- 6.3 If a formerly certified individual:



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- 6.3.1 has not renewed their certification within one year from the date their certification expired; and
- 6.3.2 wishes to renew their certification, that individual may only do so by re-applying for certification in accordance with Part F of these Sub-Rules.

## 7. Administration

- 7.1 All decisions relating to certification renewals shall be kept on file by the Secretariat along with applications, associated assessment materials and the Statement of Reasons for a minimum of seven years (or arrangements shall be made to keep them in storage for an equivalent period).

## **Part I: Complaints and reviews**

Requirements for complaints and reviews are set out in the Framework Rules which are to be read in conjunction with these Sub-Rules.

## **Part J: Process for establishing and revising certification conditions**

The process for establishing and revising certification conditions are set out in the Framework Rules which are to be read in conjunction with these Sub-Rules.

## **Schedule 1: Key elements of an EnMS**

1. Gap analysis/energy diagnostic;
2. Development of an energy policy;
3. Establishment of energy performance indicators (EnPIs);
4. Establishment and/or development of an energy management team;
5. Development of an action plan that is being implemented;
6. Deployment of support mechanisms including training and engagement; and
7. Incorporation of energy considerations into purchasing policies.

## Schedule 2: Areas of assessment

### 1. Overview of assessment criteria

Candidates for Certified EnMS Advisor and Certified EnMS Advisor at the Advanced level must establish their eligibility by demonstrating that they have the required skills and knowledge in all areas of assessment.

The areas of assessment refer to specific techniques and methods presented in the EnMS Advisor Training Course.

### 2. Details of assessment criteria by area of assessment

#### **Area 1: Business engagement**

Can effectively engage with businesses in a conversation about energy management as a business issue.

#### **Required Skills and knowledge:**

Understands the broader business objectives, and where energy management fits into the context of the business

Uses discovery questions

Deploys a mix of questions that reveal an organisation's drivers for improved energy performance

Listens well and takes effective notes

Identifies and qualifies concerns

Frames drivers in a way that makes the case for energy management attractive

#### **Area 2: Energy as a business issue**

Can present the case for energy management as a business issue.

#### **Required Skills and knowledge:**

Speaks to business drivers for energy management

Explains components of energy pricing

Presents a reasoned view of future energy pricing

Understands and communicates market drivers and transformation of the energy market

Frames energy management in terms of risk management

Presents the importance of a granular understanding of where energy is used, linked to costs

Presents the energy management investment and procurement opportunities

Concisely explains the benefits of an energy management system

**Area 3: Undertaking a diagnosis of energy management practices**

Can evaluate existing energy management practices and identify priority areas for improvement

**Required Skills and knowledge:**

- Explains the value of an energy management practices diagnosis to a business
- Assesses energy management practices in a business across several dimensions
- Assesses the energy management maturity of the business across each dimension
- Works with the appropriate managers in the business to undertake the diagnosis
- Translates results of the diagnosis to recommendations

**Area 4: Influence and persuasion**

Can apply communication techniques that influence businesses to implement an EnMS

**Required Skills and knowledge:**

- Uses language appropriate to the audience
- Assesses an organisation’s attitude to energy management to inform whether push or pull persuasion techniques are likely to be most effective
- Confirms correct understanding when communicating
- Develops powerful problem statements
- Identifies the relevant stakeholders
- Frames benefits in terms of risk management and loss avoidance
- Effectively manages points of difference and objections by using techniques such as Acknowledge, Bridge, Explore
- Presents in a way that engages and moves
- Writes powerful proposals
- Prepares reports that are relevant and easy to comprehend for the intended audience.

**Area 5: The executive leadership team commits to leading continual improvement in energy performance**

Can direct, help and guide the executive leadership team to adopt an energy policy and management practices that enable continual improvement in energy performance

**Required Skills and knowledge:**

- Conveys the critical role that the executive leadership team plays, including a clear sponsor with sufficient influence and with energy management KPIs
- Details the roles of the executive leadership team in relation to an EnMS
- Advises on the formation of an energy management team, the role of this team, and the resources required to support the team
- Secures the support of the executive leadership team for the EnMS advisor to work with the energy management team (or equivalent) and its appointed leader
- Knows the elements of an energy policy
- Critiques and suggests improvements to a draft energy management policy

**Area 6: Effective deployment of an EnMS**

Can advise how to deploy an EnMS so it becomes a self-sustaining part of business as usual (BAU).

**Required Skills and knowledge:**

Understands the processes an organisation uses to ensure effective and sustained delivery of business priorities

Identifies existing management systems that an EnMS may align with and can leverage to improve the efficiency and effectiveness of the EnMS

Understands the components of an ISO 50001 (meaning AS/NZS ISO 50001) adherent EnMS

Explains what is required from an EnMS to adhere to ISO 50001

Outlines the steps required to obtain ISO 50001 certification

Presents the advantages and disadvantages of ISO 50001 adoption and certification

Understands alternatives to ISO 50001

Discusses with the executive leadership team the type of EnMS (ISO 50001 or other) that best aligns with existing management processes

Secures the executive leadership team's support to implementing an EnMS that becomes a self-sustaining part of business as usual

**Area 7: Development of baseline energy performance indicators (EnPIs)**

Can guide a business to collect, tabulate and analyse its energy data and develop Energy Performance Indicators, and monitor improvement in its Energy Performance

**Required Skills and knowledge:**

Provides guidance on the collection, tabulation and presentation of data

Provides guidance on how to quantify a business's greenhouse gas emissions

Advises how to develop a granular understanding of where energy is used and identify significant energy uses

Communicates the different ways an EnPI can be developed and suggests (a) form(s) of EnPI(s) that will be best suited to future changes in business conditions and business carbon abatement targets

Advises on systems that will enable the tracking of energy performance

**Area 8: Targets translating to SMART objectives**

Can guide a business to set specific, measurable, achievable, relevant and timed (SMART) energy management objectives and targets and action plans, including cost-benefit and risk assessment of individual actions.

**Required Skills and knowledge:**

Explains the various techniques that can be used to identify energy savings opportunities

Assists in the identification and cost-benefit quantification of savings opportunities

Assists in a risk assessment of savings opportunities

Helps in the determination of energy performance improvement targets

Recommends priorities and actions to meet the objectives

Guides the development of SMART objectives to meet targets

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Guides the development of an action plan document Suggests ways of resourcing the implementation of action plans
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### **Area 9: Establishing energy management as everyone's responsibility**

Can guide a business to set up support mechanisms that underpin engagement with the EnMS across the business, including reporting, procurement, communicating and training.

#### **Required Skills and knowledge:**

Helps identify stakeholders and qualify engagement requirements for each category of stakeholder  
Guides the undertaking of a training needs assessment for each category of stakeholder  
Guides the incorporation of energy usage considerations into Standard Operational Procedures, including in a procurement policy or guidelines  
Guides the development of a communications and reporting plan  
Helps establish metrics for evaluating the effectiveness of engagement across the business.

### **Area 10: EnMS performance evaluation**

Can guide a business to set up mechanisms that are effective in reporting on, and auditing, the EnMS, and in continually improving it.

#### **Required Skills and knowledge:**

Guides the establishment of a reporting template  
Guides the development of an audit process for the EnMS  
Guides engagement of the energy management team with the executive leadership team in reporting, auditing and improving the EnMS



### Schedule 3: Recognised Certifications

These certifications have been recognised by the Assessment Panel as having relevance to one or more of the areas of assessment. Individuals with Recognised Certifications still need to go through the normal assessment process, however their certifications will be taken into account by the Assessment Panel when considering their eligibility in the relevant areas.

Recognised Certifications are regularly reviewed by the Assessment Panel and are revised over time as appropriate.

<b>Certification</b>	<b>Certifying body</b>	<b>Relevant areas of assessment</b>
Certified Measurement and Verification Professional in Training (CMVP-IT) Certified Measurement and Verification Professional (CMVP)	Association of Energy Engineers (AEE) in partnership with the Efficiency Valuation Organization (EVO)	Area 7: Development of baseline EnPIs
Certified Energy Manager in Training (CEM-IT) Certified Energy Manager (CEM)	Association of Energy Engineers (AEE)	Area 8: Targets translating to SMART objectives
Certified Emissions Reductions Leader for Commercial Buildings.	Energy Efficiency Council	Area 7: Development of baseline EnPIs Area 8: Targets translating to SMART objectives
NABERS Accredited Assessors	NABERS	Area 7: Development of baseline EnPIs
Green Star Professional	GBCA	Area 7: Development of baseline EnPIs
Any certification or course related to influence and persuasion in a corporate setting	Various	Area 4: Influence and Persuasion