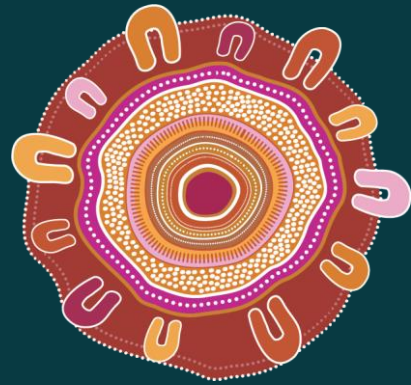# NatHERS Expansion to existing homes Assurance Strategy

We acknowledge the Traditional Owners of Country throughout Australia and recognise their continuing connection to land, waters and culture. We pay our respects to their Elders past and present.

Conflict of interest reminder

- All stakeholder group members should have submitted a conflict of interest declaration as part of joining one of our consultative groups.

- If any new (actual or perceived) conflict of interests arise or are likely to arise, including as part of this consultation, members must immediately notify the Department in writing.

How to engage

Place your question in the meeting chat function or use the 'Raise Hand' function to ask a question.

We will try to answer as many questions as possible during the session, however, time may limit us addressing all questions. If we are unable to answer your question in the session, please add it to the chat function and we will respond after the session

Providing feedback

Visit www.nathers.gov.au/expansion to download a response form

Submit completed responses by email to **admin@nathers.gov.au**

Responses close **5:00pm, Friday 30 August 2024**

Future consultations:

Some elements referenced in the NatHERS for Existing Homes Assurance Strategy and accreditation process are still being developed and will be brought forward for consultation later in 2024 and early 2025.

Skills and Training Strategy

Assessor Accreditation Service Provider Requirements

Audit and Evidence Policy

Accreditation policies subject to endorsement of relevant elements

→ **Assessor Conflict of Interest Policy**

→ **Assessor Fit and Proper Person Checks Policy**

→ **Assessor Performance Management Policy**

→ **Householder surveys**
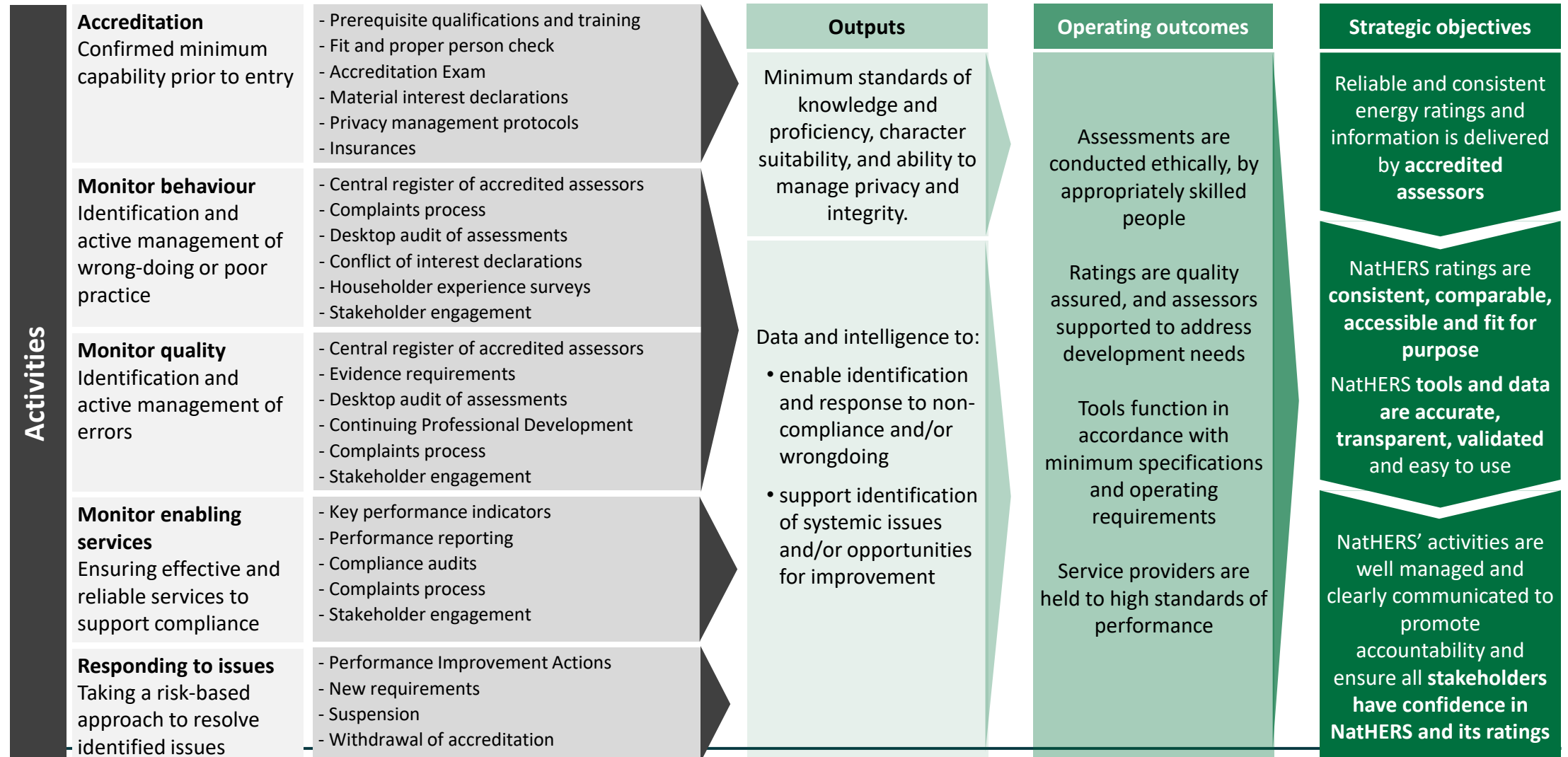
Assurance to manage risk

Risks	Mapped controls								
Assessor integrity and conduct risks	Prerequisite qualifications and training	Fit and proper person check	Material Personal Interest declarations	Code of practice	Continuous Professional Development	Conflict of Interest declarations	Desktop audits of assessments	Complaints	Householder surveys	Professional Indemnity & Public liability
Software business continuity risks	Provider probity and due diligence check	Binding provider agreements	Software accreditation	Provider performance indicators	Complaints	Stakeholder engagement	Professional Indemnity & Cyber Security		
Assessor services business continuity risks	Provider probity and due diligence check	Binding provider agreements	Provider performance indicators	Provider performance reporting	Provider compliance audits	Complaints	Stakeholder engagement	Professional Indemnity & Cyber Security	
Assessment quality risks	Prerequisite qualifications and training	Accreditation exam	Continuous Professional Development	Continuous practice requirements	Assessment evidence	Helpdesk and guidance material	Desktop audits of assessments	Complaints	Stakeholder engagement	Professional Indemnity
Privacy risks	Mandatory assessor training	Assessor privacy management protocols	Privacy consent template	Assessor data security guidance	Centralised evidence storage	Service provider information management	Complaints	Provider compliance audits	Provider Cyber Security

Key
Prevention
Detection
Insurances

*Note: Assessors have existing legislative work health and safety obligations that are within the remit of state and territory work health and safety regulators.
Risks relating to work health and safety are the primary responsibility of, and are controlled by, these other regulators.*

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Assurance strategy for launch

Activities		Outputs	Operating outcomes	Strategic objectives
Accreditation Confirmed minimum capability prior to entry	- Prerequisite qualifications and training - Fit and proper person check - Accreditation Exam - Material interest declarations - Privacy management protocols - Insurances	Minimum standards of knowledge and proficiency, character suitability, and ability to manage privacy and integrity.	Assessments are conducted ethically, by appropriately skilled people	Reliable and consistent energy ratings and information is delivered by **accredited assessors**
Monitor behaviour Identification and active management of wrong-doing or poor practice	- Central register of accredited assessors - Complaints process - Desktop audit of assessments - Conflict of interest declarations - Householder experience surveys - Stakeholder engagement	Data and intelligence to: • enable identification and response to non-compliance and/or wrongdoing • support identification of systemic issues and/or opportunities for improvement	Ratings are quality assured, and assessors supported to address development needs	NatHERS ratings are **consistent, comparable, accessible and fit for purpose**
Monitor quality Identification and active management of errors	- Central register of accredited assessors - Evidence requirements - Desktop audit of assessments - Continuing Professional Development - Complaints process - Stakeholder engagement		Tools function in accordance with minimum specifications and operating requirements	NatHERS **tools and data are accurate, transparent, validated** and easy to use
Monitor enabling services Ensuring effective and reliable services to support compliance	- Key performance indicators - Performance reporting - Compliance audits - Complaints process - Stakeholder engagement		Service providers are held to high standards of performance	NatHERS' activities are well managed and clearly communicated to promote accountability and ensure all **stakeholders have confidence in NatHERS and its ratings**
Responding to issues Taking a risk-based approach to resolve identified issues	- Performance Improvement Actions - New requirements - Suspension - Withdrawal of accreditation			

Managing non-compliance

Responses available to manage non-compliance are:

Assessor non-compliance

Performance Improvement Actions

  - mentoring

  - further training or education

  - remediation of the issue

Disclosure of issues to impacted parties

Increased monitoring

Additional requirements

Suspension of accreditation

De-accreditation

Referral to regulatory agencies

Referral to law enforcement

Service provider non-compliance

Remedial action

Increased monitoring

Additional requirements

Termination of contract

De-accreditation of tools

Referral to regulatory agencies

Legal action

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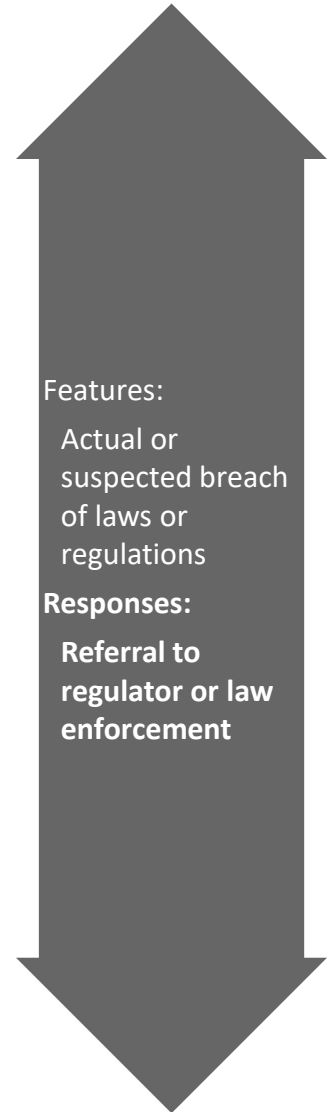# Responding to non-compliance

Responses to non-compliance are determined in consideration of the intent, likelihood of recurrence, and level of actual or potential harm.

Responses must be timely and reflect the seriousness of the matter.

Responses are proportionate to risk

Key
Assessor Consequences
Service Provider Consequences

Features:
Low level harms
Accidental non-compliance
Once-off or infrequent non-compliance
Willing to comply
Responses: **Support achievement of compliance**

Mentoring	Training	Education	Remediation
Remediation	Monitoring		

Features:
Moderate harms
Accidental or opportunistic non-compliance
Repeated non-compliance
Reluctance to comply
Responses: **Direct to remedy and comply**
Increased monitoring
New or increased requirements
Restrict participation

Mentoring	Training	Education	Remediation
Disclosure	Suspension	Monitoring	Remediation
Monitoring	De-accreditation		Contract Termination

Features:
Major harms
Opportunistic or deliberate non-compliance
Repeated non-compliance
Refusal to comply
Responses: **Direct to remedy and comply**
Restrict or withdraw participation

Remediation	Disclosure	Suspension	De-accreditation
De-accreditation	Contract Termination		Legal action

Features:
Actual or suspected breach of laws or regulations
Responses:
Referral to regulator or law enforcement

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Responsibilities for assurance

The **NatHERS Administrator** will oversee and assure the compliance of service providers with their obligations and will be responsible for managing issues of non-compliance.

The NatHERS Administrator, through agreements, will reserve a right to direct a service provider to take an action against an assessor in response to an identified non-compliance.

It is anticipated **Assessor Accreditation Service Provider/s** will be responsible for:
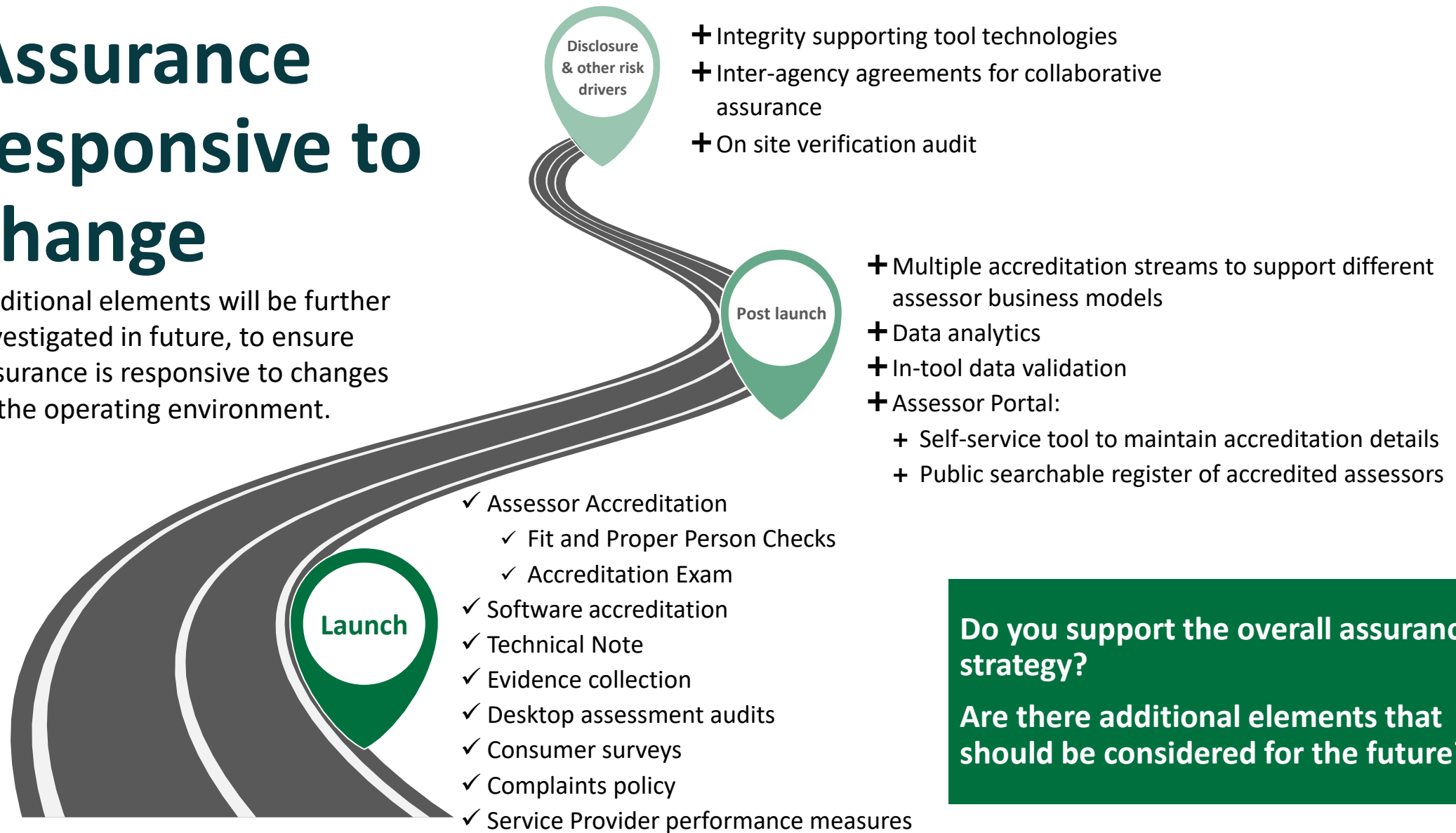
- Delivery of frontline services and end-to-end accreditation processes
- Oversight over assessor compliance with ongoing requirements of accreditation
- Offering assessor CPD activities
- Managing issues of assessor non-compliance (including completion of audit-identified performance improvement actions), in accordance with policies established by the NatHERS Administrator
- Managing and resolving complaints about assessors , in accordance with policies established by the NatHERS Administrator
- Providing assessor helpdesk services and support resources
- Delivering post-assessment householder experience surveys

It is anticipated **Software Providers** will have responsibility for reporting identified detrimental use of tools, and responding in accordance with Software Accreditation Protocol Terms and Conditions

Independent Auditors will be expected to undertake desktop reviews and report outcomes to assessors and Assessor Accreditation Service Providers. They may recommend specific performance improvement actions in outcome reports. Any additional roles and responsibilities of auditors will be outlined in the Audit and Evidence Policy.

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Assurance responsive to change

Additional elements will be further investigated in future, to ensure assurance is responsive to changes in the operating environment.

Disclosure & other risk drivers

+ Integrity supporting tool technologies
+ Inter-agency agreements for collaborative assurance
+ On site verification audit

Post launch

+ Multiple accreditation streams to support different assessor business models
+ Data analytics
+ In-tool data validation
+ Assessor Portal:
  + Self-service tool to maintain accreditation details
  + Public searchable register of accredited assessors

Launch

✓ Assessor Accreditation
  ✓ Fit and Proper Person Checks
  ✓ Accreditation Exam
✓ Software accreditation
✓ Technical Note
✓ Evidence collection
✓ Desktop assessment audits
✓ Consumer surveys
✓ Complaints policy
✓ Service Provider performance measures

Do you support the overall assurance strategy?

Are there additional elements that should be considered for the future?

Contact us

NatHERS Strategy, Assurance and Governance team
admin@nathers.gov.au

dcceew
gov.au