Queensland auditor—contaminated land

Annual return—guideline and form

Prepared by: Technical Support, Operational Support, Department of Environment, Science and Innovation.

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# Introduction

This guideline outlines the requirements, and provides a template form, for the annual return that each contaminated land auditor must submit in order to satisfy the requirements of *Module 4: Code of professional conduct* of the *Queensland auditor handbook for contaminated land*.

# Requirements for auditor’s annual return

Your annual return must be submitted to the Department of Environment, Science and Innovation by 31 July of each calendar year. Your annual return must provide the following information for the previous financial year:

* details of all work you completed as an auditor
* details of all work-in-progress being undertaken as an auditor at the end of the previous financial year
* details of the expert support team you used during an audit, including their qualifications, experience and competencies; the contracts engaging team members; and their scope of works
* evidence of the professional indemnity insurance you held in relation to your work as an auditor
* evidence of your continuing professional accreditation with at least one of the recognised bodies in the contaminated land field
* a log of all relevant professional development activities you completed in the previous financial year.

When listing the details of the work you have completed, you should cite the full title of each contaminated land investigation document you certified.

When listing the details of the work you had in progress, you should cite the name of each project, and the title of its relevant contaminated land investigation document if that is known.

The minimum acceptable cover for your professional indemnity insurance is $5 million with no exclusion that may limit your cover for work carried out on an auditor’s functions.

You must demonstrate you have undertaken continuing professional development in the areas relevant to an auditor’s functions that is, or would be equivalent to, the amount needed to maintain your professional certification with one of the recognised bodies in the contaminated land field. Consequently, you should indicate not only the number of hours undertaken on professional development activities, but also the number of continuing professional development points those hours contribute towards maintaining your professional accreditation in the contaminated land field. Also, state the number of continuing professional development points that are needed to maintain your professional accreditation over the year. Rolling averages of your points are acceptable if your accrediting organisation has a longer reporting period than one year. You must indicate how each professional development activity is relevant to one of the competencies or areas of expertise listed in section 6.1 of the National Environment Protection (Assessment of Site Contamination) Measure 1999.

Section 3.3 of Module 4 of the *Queensland auditor handbook for contaminated land* requires you to notify the department within 10 business days if certain matters occur. Your annual return should confirm whether or not any of the matters have occurred, and, if so, whether you did notify the department. The template form in the following section of this guideline provides a checklist of the notifiable matters (see the second table of the template).

You must sign a declaration that the information you provide with your annual return is true and correct to the best of your knowledge.

Auditors may use the following form as a template for their annual return.

# Annual return form—auditor for contaminated land

## Auditor’s details and checklist

|  |  |
| --- | --- |
| Item | Reporting requirement |
| Auditor’s name |  |
| Approval number |  |
| Work completed in the previous financial year | I have attached a list of work I completed as a contaminated land auditor in the previous financial year.  I did not complete any work as a contaminated land auditor in the previous financial year. |
| Work in progress at the end of the previous financial year | I have attached a list of my work in progress as a contaminated land auditor at the end of the previous financial year.  I did not have any work in progress as a contaminated land auditor at the end of the previous financial year. |
| Expert support team | I have attached the required details of the expert support team I used in the previous financial year.  I did not use an expert support team in the previous financial year. |
| Professional indemnity insurance | I have attached a certified copy of my professional indemnity insurance cover. |
| Certification or accreditation from at least one recognised professional body relevant to the contaminated land field | I have attached a certified copy of my certification/accreditation from a recognised professional body relevant to the contaminated land field. |
| Professional development activities | I have attached a list of my ongoing professional development activities in the areas relevant to an auditor’s functions that I completed in the previous financial year. |

## Notifiable events

Have any of the events listed in the following table occurred in the previous financial year?

|  |  |
| --- | --- |
| Item | Reporting requirement |
| Have you changed any of your contact details? | No  Yes |
| Were you are engaged to undertake work involving an auditor’s functions? | No  Yes |
| Did you withdraw from working on a project before completing the auditor’s functions? | No  Yes |
| Were you are charged with, or convicted of, an offence under environmental legislation, or an offence involving misleading or fraudulent conduct, in Queensland or another state or territory | No  Yes |
| Was your equivalent approval as an auditor held in another state suspended or cancelled? | No  Yes |
| Were you are dismissed, or did you resign, from employment in response to allegations of misconduct? | No  Yes |

If you answered ‘Yes’ to any of the questions in the table above, did you notify  
the department within 10 business days?  No  Yes

Provide details in the table below of all notifiable events in the previous financial year.

### Details of notifiable events

|  |  |  |
| --- | --- | --- |
| Notifiable event | Date of event | Date notified |
| *e.g. Engaged by XYZ Pty Ltd to audit contaminated land investigation document for Newby Gasworks site; or Withdrew from audit related to Newby Gasworks site* | *15/05/2020* | *20/05/2020* |
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Notes: (1) Attach additional information if necessary.

(2) The ‘Date notified’ is the date you told the department in writing that the notifiable event had occurred.

## Work completed in the previous financial year

|  |  |  |  |
| --- | --- | --- | --- |
| Title of certified contaminated land investigation document | Date completed | Auditor’s client | Site details (lot on plan, and street address) |
| *e.g. Site investigation report for Federation Gasworks site* | *23/04/2020* | *Clean Energy Company* | *e.g. Lot 63 & 64 on RP11245, 16 Energy Street* |
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(Attach additional information if necessary)

## Work in progress at the end of the previous financial year

|  |  |  |  |
| --- | --- | --- | --- |
| Project name and/or title of contaminated land investigation document | Date started | Auditor’s client | Site details (lot on plan, and street address) |
| *e.g. Tall Tower development of Colonial Foundry site—audit of validation report (title TBC)* | *03/12/2020* | *Tall Tower Residences Pty Ltd* | *e.g. Lot 2 on RP11223, 82-96 Foundry Street* |
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(Attach additional information if necessary)

## Professional development activities for the previous financial year

Number of continuing professional development (CPD) points per year (on average) required by your accrediting organisation =

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Activity | Evidence/comment | Date | CPD points | Relevant competency or area of expertise |
| *e.g. Presentation to 16th Annual Groundwater Conference, March 2020* | *Conference paper: Groundwater contamination in alluvial sediments of Sandy Creek, by A.N. Other et al* | *23/03/2020* | *10* | *Core competency on groundwater in Statement 2 of Module 2* |
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(Attach additional information if necessary)

Are you seeking to average your CPD points over more than one year?: No; Yes

If you answered ‘Yes’, explain how the averaging fulfils your requirement for continuing professional development:

## Declaration by auditor providing an annual return

I declare that:

* The information I have provided within this annual return is true and correct to the best of my knowledge.
* I understand that it is an offence under the *Environmental Protection Act 1994* to give to the administering authority a document containing information that I know is false, misleading, or incomplete.

|  |
| --- |
| **Auditor’s name:** |
| **Auditor’s signature:** |
| **Date:** |

|  |  |
| --- | --- |
| **Please lodge your Annual return using one of the following methods:** | |
| **Email:**  [technicalsupport@des.qld.gov.au](mailto:technicalsupport@des.qld.gov.au)  The email subject line should be ‘Auditor annual return’.  The file size limit for submission via email is 50MB. Any submission via email that would exceed 50MB must be broken down into parts, with each part clearly labelled Part X of Y (e.g. Part 1 of 2) included in the subject line of the email. | **Mail:**  Technical Support Department of Environment, Science and Innovation  GPO Box 2454 BRISBANE QLD 4001 |

**Privacy statement**

The Department of Environment, Science and Innovation (the department) is collecting your information to monitor your compliance with the requirements for approved auditors in Queensland. The information will only be accessed by authorised employees within the department. This information provided on this form will not otherwise be used or disclosed unless required or authorised by law. For further information about privacy matters email: [privacy@des.qld.gov.au](mailto:privacy@des.qld.gov.au).