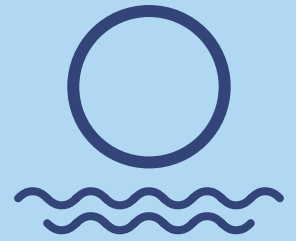


# Freshwater Farm Plan Auditor Application Form

## Questions and Options



### Applying for both Certifier and Auditor appointment?

If you are already going through the Freshwater Farm Plan appointment process as a Certifier, or are an appointed Freshwater Farm Plan Certifier in a region, you may not be required to complete certain fields within this application form. Where this applies in your chosen application pathway, you will be prompted to enter your ID number, which was assigned and sent to you by email upon approval of your Certifier application.

Please note: There is required duplication of information in both of the following fields:

- Personal details section: duplication required to ensure validity of the application
- National Register of appointed Certifiers and Auditors: Certifier and Auditor profiles on the national register may be different to allow you to tailor your details to the role

### Personal Information

**First name(s)\***

**Middle Name(s)**

If not applicable please leave blank

**Surname\***

**Preferred Name**

For correspondences

**Previous Names**

Please list any other names you have been known by including maiden name or professional aliases that may be needed to verify your experience or qualifications. If not applicable please leave blank

**Address for Service\***

**Email address\***

For correspondences

**Contact Phone Number\***

Please provide your primary contact number including area code if supplying a land line number

**Iwi Affiliations**

Please share any Māori whakapapa or Iwi affiliations you may have.

If not applicable please leave blank.

**Age**

Please select age from the below. We need this information to monitor the age spread of applicants and appointed certifiers and auditors, as part of our monitoring of the appointment system over time.

- 18-24
- 25-34
- 35-44
- 45-54
- 55-64
- 65+

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Please note: this form is provided to help you prepare your answers to the application questions. When you are ready, you must submit your application by completing the [online form](#)



### Industry

Please select from the listed options which primary industry advisory business category you will be representing as a Freshwater Farm Plan certifier:

- Independent Advisors and Consultants
- Whenua Māori Entities
- Financial Business Services
- Business Goods and Services Industry Good Organisations
- Public Good/Non-Government Organisations
- Processor and Exporters
- Research and Education Organisations
- National and Local Government Advisers

## Criminal Convictions Declaration\*

Have you ever been convicted of a criminal offence [1] or are you awaiting the hearing of any criminal charges?

If yes, please arrange to speak to a member of the AsureQuality Freshwater Farm Plan Appointments Team by emailing [farmplancertifiers@asurequality.com](mailto:farmplancertifiers@asurequality.com) with the subject Heading "Requesting a call" and include the following in the email:

- your name
- phone number
- A list of times and dates over the next 7 days you are available to take a call from us

**Please do not proceed with your application including payment of the application fee until you have spoken to a member of the AsureQuality Freshwater Farm Plan Appointments Team.**

Under the Criminal Records (Clean Slate) Act 2004, you do not need to declare your New Zealand conviction if all the following apply:

1. It has been 7 or more years since your most recent conviction and you have not re-offended; and
2. You have never had a custodial sentence imposed upon you (including detention at home, in hospital or at any secure facility); and
3. You have paid any fines/costs/compensation/reparation. Regardless of how long ago you were convicted, you are not eligible to conceal your conviction if:
  - you have ever been convicted of a sexual offence; or
  - you have ever been disqualified from holding a driver licence for repeat offending involving alcohol/drugs; or
  - the conviction was from overseas.

Have you ever been convicted of a criminal offence or are you awaiting the hearing of any criminal charges?

- Yes
- No



## National Register of appointed certifiers and auditors

Once appointed your details will be visible to members of the public on the National Register. This is the list of appointed certifiers and auditors which must be published in accordance with the Regulations.

You may opt to have only the minimum mandatory details published, if for example, you do not wish to be contacted by farm operators once appointed.

The minimum mandatory details which must be published include:

- your name
- region(s) you are appointed within
- your unique Identification Number (which shall be assigned to you byASUREQuality)

Selected additional details which can be published include:

- contact phone number
- email address
- company name
- farm types you specialise in
- a short professional bio
- a photo of yourself



You may choose to add additional contact details and information about yourself if you want to promote your services to farm operators.

### Preferred option of visibility on the National Register\*

Please confirm which details you wish to have published on the National Register

- Only display my minimum mandatory details
- Display select additional details

### Full Name to be Published\*

Your full name as you wish for it to be displayed on the National Register of Freshwater Farm Plan certifiers and auditors.

## Display selected additional details options

By completing any of the below fields you are confirming you wish for this information to be published on the National Register

### Contact Phone Number

### Contact Email address

### Company Name

If applying as a representative of a Company you may include the full company name and trading as name.

### Farm Specialty

Please indicate which farm types you specialise in.

- Dairy
- Sheep & Beef
- Horticulture
- Arable
- Other

### Bio

You may provide a short professional bio about yourself. (900 character limit).

### Photo

If you wish to include a photo to go alongside your bio please upload this here. (The Maximum file size is 10MB).



## Region Selection

In this section you are required to select the regions you wish to apply for appointment as a Freshwater Farm Plan Auditor.

If a region you have selected has specific additional requirements, you will be prompted to provide a brief explanation of how you meet these requirements.

Please note that by selecting a region you are confirming you are aware of and satisfy that region's specific requirements in addition to meeting the criteria for appointment as a Freshwater Farm Plan Auditor.

While you will only need to pay one application fee to apply to become a Auditor for multiple regions, the training costs will vary by region, and you will need to pay all costs related to the training to be appointed across multiple regions.

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You will only be able to select regions where Freshwater Farm Plans are currently required. Additional regions will be added as Freshwater Farm Plans are rolled out across the country.

If you are applying for appointment in more than one region you will need to attend training in each region you apply for.

### Waikato Region\*

Do you wish to apply to be a Freshwater Farm Plan Auditor in the Waikato Region?

- Yes
- No

### Southland Region\*

Do you wish to apply to be a Freshwater Farm Plan Auditor in the Southland Region?

- Yes
- No

## Select your Pathway

### Criteria for appointment as a Freshwater Farm Plan Auditor\*

To progress your application you must demonstrate an understanding of the competencies for certifiers and be able to meet the criteria of either the:

- Audit Body Pathway: be a member of a professional audit body and demonstrate an understanding of the competencies for auditors, or
- Experience Pathway: have at least 3 years experience in a field related to the competencies for auditors.

Please select from the below options which Pathway you wish to apply through.

You will have the opportunity within either pathway to supplement your application with additional both qualifications and experience you may wish to have taken into consideration.

**Note:** For Applicants with 3 or more years practical experience in the field it is recommended you select the experience pathway and add any qualifications as supporting documents.

For further guidance please refer to [The Appointment Programme](#) section under auditors on the website.

- Audit Body
- Experience



## Audit Body Pathway Questions and Options

For this pathway you are required to submit evidence of membership of a professional audit body.

This means either:

1. Proof of your membership, or
2. Confirmation from your employer that you are authorised/approved to undertake audits.

You will also be required to demonstrate your understanding of each of the competencies for auditors.

**NOTE for existing applicants: you will not be required to demonstrate your understanding of each of the competencies for Auditors as you have already completed this within your previous Certifier application form.**

We suggest you prepare, in advance, written descriptions of how you are able to demonstrate your understanding of each competency for auditors. You have a 1000 character limit for each competency.

### Do you already have a Freshwater Farm Plan Certifier/Auditor Identification Number? \*

This is your Freshwater Farm Plan ID number assigned byASUREQuality if you have previously had an application accepted.

- Yes
- No

### Identification Number

This can be found on your original application approved email from ASUREQuality.

This will have the subject heading "Freshwater Farm Plan certifier/auditor application approved".

### Professional Audit Body Name\*

This body must be recognised by JAS-ANZ or IANZ, or which operates a quality management system that ensures integrity, impartiality and confidentiality are maintained; and that all audits are delivered by personnel who demonstrate skills and knowledge in fields related to primary industry, farm systems, and/or environmental management. The body must have a quality management system which covers:

- professional standards and the management of impartiality, and
- roles and responsibilities, and
- document control, and
- internal audit process, complaint handling, and corrective actions.

### Membership Details\*

Please provide details of your membership including:

- Renewal Date
- Relevant Classifications

If you hold memberships to multiple professional audit bodies, please include details of these here.

### Proof of Membership\*

Please upload either:

1. Proof of your membership. Your name and dates valid must be included. Certificates, or screenshots of the membership online portal, can be accepted; or
2. Confirmation letter from your employer that you are authorised/approved to undertake audits. This needs to be on company letter head, dated within the last month, and include your managers contact details and signature.
3. Please ensure any proof of membership uploaded is clear and legible, and uploaded in full. The maximum file size per uploaded document is 10MB so you may need to upload pages individually depending on the file size.

### Provide an optional Reference?

Do you wish to provide details of a suitable referee to support your application?

- Yes
- No



## Optional Referee Details

For your application to be supported by an attestation of your technical experience, character and professional conduct you will need to provide details of a suitable referee who meets the below criteria.

### Criteria to be a suitable referee

Your referee must:

- have knowledge and/or experience working within a field related to the competencies for auditors
- can attest to attributes of your professional conduct
- have known you for more than 1 year
- be available for a call or email from the AsureQuality Freshwater Farm Plan Appointment Process team to verify details about your application.

Your referee must not:

- be related to you or part of your extended family (e.g. a cousin, parent, sister or brother)
- be your partner or spouse.

Once you have submitted your application your referee will receive an automated email with a link requesting them to open and complete the Reference form online. When they have submitted the Reference Form, AsureQuality will automatically receive a copy to progress your application.

Your referee must complete and submit the Reference Form online within 10 working days to ensure your application is processed promptly. Once completed, a member of the AsureQuality Freshwater Farm Plan Appointment Process team will assess the information provided by your referee and may contact them to verify all information provided.

### Referee Name\*

Please provide full name

### Referee Contact Phone Number\*

Please provide a contact phone number. For contacts outside of Aotearoa New Zealand please prefix number with 00 before the country code

### Referee Email\*

### Relationship to Referee

Please provide a brief explanation of your relationship to them, e.g.: Colleague (1000 character limit).

### Length of time you've known each other\*

- 1-3 years
- 3-5 years
- 5-10 years
- More than 10 years



## Experience Pathway Questions and Options

For this pathway you must have a minimum of 3 years auditing experience in a field related to the competencies for Auditors, and be able to provide the details of a suitable referee who can provide an attestation of your experience. Information and examples you provide as part of this application may be shared with your referee to validate claims made.

The competencies for Auditors are defined within the regulations as having an understanding of:

- Freshwater Farm Plan regulations and certification requirements;
- any objectives, policies, and rules relevant to the management of freshwater or freshwater ecosystems in policy statements or regional plans;
- any relevant freshwater matters in planning documents that are recognised by iwi authorities and lodged with regional councils;
- the National Policy Statement for Freshwater Management and any action plans made by regional councils;
- other secondary legislation made under the Resource Management Act that is relevant to the management of freshwater or freshwater ecosystems;
- the Treaty of Waitangi (Te Tiriti o Waitangi):
- te ao Māori;
- Te Mana o Te Wai;
- sites or species of cultural significance as defined by tangata whenua;
- actions to manage the impacts of farming on freshwater and freshwater ecosystems.

Fields related to the competencies for Auditors include Primary Industries, farm systems and/ or environmental management.

### Auditing Experience\*

Auditing Experience for the purposes of the Freshwater Farm Plans appointment process is defined as being able to demonstrate skills and competencies in all of the following areas.

You must be able to check all the below criteria for your applicant to be assessed.

I am able to demonstrate my skills and competencies in:

- holding technical and working knowledge of primary industry, farm systems, environmental management
- knowledge of the RMA Section 9A, NES-F and FW FP regulations
- knowledge of audit principles, practices and techniques, including risk management, sampling, and evidence gathering
- audit management skills, including scheduling, planning, and executing the audit
- effective communication and questioning techniques
- acting in an impartial, ethical and professional manner
- completed a course provided by a recognised audit body in audit techniques.
- For further guidance on choosing a suitable referee please refer to The Appointment Programme page on the website.

### Experience Declaration\*

I confirm I meet the Auditing Experience criteria outlined above

### Experience in Years and months\*

### Overview of Experience\*

Please provide an overview of your experience to support your declaration above.

Be sure to include explanations and/or examples linking specifically to the Auditing Experience criteria above.

### Courses and Qualifications\*

Please list any relevant courses or qualifications you have completed that are recognised by audit bodies in audit techniques.

### Experience Evidence\*

Please provide any relevant documents which may evidence your experience. This may include course certificates, email confirmations, CV, a letter from your employer confirming your ability to meet particular criteria.

Please ensure documents are clear, legible, and uploaded in full. The maximum file size per uploaded document is 10MB so you may need to upload pages individually depending on the file size.

**Referee Details**

Your application shall need to be supported by an attestation of your technical experience, character and professional conduct by a suitable referee. You are required to provide details of a suitable referee below.

Your referee must:

- have knowledge and/or experience working within a field related to the competencies for certifiers
- can attest to attributes of your professional conduct
- have known you for more than 1 year
- be available for a call or email from the AsureQuality Freshwater Farm Plan Appointment Process team to verify details about your application.

Your referee must not:

- be related to you or part of your extended family (e.g. a cousin, parent, sister or brother)
- be your partner or spouse.

Once you have submitted your application your referee will receive an automated email with a link requesting them to open and complete the Reference form online. When they have submitted the Reference Form AsureQuality will automatically receive a copy to progress your application.

Your referee must complete and submit the Reference Form online within 10 working days to ensure your application is processed promptly. Once completed a member of the AsureQuality Freshwater Farm Plan Appointment Process team will assess the information provided by your referee and may contact them to verify all information provided.

Please note AsureQuality will not process any part of your application until we have received the fully completed Reference Form. It is your responsibility to inform your referee of the requirement to complete the Reference Form and follow up with them where necessary to ensure timely completion. AsureQuality will not follow up on any outstanding Reference Forms on your behalf.

**Referee Name\***

Please provide full name

**Referee Contact Phone Number\***

Please provide a contact phone number. For contacts outside of Aotearoa New Zealand please prefix number with 00 before the country code

**Referee Email\*****Relationship to Referee**

Please provide a brief explanation of your relationship to them, e.g.: Colleague (1000 character limit).

**Length of time you've known each other\***

- 1-3 years
- 3-5 years
- 5-10 years
- More than 10 years

**Optional Secondary Referee**

Do you wish to provide details of a suitable secondary referee?

Please note only one reference is required for the application process and therefore AsureQuality will begin assessing your application upon receipt of whichever reference is completed first.

- Yes
- No





## Optional Secondary Referee Details

**Referee Name\***

Please provide full name

**Referee Contact Phone Number\***

Please provide a contact phone number. For contacts outside of Aotearoa New Zealand please prefix number with 00 before the country code

**Referee Email\***

**Relationship to Referee**

Please provide a brief explanation of your relationship to them, e.g.: Colleague (1000 character limit).

**Length of time you've known each other\***

- 1-3 years
- 3-5 years
- 5-10 years
- More than 10 years



## Fields related to the competencies for Auditors

Please select all relevant options below that best match your professional experience and areas of expertise.

The competencies for auditors can be categorised as being within any of the below:

- Regulatory
- Te ao Māori
- Farm systems, risks and actions

Where your area of experience is not listed you may add this as a free text by ticking the "Other" option under the most appropriate category.

### Relevant Regulatory Experience

Please select all relevant sectors of working experience as applicable

Please leave blank if none apply.

- Regional Planning & Compliance
- Natural Resource Management
- Catchment Management
- Water Quality
- Other

### Relevant te ao Māori Experience

Please select all relevant sectors of working experience as applicable

Please leave blank if none apply.

- Te Taiao
- Māori culture and tikanga
- Cultural Advisory
- Te ao Māori services (policy, engagement, strategy and leadership)
- Other

### Relevant Farm Systems Experience

Please select all relevant sectors of working experience as applicable

Please leave blank if none apply.

- Dairy
- Sheep & Beef
- Horticulture
- Arable
- Other



## Demonstrating the Competencies for Auditors

The following sections are for you to provide detailed explanations and examples of your knowledge, experience, qualifications and/or membership to professional bodies which align to the Competencies for auditors as outlined below.

### Providing evidence of understanding

As part of the application process to become a Freshwater Farm Plan Auditor, AsureQuality must assess each candidate's ability to meet the Competencies for Auditors as outlined in the Freshwater Farm Plans Regulations 2023.

Under the Freshwater Farm Plans Regulations 2023, an auditor must have an understanding of the below:

- the Freshwater Farm Plan regulations and certification requirements:
- any objectives, policies, and rules relevant to the management of freshwater or freshwater ecosystems in policy statements or regional plans:
- any relevant freshwater matters in planning documents that are recognised by iwi authorities and lodged with regional councils:
- the National Policy Statement for Freshwater Management and any action plans made by regional councils:
- other secondary legislation made under the Resource Management Act 1991 that is relevant to the management of freshwater or freshwater ecosystems:
- the Treaty of Waitangi (Te Tiriti o Waitangi):
- Te ao Māori:
- Te Mana o Te Wai:
- sites and species of cultural significance as defined by tangata whenua:
- contaminants and their impacts on freshwater and freshwater ecosystems:
- impacts of farming on freshwater and freshwater ecosystems:
- actions to manage the impacts of farming on freshwater and freshwater ecosystems.

### Competencies for auditors

Each of the required competencies for certifiers is listed below..

To complete this section you will need to;

- self-assess your current level of understanding of each competency using the scale below, and
- provide a explanation to demonstrate your understanding using scenarios, explaining key concepts and relevant technical terminology

Your answers to this section will be assessed by a member of the AsureQuality freshwater farm plan appointment process team.

There is no expectation for applicants to be fully proficient in all competencies at this stage of the appointment process, as training linking to each competency will be provided.

The minimum requirement is you must believe yourself to have a 'Fair' level of understanding on all competencies, while being able to average a 'Good' level of understanding across the competencies.

### Top Tips

- a strong answer, if you self-assess yourself as 'good' or higher in a competency, would mean you will be able to clearly describe and explain your understanding of the competency and detail activity where you have applied that knowledge and/ or experience relating to the competency. You know what it means, you know how to find and assess/ apply that knowledge and can describe examples where you have done that.
- for competencies that you self-assess yourself as 'fair' you should provide an overview of your current level of understanding of that competency, explaining concepts and terminology you are familiar with, and examples of where you are actively trying to upskill or develop your knowledge.
- you can upload supporting documents to support your application including your CV, any relevant course certificates, memberships, or confirmation of completed training events.
- Please include details of scenarios to demonstrate how you use or apply that competency.
- your answers to this section are limited to 1000 characters per competency so be clear and concise in your answers
- there is training linked to each competency, so you will be provided an opportunity to upskill too.



Where possible provide examples of using your knowledge, with a good mixture of broad experience and specific situations.

Include key concepts and terminology.

Some of your knowledge and experience may fit into more than one competency but try and vary your answers with different examples to showcase a breadth of knowledge.

For additional guidance on answering this section of the application form please refer to [The Appointment Programme](#) page on the website.



## Competencies

### a) Freshwater Farm Plan regulations and certification requirements\*

Please assess your current level of understanding of this competency

- Poor
- Fair
- Good
- Great
- Excellent

#### Explained\*

Please provide an explanation of your understanding of this competency, and how your qualifications and/or experience have informed your knowledge. (1000 character limit).

### b) Objectives, policies, and rules relevant to the management of freshwater or freshwater ecosystems in policy statements or regional plans:\*

Please assess your current level of understanding of this competency

- Poor
- Fair
- Good
- Great
- Excellent

#### Explained\*

Please provide an explanation of your understanding of this competency, and how your qualifications and/or experience have informed your knowledge. (1000 character limit).

### c) Relevant freshwater matters in planning documents that are recognised by iwi authorities and lodged with regional councils:\*

Please assess your current level of understanding of this competency

- Poor
- Fair
- Good
- Great
- Excellent

#### Explained\*

Please provide an explanation of your understanding of this competency, and how your qualifications and/or experience have informed your knowledge. (1000 character limit).

### d) The National Policy Statement for Freshwater Management and any action plans made by regional councils\*

Please assess your current level of understanding of this competency

- Poor
- Fair
- Good
- Great
- Excellent

#### Explained\*

Please provide an explanation of your understanding of this competency, and how your qualifications and/or experience have informed your knowledge. (1000 character limit).

### e) Other secondary legislation made under the Resource Management Act 1991 that is relevant to the management of freshwater or freshwater ecosystems:\*

Please assess your current level of understanding of this competency

- Poor
- Fair
- Good
- Great
- Excellent

#### Explained\*

Please provide an explanation of your understanding of this competency, and how your qualifications and/or experience have informed your knowledge. (1000 character limit).



**f) Treaty of Waitangi (Te Tiriti o Waitangi):\***

Please assess your current level of understanding of this competency

- Poor
- Fair
- Good
- Great
- Excellent

**Explained\***

Please provide an explanation of your understanding of this competency, and how your qualifications and/or experience have informed your knowledge. (1000 character limit).

**g) Te ao Māori:\***

Please assess your current level of understanding of this competency

- Poor
- Fair
- Good
- Great
- Excellent

**Explained\***

Please provide an explanation of your understanding of this competency, and how your qualifications and/or experience have informed your knowledge. (1000 character limit).

**h) Te Mana o Te Wai:\***

Please assess your current level of understanding of this competency

- Poor
- Fair
- Good
- Great
- Excellent

**Explained\***

Please provide an explanation of your understanding of this competency, and how your qualifications and/or experience have informed your knowledge. (1000 character limit).

**i) Sites and species of cultural significance as defined by tangata whenua:\***

Please assess your current level of understanding of this competency

- Poor
- Fair
- Good
- Great
- Excellent

**Explained\***

Please provide an explanation of your understanding of this competency, and how your qualifications and/or experience have informed your knowledge. (1000 character limit).

**j) Actions to manage the impacts of farming on freshwater and freshwater ecosystems\***

Please assess your current level of understanding of this competency

- Poor
- Fair
- Good
- Great
- Excellent

**Explained\***

Please provide an explanation of your understanding of this competency, and how your qualifications and/or experience have informed your knowledge. (1000 character limit).



## Optional Supplemental Information and Documentation

This section allows you to add any details of experience, courses or qualifications you feel may be relevant in supporting your application

### Further experience, courses and qualifications

Please provide a description of any relevant experience, courses, or qualification(s) you wish to declare in support of your application.

Note: a strong description will include how align with any of the competencies for certifiers. (1000 character limit).

### Supplemental Documents

Please upload any supporting documents here:

- completed courses and qualifications need to have reference to the competencies for certifiers, and need to be uploaded as a full and clear copy of your Academic Transcripts or Course Certificates
- for evidence of experience you may attached an up to date copy of your CV or membership to professional bodies

Please ensure documents are clear, legible, and uploaded in full. The maximum file size per uploaded document is 10MB so you may need to upload pages individually depending on the file size.



It's up to you how you wish to complete this section. You may like to:

- elaborate further on particular competencies you want to stand out
- detail an example of your experience that uses multiple competencies
- provide an overview of your continuous professional development.