

*Joint Accreditation System of Australia and New Zealand*

**PROCEDURE NUMBER 18**

**Issue No 3 Dated 9 January 2008**



**REQUIREMENTS FOR BODIES PROVIDING AUDIT AND CERTIFICATION OF  
DISABILITY EMPLOYMENT ORGANIZATIONS**

Authority to Issue

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## 0 Introduction

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### 0.1 Object and field of application

- 0.1.1 This procedure sets down the requirements (accreditation criteria) for bodies seeking accreditation by the Governing Board of the Joint Accreditation System of Australia and New Zealand (JAS-ANZ), to audit disability employment organizations and certify that they meet the Disability Services Standards (DSS) set down by the Australian Government. The disability employment organizations referred to in this procedure are those that receive funding under the Commonwealth Disability Services Act 1986 for programs administered by the Department of Families, Community Services and Indigenous Affairs (FaCSIA), and the Department of Employment and Workplace Relations (DEWR).
- 0.1.2 FaCSIA administers programs for organizations which provide supported employment, wage phase-in or targeted support for people with disability. DEWR administers programs for organizations which provide vocational rehabilitation, and the Disability Employment Network (DEN) (formerly open employment services), which provides assistance to people with disability to obtain and/or retain paid employment in the open labour market.
- 0.1.3 Bodies seeking JAS-ANZ accreditation shall satisfy the requirements of ISO/IEC 17021:2006 and the normative criteria (including the attached Annexes) in this procedure.
- 0.1.4 Accreditation in conformity with ISO/IEC 17021:2006 and the criteria in this procedure acknowledges that bodies possess the necessary competence and reliability to operate a conformity assessment system and will thereby facilitate their acceptance or recognition on a national and international basis.
- 0.1.5 If there is conflict between the criteria in this procedure and that of the referenced normative documents, the criteria in this procedure will take precedence.

### 0.2 Background

- 0.2.1 ISO/IEC 17021:2006 is an International Standard which sets out requirements for bodies providing audit and certification of management systems. It provides a good benchmark for bodies that audit and certify disability employment organizations as it addresses their competence and impartiality and has been tested internationally as being appropriate and sufficient to ensure the credibility and reliability of certificates issued by such bodies.
- 0.2.2 To facilitate the uniform interpretation and application of ISO/IEC 17021:2006 for audit and certification of disability employment organizations, the Disability Employment Services Technical Committee (DESTC) has produced the normative criteria in this procedure.
- 0.2.3 The normative criteria are identified in the body of this procedure. The attached Annexes are also considered to comprise normative criteria.
- 0.2.4 All the major headings (numbers 1-10) in bold in the “Conformity assessment - Requirements” section of this procedure are reproduced from ISO/IEC 17021:2006, along

with some of the sub-headings. The remaining text of ISO/IEC 17021:2006 is not included in this document and shall be referred to separately.

0.2.5 This procedure does not diminish any of the requirements of ISO/IEC 17021. The clause numbers in this procedure are prefixed with the letter 'J' to indicate mandatory interpretative criteria developed by the JAS-ANZ Disability Employment Services Technical Committee for the certification of disability employment organizations.

0.2.6 The Department may review criteria or set additional criteria, in consultation with all stakeholders. In any case, these criteria will be reviewed within two years after implementation; or as the need arises. Revised or additional criteria will be the subject of an agreement between JAS-ANZ and the Department and will be regarded as part of these accreditation criteria. Where there is inconsistency between the revised or additional criteria and this procedure, the requirements of the revised or additional criteria will prevail.

### **0.3 Transition Policy**

0.3.1 JAS-ANZ Procedure 18, Issue 3, will replace JAS-ANZ Procedure 18, issue 2 as the JAS-ANZ criteria for bodies seeking JAS-ANZ accreditation for certification of disability employment organizations. JAS-ANZ shall evaluate the operations and planning of bodies accredited by JAS-ANZ to Procedure 18, Issue 3, to ensure that full implementation will be in place before 15 September 2008.

0.3.2 For applicant certification bodies, following the publication of this policy, all document reviews and initial assessments shall be conducted to Procedure 18, Issue 3.

### **0.4 Implementation**

0.4.1 All assessments prior to 15 September 2008 will assess the certification body's preparedness for the changes and any deficiencies shall be reported as observations.

0.4.2 All accredited bodies shall be required to demonstrate implementation of Procedure 18, Issue 3, at the next scheduled surveillance/reassessment visit after 15 September 2008. Any deficiencies shall be reported as nonconformities.

0.4.3 All applicant certification bodies will be required to demonstrate compliance with Procedure 18, Issue 3, before accreditation is granted.

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## Conformity assessment – Requirements for bodies providing audit and certification of management systems

### 1 Scope

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### 2 Normative references

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- 2.1 ISO/IEC 17021:2006 - Conformity assessment – Requirements for bodies providing audit and certification of management systems
- 2.2 Disability Services Act 1986
- 2.3 Principles and Objectives of the Disability Services Act 1986 – Gazetted in Commonwealth of Australia Gazette No. S118, Tuesday 9 June, 1987
- 2.4 Disability Services Standards (DEWR) 2007 and Disability Services Standards (FaCSIA) 2007

### 3 Terms and definitions

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- J.3.1 ISO/IEC 17021 includes some definitions and references authoritative sources for others. The following definitions also apply to this document:

Advocate	an independent person who can support a consumer to communicate during an audit process and in this instance shall not be a paid employee of the organization being audited.
Auditor	a member of an audit team who is certified as an auditor under the Disability Services Audit Personnel Certification Scheme operated by RABQSA International.
Audit team	a team of at least two persons appointed to conduct an audit. An audit team normally comprises a lead auditor and a CTE; however, while a CTE may also perform the role of lead auditor (or auditor) if appropriately qualified, the audit team shall still comprise at least two persons.
Australian Government	the government of the Commonwealth of Australia.
Central office	the main administrative office of a multi-site disability employment organization from where the services being audited are managed. For a consortium, this is the administrative office of the lead agency from where the affairs of the consortium are managed.

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Certification	process by which a body, accredited as conforming to the criteria specified in this procedure, attests in writing that a disability employment organization conforms to the requirements of the Disability Services Standards.
Certification body	a body accredited as conforming to the criteria specified in this procedure which audits and certifies with respect to the Disability Services Standards.
Certification document	document indicating that a disability employment organization conforms to specified Disability Services Standards.
Client	the disability employment organization.
Conflict of interest	<p>a relationship between the certification body, or a person working for the certification body (paid or unpaid, staff or contractor), and another organization or person, that threatens the impartiality of the certification body. Such relationships apply to past, present or future involvement and include:</p> <ul style="list-style-type: none"><li>a) having worked with, or been a consumer of, or consulted to the organization in the last two years, or reasonable prospects of such work;</li><li>b) owning shares in the organization;</li><li>c) being in competition with the organization;</li><li>d) any other commercial or voluntary arrangement or directorship with the organization;</li><li>e) having immediate family members or being employed by an organization in any of the above situations.</li></ul>
Conformity	the requirements of a key performance indicator associated with a Disability Services Standard are met.
Consortium	two or more entities which have entered into a written arrangement for the purposes of jointly delivering disability employment services, and which have appointed a lead member (the lead agency) with authority to act on behalf of all members of the consortium, including the capacity to monitor and assure conformity with the DSS by all of the members.
Consumer	primarily, a person with disability who is receiving / has received within the last 12 months a service from the disability employment organization being audited. Consumer may also mean family member/s or an unpaid primary carer or advocate of that person with a disability.
(CRRS) Complaints Resolution and Referral Service	the independent and impartial service funded by the Australian Government to assist in the resolution of complaints about disability employment, vocational rehabilitation and targeted support organizations funded under the Disability Services Act.
(CTE) Consumer technical expert	a person with disability who is eligible to be a member of an audit team, engaged for his/her specialist knowledge and abilities; eg. Empathy with the life experience of people with disability, and ability to plan and facilitate the effective input of people with disability in an audit process. A CTE shall provide evidence to the certification body of the CTE having been a service recipient of a State or Commonwealth funded disability organization in Australia.

	<p>Note:</p> <p>a) every audit team shall include a CTE. If appropriately qualified, the CTE may also perform the functions of an auditor/lead auditor;</p> <p>b) other technical experts (with or without disability) may also be attached to the audit team to supplement the background knowledge of the team; eg. Where there are critical requirements and special procedures.</p>
(DEN) Disability Employment Network services	disability employment organizations which provide assistance to job seekers with disability who require ongoing support to find and maintain employment in the open employment market. DEN services provide assistance with employment preparation, job search and placements, and post-placement support.
Department	Australian Government Department of Families, Community Services and Indigenous Affairs (FaCSIA), including where acting as administrator of the national quality strategy for disability employment and rehabilitation services on behalf of the Australian Government.
DEWR	Australian Government Department of Employment and Workplace Relations.
Disability employment organization	an employment organization receiving funding under the Commonwealth Disability Services Act 1986. The types of disability employment organizations comprise: DEN services, supported employment services, targeted support services, vocational rehabilitation services, and wage phase-in services.
(DSS) Disability Services Standards	the standards under the Commonwealth Disability Services Act 1986, plus the relevant key performance indicators, as determined by the Minister.
Full-time site	a service location for a disability employment organization that operates on a full-time basis – normally five days per week during normal working hours (eg. 8:30 AM to 4:30 PM, Monday to Friday) or more.
FOFMS (FaCSIA Online Funding Management System)	an online system to manage funding and audit information for FaCSIA programs and initiatives.
Internal audit (of a disability employment organization)	self-verification, in consultation with consumers, to see whether disability employment organization activities and related results conform with planned arrangements, and to determine conformity with the DSS.
Lead auditor	a member of an audit team who leads the team, and who is certified as a lead auditor under the Disability Services Audit Personnel Certification Scheme operated by RABQSA International.
Major nonconformity	<p>the requirements of a key performance indicator associated with a Disability Services Standard are not met, or the outcome is ineffective. A number of related nonconformities may also constitute a major nonconformity. The certification body's procedures shall ensure that:</p> <p>a) verification of effective corrective action shall require a follow-up visit by the certification body before certification. If the organization is already certified, evidence of a corrective action plan shall be presented to the certification body within 5 working days, and</p>

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	<p>verification of effective corrective action shall require a follow-up visit by the certification body within three months;</p> <p>b) failure to action the major nonconformity within three months, or take action sufficient to downgrade the major nonconformity to a nonconformity, shall result in automatic suspension of certification;</p> <p>c) the certification body notifies the Department within 10 working days of raising a major nonconformity at the closing meeting which concludes an audit;</p> <p>d) if the major nonconformity is downgraded to a nonconformity, that nonconformity is actioned within a further three months (total of six months to fully action a major nonconformity).</p>
Nonconformity	<p>the requirements of a key performance indicator associated with a Disability Services Standard are not fully met, or the outcome is only partly effective. The certification body's procedures shall ensure that:</p> <p>a) implemented corrective action is verified as effective before certification, or within six months if the disability employment organization is already certified;</p> <p>b) failure to action a nonconformity within six months will result in a major nonconformity being raised with the disability employment organization's corrective action process;</p> <p>c) the certification body notifies the Department within 10 working days of raising a nonconformity at the closing meeting which concludes an audit.</p>
Notifiable issue	<p>evidence or allegations of a serious health, safety or abuse risk, financial impropriety and/or professional misconduct. If such evidence is found or specific allegations are made, the certification body's procedures shall require it to record the details of the disclosure, allegation or witnessed event, and also to immediately notify the disability employment organization's manager (unless there is justifiable reason for not doing so), and the Department. The certification body is not responsible for resolving the issue, but has a duty of care to report the allegation. Certification cannot proceed until the Department advises the certification body that the notifiable issue is resolved. If the disability employment organization is already certified, the certification body shall seek advice from the Department.</p>
Observation	<p>opportunity for improvement. Observations do not prevent certification, but they should be carefully considered by management and addressed wherever possible, to ensure that conformity is not compromised in the future.</p>
Outreach site	<p>a service location for a disability employment organization set up in the premises of another organization. An outreach site is not permanently open but may operate for a period on a regular basis such as weekly or monthly, or on a demand basis.</p>
Part-time site	<p>a permanent service location for a disability employment organization that regularly operates on only some days of the working week or for part of normal working hours on some days.</p>
Person with disability	<p>person with disability attributable to an intellectual, psychiatric, sensory, physical or neurological impairment or acquired brain injury (or some</p>

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	combination of these) which is likely to be permanent.
Privacy Act	Privacy Act 1988 as amended 2000.
Rating scale	<p>the system used by the Department to rate conformity of a disability employment organization. Each key performance indicator associated with a Disability Services Standard is to be rated according to the scale below. A Disability Services Standard is to be rated the same as the lowest rating of any of its associated key performance indicators:</p> <ul style="list-style-type: none"><li>a) major nonconformity is 0;</li><li>b) nonconformity is 1;</li><li>c) conformity is 2.</li></ul>
Supported employment services (also known as business services)	disability employment organizations that provide wage-generating activity for their consumers. The people with disability in a supported employment service are people for whom competitive employment is unlikely and who need substantial ongoing support to obtain or retain paid employment.
Targeted support services	disability employment organizations which provide training and support to assist people with disability to work towards social and community participation, or opportunities for people to develop skills, or retrain for paid employment. This service type must be audited under revised Disability Services Standards and key performance indicators as set out in the Disability Services Act (1986).
(VRS) Vocational rehabilitation services	disability employment organizations funded by the Australian Government to help people who, because of an injury, disability or health condition, find getting into work difficult. The Disability Services Act 1986 provides the legal framework for the service.
Wage phase-in service	a type of supported employment service which comprises a group of disability employment organizations which have been allowed by FaCSIA to phase in consumers' pro-rata wages (based on an award, order or industrial agreement) within a timeframe ending in May 2008. The service shall have in place a plan, developed in consultation with, and endorsed by, FaCSIA, which reflects a commitment to progress towards the payment of consumers' pro-rata wages. This service type must be audited under revised Disability Services Standards and Key Performance Indicators.

## **4 Principles**

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## **5 General requirements**

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### **5.1 Legal and contractual matters**

#### **5.1.1 Legal responsibility**

- J.5.1.1 The criteria against which the disability employment service of an applicant is assessed shall be those outlined in the Disability Services Standards or other normative documents relevant to the function performed.

## **5.2 Management of impartiality**

- J.5.2.1 Certification bodies shall have a documented, publicly available policy on handling gifts or hospitality offered by organizations they are contracted to provide certification services to.

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## **6 Structural requirements**

### **6.2 Committee for safeguarding impartiality**

- J.6.2.1 The certification body shall ensure that the committee which safeguards impartiality includes a CTE.
- J.6.2.2 The certification body shall ensure that consumers are represented on the committee which safeguards impartiality.

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## **7 Resource requirements**

### **7.2 Personnel involved in the certification activities**

- J.7.2.1 The certification body shall involve a person with disability as a CTE or auditor/lead auditor on all audit teams.
- J.7.2.2 The CTE shall be actively involved in the audit of the disability employment organization. The intent of this requirement is to prevent tokenistic use of CTEs on audit teams.
- J.7.2.3 All existing audit team members, whether permanent personnel or contractors, shall be certified under the Disability Services Audit Personnel Certification Scheme operated by RABQSA International by 30 June 2008.
- J.7.2.4 Personnel not certified by RABQSA wishing to work as audit team members after 31 December 2007 shall successfully complete the relevant knowledge competency and personal attributes examinations as a pre-requisite before commencing work. After passing the examinations, individuals can work in audit teams under supervision for six-months. Within six months of successful completion of knowledge and personal attributes examinations, individuals shall successfully complete an on-site skill examination for the relevant grade, and be certified by RABQSA, in order to continue work as audit team members.
- J.7.2.5 The CTE shall actively participate in the following audit activities with the other team members, and this involvement shall be traceable via reports or other documents on the certification body's files:
- a) planning and preparing the methods of consumer participation in the audit, developing the audit plan, and evaluating the need for independent support for consumers;

- b) engaging consumers during the audit to collect, examine and analyse evidence with respect to the DSS;
  - c) reviewing consumer files or following-up issues with consumers;
  - d) attending for the full duration of the audit, including the opening meeting, audit team review meeting(s) and closing meeting;
  - e) preparing the written audit report before it is submitted to the disability employment organization.
- J.7.2.6 All audit teams shall comprise at least two RABQSA-qualified persons, one of whom shall also meet the definition of a CTE. A RABQSA-qualified lead auditor shall lead all audit teams.
- J.7.2.7 Documented monitoring procedures for CTEs, other technical experts and contracted personnel shall include on-site observation.

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## 8 Information requirements

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### 8.2 Certification documents

- J.8.2.1 For a consortium, the head office and all related sites should be identified on a single certificate. Where a member of a consortium has a scope of certification that is different to the scope(s) for the other members, the additional or reduced scope should be clearly identified on the certificate. This would not preclude individual members holding separate certification for one scope, and also to be part of a consortium for a separate certification.

### 8.4 Reference to certification and use of marks

- J.8.4.1 If the certification body confers the right to use a mark to indicate certification of a disability employment organization, the disability employment organization shall not use the specified mark:
- a) on a product or packaging of products produced by the disability employment organization;
  - b) in a way that may be interpreted as denoting product conformity; or
  - c) in a way that may be likely to confuse consumers.

### 8.5 Confidentiality

- J.8.5.1 All confidential information about a disability employment organization, comprising documentation, records and data either in hard copy or electronic format that comes into the possession of a certification body or any of its representatives shall be treated in accordance with the Privacy Act.
- J.8.5.2 Information about a consumer of a disability employment organization that is identifiable directly or indirectly to that consumer shall not be disclosed without the written consent of that person, unless required by law. Where written consent is not available or appropriate, the consumer shall be supported by a carer, family member or advocate empowered to make an informed decision about consent.

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J.8.5.3 Information about a particular disability employment organization may be disclosed to the Department without the written consent of the disability employment organization, in accordance with the requirements of the disability employment organization's funding agreement with the Australian Government.

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## **8.6 Information exchange between a certification body and its clients**

### **8.6.1 Information on the certification activity and requirements**

J.8.6.1.1 The certification body shall have legally enforceable arrangements to ensure that each certified disability employment organization makes available to the certification body, when requested, the records of all communications and action taken in relation to the requirements of the DSS or other normative documents. This includes correspondence, recommendations and actions documented by the CRRS, FaCSIA, DEWR or any advocacy agency relating to complaints about the disability employment organization.

### **8.6.2 Notice of changes by a certification body**

J.8.6.2.1 The Department reserves the right to refer matters to the certification body for attention when advised by the CRRS or other sources of the following:

- a) failure of the disability employment organization to implement recommendations made by the CRRS;
- b) serious allegations of abuse and neglect within an organization, including physical, sexual or financial abuse, or wilful deprivation (wilfully denying a person assistance and thereby exposing that person to the risk of physical, mental or emotional harm), or any other serious conformity issues;
- c) serious allegations related to financial mismanagement or fraud;
- d) other matters that may become subject to external investigation (for example, by the police).

### **8.6.3 Notice of changes by a client**

J.8.6.3.1 The Department will notify disability employment organizations and JAS-ANZ when it refers matters to the certification body for attention.

J.8.6.3.2 The certification body shall copy matters referred to it by the Department into its complaints system, and action them according to its procedures for handling complaints.

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## **9 Process requirements**

### **9.1 General requirements**

J.9.1.1 When selecting the team for a specific audit the certification body shall ensure that the team:

- a) has an understanding of and empathy with the disability employment organization's values that are required to achieve service delivery outcomes that meet consumer needs;
- b) understands the geographic, religious or cultural context in which the disability employment organization operates;

- c) can communicate effectively in writing or orally or using alternative communication systems with all parties involved in the audit process;
  - d) informs the certification body, prior to the audit, about any existing, former or envisaged link between team members or their disability employment organizations, and the disability employment organization to be audited.
- J.9.1.2 In deciding the size and composition of the audit team and the need (if any) for technical experts (in addition to CTEs), consideration shall also be given to the range of consumers with differing disabilities likely to be encountered within the scope of the audit.
- J.9.1.3 The CTE (along with selected other technical experts) may also provide support in understanding the appropriate language required for the audit and the disability employment organization's particular social and cultural characteristics.
- J.9.1.4 A CTE who is not qualified as an auditor/lead auditor may work alone when interviewing individual consumers face to face, or by telephone. Otherwise, such CTEs and all other technical experts shall not audit independently of a qualified auditor/lead auditor.
- J.9.1.5 Where other management system audits are conducted simultaneously or consecutively with an audit against the DSS, there may be elements common to all systems. Regardless, all relevant key performance indicators of the DSS shall be audited by audit teams conforming with all the relevant requirements of this procedure.
- J.9.1.6 At all audits, a closing meeting shall take place between the audit team and the disability employment organization's management and consumers prior to leaving the premises at which the audit team:
- a) provides a written or oral indication regarding the conformity of the disability employment organization with each key performance indicator and each Disability Services Standard, and an opportunity for questions about the findings;
  - b) briefly summarises all the available avenues for resolving complaints and appeals including JAS-ANZ, the certification body, RABQSA, and the CRRS.
- J.9.1.7 The certification body shall ensure that the disability employment organization has invited consumers to both the opening and closing meetings of all audits.
- J.9.1.8 Written reports of audits of disability employment organizations require more than generic summary statements. The content of all reports shall include:
- a) a brief description of the disability employment organization, including the service types within it;
  - b) the number and type of stakeholders consulted with during each audit;
  - c) a brief summary of the overall findings (conclusions) of the audit, including comments on the effectiveness of the disability employment organization's system to ensure conformity with the DSS;
  - d) ratings of conformity against each key performance indicator and each Disability Services Standard, in accordance with the rating scale and the respective definitions of the ratings at Clause 3.1;
  - e) an adequate description of the main evidence and audit trails to support the ratings allocated to each KPI. Qualifying comments about KPIs should reflect the varying language for different service types;
  - f) suggestions for continuous improvement and positive findings (noteworthy features).

- J.9.1.9 The certification body shall provide the written report to the disability employment organization and enter it onto FOFMS within 10 working days of the completion of the audit (single site) or 20 working days (multi-site).
- J.9.1.10 The content of reports of surveillance and recertification audits of disability employment organizations shall ensure that coverage of requirements at ISO/IEC 17021 Clauses 9.3.2.1 (surveillance) and 9.4.2.1 (recertification) is traceable.
- J.9.1.11 Where applicable, reports (eg. of surveillance, recertification or follow-up audits) shall document:
- a) the clearing of each major nonconformity and nonconformity revealed previously;
  - b) any useful comparison with the results of previous audits of the disability employment organization.

## **9.2 Initial audit and certification**

### **9.2.1 Application**

- J.9.2.1.1 The certification body shall include a CTE in the certification decision-making process.

### **9.2.2 Application review**

- J.9.2.2.1 Certification shall not be granted until all major nonconformities and nonconformities as defined in Clause J.3.1 have been corrected and the correction verified. Certification is also subject to a satisfactory outcome of any investigation by the Department of any allegations in relation to notifiable issues.

### **9.2.3 Initial certification audit**

- J.9.2.3.1 If a disability employment organization formally disagrees with its certification body's audit findings, the certification body shall notify the Department within 10 working days of learning of the disagreement, if it has not been resolved in that time.

## **9.3 Surveillance activities**

### **9.3.1 General**

- J.9.3.1.1 At each surveillance audit the certification body shall check conformity with DSS 2, 7, 8, 9 and 12 and other selected DSS; and interview the responsible management and a sample of consumers.

### **9.3.2 Surveillance audit**

- J.9.3.2.1 The date of the first surveillance audit shall not be more than 12 months from the date of the last day of the on-site component of the certification or recertification audit. The second surveillance audit shall be conducted not more than 13 months after the last day of the first surveillance audit.

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## **9.4 Recertification**

### **9.4.1 Recertification audit planning**

J.9.4.1.1 Clauses J.9.2.1.1 and J.9.3.2.1 also apply to recertification.

## **9.6 Suspending, withdrawing or reducing the scope of certification**

J.9.6.1 The certification body shall advise the Department's Disability Branch in writing within 5 working days if certification is suspended or withdrawn, or where there are any changes in decisions relating to the status of certification, and the reasons for those decisions.

## **9.7 Appeals**

J.9.7.1 The certification body shall include a CTE in appeals hearings.

## **9.9 Records of applicants and clients**

J.9.9.1 The following information shall be included in the certification body's records:

- a) the supporting information and rationale for any multi-site sampling decisions shall be clearly documented and maintained up to date by the certification body so that their basis is readily traceable;
- b) sufficient information to trace all on-site audit durations, and the basis for the calculations (number of consumers etc.);
- c) any departure from the requirements in the Annexes shall be fully justified and documented in each case.

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# **10 Management system requirements for certification bodies**

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## ANNEX A - AUDIT DURATION

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- A.1 Table 1 provides minimum times for auditing single-site disability employment organizations of various sizes. It indicates the number of auditor-days to be spent on-site by the certification body at each disability employment organization for the stage 2 initial audit, annual surveillance and recertification audit.
- A.2 It is clearly understood that some disability employment organizations may require more time than that identified in this Annex. The audit times identified in this Annex shall be read as true minimums and may only be reduced to a maximum reduction of 25% if the system is subject to parallel audits for ISO 9001 certification.
- A.3 The certification body shall have a procedure for determining the amount of time necessary, which should allow flexibility in the light of what is found during an audit. The time allocated shall be based on such factors as:
- a) the size of the disability employment organization;
  - b) the type of organization (supported or open). A supported employment organization with consumers working together on-site provides a more definitive area for audit, whereas consumers from an open employment organization are dispersed;
  - c) the state and maturity of its management system (stable or developing), and what is known of its own internal review and audit procedures;
  - d) communication abilities of consumers;
  - e) ratio of staff to consumers and their support needs.
- A.4 In Table 1 the auditor days shown in the "On-site minimum" columns apply to a disability employment organization with a single site; are based on an 8 hour working day including 1 hour for lunch, and exclude all activities other than auditing. The times are to be regarded as true minimums: planning, preparation, travel time and reporting are not to be included. If the document review or other pre-audit activities are done on-site in conjunction with the certification audit, the time for these activities is not to be included. The same applies to on-site report writing.
- A.5 Where two or more team members work together (eg. auditor plus CTE or other technical expert or another auditor), that time shall be counted as if a single auditor was involved. When, in exceptional circumstances, CTEs work alone (see Clause J.9.1.4), that time shall not be counted as contributing to the audit duration.
- A.6 In Table 1 the number of consumers includes all of those consumers who were receiving a service at the time the sample was drawn, or who have exited a disability organization in the 12 months prior to the projected audit date. The sample shall be drawn no earlier than 3 months prior to the projected audit date.

**Table 1 - Consumer audit sample**

Number of consumers	Initial audit (stage 2): on-site minimum auditor days	Annual surveillance: on-site minimum auditor days	Recertification (stage 2 if applicable): on-site minimum auditor days
1-20	1.5	0.75	1.5
21-50	2	1	2
51-100	3	2	3
101-300	4	3	4
Over 300	5	4	5

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## **ANNEX B - MULTI-SITE CERTIFICATION**

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### **B.1 Introduction**

- B.1.1 The aim of this Annex is to establish criteria for the audit and, if appropriate, the certification of disability employment organizations with a network of full-time and/or part-time sites, thus ensuring that the audit provides adequate confidence in the conformity of the disability employment organization, while being practical and economically feasible.
- B.1.2 Some disability employment organizations may also make use of outreach sites. These do not need to be sampled if the disability employment organization can provide assurance that services provided at outreach sites meet the DSS, and if any files associated with an outreach site can be provided to the certification body for physical sampling remotely. If these assurances cannot be provided, outreach sites shall be sampled as for full-time or part-time sites.

### **B.2 Definitions**

- B.2.1 A multi-site disability employment organization is one having a central function (referred to as a central office) at which certain activities are planned, controlled or managed; and a network of sites at which such activities are fully or partially carried out.
- B.2.2 This means that the central office has rights to implement corrective actions when needed at any site. Where applicable, this should be formalised by means of contracts, policies and/or procedures between the central office and the sites.
- B.2.3 Examples of possible multi-site disability employment organizations include:
- a) organizations with multiple sites performing different business functions (eg. open and supported employment organizations, organizations providing targeted support);
  - b) organizations with multiple sites all performing similar business functions at different physical sites;
  - c) organizations with a single physical site performing different business functions (eg. open and supported employment, targeted support). In this case, treat each business function as a site.

### **B.3 Eligibility criteria for the disability employment organization**

- B.3.1 The disability employment organization's management system shall be centrally administered under a centrally controlled plan and be subject to central management review. All the relevant sites (including the central administration function) shall be subject to the disability employment organization's internal audit program and shall have been audited in accordance with that program before the certification body starts its audit.
- B.3.2 It shall be demonstrated that the central office of the disability employment organization has established a single management system which conforms with the DSS and that the whole disability employment organization meets the requirements of the single management system.

- B.3.3 The disability employment organization shall demonstrate its ability to collect and analyse data (including but not limited to the items listed below) from all sites including the central office, and its authority and ability to initiate organizational change if required:
- a) system documentation and system changes;
  - b) management review;
  - c) complaints;
  - d) evaluation of corrective actions;
  - e) internal audit planning and evaluation of the results.

#### **B.4 Eligibility criteria for the certification body**

- B.4.1 The certification body shall provide information to the disability employment organization about the criteria in this Annex before starting the audit process, and shall not proceed with it if any of the criteria are not met. Before starting the audit process, it shall inform the disability employment organization that the certificate will not be issued if during the audit major nonconformities and nonconformities in relation to these criteria are found.
- B.4.2 The certification body's procedures shall ensure that the initial contract review identifies the complexity and scale of the activities covered by the management system to be certified and any differences between sites as the basis for determining the level of sampling.
- B.4.3 The certification body shall check, in each case, to what extent sites of a disability employment organization provide substantially the same kind of services according to the same procedures and methods. The certification body may apply the sampling procedure to individual sites only after it has confirmed that all the sites proposed for inclusion in the multi-site exercise meet the criteria.
- B.4.4 All the sites of a disability employment organization shall be subject to the re-certification cycle of the head office.

#### **B.5 Audit**

- B.5.1 The certification body shall have documented procedures to deal with audits under its multi-site procedure. Such procedures shall establish the way the certification body satisfies itself that all the criteria in Clause B.3 of this Annex are met. This requirement also applies to a management system where electronic document and/or process control, and/or other electronic processes are used.
- B.5.2 If more than one audit team is involved in the audit of the network, the certification body shall designate a unique audit leader whose responsibility is to consolidate the findings from all the audit teams and to produce a synthesis report. In any case, the certification body shall produce a single report of the audit of a multi-site disability employment organization.

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## **B.6 Dealing with major nonconformities and nonconformities**

- B.6.1 When major nonconformities or nonconformities are found at a site, either through the disability employment organization's internal auditing or from auditing by the certification body, investigation shall take place to determine whether other sites may be affected. The certification body shall require the disability employment organization to review the major nonconformities and nonconformities to determine whether they indicate an overall system deficiency applicable to all sites or not. If they are found to do so, corrective action shall be performed at the central office and at the individual sites. If they are found not to do so, the disability employment organization shall be able to demonstrate to the certification body the justification for limiting its follow-up action.
- B.6.2 The certification body shall require evidence of these actions and increase its sampling frequency until it is satisfied that control is re-established.
- B.6.3 At the time of the decision-making process, if any site has a major nonconformity or nonconformity, certification shall be denied to the whole network pending satisfactory corrective action.
- B.6.4 It shall not be admissible that, in order to overcome the obstacle raised by the existence of a major nonconformity or nonconformity at a single site, the disability employment organization seeks to exclude from the scope the "problematic" site during the certification process.

## **B.7 Certification**

- B.7.1 One certificate shall be issued with the name and address of the central office of the disability employment organization. A list of all the sites to which the certification relates shall be issued, either on the certificate itself, or in an appendix, or as otherwise referred to on the certificate. The scope or other reference on the certificate shall make clear that the certified activities are performed by the network of sites listed. If the certification scope of the sites is only part of the general scope of the disability employment organization, its applicability to all the sites shall be clearly stated on the certificate and any annex.
- B.7.2 A sub-certificate may be issued to the disability employment organization for each site covered by the certification on condition that it contains the same scope, or a sub-scope of that scope, and includes a clear reference to the main certificate.
- B.7.3 The certification will be withdrawn if the central office or any of the sites does not fulfil the necessary criteria for maintaining certification.
- B.7.4 The list of sites shall be kept updated by the certification body. Hence the certification body shall require the disability employment organization to inform it about the closure of any of the sites. Failure to provide such information will be considered by the certification body as a misuse of the certification, and it will act according to its procedures.
- B.7.5 Additional sites can be added to an existing certificate as the result of surveillance or recertification activities.

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## **B.8 Sampling methodology**

- B.8.1 The sample should be partly selective based on the factors set out below and partly non-selective, and should result in a range of different sites being selected. A site with consumers attached and co-located with the head office shall be treated as a separate site, like all other sites, and not just repeatedly sampled due to its co-location with the head office. Where possible, at least 25% of the sample should be selected at random.
- B.8.2 Taking into account the criteria mentioned below, the remainder shall be selected so that the differences among the sites selected over the period of certification are as large as possible.
- B.8.3 The site selection criteria may include:
- a) results of internal audits or previous audits by a certification body;
  - b) records of complaints and communications with the Department and other relevant aspects of corrective and preventive action;
  - c) significant variations in the size of the sites and number of consumers;
  - d) variations in the work procedures;
  - e) the complexity of the activities undertaken;
  - f) modifications since the last audit;
  - g) geographical location and dispersion.
- B.8.4 This selection does not have to be done at the start of the audit process. It can also be done once the audit at the central office has been completed. In any case, the central office shall be informed of the sites to be part of the sample. This can be on relatively short notice, but shall allow adequate time to prepare for the audit.
- B.8.5 Where the organization has both full-time and part-time sites, the weight of focus on each during the audit should generally be in proportion to the numbers of clients serviced at each. See also Clause B.1.2 of this Annex in relation to outreach sites.
- B.8.6 The central office shall be visited during every audit.

## **B.9 Size of sample**

- B.9.1 The certification body shall have a procedure for determining the sample to be taken when auditing sites as part of the audit and certification of a multi-site disability employment organization. This should take into account all the factors described in this Annex.
- B.9.2 The minimum number of non-central office sites to be visited per audit is:
- Initial audit and recertification audit: the size of the sample shall not be less than the square root of the number of full-time and part-time sites ( $y = \sqrt{x}$ ), rounded to the upper whole number.
  - Surveillance audit: the size of the annual sample shall not be less than the square root of the number of full-time and part-time sites with 0.6 as a coefficient ( $y = 0.6\sqrt{x}$ ), rounded to the upper whole number.

- B.9.3 In all cases, the central office shall be visited in addition to the number of sites sampled.
- B.9.4 The size of the sample shall be increased where the certification body's analysis of the disability employment organization indicates special circumstances under any of the site selection criteria at Clause B.8 of this Annex.
- B.9.5 When the disability employment organization has a hierarchical system of branches (eg. head office / national offices / regional offices / local branches), the sampling model as defined above applies to each level.

**Table 2 - Sampling Model example**

1 head office:	visited at each audit (initial/surveillance/recertification)
4 national offices:	sample = 2 : minimum 1 at random
27 regional offices:	sample = 6 : minimum 2 at random
1700 local branches:	sample = 42 : minimum 11 at random.

- B.9.6 A multi-site organization may comprise different types of disability employment organizations, or separately service groups of consumers with similar disabilities within its network of sites. Examples:
- a) sites offering DEN;
  - b) sites offering supported employment;
  - c) sites offering targeted support;
  - d) sites offering vocational rehabilitation;
  - e) sites offering wage phase-in;
  - f) any of the above offered to separate groups of consumers with specific disability types.
- B.9.7 The examples in Clause B.9.6 are to be considered as separate populations of sites, and the sampling formulas defined above shall be applied to each population. Where the disability employment organization also has a hierarchical structure and would otherwise be sampled at each level, the sampling model which results in the largest sample shall be applied.

## **B.10 Audit duration**

- B.10.1 The certification body shall have procedures for calculating audit duration which cover multi-site disability employment organizations.
- B.10.2 Table 3 provides the minimum audit durations for head offices, recognising that some head offices of multi-site organizations do not directly offer services to consumers. Table 4 should be used, if required, to separately determine the audit duration for co-located sites where consumers are attached.
- B.10.3 Table 4 provides minimum audit durations for each site of a multi-site organization based on the number of consumers attached to the site. This includes, if required, sites co-located with the head office where consumers are attached to the site.
- B.10.4 The total audit duration is thus the total of the figures for all the individual sites and the head office.

**Table 3 - Minimum audit duration for the head office of a multi-site organization (excluding co-located sites where consumers are attached)**

Number of consumers attached to head office	Initial audit (stage 2): on-site minimum auditor days	Annual surveillance: on-site minimum auditor days	Recertification (stage 2 if applicable): on-site minimum auditor days
0	1	0.5	1

**Table 4 - Minimum audit duration for each site of a multi-site organization where consumers are attached**

Number of consumers PER SITE	Initial audit (stage 2): on-site minimum auditor days PER SITE	Annual surveillance: on-site minimum auditor days PER SITE	Recertification (stage 2 if applicable): on-site minimum auditor days PER SITE
1-20	0.75	0.5	0.75
21-50	1	0.5	1
51-100	1.5	0.75	1.5
101-300	2	1	2
Over 300	2.5	1.5	2.5

### **B.11 Additional sites**

B.11.1 On application for a new group of sites to join an already certified multi-site network, each new group of sites should be considered as an independent set to determine the sample size. Before including the new group on the certificate, the new sites should be added to the previous ones to determine the sample size for all surveillance or recertification audits. The rules for sampling a hierarchy or separate populations of sites will apply if the new group of sites is not homogenous.

### **B.12 Auditing and multi-site sampling of a consortium**

B.12.1 A disability employment organization applying for certification as a consortium has a unique structure. For the consortium to be eligible for multi-site sampling, it must meet all the requirements of this Annex; but in particular, the certification body shall ensure that the consortium meets requirements with regard to the role of its lead agency ('central office') and the application of a single management system over its network of sites. In the absence of a single management system covering the network of sites, a consortium will not be eligible for multi-site sampling.

B.12.2 An additional consideration is that an applicant consortium may have a number of member sites which are already certified, as well as new sites which have not been audited before. In addition to conforming with requirements at Clauses B.11.1 and B.12.1 of this Annex, certification bodies shall check whether the consortium is targeting a different, expanded group of disability service recipients who have not been sampled at previous audits. If so, the certification body shall ensure that this group of consumers is adequately sampled according to the requirements of Annex C. This may entail sampling additional consumers at sites which are already certified, in determining conformity for the new consortium organization

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- B.12.3 If not eligible for multi-site sampling, each member organization of a consortium shall be audited separately as if an independent provider. However, the consortium as a whole, through the lead agency, shall also still be able to demonstrate the existence of management systems adequate to assure the ongoing quality of services through monitoring and, when required, the capacity to mandate corrective action.
- B.12.4 The transfer process described in Annex E can be employed if the members of a consortium were originally certified by different certification bodies.

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## ANNEX C - AUDIT PLANNING AND CONSUMER SAMPLING

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### C.1 Sampling principles

- C.1.1 The certification body shall observe the following principles when sampling consumers for an audit of a disability employment organization:
- a) the certification body should select the sample of consumers to be interviewed. This ensures that the sample is not influenced by other stakeholders which might inhibit the collection of accurate data;
  - b) the certification body shall attempt to represent the demographics of the consumers assisted by the organization, when selecting consumers for sampling ('stratified sampling'). It shall therefore collect sufficient information from the disability employment organization as part of the audit planning process to allow it to adequately sample consumers. Some of the demographics to consider are:
    - (i) disability type;
    - (ii) gender;
    - (iii) age;
    - (iv) home or living situation (eg. group home; with parents; in community);
    - (v) cultural, religious or language differences;
    - (vi) working or not working;
    - (vii) length of tenure with organization (includes those exited);
    - (viii) type of work (eg. packaging as distinct from gardening or clean room work);
  - c) although the focus of this Annex is on sampling consumers, certification bodies should always keep in mind the potential to gather useful evidence from other key people, and sample accordingly. Other key people include:
    - (i) staff;
    - (ii) other workers in open employment;
    - (iii) employers;
    - (iv) participation by consumers in the audit is at all times voluntary and shall be based on the principle of informed consent;
    - (v) the sampling approach does not preclude consumers talking to any of the audit team members if they choose to during the conduct of the audit.
- C.1.2 The certification body shall verify that the disability employment organization has:
- a) made all reasonable attempts to inform all consumers serviced by it of all scheduled audits in accessible and varying formats, and provided them with an opportunity to participate in the process and in consumer samples;
  - b) made it clear to consumers that independent advocates are encouraged to be involved in the audit process.

### C.2 Collecting data for the sample of consumers

- C.2.1 The sample size and sampling approach, including methods of communication and sampling is to be negotiated between the certification body and the disability employment organization when planning the audit.

C.2.2 One way of collecting information for sampling consumers is to ask the disability employment organization to develop a summary of consumer profiles as a matrix; eg. with demographics along the top and consumer identification numbers (not names) down the side. When the matrix is completed, certification bodies can select a representative sample without compromising the confidentiality of consumers. In any case, the disability employment organization should not link consumer names to demographic details when providing information to certification bodies to plan an audit.

### **C.3 Consumer sample size**

C.3.1 Having regard to the fact that consumers have the right not to be involved, the minimum number of consumers to be sampled for an audit of a disability employment organization (or per site, for a multi-site disability employment organization) is:

- Initial and recertification audits: the size of the sample shall be the square root of the number of consumers ( $y = \sqrt{x}$ ), rounded to the upper whole number.
- Surveillance audit: the size of the annual sample shall be 0.6 times the square root of the number of consumers ( $y = 0.6\sqrt{x}$ ), rounded to the upper whole number.

C.3.2 The certification body should aim to individually interview face to face at least 50% of the sample of consumers. If this ratio cannot be achieved (eg. refusals or clear preference by consumers for another consultation method), the certification body shall clearly document its justification. The remaining 50% may be sampled using a combination of other methods (in preference to a single method) including:

- a) focus group;
- b) telephone;
- c) written survey;
- d) casual or informal conversation which may not require a consent (eg. factory walk-around). Note: the certification body should not rely on this method for more than 25% of the total sample;
- e) other innovative ways to involve consumers.

C.3.3 Where a consumer selected for inclusion in the sample is employed outside of the disability employment organization and does not wish to participate in the audit, the sample size may be reduced accordingly to avoid additional burden being placed on the remaining consumers. The certification body shall document such a reduction in the audit report.

C.3.4 The sample of consumers will normally include exited consumers as per Clause C1.1 b)viii of this Annex.

C.3.5 An organization with only one physical site may comprise different types of disability employment services, or separately service groups of consumers with similar disabilities from that single site - see equivalent examples at Annex B, Clause B.9.6. The emphasis here is on separate servicing of groups of consumers, not individual consumers, such that the disability organization's procedures and policies vary according to the group. Where a single site exhibits such variability, separate populations of consumers shall be considered to exist within that one site, and the consumer sampling formulas defined in this Annex shall be applied to each population.

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#### **C.4 Consumer file sampling**

- C.4.1 One aim of file sampling is to cross-check verbal information gathered from consumers; another is to check implementation of the disability employment organization's policies and procedures. Where possible, consents obtained for consumer interviews should also grant permission by consumers for the audit team to review the relevant files. This may result in an adequate sample of files to review. In any case, the certification body shall obtain written, informed consents before accessing consumer files.
- C.4.2 However, there will be times when consumers agree to be interviewed, but not to allow access to their files; and vice versa. While the principles applying to consumer sampling also initially apply to file sampling (i.e. the certification body selects files, and files chosen represent the demographics), the certification body may also need to follow-up on files specific issues identified during interviews with consumers or others. This requires wider access to files, and the certification body shall try to obtain appropriate additional consents, to maximise the number of files available for review.
- C.4.3 In any case, the number of files available for review shall not be less than 5 per disability employment organization (or per site, for a multi-site organization), unless the organization or site has less than five consumers; otherwise the validity of the audit could be compromised.
- C.4.4 All file access shall conform with the provisions of the Privacy Act and other relevant legislation.
- C.4.5 Consumer files may be de-identified to allow sampling, if the need arises.
- C.4.6 Where consumer information is only stored or available in electronic form, it will generally need to be printed out to allow auditors to view the material. This is particularly so for information held in departmental systems which the auditors do not have clearance to access.

#### **C.5 Traceability of audit planning and consumer sampling processes**

- C.5.1 Certification bodies shall be prepared to justify the sampling of consumers for an audit. Any reduction in the sample size shall be justified and documented in each case (eg. where sufficient consents cannot be obtained). The certification body shall pay particular attention to the validity of the results of the audit where the sample size is likely to be 30% or more below the numbers which would apply using the above sampling models. If in doubt about the validity, advice should be sought from the Department before the audit begins.
- C.5.2 While ISO/IEC 17021 Clause 3.2.2 requires an audit plan to be prepared, sampling strategies shall also be sufficiently documented for each audit of a disability employment organization so as to be able to trace conformity with all the requirements of this Annex. This information may be included on, or attached to the audit plan, or may be separately recorded.

#### **C.6 Audit planning time**

- C.6.1 Because of the complexities of sourcing information and obtaining the necessary consents to arrange effective and representative consumer sampling, planning for an audit of a disability employment organization will typically take longer than planning for other types of audits (such as ISO 9001). Certification bodies will be expected to devote sufficient time and resources to ensure conformity with all the requirements of this Annex for each audit of a disability employment organization.

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**C.7 Planning for audit reporting**

- C.7.1 Government funding will be contingent on disability employment organizations achieving and maintaining independent third party certification. Therefore it is incumbent on the certification body to take the time to fully explain and clarify requirements (including avenues for resolving complaints, disputes and appeals) during all stage of the process from application, pre-audit, during the audit, and in reports; to the satisfaction of the disability employment organization.
- C.7.2 The certification body shall fully explain its audit findings to the satisfaction of the disability employment organization at the audit closing meeting and in the written report.
- C.7.3 Audits shall therefore be planned to allow sufficient time and resources for these activities; for example, to report conformity against each key performance indicator, and to fully conform with the reporting requirements of Clause 9. Positive reporting is expected. In particular, 'tick-box' or largely proforma written reports will not be acceptable.

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## ANNEX D - CODE OF ETHICS

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- D.1 In delivering certification services, certification bodies shall consider the ethical and professional issues below.
- D.2 Procedures for audit team selection and training or providing information to audit team members appropriately address the differential support costs of team members with a disability and the potential for indirect discrimination.
- D.3 Processes for obtaining a representative sample of consumers respect a consumer's right to be or not to be involved and the confidentiality and privacy of a consumer's participation decisions.
- D.4 The certification body promotes available complaints mechanisms to disability employment organizations and participating consumers.
- D.5 The certification body shall have regard for the following:
- a) that people with disabilities and their support persons receive timely, easy-English information about the audit process; i.e. with enough detail and notice to allow for a full and informed contribution;
  - b) all consumers have the right and opportunity to be involved and consulted;
  - c) consumers have the right not to be involved;
  - d) consumers' confidentiality and privacy are to be respected;
  - e) consumers have the right to access support (eg. communication support or an advocate) to assist them with having their say.
- D.7 The certification body shall facilitate transfer of certification if requested by a disability employment organization it has certified. It shall not revoke certification simply because a disability employment organization advises of its intent to change certification bodies.
- D.8 Certification bodies and their staff (external or internal) should promote the benefits of the Disability Employment Services Quality Assurance arrangements to all interested parties, and not openly criticise the Government's initiatives in the disability employment sector. Certification bodies should actively participate in the continuous improvement of the Quality Assurance Program by identifying and raising issues with the relevant infrastructure element, i.e. FaCSIA, DEWR, RABQSA or JAS-ANZ.
- D.9 Certification bodies and their staff (external or internal) shall ensure that they maintain their objectivity and impartiality by ensuring that they have no conflict of interest as defined at ISO/IEC 17021 Clause 3.1. Certification body staff shall not act in any capacity on behalf of the disability employment organization that they audit.

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## **ANNEX E - TRANSFER OF ACCREDITED CERTIFICATION**

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### **E.1 Introduction**

- E.1.1 This Annex provides guidance on the transfer of Disability Services Standards certificates between certification bodies.
- E.1.2 The objectives of this guidance are to:
- a) ensure that the integrity of accredited Disability Services Standards certificates issued by one certification body is maintained if subsequently transferred to another certification body; and
  - b) ensure as far as possible that if a certification body ceases trading, its certified disability employment organizations remain certified by a JAS-ANZ accredited certification body;
  - c) ensure that certification is transferred rather than revoked where one of its certified disability employment organizations chooses to enter a contract with another certification body.
- E.1.3 These are minimum requirements for transferring certification. Certification bodies may implement more stringent procedures or actions provided that a disability employment organization's freedom to choose a certification body is not unduly or unfairly constrained.
- E.1.4 Transfer of certification means the recognition of a Disability Services Standards certificate granted by one accredited certification body, referred to as the "issuing certification body", by another accredited certification body, referred to as the "accepting certification body", for the purpose of issuing its own certificate.

### **E.2 Pre-transfer review**

- E.2.1 Only certificates which are covered by JAS-ANZ accreditation may be transferred. Holders of certificates that are not covered by JAS-ANZ accreditation shall be treated as new applicants.
- E.2.2 A competent person from the accepting certification body shall review the status of the applicant's certification. This review should include a visit to the applicant but, in exceptional circumstances, eg. excessive distance between applicant and accepting certification body, a paper enquiry may be justified. The review shall cover and document:
- a) confirmation that the disability employment organization's certified activities fall within the accredited scope of the accepting certification body;
  - b) the reasons for seeking a transfer;
  - c) that a valid accredited certificate, in terms of authenticity, duration, scope of activities covered by the Disability Services Standards certificate, and scope of accreditation, is held in respect of the site or sites wishing to transfer. If practical, the status of certification and that of outstanding major nonconformities or nonconformities should be verified with the issuing certification body where it has not ceased trading;
  - d) consideration of the original copies of the last audit or recertification audit report, subsequent surveillance reports and any outstanding major nonconformities or nonconformities. This consideration should also include any other available, relevant documentation regarding the certification process eg. handwritten notes, checklists;

- e) complaints received and action taken;
- f) the stage in the current certification cycle. See Clause E.3.4 of this Annex.

### **E.3 Certification**

- E.3.1 Transfer should normally only be of a current valid accredited certificate, but if the certificate was issued by a certification body that has ceased trading, or that has had its accreditation withdrawn, the accepting certification body may, at its discretion, consider such a certificate for transfer on the basis described in this guidance
- E.3.2 Funding of a disability employment organization depends on the organization maintaining JAS-ANZ- accredited certification. Therefore, if a disability employment organization is likely to lose (or has lost) its accredited certification through no fault of its own (eg. issuing certification body is about to, or has ceased trading; or is about to / has lost its JAS-ANZ accreditation), all parties shall cooperate to the greatest extent possible to maintain accredited certification for the organization, in preference to revoking it.
- E.3.3 Certificates which are known to have been suspended or to be under threat of suspension should not be accepted for transfer.
- E.3.4 Outstanding major nonconformities or nonconformities should be closed out, if practical, with the issuing certification body, before transfer. Otherwise the accepting certification body shall close them out.
- E.3.5 If no further outstanding or potential problems are identified by the pre-transfer review, a certificate dated from the date of completion of the review may be issued following the normal decision making process. The pattern of the previous certification regime shall be used to determine the program of surveillance and recertification unless, as a result of the review, the accepting certification body has performed an initial audit or recertification audit.
- E.3.6 Where doubt continues to exist after the pre-transfer review as to the adequacy of a current or previously-held certification, the accepting certification body should, depending upon the extent of doubt, either:
  - a) treat the disability employment organization as a new applicant; or
  - b) conduct a conversion audit concentrating on identified problem areas. The decision as to the action required would depend upon the nature and extent of any problems found and should be explained to the disability employment organization.