

*Joint Accreditation System of Australia and New Zealand*

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**GENERAL REQUIREMENTS FOR BODIES OPERATING ASSESSMENT AND CERTIFICATION OF  
DISABILITY EMPLOYMENT SERVICES**

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## Section 0: Introduction

### 0.1 Object and field of application

0.1.1 This document, including the attached Annexes, 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 assess disability employment services and certify that they meet the Disability Services Standards set down by the Australian Government Department of Family and Community Services. The disability employment services to which this procedure applies are those that receive funding under the Commonwealth Disability Services Act 1986.

0.1.2 Accreditation in compliance with these general requirements acknowledges that certification bodies possess the necessary competence and reliability to operate such conformity assessment systems.

### 0.2 Background

0.2.1 ISO/IEC Guide 62:1996 is an International Standard which sets out criteria for bodies operating assessment and certification of quality systems. It provides a good benchmark for bodies that assess and certify disability employment services 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. Where necessary, the text of this standard has been modified to relate to disability employment services by the JAS-ANZ Disability Employment Services Technical Committee (DESTC).

0.2.2 To facilitate the uniform interpretation and application of ISO/IEC Guide 62, the International Accreditation Forum (IAF) has produced guidance notes, which are included in this document as modified by the DESTC. Also included are additional guidance notes that have been developed and endorsed by the DESTC.

0.2.3 For convenience, the modified text of ISO/IEC Guide 62 is first printed in bold; followed by all the above guidance notes inserted as "JAS-ANZ guidance", identified with the letter "G".

0.2.4 The term "shall" is used throughout this document to indicate those provisions which, reflecting the requirements of ISO/IEC Guide 62 and the deliberations of the DESTC, are mandatory. The term "should" is used to indicate those provisions which, although they constitute guidance for the application of the requirements, are expected to be adopted by a certification body. Any variation from the guidance by a certification body shall be an exception. Such variations will only be permitted on a case by case basis after the certification body has demonstrated to JAS-ANZ that the exception meets the requirements and intent of the relevant Clause of this document in an equivalent way.

0.2.5 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 document, the requirements of the revised or additional criteria will prevail.

## Section 1: General

### 1.1 Scope

This document specifies general requirements to be met by a third party body operating certification of disability employment services, if it is to be recognised as being competent and reliable.

### 1.2 References

1.2.1 ISO/IEC Guide 2:1996, General terms and their definitions concerning standardisation and related activities.

1.2.2 ISO/IEC Guide 62:1996, General requirements for bodies operating assessment and certification/registration of quality systems.

1.2.3 ISO 9000:2000, Quality management systems — Concepts and vocabulary.

1.2.4 ISO 10002:2004, Quality management — Customer satisfaction — Guidelines for complaints handling in organisations.

1.2.5 ISO 19011:2002, Guidelines for quality and/or environmental management systems auditing.

#### JAS-ANZ guidance

G.1.2.1 Disability Services Act 1986.

G.1.2.2 Principles and Objectives of the Disability Services Act 1986 – Gazetted in Commonwealth of Australia Gazette No. S118, Tuesday 9 June, 1987.

### 1.3 Definitions

#### JAS-ANZ guidance

G.1.3.1 The relevant definitions given in ISO/IEC Guide 2, ISO 9000:2000 and the following definitions apply to this document:

**Accreditation:** process by which an authoritative body (JAS-ANZ) gives formal recognition that a certification body is competent to carry out specific tasks.

**Assessment:** all activities related to the certification of an organisation to determine whether the organisation meets all the requirements of the Disability Services Standards necessary for granting certification, and whether they are effectively implemented; including documentation review, audit, preparation and consideration of the audit report and other relevant activities necessary to provide sufficient information to allow a decision to be made as to whether certification shall be granted.

**Auditor:** a member of the assessment or audit team who meets the requirements of ISO 19011, and who has the competencies specified at Clause G.2.2.9.

**Certification:** process by which a third party gives written assurance that a disability employment service conforms to the requirements of the Disability Services Standards.

**Certification body:** a third party which assesses and certifies with respect to the Disability Services Standards.

**Certification document:** document indicating that a disability employment service conforms to specified Disability Services Standards.

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**Complaints Resolution and Referral Service (CRRS):** the independent and impartial service funded by the Department to assist in the resolution of complaints about disability employment services and CRS Australia's employment services funded under the Disability Services Act.

**Conformity:** the requirements of a key performance indicator associated with a Disability Services Standard are met.

**Consumer:** primarily, a person with a disability who is receiving / has received within the last 12 months a service from the disability employment service being assessed. Consumer may also mean family member/s or an unpaid primary carer or advocate of that person with a disability.

**Consumer technical expert (CTE):** a person with a disability who is a member of the assessment or audit team, engaged for his / her specialist knowledge and abilities; eg. empathy with the life experience of people with disabilities, and ability to plan and facilitate the effective input of people with disabilities in an audit process.  
Note:

- a) every audit team must include a CTE. If appropriately qualified, the CTE may also perform the functions of an auditor/lead auditor;
- b) other technical experts (with or without disabilities) 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.

**Consumer training and support agencies:** agencies funded by the Department to provide training and support to consumers of disability employment services (excluding CRS Australia), in each State or Territory, to participate in quality assurance processes.

**Disability employment service:** an employment service receiving funding under the Commonwealth Disability Services Act 1986. Note: wherever disability employment service is mentioned in this document, it shall be read as also referring to CRS Australia, and targeted support.

**Disability Services Standards:** the standards under the Commonwealth Disability Services Act 1986, plus the relevant key performance indicators, as determined by the Minister.

**Department:** Australian Government Department of Family and Community Services.

**Internal audit (of a disability employment service):** self-verification, in consultation with consumers, to see whether disability employment service activities and related results comply with planned arrangements, and determine compliance with the Disability Services Standards.

**Logo:** a symbol used by a body as a form of identification, usually stylised. A logo may also be a mark.

**Major nonconformity:** 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:

- a) verification of effective corrective action shall require a follow-up visit by the certification body before certification. If the service is already certified, evidence of a corrective action plan shall be presented to the certification body within 5 working days, and verification of effective corrective action shall require a follow-up visit by the certification body within three months;
- 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;
- c) the certification body notifies the Department within 10 working days of raising a major nonconformity.

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The Department may subsequently issue such instructions as it sees fit to the disability employment service to deal with the major nonconformity.

**Mark:** a legally registered trade mark or otherwise protected symbol which is issued under the rules of an accreditation body or of a certification body indicating that adequate confidence in the systems operated by a certification body has been demonstrated or that services conform to the requirements of a specified standard (such as the Disability Services Standards). The legal registration shall provide sufficient protection to enable the certification body to control the use of certificates and logos.

**Nonconformity:** 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:

- a) implemented corrective action is verified as effective before certification, or within six months if the disability employment service is already certified;
- b) failure to action a nonconformity within six months may lead to the nonconformity being upgraded to a major nonconformity; and in addition, a major nonconformity may be raised with the disability employment service's corrective action process;
- c) the certification body notifies the Department within 10 working days of raising a nonconformity.

**Notifiable issue:** 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 service'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 service is already certified, the certification body shall seek advice from the Department.

**Observation:** opportunity for improvement or positive feedback. Observations which are opportunities for improvement 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.

**Person with a disability:** person with a disability attributable to an intellectual, psychiatric, sensory, physical or neurological impairment or acquired brain injury (or some combination of these) which is likely to be permanent, who has experience of being a consumer of a disability service.

**Privacy Act:** Privacy Act 1988 as amended 2000.

**Rating scale:** the system used by the Department to rate conformity of a disability employment service. 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:

- a) major nonconformity is 0;
- b) nonconformity is 1;
- c) conformity is 2.

**Related body:** a body which is linked to the certification body by common ownership or directors, contractual arrangement, a common name, informal understanding or other means such that the related body has a vested interest in the outcome of an audit or has a potential ability to influence the outcome of an audit.

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Targeted support: training and support provided to assist persons with a disability to work towards social and community participation, or opportunities to assist the persons to develop skills, or retrain, for paid employment.

## **Section 2: Requirements for certification bodies**

### **2.1 Certification body**

#### **2.1.1 General provisions**

**2.1.1.1** The policies and procedures under which the certification body operates shall be non-discriminatory and they shall be administered in a non-discriminatory manner. Procedures shall not be used to impede or inhibit access by applicants other than as provided for in this document.

**2.1.1.2** The certification body shall make its services accessible to all applicants. There shall not be undue financial or other conditions. Access shall not be conditional upon the size of the disability employment service or membership of any association or group, nor shall certification be conditional upon the number of disability employment services already certified.

**2.1.1.3** 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. If an explanation is required as to the application of these documents it shall be formulated by relevant and impartial committees or persons possessing the necessary technical competence, and published by the certification body.

**2.1.1.4** The certification body shall confine its requirements, assessment and decision on certification to those matters specifically related to the scope of the certification being considered.

#### JAS-ANZ guidance

G.2.1.1 Certification of a disability employment service shall give adequate confidence that the disability employment service's management system meets the Disability Services Standards.

G.2.1.2 Certification bodies shall not practice any form of discrimination such as hidden discrimination by speeding up or delaying applications.

G.2.1.3 Clause 2.1.1.2 requires certification bodies to make their services available to all applicants. However, a certification body may, in so far as the law permits, limit its service to applicants operating in a defined geographic region.

G.2.1.4 Clause 2.1.1.3 refers to other normative documents (i.e. other than the Disability Services Standards) and to committees and persons responsible for formulating explanations as to the application of those documents. Any such normative documents, committees or persons shall be authorised by the Department, and be developed in consultation with stakeholders.

#### **2.1.2 Organisation**

**The structure of the certification body shall be such as to give confidence in its certifications. In particular, the certification body shall:**

- a) be impartial;**
- b) be responsible for its decisions relating to the granting, maintaining, extending, reducing, suspending and withdrawing of certification;**
- c) identify the management (committee, group or person) which shall have overall responsibility for all of the following:**

- 1) performance of assessment and certification as defined in these requirements;
  - 2) the formulation of policy matters relating to the operation of the certification body;
  - 3) decisions on certification;
  - 4) supervision of the implementation of its policies;
  - 5) supervision of the finances of the certification body;
  - 6) the delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf;
- d) have documents which demonstrate that it is a legal entity;
- e) have a documented structure which safeguards impartiality, including provisions to assure the impartiality of the operations of the certification body. This structure shall enable the participation of all parties significantly concerned in the development of policies and principles regarding the content and functioning of the certification system;
- f) ensure that each decision on certification is taken by a person or persons different from those who carried out the assessment;
- g) have rights and responsibilities relevant to its certification activities;
- h) have adequate arrangements to cover liabilities arising from its operations and/or activities;
- i) have the financial stability and resources required for the operation of a certification system;
- j) employ a sufficient number of personnel having the necessary education, training, technical knowledge and experience for performing certification functions relating to the type, range and volume of work performed, under a responsible senior executive;
- k) have a quality system, as outlined in Clause 2.1.4, giving confidence in its ability to operate a certification system for disability employment services;
- l) have policies and procedures that distinguish between disability employment services certification and any other activities in which the certification body is engaged;
- m) together with its senior executive, and staff, be free from any commercial, financial and other pressures which might influence the results of the certification process;
- n) have formal rules and structures for the appointment and operation of any committees which are involved in the certification process; such committees shall be free from any commercial, financial and other pressures that might influence decisions (see Note 1);
- o) ensure that activities of related bodies do not affect the confidentiality, objectivity, or impartiality of its certifications and shall not offer or provide:
- 1) those services that it certifies others to perform;
  - 2) consulting services to obtain or maintain certification;
  - 3) services to design, implement or maintain management systems;
  - 4) services relating to the development, delivery and review of disability employment services (see Note 2);
- p) have policies and procedures for the resolution of complaints, appeals and disputes received from disability employment services, consumers or other parties about the handling of certification or any other related matters.

**NOTE 1.** A structure where members are chosen to provide a balance of interests where no single interest predominates will be deemed to satisfy this provision.

**NOTE 2. Other products, processes or services may be offered, directly or indirectly, provided they do not compromise confidentiality or the objectivity or impartiality of its certification process and decisions.**

JAS-ANZ Guidance

G.2.1.5 Accreditation shall only be granted to a body which is a legal entity as referenced in Clause 2.1.2 d) and may be confined to declared activities and locations. If the certification activities are carried out by a legal entity which is part of a larger organisation, the links with other parts of the larger organisation shall be clearly defined and should demonstrate that no conflict of interest exists as defined in Clauses G.2.1.18 and G.2.1.19. The certification body shall give relevant information on activities performed by the other parts of the larger organisation to JAS-ANZ.

G.2.1.6 Demonstration that a certification body is a legal entity, as required under Clause 2.1.2 d), means that if an applicant certification body is part of a larger legal entity, accreditation shall only be granted to the entire legal entity. In such a situation, the structure of the entire legal entity may be subject to audit by the accreditation body, but the part of the legal entity that forms the actual certification body may trade under a distinctive name. For the purposes of Clause 2.1.2 d), certification bodies which are part of government, or are government departments, will be deemed to be legal entities on the basis of their governmental status. Such bodies' status and structure shall be formally documented and the body shall comply with all the requirements of this document.

G.2.1.7 Impartiality and independence of the certification body should be assured at three levels:

- a) strategic and policy;
- b) decisions on certification;
- c) auditing.

The guidance to Clause 2.1.2 is intended to provide for impartiality and independence at all three levels.

G.2.1.8 Impartiality, as required by Clause 2.1.2 a) can be safeguarded by a structure, as required by Clause 2.1.2 e), that enables "the participation of all parties significantly concerned in the development of policies and principles regarding the content and functioning of the certification system".

G.2.1.9 The structure required at Clause 2.1.2 e) to safeguard impartiality shall be separate from the management established to meet the requirements of Clause 2.1.2 c), unless the entire management function is performed by a committee or group that is constituted to enable participation of all parties as required in Clause 2.1.2 e).

G.2.1.10 Conformance with Clause 2.1.2 e) has the effect of counteracting any tendency on the part of the owners of a certification body to allow commercial or other considerations to prevent the consistent technically objective provision of its service. This is particularly necessary when the finance to set up a certification body has been provided by a particular interest which predominates in the shareholding and/or the board of directors.

G.2.1.11 Clause 2.1.2 e) therefore requires that the documented structure of the certification body has built into it provision for the participation of all the significantly concerned parties. This shall be through some kind of committee, which includes as a member, a person with a disability. This structure shall be formally established by the highest level within the organisation either in the documentation that establishes the certification body's legal status or by some other means that prevents it being changed in a manner that compromises the safeguarding of impartiality. Any change in this structure should take into account advice from the committee, or equivalent, referred to in Clause 2.1.2 e).

G.2.1.12 It is always a question of judgement whether all parties significantly concerned in the system are able to participate. What is essential is that all identifiable major interests shall be given the opportunity to participate, and that a balance of interests, where no single interest predominates is achieved. The certification

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body shall ensure that consumers are adequately represented. Where one sector (eg. government, industry, etc.) provides more than one individual to represent separate aspects of the sector's interests, the fact that they come from the one sector deems them to constitute a single interest.

G.2.1.13 The management responsible for the various functions described in Clause 2.1.2 c) shall provide all the necessary information, including the reasons for all significant decisions and actions, and the selection of persons responsible for particular activities, in respect of certification, to the committee or equivalent referred to in Clause 2.1.2 e), to enable it to ensure proper and impartial certification. If the advice of this committee or equivalent is not respected in any matter by the management, the committee or equivalent shall take appropriate measures, which may include informing JAS-ANZ.

G.2.1.14 If the certification body and an applicant or certified disability employment service are both part of government, the two bodies should not directly report to a person or group having operational responsibility for both. The certification body shall, in view of the impartiality requirement, be able to demonstrate how it deals with such a case.

G.2.1.15 The requirement for financial stability referred to in Clause 2.1.2 i) requires the certification body to demonstrate that it has a reasonable expectation of being able to continue to provide the service in accordance with its contractual obligations. Certification bodies are responsible for providing JAS-ANZ with sufficient evidence to demonstrate viability; eg. management reports or minutes, annual reports, financial audit reports, or financial plans. JAS-ANZ will not attempt any direct audit of the financial accounts of certification bodies.

G.2.1.16 If the decision to issue or withdraw certification in accordance with Clause 2.1.2 n) is taken by a committee comprising, among others, representatives from one or more certified disability employment services, the operational procedures of the certification body should ensure that these representatives do not have a significant influence on decision making. This can be assured by, for example, the distribution of voting rights or some other equivalent means.

G.2.1.17 Clause 2.1.2 o) addresses two separate requirements. First, the certification body shall not under any circumstances provide the services identified in sub-paragraphs 1), 2), 3) and 4) of that Clause. Second, although there is no specific restriction on the services or activities a related body may provide, these shall not affect the confidentiality, objectivity or impartiality of the certification body.

G.2.1.18 Consultancy is considered to be participation in an active creative manner in the development of the disability employment service or management system to be assessed by, for example:

- a) preparing or producing manuals, handbooks or procedures;
- b) participating in the decision making process regarding disability employment services or management system matters;
- c) giving specific advice towards the development and implementation of disability employment services or management systems for eventual certification;
- d) providing services relating to the development, delivery and review of disability employment services.

Note: management systems referred to in Clause G.2.1.18 include all aspects associated with compliance with the Disability Services Standards.

G.2.1.19 Certification bodies can carry out the following duties without their being considered as consultancy or necessarily creating a conflict of interest. However, all potential conflicts shall be dealt with in accordance with Clause G.2.1.23:

- a) certification including information meetings, planning meetings, examination of documents, auditing and follow up of nonconformities;

- b) arranging and participating as a lecturer in training courses, provided that where these courses relate to disability employment services, quality assurance, management systems or auditing certification bodies shall confine themselves to providing generic information and advice which is freely available in the public domain; i.e. they shall not provide company-specific advice which contravenes the requirements of Clause G.2.1.18 c);
- c) making available or publishing on request information on the basis for the certification body's interpretation of the requirements of the assessment standards;
- d) activities prior to audit aimed solely at determining readiness for assessment; but such activities shall not result in providing recommendations or advice that would contravene the requirements of Clause G.2.1.18, and the certification body shall be able to confirm that such activities do not contravene these requirements and that they are not used to justify a reduction in the eventual assessment duration;
- e) performing second and third party audits according to other standards or regulations than those being part of the scope of accreditation;
- f) adding value during assessments and surveillance visits, eg. by identifying opportunities for improvement as they become evident during the audit, without recommending specific solutions.

G.2.1.20 Activities under Clause 2.1.2 o) of a related body and certification shall never be marketed together and nothing shall be stated in marketing material or presentations, written or oral, to give the impression that the activities are linked with certification. It is the duty of the certification body to ensure that none of its clients are given the impression that the use of such activities and certification would bring any business advantage to the client, so that the certification remains, and is seen to remain, impartial.

G.2.1.21 A certification body shall not imply in any way that certification would be simpler, easier or less expensive if any specified consultancy or training services was used.

G.2.1.22 The certification body shall analyse and document the relationship with related bodies to determine the possibilities for conflict of interest with provision of certification and identify those bodies and activities that could, if not subject to appropriate controls, affect confidentiality, objectivity or impartiality.

G.2.1.23 Certification bodies shall demonstrate how they manage their certification business and any other activities so as to eliminate actual conflict of interest and minimise any identified risk to impartiality. The demonstration shall cover all potential sources of conflict of interest, whether they arise from within the certification body or from the activities of related bodies. JAS-ANZ will expect certification bodies to open up these processes for audit. This may include, to the extent practicable and justified, pursuit of audit trails to review records of both the certification body and its related body for the activity under consideration. In considering the extent of such audit trails account shall be taken of the certification body's history of impartial certification. If evidence of failure to maintain impartiality is found there may be a need to extend the audit trail back into the related bodies to provide assurance that control over potential conflicts of interest has been re-established.

G.2.1.24 The requirements of Clause 2.1 and Clause 2.2.3 mean that people who have provided consultancy, including those acting in a managerial capacity, shall not be employed to conduct an audit or contribute to a certification decision as part of the certification process if they have been involved in any consultancy activities towards the disability employment service in question, (or any company related to that disability employment service), or have been a consumer (or support of a consumer) of services provided by that disability employment service, within two years of their last contractual involvement with the disability employment service. Situations such as an employer's involvement or previous involvement with the disability employment service being assessed may present individuals involved in any part of the certification process with a conflict of interest. The certification body has a responsibility to identify and evaluate such situations and to assign responsibilities and tasks so as to ensure that impartiality is not compromised.

G.2.1.25 The senior executive, staff and/or personnel mentioned in Clause 2.1.2 may not necessarily be full-time personnel, but their other employment shall not be such as to compromise their impartiality.

G.2.1.26 The certification body shall require all assessment sub-contractors or external auditors/lead auditors to give undertakings regarding the marketing of any consultancy services equivalent to those required by Clauses G.2.1.20 and G.2.1.21.

G.2.1.27 The certification body shall be responsible for ensuring that neither related bodies, nor sub-contractors, nor external auditors/lead auditors operate in breach of the undertakings that they have given. It shall also be responsible for implementing appropriate corrective action if such a breach is identified.

G.2.1.28 The certification body shall be independent from the body or bodies (including any individuals) which provide any internal audit of the disability employment service subject to certification.

G.2.1.29 An auditor shall explain the audit findings and/or clarify the requirements of the assessment standard during the audit and/or at the closing meeting but shall not give prescriptive advice or consultancy as part of an assessment.

### **2.1.3 Subcontracting**

**When a certification body decides to subcontract work related to certification (eg. audits) to an external body or person, a properly documented agreement covering the arrangements, including confidentiality and conflict of interests, shall be drawn up. The certification body shall:**

- a) **take full responsibility for such subcontracted work and maintain its responsibility for granting, maintaining, extending, reducing, suspending or withdrawing certification;**
- b) **ensure that the subcontracted body or person is competent and complies with the applicable provisions of this document and is not involved, either directly or through its employer with the design, implementation or maintenance of a disability employment service in such a way that impartiality could be compromised;**
- c) **obtain the consent of the applicant or certified disability employment service.**

**NOTE 3. Requirements a) and b) are also relevant, by extension, when a certification body uses, for granting its own certification, work provided by another certification body with which it has signed an agreement.**

#### JAS-ANZ Guidance

G.2.1.30 A certification body may issue certificates on the basis of an assessment carried out by another body provided that the agreement with the subcontracted body requires it to comply with all the relevant requirements of this document and, in particular, the requirements of Clause 2.2. Assessments carried out by subcontracted bodies shall give the same confidence as assessments carried out by the certification body itself. Evaluation of the audit report and the decision on certification shall be made only by the certification body itself, and not by any other certification body.

G.2.1.31 Where a certification body issues certificates in accordance with Clause G.2.1.30 it shall have procedures that ensure conformity with all relevant clauses of this document by subcontracted bodies.

G.2.1.32 The requirement at Clause 2.1.3 c) does not mean that the consent of the disability employment service being assessed is required in case of subcontracting of administrative activities such as wordprocessing.

### **2.1.4 Quality System**

**2.1.4.1 The management of the certification body with executive responsibility for quality shall define and document its policy for quality, including objectives for quality and its commitment to quality. The management shall ensure that this policy is understood, implemented and maintained at all levels of the certification body.**

**2.1.4.2** The certification body shall operate a quality system in accordance with the relevant elements of this document and appropriate to the type, range and volume of work performed. This quality system shall be documented and the documentation shall be available for use by the staff of the certification body. The certification body shall ensure effective implementation of the documented quality system procedures and instructions. The certification body shall designate a person with direct access to its highest executive level who, irrespective of other responsibilities, shall have defined authority to:

- a) ensure that a quality system is established, implemented and maintained in accordance with these requirements;
- b) report on the performance of the quality system to the management of the certification body for review and as a basis for improvement of the quality system.

**2.1.4.3** The quality system shall be documented in a quality manual and associated quality procedures and the quality manual shall contain or refer to at least the following:

- a) a quality policy statement;
- b) a brief description of the legal status of the certification body, including the names of its owners, if applicable and, if different, the names of the persons who control it;
- c) the qualifications, experience and terms of reference of the senior executive and other certification personnel, influencing the quality of the certification function;
- d) an organisation chart showing lines of authority, responsibility and allocation of functions stemming from the senior executive. The relationship between those responsible for assessments and those taking decisions regarding certification shall be clear;
- e) a description of the quality system of the certification body, including details of the management (committee, group or person) identified in Clause 2.1.2 c), its constitution, terms of reference and rules of procedure;
- f) the policy and procedures for conducting management reviews;
- g) administrative procedures including document control;
- h) the operational and functional duties and services pertaining to quality, so that the extent and limits of each person's responsibility are known to all concerned;
- i) the policy and procedures for recruiting and training certification body personnel (including auditors/lead auditors and CTEs) and monitoring their performance;
- j) a list of its subcontractors and details of the procedures for assessing, recording and monitoring their competence;
- k) its procedures for handling nonconformities and for assuring the effectiveness of any corrective actions taken;
- l) the policy and procedures for implementing the certification process, including:
  - 1) the conditions for issue, retention, and withdrawal of certification documents;
  - 2) checks of the use and application of documents used in the certification of disability employment services;
  - 3) the procedures for assessing and certifying disability employment services;
  - 4) the procedures for surveillance and reassessment of certified disability employment services.
- m) the policy and procedure for dealing with appeals, complaints and disputes;

n) **the procedures for conducting internal audits based on the provisions of ISO 19011.**

JAS-ANZ guidance

G.2.1.33 The requirement at Clause 2.1.4.2 for a certification body to designate a person with direct access to its highest executive level does not preclude the chief executive from assuming this role and responsibilities at Clause 2.1.4.2 a) and b).

**2.1.5 Conditions for granting, maintaining, extending, reducing, suspending, and withdrawing certification**

**2.1.5.1 The certification body shall specify the conditions for granting, maintaining, reducing and extending certification and the conditions under which certification may be suspended or withdrawn, partially or in total for all or part of the disability employment service's certification. In particular, the certification body shall require the disability employment service to notify it promptly of any intended changes which may affect conformity.**

**2.1.5.2 The certification body shall require the disability employment service to conform to the Disability Services Standards.**

**2.1.5.3 The certification body shall have procedures to:**

- a) **grant, maintain, withdraw and, if applicable, suspend certification;**
- b) **conduct reassessment if changes significantly affect the activity and operation of the disability employment service (such as change of ownership or changes in key personnel), or if analysis of a complaint or any other information indicates that the certified disability employment service no longer complies with the requirements of the certification body.**

**2.1.5.4 The certification body shall have documented procedures which shall be made available on request for:**

- a) **the initial assessment of a disability employment service, in accordance with the provisions of ISO 19011 and other relevant documents;**
- b) **surveillance and reassessment of disability employment services in accordance with ISO 10911 on a periodic basis for continuing conformity with the Disability Services Standards and for verifying and recording that a disability employment service takes timely action to correct all nonconformities;**
- c) **identifying and recording nonconformities and the need for timely corrective action by disability employment services for such items as incorrect references to the certification or misleading use of certification information.**

JAS-ANZ Guidance

G.2.1.34 Various references in this document make it a requirement to work in accordance with ISO 19011. However, the term "should" in ISO 19011 shall be interpreted as described in Clause 0.2.4. Note: it is important to remember that ISO 19011 sets out guidelines for a wide range of audit situations, so some of the guidelines do not apply to third party certification of the management systems of disability employment services.

G.2.1.35 The certification body shall define the consequences of suspension and withdrawal. Suspension of certification need not be published by a certification body. However, withdrawal of certification shall result in, as a minimum, an amendment to the directory referenced in Clause 2.1.7.1 g). But also note the requirements in Clause 3.1.1.2 e).

**2.1.6 Internal audits and management reviews**

**2.1.6.1** The certification body shall conduct periodic internal audits covering all procedures in a planned and systematic manner, to verify that the quality system is implemented and is effective. The certification body shall ensure that:

- a) personnel responsible for the area audited are informed of the outcome of the audit;
- b) corrective action is taken in a timely and appropriate manner; and
- c) the results of the audit are recorded.

**2.1.6.2** The body's management with executive responsibility shall review its quality system at defined intervals sufficient to ensure its continuing suitability and effectiveness in satisfying the requirements of this document and the stated quality policy and objectives. Records of such reviews shall be maintained.

## **2.1.7 Documentation**

**2.1.7.1** The certification body shall document, update at regular intervals, and make available (through publications, electronic media or other means) on request:

- a) information about the authority under which the certification body operates;
- b) a documented statement of its certification system including its rules and procedures for granting, maintaining, extending, reducing, suspending and withdrawing certification;
- c) information about the assessment and certification process;
- d) a description of the means by which the certification body obtains financial support and general information on the fees charged to applicants and certified disability employment services;
- e) a description of the rights and duties of applicants and certified disability employment services, including requirements, restrictions or limitations on the use of the certification body's logo and on the ways of referring to the certification granted;
- f) information on procedures for handling complaints, appeals and disputes;
- g) a directory of certified disability employment services, including each of their locations, describing the certification granted to each.

**2.1.7.2** The certification body shall establish and maintain procedures to control all documents and data that relate to its certification functions. These documents shall be reviewed and approved for adequacy by appropriately authorised and competent personnel prior to issuing any documents following initial development or any subsequent amendment or change being made. A list of all appropriate documents with the respective issue and/or amendment status identified shall be maintained. The distribution of all such documents shall be controlled to ensure that the appropriate documentation is made available to personnel of the certification body or disability employment service when required to perform any function relating to the activities of an applicant or certified disability employment service.

## **2.1.8 Records**

**2.1.8.1** The certification body shall maintain a record system to suit its particular circumstances and to comply with existing regulations. The records shall demonstrate that the certification procedures have been effectively fulfilled, particularly with respect to application forms, assessment reports, and other documents relating to granting, maintaining, extending, reducing, suspending or withdrawing certification. The records shall be identified, managed and disposed of in such a way as to ensure the integrity of the process and confidentiality of the information. The records shall be kept for a period of time so that continued confidence may be demonstrated for at least one full certification cycle, or as required by law.

**2.1.8.2** The certification body shall have a policy and procedures for retaining records for a period consistent with its contractual, legal or other obligations. The certification body shall have a policy and procedures concerning access to these records consistent with Clause 2.1.9.

## **2.1.9 Confidentiality**

**2.1.9.1** The certification body shall have adequate arrangements, consistent with applicable laws, to safeguard confidentiality of the information obtained in the course of its certification activities at all levels of its quality system, including committees and external bodies or individuals acting on its behalf.

**2.1.9.2** Except as required in this document, information about a particular disability employment service shall not be disclosed to a third party without the written consent of the disability employment service. Where the law requires information to be disclosed to a third party, the disability employment service shall be informed of the information provided as permitted by the law.

### JAS-ANZ Guidance

G.2.1.36 The requirement as to confidentiality includes anyone who might gain access to information which the certification body should keep confidential. Subcontracted personnel shall be required to keep all such information confidential, particularly from fellow employees and from their other employers.

G.2.1.37 All confidential information about a service provider, 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.

G.2.1.38 Information about a consumer of a disability employment service 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.

G.2.1.39 Information about a particular employment service may be disclosed to the Department without the written consent of the disability employment service, in accordance with the requirements of the disability employment service's funding agreement with the Department.

## **2.2 Certification body personnel**

### **2.2.1 General**

**2.2.1.1** The personnel of the certification body involved in certification shall be competent for the functions they perform.

**2.2.1.2** Information on the relevant qualifications, training and experience of each member of the personnel involved in the certification process shall be maintained by the certification body. Records of training and experience shall be kept up-to-date.

**2.2.1.3** Clearly documented instructions shall be available to the personnel describing their duties and responsibilities. These instructions shall be maintained up-to-date.

### JAS-ANZ Guidance

G.2.2.1 Clause 2.1.2 j) means that the certification body shall be able to conduct assessments using resources under its own control which meet the requirements of ISO 19011.

G.2.2.2 The term "resources under its own control" can include individual auditors/lead auditors and CTEs who work for the certification body on a contract basis, or other external resources. The certification body shall be in a position to manage, control and be responsible for the performance of all its resources and maintain

comprehensive records controlling the suitability of all the staff it uses in particular areas, whether they are employees, employed on contract or provided by external bodies.

G.2.2.3 The management of the certification body shall have the resources to enable it to determine whether or not, and procedures to ensure that, individual auditors/lead auditors and CTEs are competent for the tasks they are required to perform. The competence of auditors/lead auditors and CTEs may be established by verified background experience, specific training or briefing. The certification body should be able to communicate effectively with all those whose services it uses.

G.2.2.4 Clause 2.2.1.1 requires the personnel of the certification body to have competence with respect to all the functions it performs, be they management, technical, administrative, or other. This guidance focuses on the management and technical competence requirements.

G.2.2.5 Certification bodies shall have personnel competent to:

- a) assess applications and conduct contract reviews;
- b) select and verify the competence of auditors/lead auditors and CTEs;
- c) brief auditors/lead auditors and CTEs and arrange any necessary training;
- d) implement certification, maintenance and recertification audit procedures;
- e) decide on the granting, maintaining, withdrawing, suspending, extending, or reducing of certifications;
- f) set up and operate an appeals, complaints and disputes procedure;
- g) understand the business practices and structures of the disability employment services subject to certification.

G.2.2.6 The certification body shall involve a person with a disability as a CTE or auditor/lead auditor on all audit teams.

## **2.2.2 Qualification criteria for auditors/lead auditors, CTEs and other technical experts**

**2.2.2.1 In order to ensure that assessments are carried out effectively and uniformly, the certification body shall define the minimum relevant criteria for competence.**

**2.2.2.2 Auditors/lead auditors shall meet the requirements of the appropriate international documentation. For the assessment of a disability employment service, the relevant criteria for auditors/lead auditors are those defined in ISO 19011.**

**2.2.2.3 CTEs and other technical experts are not required to comply with all of the provisions for auditors/lead auditors covered in ISO 19011. However, CTEs and other technical experts shall at least comply with the provisions of ISO 19011, Clause 7.2.**

### JAS-ANZ guidance

G.2.2.7 The CTE shall be actively involved in the audit of the disability employment service. The intent of this guidance is to prevent tokenistic use of CTEs on audit teams.

G.2.2.8 All audit team members, whether permanent personnel or contractors, shall have successfully completed the training specified by the Department.

G.2.2.9 All team members shall have:

- a) detailed understanding of the Disability Services Standards;
- b) detailed understanding and knowledge of disability employment services' management practices;
- c) detailed understanding of the Department's quality strategy for disability employment services.

G.2.2.10 The CTE shall have at least the following competencies, in addition to the competencies listed at Clause G.2.2.9:

- a) general understanding of the Disability Services Act 1986 (Commonwealth) and related legislation, including the Disability Discrimination Act 1992 (Commonwealth);
- b) general understanding and knowledge of the disability service sector;
- c) ability to plan and facilitate the effective input of people with disabilities in an audit process;
- d) effective interpersonal and communication abilities;
- e) ability to collect, examine and analyse evidence against the Disability Services Standards.

G.2.2.11 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 and developing the audit plan, and evaluating the need for independent support for consumers. This support could involve the Consumer Training and Support agency;
- b) engaging consumers during the audit to collect, examine and analyse evidence with respect to the Disability Services Standards;
- c) reviewing consumer files or following-up issues with consumers;
- d) audit team review meeting prior to presenting the audit findings to the disability employment service;
- e) preparing the written audit report before it is submitted to the disability employment service.

G.2.2.12 ISO/IEC Guide 62 does not require auditors/lead auditors to be registered by an auditor registration body but such registration may be used as part of the evidence that auditors/lead auditors meet defined levels of competence.

### **2.2.3 Selection procedure**

#### **2.2.3.1 Selection of auditors/lead auditors, CTEs and other technical experts, in general**

**The certification body shall have a procedure for:**

- a) **selecting auditors/lead auditors, CTEs and other technical experts on the basis of their competence, training, qualifications and experience;**
- b) **initially assessing the conduct of auditors/lead auditors, CTEs and other technical experts during assessments and subsequently monitoring their performance.**

JAS-ANZ guidance

G.2.2.13 Clause 2.2.3.1 b) requires the certification body to assess and monitor the conduct and performance of auditors/lead auditors, CTEs and other technical experts. Such assessment and monitoring shall include witnessing the activities of the auditors/lead auditors, CTEs and other technical experts on-site.

G.2.2.14 The certification body shall establish the frequency of witnessing activities to take account of the criticality and volume of the work being undertaken, the experience and performance history of the auditors/lead auditors, CTEs and other technical experts, and any data obtained from other types of monitoring activity such as review of audit reports and market feedback.

#### **2.2.3.2 Assignment for a specific assessment**

**When selecting the audit team to be appointed for a specific assessment the certification body shall ensure that the skills brought to each assignment are appropriate. The team shall:**

- a) **be familiar with the applicable legal regulations, certification procedures and certification requirements;**
- b) **have a thorough knowledge of the relevant assessment method and assessment documents;**
- c) **have appropriate technical knowledge of the specific activities for which certification is sought and, where relevant, with associated procedures and their potential for failure (CTEs and other technical experts who are not auditors/lead auditors may fulfil this function);**
- d) **have an understanding of and empathy with the disability employment service's values that are required to achieve service delivery outcomes that meet consumer needs;**
- e) **understand the geographic, religious or cultural context in which the disability employment service operates;**
- f) **communicate effectively in writing or orally or using alternative communication systems with all parties involved in the audit process;**
- g) **in accordance with the directives of the certification body, audit team members shall inform the certification body, prior to the assessment, about any existing, former or envisaged link between themselves or their disability employment services and the disability employment service to be assessed.**

#### JAS-ANZ Guidance

G.2.2.15 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.

G.2.2.16 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 service's particular social and cultural characteristics.

G.2.2.17 The audit team shall have the collective competence required to perform an effective audit of the disability employment service and the ability to trace evidence of failures in its services back to the relevant requirements of the management system. The certification body shall appropriately assign the team members according to their competence. Where the audit of a particular activity on site requires specific competence requirements, the team leader shall assign the audit team members accordingly.

G.2.2.18 The certification body's systems shall include procedures for the selection of CTEs and other technical experts (if used) and how their technical knowledge is assured on a continuing basis. The certification body may rely on outside help, for example, from the Department, disability organisations or professional institutions.

G.2.2.19 CTEs and other technical experts shall not perform an independent auditing function within the team unless appropriately qualified as an auditor/lead auditor and shall be supervised by an auditor who meets the certification body's competence criteria for auditors/lead auditors, and at all times work in close cooperation with such an auditor. In exceptional circumstances, eg. conducting sensitive consumer interviews, a CTE who is not qualified as an auditor/lead auditor may work alone; but in every case the certification body shall document justification for this departure from requirements.

G.2.2.20 The requirements for audit team competence apply to certification and surveillance audits, and reassessments. In assigning the team for a surveillance audit or reassessment, the management of the certification body shall ensure that the members of the team have the appropriate competence to assess the activities scheduled for audit, and to understand how their findings may relate to the overall operation of the disability employment service's management system.

#### **2.2.4 Contracting of assessment personnel**

**2.2.4.1 The certification body shall require the personnel involved in the assessment to sign a contract or other document by which they commit themselves to comply with the rules defined by the certification body, including those relating to confidentiality and those relating to independence from commercial and other interests, and any prior and/or present link with the disability employment services to be assessed. The certification body shall ensure that, and document how, any subcontracted assessment personnel satisfy all the requirements for assessment personnel outlined in this document.**

#### **2.2.5 Assessment personnel records**

**2.2.5.1 The certification body shall possess and maintain up-to-date records on assessment personnel consisting of:**

- a) **name and address;**
- b) **affiliation and position held in the organisation;**
- c) **educational qualification and professional status;**
- d) **experience and training in each field of competence of the certification body;**
- e) **date of most recent updating of record;**
- f) **assessment and monitoring of performance referred to at Clauses 2.2.3.1 b) and G.2.2.13-14.**

**2.2.5.2 The certification body shall ensure, and verify, that any subcontracted body maintains records which satisfy the requirements of this document, of assessment personnel who are subcontracted to the certification body.**

#### **2.2.6 Procedures for audit teams**

**2.2.6.1 Audit teams shall be provided with up-to-date assessment instructions and all relevant information on certification arrangements and procedures.**

#### **2.3 Appeals, complaints and disputes**

**2.3.1 Appeals, complaints and disputes brought before the certification body by disability employment services or other parties shall be subject to the procedures of the certification body.**

#### **2.3.2 The certification body shall:**

- a) **keep a record of all appeals, complaints and disputes and remedial actions relative to certification;**

- b) **take appropriate corrective and preventive action;**
- c) **document the actions taken and assess their effectiveness.**

JAS-ANZ Guidance

G.2.3.1 All complaints and disputes shall be dealt with in a constructive and timely manner. ISO 10002 provides guidance on processes for handling complaints.

G.2.3.2 Where operation of complaints and disputes procedures has not resulted in the acceptable resolution of the matter, the certification body's procedures shall provide for an appeal process. This appeal process shall provide:

- a) the opportunity for appellants to formally present their case;
- b) an independent element or other means to ensure the impartiality of the appeals process;
- c) a written statement of the appeal findings to appellants including the reasons for the decisions reached.

G.2.3.3 The certification body shall include a person with a disability in appeals hearings.

G.2.3.4 The certification body shall ensure that all interested parties are made aware, as and when appropriate, of the existence of the appeals, complaints and disputes processes and the procedures to be followed.

G.2.3.5 Personnel, including those acting as managers, shall not be employed to investigate any appeal, complaint or dispute if they have been directly involved in activities as described under Clause 2.1.2 o) towards the body in question, or any related body, within the last two years.

G.2.3.6 On receiving a complaint, the certification body shall establish, and where appropriate take action on, the cause of the complaint, including any predetermining (or predisposing) factors within the certification body's management system.

G.2.3.7 The certification body should use such investigation to develop remedial/corrective action, which should include measures for:

- a) preventing recurrence;
- b) assessing the effectiveness of the remedial / corrective measures adopted.

### **Section 3: Requirements for certification**

#### **3.1 Application for certification**

##### **3.1.1 Information on the procedure**

**3.1.1.1** A detailed description of the assessment and certification procedure, the documents containing the requirements for certification and documents describing the rights and duties of certified disability employment services, shall be maintained up-to-date as specified in Clause 2.1.7.1 and shall be provided to applicants and certified disability employment services.

**3.1.1.2** The certification body shall require that a disability employment service:

- a) always complies with the relevant provisions of the certification program;
- b) makes arrangements for conducting the assessment, including provision for examining documentation and the access to all areas, records (including internal audit reports) and personnel for the purposes of assessment, surveillance, reassessment and resolution of complaints;
- c) only claims that it is certified with respect to those activities for which it has been granted certification;
- d) does not use its certification in such a manner as to bring the certification body into disrepute and does not make any statement regarding its certification which the certification body may consider misleading or unauthorised;
- e) upon suspension or withdrawal of its certification (however determined) discontinues use of all advertising matter that contains any reference thereto and returns any certification documents as required by the certification body;
- f) uses certification only to indicate that the management system of the disability employment service conforms with the Disability Services Standards or other normative documents, and does not use its certification to imply that a product or service is approved by the certification body;
- g) ensures that no certification document, mark or report nor any part thereof is used in a misleading manner;
- h) in making reference to its certification in communication media such as documents, brochures or advertising, complies with the requirements of the certification body.

**3.1.1.3** When the desired scope of certification is related to a specific program, any necessary explanation shall be provided to the applicant.

**3.1.1.4** If requested, additional application information shall be provided to the applicant.

##### **3.1.2 The application**

**3.1.2.1** The certification body shall require an official application form completed and signed by a duly authorised representative of the applicant organisation, in which or attached to which:

- a) the desired certification is defined;
- b) the applicant agrees to comply with the requirements for certification and to supply any information needed for its evaluation.

**3.1.2.2** At least the following information shall be provided by the applicant prior to the on-site assessment:

- a) the general features of the applicant such as corporate entity, name, addresses, legal status, and human and technical resources;
- b) general information concerning the disability employment service and information about the requirements of its consumers with regard to the audit;
- c) a description of the system to be certified;
- d) a copy of the policies and procedures relevant to the Disability Services Standards.

**3.1.2.3** The information gathered from the application documentation and the review of the disability employment service's policies and procedures shall be used to prepare for the on-site assessment and shall be treated in accordance with the Privacy Act.

JAS-ANZ guidance

G.3.1.1 The certification body shall require its certified disability employment services to have procedures to ensure that the information supplied to the certification body is kept up-to-date.

G.3.1.2 The records of any internal audits, including records of consumer participation during internal audits, shall be made available to the certification body on request.

**3.2** Preparation for assessment

**3.2.1** Before proceeding with the assessment, the certification body shall conduct, and maintain records of, a review of the request for certification to ensure that:

- a) the requirements for certification are clearly defined, documented and understood;
- b) any difference in understanding between the certification body and the applicant is resolved;
- c) the certification body has the capability to perform the certification service in respect to the certification sought, the location of the applicant's operations and any special requirements such as the language used by the applicant.

**3.2.2** The certification body shall prepare a plan for its assessment activities to allow for the necessary arrangements to be managed.

**3.2.3** The certification body shall nominate a qualified audit team to evaluate all material collected from the applicant and to conduct the audit on its behalf. Technical experts in the areas to be assessed (i.e. in addition to CTEs) may be attached to the certification body's team as advisors.

**3.2.4** The disability employment service shall be informed of the names of the members of the audit team who will carry out the assessment with sufficient notice to appeal against the appointment of any particular auditors/lead auditors, CTEs or other technical experts.

**3.2.5** The audit team shall be formally appointed and provided with the appropriate working documents. The plan for and the date of the audit shall be agreed with the disability employment service. The mandate given to the audit team shall be clearly defined and made known to the disability employment service, and shall require the audit team to examine the structure, policies and procedures of the disability employment service and confirm that these meet all the requirements relevant to the certification and that the procedures are implemented and are such as to give confidence in the processes and services of the disability employment service.

JAS-ANZ guidance

G.3.2.1 The reference to the language of the applicant at Clause 3.2.1 c) does not exclude the possibility of using interpreters and other individuals as specialist advisers to the assessment team.

G.3.2.2 Annex 3 provides requirements for audit planning and consumer sampling. The certification body shall have documented procedures which address all the requirements in Annex 3.

**3.3 Assessment**

**3.3.1 The audit team shall assess the disability employment service against each of the relevant key performance indicators associated with the Disability Services Standards.**

JAS-ANZ guidance

G.3.3.1 Certification bodies shall allow auditors/lead auditors sufficient time to undertake all activities relating to an assessment. Annex 1 provides guidance on audit duration. The certification body shall be prepared to substantiate or justify the amount of time used in any assessment, surveillance or reassessment.

G.3.3.2 Annex 2 provides guidance on multi-site certification.

G.3.3.3 Where other management system audits are conducted simultaneously or consecutively with an audit against the Disability Services Standards, there may be elements common to all systems. Regardless, all relevant key performance indicators of the Disability Services Standards must be audited by audit teams complying with all the requirements of this document.

**3.4 Assessment report**

**3.4.1 The certification body's reporting procedures shall at least ensure that:**

- a) **a meeting takes place between the audit team and the disability employment service's management and consumers prior to leaving the premises at which the audit team provides a written or oral indication regarding the conformity of the disability employment service with each key performance indicator and each Disability Services Standard, and an opportunity for questions about the findings;**
- b) **the written report is provided within 10 working days of the completion of the audit for a single site disability employment service (20 working days for a multi-site disability employment service);**
- c) **the certification body invites the disability employment service to comment on the written report and to describe the specific actions taken, or planned to be taken within a defined time, to remedy any nonconformity identified during the assessment.**

JAS-ANZ guidance

G.3.4.1 In addition to requirements at ISO 19011, Clause 6.5.7, the certification body shall briefly summarise at the closing meeting all the available avenues for resolving complaints, disputes and appeals including JAS-ANZ and the CRRS.

G.3.4.2 In an audit that covers more than one certification standard (eg. ISO 9001, in addition to the Disability Services Standards), the report shall clearly identify all requirements important to each standard.

G.3.4.3 Written reports of audits of disability employment services require more than generic summary statements. Reports shall be of sufficient detail to facilitate and support certification decisions and shall include:

- a) the date(s) of audit(s);

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- b) the names and positions of the persons responsible for the report, including the lead auditor and CTE;
- c) the names and addresses of all sites audited;
- d) the assessed scope of certification including reference to the Disability Services Standards;
- e) the number and type of stakeholders consulted with during each audit;
- f) an explanation of any differences from the information presented to the disability employment service at the closing meeting, or in any preliminary or draft report, if applicable;
- g) a brief summary of the overall findings (conclusions) of the assessment, including comments on the state of development (maturity) and effectiveness of the disability employment service's system to ensure compliance with the Disability Services Standards, and hence the service's capability to systematically meet those Standards;
- h) 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 G.1.3.1;
- i) details of any nonconformities identified supported by objective evidence, ensuring that any suggestions for addressing nonconformities are only made in general terms, to avoid any perception of consultancy;
- j) an adequate description of the main evidence and audit trails to support the ratings allocated to each KPI;
- k) suggestions for continuous improvement and positive findings (noteworthy features), reported as observations;

G.3.4.4 Completed questionnaires/checklists/observation logs/auditor notes might form an integral part of the report that meets the requirements at Clauses 3.4.1 and G.3.4.3. If these methods are used, these documents shall be retained by the certification body as evidence to support the certification decision.

G.3.4.5 Information gathered during the certification process (which may include information gathered from the application, the document review, the audit report etc.) shall:

- a) be sufficient for the certification body to make an informed decision on certification;
- b) allow traceability to be available if, for example, there is an appeal; or for planning the next audit (possibly by a different team).

G.3.4.6 Having regard to Clause 2.1.8, the following information shall be available in reports or other documents on the certification body's files:

- 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 guidance on audit duration at Annexes 1 and 2, and consumer sampling at Annex 3 shall be fully justified and documented in each case.

G.3.4.7 Where applicable, reports (eg. of surveillance, reassessment or follow-up audits) shall document:

- a) the clearing of each nonconformity revealed previously;
- b) any useful comparison with the results of previous assessments of the disability employment service.

G.3.4.8 The content of reports of surveillance and reassessment audits of disability employment services shall ensure that coverage of requirements at Clauses G.3.6.4 and G.3.6.8 is traceable.

### **3.5 Decision on certification**

**3.5.1 The decision whether or not to certify a disability employment service shall be taken by the certification body on the basis of the information gathered during the certification process and any other relevant information. Those who make the certification decision shall not have participated in the audit.**

**3.5.2 The certification body shall not delegate authority for granting, maintaining, extending, reducing, suspending or withdrawing certification to an outside person or body.**

**3.5.3 The certification body shall provide to each of its disability employment services that is certified, certification documents such as a letter or a certificate signed by an officer who has been assigned such responsibility. These documents shall identify for the disability employment service and each of its sites covered by the certification:**

- a) the name and address;
- b) that the certification has been granted as a disability employment service that meets the Disability Services Standards;
- c) the effective date of certification, and the expiry date.

**3.5.4 The certification body shall process any application for amendment to the certification that has already been granted. The certification body shall decide what, if any assessment procedure is appropriate to determine whether or not the amendment should be granted and shall act accordingly.**

#### JAS-ANZ guidance

G.3.5.1 The entity, which may be an individual, which takes the decision on granting/withdrawing certification (and renewing certification after reassessment) within the certification body, shall incorporate a level of knowledge and experience sufficient to evaluate the audit processes and associated recommendations made by the audit team. The certification body shall include a person with a disability in the certification and recertification decision-making process.

G.3.5.2 Certification shall not be granted until all nonconformities as defined in Clause G.1.3.1 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.

G.3.5.3 Certification documents shall be dated from the date of the formal decision by the certification body and shall identify the term for which the certification is valid.

G.3.5.4 The certification body shall send a copy of the final version of all reports of initial assessments and reassessments to the Department, preferably by email, within 10 working days of making the decision to grant or renew certification. The final version of the report shall meet all the requirements at Clause G.3.4.3.

G.3.5.5 The certification body shall send a copy of all surveillance reports to the Department, preferably by email, within 10 working days of finalising the report.

G.3.5.6 The certification body shall advise the Secretary of the Department 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.

G.3.5.7 Where the certification body that issued the certification documents referred to at Clause 3.5.3 ceases to be accredited, certification of any disability employment services certified by that certification body is deemed to continue for three months after the date accreditation ceases, or until the dates of expiry on the relevant certification documents (whichever is earlier), providing that there are no outstanding major nonconformities. Beyond that, continued certification depends on a successful transfer, as per Annex 5.

### **3.6 Surveillance and reassessment procedures**

**3.6.1 The certification body shall carry out periodic surveillance and reassessment at sufficiently close intervals to verify that its certified disability employment services continue to comply with the certification requirements.**

**3.6.2 Surveillance and reassessment procedures shall be consistent with those concerning the assessment of the disability employment service as described in this document.**

#### JAS-ANZ guidance

G.3.6.1 Certification bodies shall have procedures clearly stating the circumstances and conditions under which certification will be maintained in accordance with these guidelines.

G.3.6.2 Surveillance of certified disability employment services shall be undertaken annually. The date of the first surveillance audit following initial certification shall be programmed from the completion of the initial assessment.

G.3.6.3 The purpose of a surveillance audit is to verify the overall continuing effectiveness of the disability employment service's entire management system and that the disability employment service is continually improving. The certification body shall have the resources and procedures to enable it to achieve this.

G.3.6.4 At each surveillance audit the certification body should check the following and interview the responsible management and a sample of consumers:

- a) the effectiveness of the disability employment service's management system in achieving its objectives;
- b) changes to the management system;
- c) Disability Services Standards 2, 7, 8 and 9;
- d) the functioning of procedures for receiving, documenting and responding to complaints and communications from external interested parties;
- e) the functioning of procedures for the periodic evaluation and review of compliance with relevant legislation and regulations;
- f) progress of planned activities aimed at continual improvement of system performance;
- g) action taken on nonconformities identified during the last audit;
- h) use of marks and logos;
- i) other selected Disability Services Standards;

j) records of appeals, complaints and disputes brought before the certification body, and where any nonconformity or failure to meet the requirements of certification is revealed, that the disability employment service has investigated its own systems and procedures and taken appropriate corrective action.

G.3.6.5 The surveillance activities shall be subject to special provision if a certified disability employment service makes major modifications to its management system or if other changes take place which could affect the basis of its certification.

G.3.6.6 Appropriately competent personnel shall independently review surveillance reports for evidence of adequate audit performance and reporting and to review whether the original certification decision needs to be reconsidered. This review need not repeat the original decision process. The review should be conducted at least annually for each certification.

G.3.6.7 Reassessments of certified disability employment services shall be undertaken at intervals not exceeding three years.

G.3.6.8 The purpose of a reassessment program is to verify overall continuing effectiveness of the disability employment service's management system in its entirety. The reassessment shall provide for a review of past performance of the system over the period of certification. The reassessment program shall take into consideration the results of the above review and shall at least ensure:

- a) the effective interaction between all elements of the management system;
- b) the overall effectiveness of the system in its entirety in the light of changes in operations;
- c) demonstrated commitment to maintain the effectiveness of the system;
- d) consultation with consumers.

### **3.7 Use of certificates and logos**

**3.7.1 The certification body shall exercise proper control over ownership, use and display of its certification mark and logos.**

**3.7.2 If the certification body confers the right to use a symbol or logo to indicate certification of a disability employment service, the disability employment service may use the specified symbol or logo only as authorised in writing by the certification body. This symbol or logo shall not be used on a product, or in a way that may be interpreted as denoting product conformity.**

**3.7.3 The certification body shall take suitable action to deal with incorrect references to the certification system or misleading use of certificates and logos found in advertisements, brochures, etc.**

**NOTE 4. Such action could include corrective action, withdrawal of certificate, publication of the transgression and, if necessary, other legal action.**

#### JAS-ANZ guidance

G.3.7.1 The certification body should have documented procedures for the use of its marks, and procedures it is to follow in case of misuse, including false claims as to certification and false use of certification body marks.

G.3.7.2 If a certification body incorrectly claims accredited status for certificates issued without prior authorisation of JAS-ANZ, JAS-ANZ may require it subsequently to withdraw them.

G.3.7.3 The provisions in Clause 3.7.1 referring to “certification mark and logos” and that in Clause 3.7.2 referring to a “symbol or logo” are both applicable to marks, logos and symbols.

G.3.7.4 A certification body shall have procedures to ensure that certified disability employment services do not allow its marks to be used in a way which may be likely to confuse consumers.

G.3.7.5 The marks, symbols or logos referred to at Clause 3.7.2 may only be used on stationery or in advertising material. They shall not be used on packaging of products produced by a disability employment service.

### **3.8 Access to records of communications with external interested parties**

**3.8.1 The certification body shall require each certified disability employment service to make available to the certification body, when requested, the records of all communications and action taken in relation to the requirements of the Disability Services Standards or other normative documents. This includes correspondence, recommendations and actions documented by the CRRS or the Department relating to complaints about the disability employment service.**

#### IAS-ANZ guidance

G.3.8.1 Clause 3.8 deals only with communications (including complaints) received by the disability employment service, not by the certification body.

G.3.8.2 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 service to implement recommendations made by the CRRS;
- b) serious allegations of abuse and neglect within a service, 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);
- c) serious allegations related to financial mismanagement or fraud;
- d) other matters that may become subject to external investigation (for example, by the police).

G.3.8.3 The Department will notify disability employment services when it refers matters to the certification body for attention.

## ANNEX 1 - AUDIT DURATION

1. Table 1 provides guidance on the amount of time required by the certification body for assessing single-site disability employment services of various sizes. It indicates the number of auditor-days to be spent on-site by the certification body at each disability employment service for initial assessment, annual surveillance and reassessment.
2. It is clearly understood that some disability employment services of a particular size will need more time. In exceptional cases (such as existing ISO 9001 certification), audit time could be reduced below the minimums in the table. Where less time than that proposed below is used then the justification shall be documented on each occasion.
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 assessment. The time allocated shall be based on such factors as:
  - a) the size of the disability employment service;
  - b) the type of service (supported or open). A supported employment service with consumers working together on-site provides a more definitive area for assessment, whereas consumers from an open employment service 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.
4. In Table 1 the auditor days shown in the "On-site minimum" columns apply to a disability employment service 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. Where two or more team members work together (eg. auditor plus CTE interviewing the same person), that time shall be counted as if a single auditor was involved. See also Clause G.2.2.20 which requires CTEs and other technical experts to be supervised by an auditor/lead auditor.
5. 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 service 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.

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Table 1

Number of consumers	Initial assessment: on-site minimum auditor days	Annual surveillance: on-site minimum auditor days	Reassessment: on-site minimum auditor days
Less than 30	2	1	2
31-100	3	2	3
101-300	4	3	4
Over 300	5	4	5

## **ANNEX 2 - MULTI-SITE CERTIFICATION**

### **1. Introduction**

1.1 The aim of this Annex is to establish criteria for the assessment and, if appropriate, the certification of disability employment services with a network of sites, thus ensuring that the assessment provides adequate confidence in the conformity of the disability employment service, while being practical and economically feasible.

### **2. Definitions**

2.1 A multi-site disability employment service 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.

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.

2.3 Examples of possible multi-site disability employment services include:

- a) services with multiple sites performing different business functions (eg. open and supported employment services, services providing targeted support);
- b) services with multiple sites all performing similar business functions at different physical sites;
- c) services 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.

### **3. Eligibility criteria for the disability employment service**

3.1 The services provided by all the sites have to be substantially of the same kind and have to be produced fundamentally according to the same methods and procedures.

3.2 The disability employment service'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 service's internal audit program and shall have been audited in accordance with that program before the certification body starts its assessment.

3.3 It shall be demonstrated that the central office of the disability employment service has established a management system which complies with the Disability Services Standards and that the whole disability employment service meets the requirements of those standards.

3.4 The disability employment service 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 organisational 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 result.

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

4.1 The certification body shall provide information to the disability employment service about the criteria in this Annex before starting the assessment process, and shall not proceed with it if any of the criteria are not met. Before starting the assessment process, it shall inform the disability employment service that the certificate will not be issued if during the assessment nonconformities in relation to these criteria are found.

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.

4.3 The certification body shall check, in each case, to what extent sites of a disability employment service 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.

4.4 If all the sites of a disability employment service where the activity subject to certification is performed are not ready to be submitted for certification at the same time, the disability employment service shall be required to inform the certification body in advance of the sites that it wants to include on the certificate.

**5. Assessment**

5.1 The certification body shall have documented procedures to deal with assessments under its multi-site procedure. Such procedures shall establish the way the certification body satisfies itself that all the criteria in Clause 3 above are met.

5.2 If more than one audit team is involved in the assessment or surveillance of the network, the certification body should designate a unique audit leader whose responsibility is to consolidate the findings from all the audit teams and to produce a synthesis report.

**6. Dealing with nonconformities**

6.1 When nonconformities are found at a site, either through the disability employment service's internal auditing or from auditing by the certification body, investigation should take place to determine whether other sites may be affected. The certification body shall require the disability employment service to review the 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 service shall be able to demonstrate to the certification body the justification for limiting its follow-up action.

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.

6.3 At the time of the decision-making process, if any site has a nonconformity, certification shall be denied to the whole network pending satisfactory corrective action.

6.4 It shall not be admissible that, in order to overcome the obstacle raised by the existence of a nonconformity at a single site, the disability employment service seeks to exclude from the scope the "problematic" site during the certification process.

**7. Certification**

7.1 One certificate shall be issued with the name and address of the central office of the disability employment service. 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 service, its applicability to all the sites shall be clearly stated on the certificate and any annex.

7.2 A sub-certificate may be issued to the disability employment service 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.

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.

7.4 The list of sites shall be kept updated by the certification body. Hence the certification body shall require the disability employment service 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.

7.5 Additional sites can be added to an existing certificate as the result of surveillance or reassessment activities.

## **8. Sampling methodology**

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, without excluding the random element of sampling. Where possible, at least 25% of the sample should be selected at random.

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.

8.3 The site selection criteria may include:

- a) results of internal audits or previous assessments 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 assessment;
- g) geographical location and dispersion.

8.4 This selection does not have to be done at the start of the assessment process. It can also be done once the assessment 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.

8.5 The central office shall be visited during every audit.

## **9. Size of sample**

9.1 The certification body shall have a procedure for determining the sample to be taken when auditing sites as part of the assessment and certification of a multi-site disability employment service. This should take into account all the factors described in this Annex.

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9.2 The minimum number of sites to be visited per audit is:

Initial audit and reassessment: the size of the sample shall not be less than the square root of the number of remote 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 remote sites with 0.6 as a coefficient ( $y = 0.6 \sqrt{x}$ ), rounded to the upper whole number.

9.3 In all cases, the central office shall be visited in addition to the number of sites sampled.

9.4 The size of the sample shall be increased where the certification body's analysis of the disability employment service indicates special circumstances such as any of the site selection criteria at Clause 8 of this Annex.

9.5 When the disability employment service 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.

Example:

1 head office: visited at each audit (initial/surveillance/reassessment)

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.

9.6 A multi-site disability employment service may offer different forms of employment, or separately service groups of consumers with similar disabilities within its network of sites. Examples:

- a) sites offering open employment;
- b) other sites offering supported employment where the type of work offered is similar across all sites;
- c) sites offering supported employment where the work offered varies substantially between sites;
- d) sites offering targeted support;
- e) any of the above offered to separate groups of consumers with specific disability types.

9.7 These examples 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 service 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.

## **10. Audit duration**

10.1 The certification body must be able to justify the time spent on multi-site assessment in terms of its procedures for calculating audit duration. Normally the number of auditor-days per site should be consistent with the number shown in the "on site minimum" columns in the table in Annex 1. Reductions can be applied to take into account the location of information, evidence or interviewees needed to test compliance with the Disability Services Standards. The sizes of the sites and the complexity of the activities undertaken are other factors that may be taken into consideration.

10.2 The total audit time spent (i.e. the sum of the time spent at each site plus the central office) shall never be less than that which would have been calculated for the size and complexity of the operation if all the work had been undertaken at a single site (i.e. with all the employees of the disability employment service at the same site). In most cases it will be considerably more.

**11. Additional sites**

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. After including the new group on the certificate, the new sites should be added to the previous ones to determine the sample size for future surveillance or reassessment audits. The rules for sampling a hierarchy or separate populations of sites will apply if the new group of sites is not homogenous.

## **ANNEX 3 - AUDIT PLANNING AND CONSUMER SAMPLING**

### **1. Sampling principles**

1.1 The certification body shall observe the following principles when sampling consumers for an audit of a disability employment service:

- 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 service, when selecting consumers for sampling ('stratified sampling'). It shall therefore collect sufficient information from the disability employment service as part of the audit planning process to allow it to adequately sample consumers. Some of the demographics to consider are:
  - 1) disability type;
  - 2) gender;
  - 3) age;
  - 4) home or living situation (eg. group home; with parents; in community);
  - 5) cultural, religious or language differences;
  - 6) working or not working;
  - 7) length of tenure with service (includes those exited);
- 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:
  - 1) staff;
  - 2) other workers in open employment;
  - 3) employers;
- d) the certification body should try to ensure that:
  - 1) all consumers serviced by the disability employment service are notified of the intent to conduct an audit;
  - 2) the same consumers are not continually sampled;
- e) participation by service users in the audit is at all times voluntary and must be based on the principle of informed consent;
- f) the sampling approach does not preclude service users talking to any of the audit team members if they choose to during the conduct of the audit.

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

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

2.2 One way of collecting information for sampling consumers is to ask the disability employment service 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 service should be discouraged from linking consumer names to demographic details when providing information to certification bodies to plan an audit.

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

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 service (or per site, for a multi-site disability employment service) is:

Initial audit and reassessment: 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.

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 variety of other methods 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.

3.3 The sample of consumers will normally include exited consumers as per Clause 1.1 b) 7) of this Annex.

3.4 A single site of a disability employment service may offer different forms of employment, or separately service groups of consumers with similar disabilities from that single site - see equivalent examples at Annex 2, Clause 9.6. The emphasis here is on separate servicing of groups of consumers, not individual consumers, such that the disability service'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.

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

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 service'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.

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.

4.3 In any case, the number of files available for review shall not be less than 5 per disability employment service (or per site, for a multi-site service); otherwise the validity of the audit could be compromised.

4.4 All file access must comply with the provisions of the Privacy Act.

4.5 Consumer files may be de-identified to allow sampling, if the need arises.

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

5.1 Certification bodies shall be prepared to justify the sampling of consumers for an audit. Any reduction in the sample size must 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.

5.2 While Clause 3.2.2 requires an audit plan to be prepared, sampling strategies must also be sufficiently documented for each audit of a disability employment service so as to be able to trace compliance with all the requirements of this Annex. This information may be included on, or attached to the audit plan, or may be separately recorded.

**6. Audit planning time**

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 service 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 that all the requirements of this Annex are complied with for each audit of a disability employment service.

**7. Planning for audit reporting**

7.1 Government funding will be contingent on disability employment services 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 service.

7.2 The certification body shall fully explain its audit findings to the satisfaction of the disability employment service at the audit closing meeting and in the written report.

7.3 Audits must therefore be planned to allow sufficient time and resources for these activities; for example, to report compliance against each key performance indicator, and to fully comply with the reporting requirements at Clause 3.4 and associated guidance Clauses. Positive reporting is expected. In particular, 'tick-box' or largely proforma written reports will not be acceptable.

## **ANNEX 4 - CODE OF ETHICS**

1. In delivering certification services, certification bodies shall consider the ethical and professional issues below.
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.
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.
4. The certification body promotes available complaints mechanisms to disability employment services and participating consumers.
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 support to assist with having their say.
6. The certification body shall ensure that the disability employment service has invited consumers to both the opening and closing meetings of all audits.

## **ANNEX 5 - TRANSFER OF ACCREDITED CERTIFICATION**

### **1. Introduction**

1.1 This Annex provides guidance on the transfer of Disability Services Standards certificates between certification bodies. It should be read in conjunction with Clauses G.2.1.1, G.3.5.7 and 3.8.

1.2 The objective of this guidance is to ensure that the integrity of accredited Disability Services Standards certificates issued by one certification body is maintained if subsequently transferred to another certification body.

1.3 These are minimum requirements for transferring certification. Certification bodies may implement more stringent procedures or actions provided that a disability employment service's freedom to choose a certification body is not unduly or unfairly constrained.

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.

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

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.

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 service'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 nonconformities should be verified with the issuing certification body where it has not ceased trading;
- d) consideration of the original copies of the last assessment or reassessment report, subsequent surveillance reports and any outstanding 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 3.4 of this Annex.

### **3. Certification**

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.

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3.2 Certificates which are known to have been suspended or to be under threat of suspension should not be accepted for transfer.

3.3 Outstanding nonconformities should be closed out, if practical, with the issuing certification body, before transfer. Otherwise the accepting certification body shall close them out.

3.4 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 reassessment unless, as a result of the review, the accepting certification body has performed an initial audit or reassessment.

3.5 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 service as a new applicant; or
- b) conduct a conversion assessment 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 service.