

BSI Recognition Booklet Addendum

Disability Employment and Enterprise Services (DEES) Scheme

This recognition booklet is designed to assist you on the requirements for certification to the DEES scheme.

1. Audit Cycle & Certification

1.1 Initial Audit (Stage 1 Audit)

In order to gain certification to the DEES scheme your organisation is required to have an initial audit followed by a certification audit. An initial audit determines your readiness for certification.

The initial audit will be carried out by a qualified assessor and a Consumer Technical Expert (CTE) remotely. This means that the audit does not take place at your site. All sites that are covered under the scope of certification must be assessed at this stage.

A report with the findings will be provided to your organisation.

The findings from the initial audit must be addressed prior to the certification audit.

1.2 Certification Audit (Stage 2 Audit)

The certification audit must be conducted within four (4) months of the initial audit. If the certification audit is not conducted within this time the initial audit may need to be repeated.

Following the certification audit a recommendation for certification is made by the auditor and CTE. The audit report is reviewed by a qualified, independent report reviewer and CTE.

It will take a minimum of 30days following the audit for the certificate to be issued. The certificate is issued electronically.

1.3 Surveillance Audits

Surveillance audits are conducted on an annual basis from the certification date.

The first surveillance audit needs to be carried out within 12months of date of the last day of the previous certification or re-certification audit.

The second surveillance audit needs to be carried out within 12months of the last day of the first surveillance audit.

Surveillance audits will cover the DSS 2, 7, 8, 9 and 12 and other selected DSS to ensure that all standards are covered in the certification cycle. BSI will record the justification for the standards chosen in the audit report.

An out of cycle audit can be conducted by BSI at any time if requested by the FaHSCIA.

1.4 Re-certification Audits

The re-certification audit must take place three (3) months prior to the expiry date. Extensions on the re-certification dates are not permitted.

A Consumer Technical Expert (CTE) is required to be part of the audit team. The assessment team is required to have at least two persons on the audit team.

2. Reporting

A BSI E report provided following each audit undertaken within your organisation. The audit report will include the following information;

- An executive summary of the overall findings (conclusions) on the effectiveness of your system in meeting the requirements of the standard.
- The service types within the disability employment/enterprise service
- Ratings of the conformity against each indicator and each standard according to the rating scale
- The number and roles of stakeholders consulted with during each audit at each site, including the methods of interviews/consultations
- Sufficient description of audit trails and evidence to support the ratings of indicators
- Suggestions for continual improvement
- Positive finding areas

Non-conformances will be discussed with your team during the assessment and outlined at the exit meeting.

The E Report will be provided to your organisation within 10 working days of the last day of the audit. BSI will update the report with any amendments within 5 working days. This report is also provided to FaHCSIA by BSI.

If you are unclear regarding the meaning of anything in your report, please contact your BSI Client Manager.

It is your organisation's responsibility to respond to the non-conformances detailed in your audit report by the designated time frame (refer to section 3 below). Failure to do so may result in suspension or cancellation of your certification.

3. Non-Conformances

A list and description of non-conformities are detailed in DEES audit report. These ratings are in accordance with those outlined in the Standard.

Major non-conformances can be raised as a single major non-conformance against any indicator but a major non-conformance will also be raised if there are three or more non-conforming indicators in the same standard or three or more non-conforming standards.

Should a major non-conformance be raised the frequency of audits may be increased to ensure that the issue has been resolved. Changes in audit frequency will be communicated with your organisation as required.

Your organisation is required to provide a response to the report within 5 working days of receiving the audit report. This response should include a corrective action plan.

All non-conformances must be closed out before certification is granted or expiry of certification. For a certified organisation, the non-conformance shall be closed out within 6 months. Failure to close out a non-conformance within six (6) months will escalate to a major non-conformance with the organisation's corrective action process.

The assessor will conduct a desk top review of the implemented corrective action. Major non-conformances will require an on-site closeout visit or re-audit within 3 months. Failure to close out a major non-conformance or downgrade to a minor non-conformance will result in automatic suspension of certification. Once a major non-conformance is downgraded this non-conformance must be closed out within further three (3) months. This means you're your organisation has a maximum of 6 months to fully action a major non-conformance.

4. Certificates & Use of the Logo

The reassessment cycle for this program is 3 yearly.

You are entitled to use the appropriate BSI 'kite mark' and the JAS-ANZ logo whilst you maintain certification to this program with BSI Group. For a copy of the logo, visit our website at bsigroup.com/en-au

Use of the logo is subject to Condition and rules of its application.

5. Accreditation Status

Certification to this standard is accredited to ISO17065:2012

BSI holds accreditation for this local standard with JAS-ANZ.

6. Standard Owner Information

The Department of Families, Housing, Community Services and Indigenous Affairs (FaHCSIA), Department of Education, Employment and Workplace Relations (DEEWR) are the Standard Owners. As such, all reports and non-conformities are reported to The Department as required by the scheme requirements.

7. Confidentiality

BSI will clearly explain the levels of confidentiality during the assessment. This will include how confidentiality is applied to every participant in the audit inclusive of (but not limited to) the organisation staff and management, families, carers and their advocates.

8. Additional Obligations

Your organisation must have a robust process for supporting the review of wage assessment tools. Every audit will include review of acceptability of the wage assessment practices of DEES.

Your organisation is required to keep a record of all known complaints relating to meeting the requirements of the DEES scheme. These records must be made available to the audit team and BSI when requested.

Your organisation is required to demonstrate that you have taken appropriate action to address these complaints and correct any deficiencies found. These actions must be documented.

Your organisation must ensure that consumers are offered information about the audit process and independent advocacy support to engage in the process prior to any consent being obtained.

Participation by consumers in audits is at all times voluntary and be based on the principal of informed consent.

A copy of "The BSI Certification Mark Guidance of Use" and "Display a Globally Recognised Mark" documents will be sent to you at the time of certification. You are obligated to comply with these procedures at all times.

9. Complaints and Appeals

To raise a complaint or appeal against the service delivery or audit outcome please notify;

Stephanie Vincent
GM Compliance and Risk (ANZ)
Email: Stephanie.vincent@bsigroup.com
Phone: 02 8877 7100

10. Specific Program FAQ's*What is a scope of my certification?*

Your required scope is based on your Advocacy Model and service provider Funding Agreement.

What happens if my funding ceases?

If your funding ceases or the responsible body revokes its funding your organisation is required to inform JAS-ANZ and BSI within 10 working days of the funding revocation.

Your organisation can voluntarily suspend its certification while not in receipt of department funding.

What happens if we have no consumers?

If your organisation has no consumers using its services then the organisation can request voluntary suspension.

How long can I voluntarily suspend my certification?

Voluntary suspension is only permissible for six (6) months. Within this time your organisation is required to demonstrate full conformity with the DEES scheme requirements.

If the organisation is not able to demonstrate full compliance with the DEES scheme requirements then certification will be withdrawn.

What happens if there are changes to my sites, outlets, services or number of people using the services?

The organisation is required to advise BSI without delay. Some changes to these details may impact on your certification.

BSI will re-confirm these details when booking your next assessment. These details are used to determine the sites, audit duration and number of assessors required for the audit activity.

What happens if the organisation is not certified?

If your organisation has not been certified you will be formally notified in writing and the report will reflect the status of the audit. A copy of the report is still sent to the Department. Your organisation will not receive a certificate. Another certification audit will need to take place and all non-conformances closed before a certificate can be re-issued.

How do I upgrade from DSS to DEES?

An upgrade to the new scheme requires a re-certification to be carried out. This means that a certification audit needs to be carried out. After all the non-conformances have been addressed a new certificate will be issued to your organisation with the new scheme listed.

Who do I contact if I have a question about the scheme?

Please contact:

John Krnel
Section Manager – Government, Services and Health
Email: John.krnel@bsigroup.com
Phone: 02 8877 7100