



Certification Handbook for Advocacy Agencies under the National Disability Advocacy Program

BSI/AU/RB/NDAP/070715

Revision 2 (April 2015)

bsi.

...making excellence a habit.™

Contents

1 Transition Requirements for Existing Service Providers/Advocacy Agencies	3
2 Audit Cycle & Certification	3
2.1 Initial Inquiry	3
2.2 Application for Certification and Assessment	3
2.3 Client Contact	4
2.4 Gap Analysis (optional)	4
2.5 Initial Audit (Stage 1 Audit)	4
2.6 Certification Audit (Stage 2 Audit)	5
2.7 Surveillance Audits	5
2.8 Re-Assessment Audits	5
3 Reporting.....	6
4 Non-Conformities.....	6
4.1 Major Non-Conformances	6
4.2 Minor Non-Conformances	7
4.3 Observations	7
5 Certification Decision	7
6 Certificates	7
6.1 Scope of Certification	8
6.2 Refusal of Certification/Recognition	8
6.3 Suspension or Refusal of Certification	8
7 Use of Logos	9
8 Accreditation Status	9
9 Standard Owner Information	9
10 Confidentiality	9
11 Additional Process Requirements	9
12 Additional Obligations	10
13 Misleading Statements	10
14 Complaints and Appeals	11

This Certification Guidebook is designed to assist your organisation on the requirements for certification to the Disability Advocacy Standards (DAS) or National Standards for Disability Services (NSDS 2014). The focus of this document is to facilitate the delivery of DAS or NSDS certification across Australia.

1 Transition Requirements for Existing Advocacy Agencies

All new applicants are required to comply with the new National Standards for Disability Services (NSDS 2014).

All advocacy agencies certified to the NDAP scheme must commence transition to NSDS but can choose to continue to be audited to the DAS until 30 June 2015.

From 1 July 2015, advocacy agencies will be audited to the NSDS scheme. All DAS certifications will expire or be withdrawn by 1 July 2016.

2 Audit Cycle & Certification

The following section outlines the steps that apply during the BSI recognition process for new applicants for NSDS certification. BSI reserves the right to provide its clients and those that request quotations with marketing and technical information relating to standards, training and compliance services.

2.1 Initial Inquiry

BSI will respond to either verbal or written expressions of interest from new applicant organisations interested in NSDS certification. If your organisation is located near one of BSI's offices, an advisory visit may be arranged to discuss your recognition requirements and how BSI can help your organisation achieve them.

BSI will also, on request and receipt of a Request for Quotation, prepare a proposal tailoring our services to your organisation's needs.

2.2 Application for Certification and Assessment

Receipt of your organisation's Application form (or authorised acceptance of a valid BSI proposal), along with the accompanying payment of the non-refundable application fee (or invoicing instructions) together with this document forms the contract between your organisation and BSI.

Your requirements will be entered into our database and a Client Manager will be appointed to look after your certification or assessment requirements. The Client Manager will be your primary point of contact with BSI and is responsible for ensuring that our certification/assessment services are delivered to your organisation in the most effective manner possible.

2.3 Client Contact

As soon as practicable after receipt of your signed application/proposal, a BSI Client Manager (or nominated representative) will contact your organisation. The Client Manager will seek to establish a

working relationship between your organisation and BSI, and to confirm your recognition requirements in terms of the certification or assessment services, standards or codes of practice, locations, and activities and/or products to be included in the scope of certification.

The Client Manager (or nominated representative) will seek to gain an appreciation of the structure of your organisation and the activities being conducted. In particular the Client Manager will:

- Seek an appreciation of the nature and scope of the organisation's activities, structure and location(s), including any activities for which confirmation is being excluded; and
- Determine the status of system documentation and implementation including organisational policies, objectives and targets.

If you are working with a consultant it is often useful for that person to be party to the communication process.

2.4 Gap Analysis (optional)

A Gap Analysis approach often proves an invaluable tool in determining system implementation, particularly for new systems that are still in the early stages of development. This one-off assessment includes the identification of gaps against the requirement of the nominated Standard. At the conclusion of the Gap Analysis you will receive a report which highlights any gaps as well as options for next steps on your path to certification. The results of a Gap Analysis are not directly linked to any subsequent Certification Audits.

2.5 Initial Audit (Stage 1 Audit)

In order to gain certification to the NSDS, your organisation is required to have an initial audit followed by a certification audit. An initial audit determines your readiness for certification. BSI undertakes a review of your organisation's system documentation, including policy manuals, procedures and other relevant supporting documentation.

This step gives your organisation the opportunity to demonstrate that all documentation required by the relevant standard has been prepared, is controlled where necessary, and is monitored and updated as required.

The initial audit will be carried out by a qualified assessor and a Consumer Technical Expert (CTE). If the stage 1 audit is done on-site, the CTE shall be present for the duration of the visit. If you have multiple sites not all of the sites are required to be included in this audit.

At this stage, the auditor and CTE will be in communication with you to plan and prepare for the different methods of consumer participation in the audit and evaluating the need for independent support for consumers.

Your organisation will receive a written report which outlines the readiness for the Certification Audit. The findings from the initial audit must be satisfactorily addressed (closed out) prior to the certification audit.

2.6 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.

The certification audit will be carried out by a qualified assessor and a Consumer Technical Expert (CTE). The objectives of the Stage 2 audit are:

- To confirm that your organisation adheres to its own policies, procedures & objectives and practices the principals of continuous improvement and conform with all the requirements of the NSDS;
- To verify that appropriate procedures, controls and guidelines are in place, and roles and responsibilities are defined;
- To engage with consumers during the audit to collect, examine and analyse evidence with respect to the NSDS;
- To review consumer files, follow up issues with consumers, review audit findings, and determine audit ratings

Your organisation will be advised of any non-conformances arising from this assessment. All non-conformances are required to be closed out before certification can be recommended. The recommendation for certification is made by the auditor. The audit report is reviewed by an independent qualified report reviewer.

Your certificate will be issued electronically.

2.7 Surveillance Audits

Surveillance audits are carried out at 12 monthly intervals. Once certification is achieved, the date of the first surveillance audit shall not be more than 12 months from the date of the last day of the on site component of the certification or recertification audit. The second surveillance audit shall be conducted not more than 12 months after the last day of the first surveillance audit.

Surveillance audit will include NSDS 1, 3 and 6; and at least one other standard, chosen according to the results of the previous audit, complaints or significant change, with the BSI auditor justifying the choice in the audit report.

At times the Department may request an additional "out of cycle" assessment.

2.8 Re-Assessment Audits

The re-assessment cycle for this program is 3 yearly. Your reassessment audit must be conducted within 3 years of the initial certification or last recertification. If not completed and processed within the required time frame, your certification is no longer valid.

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

3 Reporting

At the conclusion of the audit, the audit team will prepare a written report on the audit findings and the audit team leader will present these findings to your organisation's senior management at the closing meeting.

The audit findings include a summary of the overall compliance of your system with the requirements and provided to your organisation following each audit. 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
- Ratings of conformity against each standard in accordance with the rating scale and an adequate description of the main evidence and audit trails used to support the ratings of standards
- Advocacy Models within your organisation
- Ratings of the non-conformances
- Suggestions for continual improvement
- Positive finding areas
- Times allocated for the activity, number and type of interviews conducted with consumers

Non-conformities will be discussed with your team during the auditor's visit and outlined at the exit meeting. Non-Conformities are categorised as Major, Minor and Observations.

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-conformities detailed in your audit report by the designated time frame. Failure to do so may result in suspension or cancellation of your certification.

4 Non-Conformities

All non-conformances must be closed out before certification is granted or expiry of certification. Specific audit findings are categorised as follows and are applicable during the certification and verification audit activities:

4.1 Major Non-Conformances

Major Non-conformances are audit findings that reveal that the integrity of the DAS/NSDS scheme has been compromised and must be rectified before certification is granted. Where the major non-conformity does not place a person accessing the scheme at risk of significant harm BSI is required to close out or downgrade out the non-conformance following an on-site visit within three (3) months. Evidence of the corrective action plan is required to be sent to BSI within five (5) days of the assessment.

If you are currently certified, failure to close out the major non-conformance within three (3) months of the date of issue, or take action sufficient to downgrade the major non-conformance to a minor non-conformance shall result in automatic suspension of certification. If the major non-conformance is downgraded to a minor, that non-conformance shall be closed out within a further three (3) months (maximum of six (6) months from the date of issue to fully action a major non-conformance).

4.2 Minor Non-Conformances

Minor Non-conformances are audit findings that reveal an isolated incident of non-compliance that has no direct impact on the integrity of the product. Agreed proposed corrective action plans (CAPs) (detailing correction, cause identification and long term fix) must be received within two (2) weeks of the nonconformity being identified.

Minor non-conformances are required to be closed out within six (6) months of the assessment. Failure to close this out within six months (6) of the date of issue will result in a major non-conformance being raised.

4.3 Observations

These are comments, which may include praise, opportunities for improvement, or comments that may be relevant for the next audit. Actions do not necessarily have to be taken for observations however; it is recommended that these have been considered as part of your continuous improvement process.

5 Certification Decision

After confirmation that any necessary corrective actions have been taken, which may involve a follow up visit by the BSI Assessor, the findings and recommendations made in the audit report are subject to an internal review process prior to certification being granted. A CTE is included in the certification decision-making process. However, the CTE is not solely responsible for the certification decision.

6 Certificates

A copy of the report will be forwarded to the Department.

Certification documentation within the BSI system identifies the inclusion of any women's refuge or residential service or out of home care unit. However, the physical certificate will not list these addresses.

When copies or elements of the certificate are used in tenders or offered to potential or existing customers, the certificate should be accompanied by the scope of certification document (if issued separately) as it is important for them to understand the scope of activities for which certification has been granted (see 'scope' below).

Incorrect use of the certificate can result in a customer being misled as to the extent of your organisation's certification. Clients are obliged to ensure that BSI has been formally notified of the latest address, ownership, changes to key management responsibilities, major management system changes and capability information so that the certificate maintains its currency. Failure to do so may compromise your organisation's certification status.

The Certificate will include the JAS-ANZ symbol.

All original certificates remain the property of BSI Group ANZ Pty Ltd and must be returned on request.

The reassessment cycle for this program is 3 yearly.

6.1 Scope of Certification

The scope of certification fully details the scope of your organisation's certification in terms of:

- Names and addresses of all locations covered by the certification;
- Achievement of certification to the relevant standard(s) or code(s) of practice;
- The capability statement (range of products, services, and activities) for each location covered by the certification; and
- Any specific exclusions from the scope of certification.

Clients are obliged to ensure that BSI has been formally briefed in a timely manner when any variations occur. Clients should not wait until the next scheduled assessment to notify BSI. Failure to do so may compromise the organisation's certification status.

6.2 Refusal of Certification/Recognition

In the event that your organisation is unable to comply with the requirements of the relevant standard, BSI may refuse to grant certification. The decision to refuse certification, and the grounds for that decision, will be communicated to your organisation in writing.

6.3 Suspension or Refusal of Certification

When an organisation's certification is suspended or refused, the organisation shall, for the period of suspension or refusal:

- Withdraw and cease to use any advertising or promotional material that promotes or advertises the fact that the organisation is certified;
- Ensure that all copies of certificates and scopes of certification are removed from areas of public display; and
- Cease to use the certification mark on stationery and other documents including media and packaging that are circulated to existing and potential clients, or in the public domain.

The organisation shall advise BSI in writing of action taken with respect to the requirements listed above;

- BSI shall advise the organisation in writing of the certification processes that will need to be completed to restore certification; and
- During the period of suspension the organisation shall continue to pay all fees levied by BSI

7 Use of Logos

You are entitled to use the appropriate BSI 'kitemark' and the JAS-ANZ logo whilst you maintain certification to this program with BSI. For a copy of the logo, visit our website at www.bsigroup.com. Use of the logo is subject to Condition and rules of its application.

Organisations that have been granted certification to the NSDS are entitled to use the JAS-ANZ Accreditation Symbol. The rules for the use of this mark are governed by JAS-ANZ. The JAS-ANZ Accreditation Symbol may be used in conjunction with BSI Accreditation marks.

Specifications and use of the JAS-ANZ Accreditation Symbol are described in the following hyperlink - <http://www.jas-anz.com.au/images/stories/Documents/Procedures/procedure03.pdf>

8 Accreditation Status

Certification to this standard is accredited to ISO17065:2012

The NDAP Scheme is JAS-ANZ accredited which is offered nationally. BSI is currently accredited to this scheme.

9 Standard Owner Information

The standard owner is the Australian Government Department of Social Services.

9.1 Notification to the Standard Owner

BSI is required to advise the Department immediately if there is evidence that your organisation has put a person accessing its services at risk of significant harm.

BSI may be requested to provide further details relating to non-conformances raised at DAS/NSDS audits.

10 Confidentiality

BSI will treat all information in accordance with the Privacy Amendment (Enhancing Privacy Protection) Act 2012. BSI will encourage sampling methods that maximise the confidentiality of participants.

11 Additional Process Requirements

Your organisation is required to keep a record of all known complaints relating to meeting the requirements of the DAS/NSDS. 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 through investigation and correct any deficiencies found. These actions must be documented.

All consumers have the right and opportunity to be involved and consulted at no substantive cost to themselves; they should have appropriate support to facilitate genuine participation.

Your organisation is required to inform your consumers about opportunities to participate in the audit, including opportunities for family, other support or guardians to participate.

Your organisation must ensure that consumers are offered information about the audit process and independent support to engage in the process prior to any consent being obtained. Your organisation must ensure that your consumers receive timely and accessible information about the audit process to allow for full and informed contribution.

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

If your organisation has multiple sites, you are required to demonstrate your ability to collect and analyse data from all sites as well as the central office including but not limited to documentation of policies, procedures and practices; complaints; evaluation of correction actions; self-assessment and evaluation and consumer engagement.

Your organisation is required to make all necessary arrangements to allow the evaluation and surveillance activities to take place. This includes but is not limited to; Equipment, Product, Locations, Personnel and Sub-contractors.

12 Additional Obligations

Following certification, there are a number of managerial responsibilities which your organisation will need to observe to maintain BSI's certification. These include:

- Continued compliance with the relevant standard(s) and scheme requirements at and the conditions of certification at all times;
- Compliance with the BSI Standard Commercial Terms and Conditions and obligations as specified in this document as well as other guidance documentation that may be specifically provided from time-to-time;
- Your organisation is required to implement appropriate changes as communicated by BSI in a time appropriate manner;
- Conduct of regular internal reviews of your system, with appropriate documentation of such reviews and of any subsequent corrective actions;
- Your organisation is required to advise BSI of any changes without delay to circumstances that may affect certification including significant changes in the structure (key responsibilities and management system), ownership and operations of your organisation to enable the impact of such changes on the certified ownership system to be evaluated;

Other examples of such changes include but are not limited to;

- Authorised Representative
- Business name (Legal entity) and Trading Name (where applicable), ABN
- Ownership
- Contact details
- Location, site addresses
- Business activity/ies, scope of certification (Products and Processes)
- System Management Number of employees, covering all shifts and sites
- Billing Details
- Notification to BSI of any litigation or serious events or matters that relate to the scope of your certification

Observers

From time to time BSI requires an Observer to be in attendance at an audit. This may be related to training of new staff and witness assessment of existing staff. It is a requirement of certification that your organisation allows these activities to occur.

Failure to allow this activity to occur may result in cancellation of your certification.

BSI will, at all times, ensure that the use of observers is kept to a minimum and your organisation will be advised prior to the assessment activity.

The Observer does not take an active part in an assessment.

13 Misleading Statements

Your organisation is not permitted to use its product certification in a manner that could bring the BSI into disrepute. This includes making misleading or unauthorized statements. If you are unsure if a statement could be misleading you are advised to contact BSI prior to making the statement. Statements include but are not limited to the use of the logo on non-certified product, advertising (including your website) and internal communication.

If your organisation is required to provide copies of their certification documents these must be reproduced in its entirety. Failure to do so may be misleading to the recipient as to the scope of certification.

14 Complaints and Appeals

Appeals against certification decisions and / or complaints against service delivery levels may be raised with your Client Manager. If you remain dissatisfied, contact the BSI General Manager Compliance and Risk in writing.

All complaints will be investigated and the originator of a complaint will be advised of the outcomes, as appropriate.

If your organisation's application for certification has been refused; or your certified organisation's certification has been suspended, withdrawn, or reduced in scope, you may appeal against the decision to a Review Committee constituted and operated as set out below:

BSI shall include a CTE in each appeal hearing.

The appellant shall, within 28 days of the disputed advice from BSI, lodge a notice of appeal with an affidavit as to the grounds of appeal with the BSI Group ANZ Pty Ltd's Managing Director in writing;

- The CEO or equivalent shall advise the BSI Group Regional APAC Executive within 14 days of receiving the appellant's notice;
- The Executive shall then establish a Review Committee upon payment of the fees set by the Executive for consideration of the appeal;
- The Review Committee shall consist of three persons considered as experts in the area of technology or business relevant to the appeal. The Review Committee shall be constituted as follows:
 - One person expert in the relevant area of technology or business appointed by the Board; and
 - Two persons selected by the appellant from a list of four persons nominated as eligible by the Board.
- The appellant shall represent himself and no legal representation will be allowed unless approved by the Review Committee; and
- The Review Committee will carry out investigations as are required, including assessment of information supplied by the appellant and, within a reasonable time, decide by majority vote whether or not to reverse the original decision. The Managing Director or equivalent shall give notification of the decision to the appellant within 14 days of the Review Committee decision.

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

Stephanie Vincent
GM Compliance and Risk (ANZ)
Email: Stephanie.vincent@bsigroup.com
Phone: 1300 730 134

For other questions on this scheme, please contact:

John Krnel
GM Sales & Marketing
Email: John.krnel@bsigroup.com
Phone: 02 8877 7100