



National Employment Services Association (NESA) Scheme Certification Guidebook

Revision 2 (October 2015)

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This Certification Guidebook is designed to assist you on the requirements for certification to the NESAS scheme. The Employment Services Industry Standard (ESIS) applicable to this scheme.

1. Audit Cycle & Certification

1.1 Initial Audit (Stage 1 Audit)

In order to gain certification to the NESAS scheme your organization 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. BSI may conduct the stage 1 audit remotely which 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 organization.

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. The audit report is reviewed by a qualified and independent report reviewer.

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

1.3 Surveillance Audits

BSI will conduct two 12 month surveillance audits to ensure that your organization continues to comply with the ESIS during the triennial audit cycle.

Annual continuing assessments visits (audit) will be conducted not less than 12 months and not more than 14 months from the date of the last day of the on-site component of the initial certification audit.

BSI will ensure that surveillance audits are planned together with any other surveillance activities required to maintain confidence that your organization continues to fulfil the certification requirements.

Continuing operational control, and in particular, monitoring of performance against contractual obligations will be included as part of the surveillance audits.

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.

2. Reporting

A BSI E report is provided following each audit undertaken within your organization. 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
- A summary of major and minor nonconformities, opportunities for improvement identified; comments on the actions taken to address previous audit findings if applicable
- A description of the process of job seeker engagement including the number and methods of consultation with job seekers
- Decisions and rationale related to sampling
- Ratings of conformity against each KPI and each standard, in accordance with the rating scale
- Suggestions for continual improvement
- Positive and negative observations

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 organization within 20 working days of the completion of the on-site component of the audit. BSI will update the report with any amendments within 10 working days. The final report is also provided to NESAs by BSI.

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

It is your organization'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 audit report. These ratings are in accordance with those outlined in the Standard.

Major non-conformances can be raised if the requirements of a standard, or an element associated with a standard such as a KPI or indicator, are not met, or the outcome is ineffective. A number of related nonconformities may also constitute a major nonconformity.

Should a major non-conformance be raised, your organization is required to provide evidence of a corrective action plan to BSI within five (5) working days of the date of issue of the major non-conformance.

The assessor will conduct a desk top review of the implemented corrective action. Close out of Major Non-Conformances will typically require an on-site follow-up visit within three (3) months.

All non-conformances must be closed out before certification is granted or expiry of certification.

Once you achieve certification, failure to close out the major nonconformity within (3) three months of the date of issue, or take action sufficient to downgrade the major non-conformance to a non-conformity, shall result in automatic suspension of certification. BSI will notify NESAs accordingly of this.

For a certified organization, if the major nonconformity is downgraded to a non-conformance, that non-conformance shall be closed out within a further three (3) months. Failure to close out a non-conformity within six months of the date of issue will result in a major nonconformity being raised with your organization's corrective action process, BSI will notify NESAs accordingly.

This means your organization 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 'kitemark' 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.

5. Accreditation Status

Certification to this standard is accredited to ISO17065:2012

This is a JAS-ANZ accredited scheme which is offered nationally. BSI is not currently accredited to this scheme.

6. Standard Owner Information

The National Employment Services Association (NESA) is the Standard Owner. As such, all reports and non-conformities are reported to NESA as required by the scheme requirements.

7. Confidentiality

BSI will clearly explain levels of confidentiality and how they are applied to every participant in the audit.

BSI treats all confidential information about an employment services provider comprising documentation, records, data either in hard copy or electronic format, or verbal information that comes into the possession of BSI or any of its representatives in accordance with the Privacy Act and any relevant state or territory legislation.

BSI will not disclose information about a job seeker that is identifiable directly or indirectly to that job seeker without the written consent of that person, unless required by law. Where written consent is unobtainable or impracticable, the job seeker shall be supported by a family member, carer, guardian or advocate empowered to make an informed decision about consent.

BSI will not use information about a job seeker for any purpose other than the assessment of conformity with the standards. Where BSI wishes to disclose information about a client to its responsible body, BSI will first seek the client's permission in writing. If permission is denied it may only disclose this information if in accordance with any applicable legislation.

8. Additional Obligations

Your organization 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.

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

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

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

If your organization currently already holds a JAS-ANZ-accredited certification to another set of standards, BSI will consider the extent of the demonstrated conformance for any common or significantly similar criteria and rely on this to avoid audit duplication.

Your organization must comply with BSI and NESAs scheme requirements when referencing your certification in communication media such as documents, brochures or advertising.

9. Complaints and Appeals

BSI takes complaints relating to our service delivery seriously and all complaints will be investigated and the originator of a complaint will be advised of the outcomes, as appropriate.

BSI will also investigate legitimate documented complaints, relevant to operation of the system, from customers of your organization. Organizations shall, at all reasonable times, provide representatives of BSI with access to its premises and records for the purposes of investigating such complaints.

If your organization's application for certification has been refused, or your organization's certificate has been suspended, cancelled, or reduced in scope, you may appeal against the decision to a Review Committee.

Should you wish to appeal the certification decision your organization is required, within 28 days of the disputed advice from BSI, lodge a notice of appeal with your Client Manager in writing to initiate this process.

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

1. What is a scope of my certification?

Your required scope is based on the service agreement/s or other contract between BSI and your organization.

2. What happens if my funding ceases?

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

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

3. How long can I voluntarily suspend my certification?

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

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

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

The organization 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.

5. What happens if the organization is not certified?

If your organization has not been certified you will be formally notified in writing and the report will reflect the status of the audit. Your organization 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. A copy of the report is still sent to NESAs.

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

Please contact:

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