HUMAN SERVICES SCHEME PART 3

ADDITIONAL REQUIREMENTS FOR BODIES CERTIFYING DISABILITY EMPLOYMENT SERVICES AND SUPPORTED EMPLOYMENT SERVICES

DES/SES Scheme

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Authority to Issue

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Introduction

0.1 Foreword
The HS Scheme (Part 1), including the Annexes, and this DES/SES Scheme (HS Scheme, Part 3) together set down the requirements for bodies seeking JAS-ANZ accreditation to audit disability employment and supported employment services, and certify that they meet the National Standards for Disability Services (2014) (NSDS) set down by the Australian Government. The disability employment and supported employment services referred to in DES/SES Scheme are those that receive funding under the Commonwealth Disability Services Act 1986 for programs administered by the Department of Social Services (DSS). In addition, employment services for people with disability now incorporate any organisations offering employment services under the National Disability Insurance Scheme Act 2013.

If there is a conflict between HS Scheme (Part 1) and DES/SES Scheme (Part 3), the requirements in the DES/SES Scheme (Part 3) take precedence.

HS Scheme (Part 1) clause numbers in brackets below e.g. (P1_3.1) are references to related clauses in HS Scheme (Part 1) and must be read with those requirements. Otherwise, no bracketed reference means that there is no related clause in HS Scheme (Part 1).

0.2 National Disability Insurance Scheme (NDIS) Transition policy
This scheme takes immediate effect from the date of publication.

0.2.1 Existing service providers transitioning to the NDIS
Supported employment is transitioning to the NDIS. Commonwealth and State jurisdictions have agreed to maintain current quality and safeguarding arrangements until the new arrangements for NDIS provision are in place.

For supported employment services, the sampling methodology should apply to all outlets and sites. All supported employees, including those with NDIS plans, must be included in consumer sampling as per Annex C.

0.2.2 New Service providers in NDIS sites
Until new quality and safeguarding arrangements are in place for the NDIS, on application for NDIA registration, new providers shall demonstrate evidence of a contract with a certification body for provision of certification to the NSDS. Provider registration shall be revoked if the provider cannot provide evidence of a certificate of conformity within twelve months of their registration date. Certification bodies must notify the Department within 10 working days about:

- A new service provider achieving certification in a NDIS site
- Any service provider in a NDIS site with a notifiable issue
- Any service provider in a NDIS site which has its certification suspended or cancelled for any reason
- Any service provider in a NDIS site which formally disagrees with its CB’s audit findings.
# Scope

**No additional requirements.**

# Normative references

Disability Services Act 1986 – Principles and Objectives for the purposes of section 5

National Standards for Disability Services 2014

# Terms and definitions

<table>
<thead>
<tr>
<th>P3_3.1</th>
<th>The following definitions also apply to DES/SES Scheme (Part 3):</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Audit team</strong></td>
<td>has the same meaning as ‘audit team’ at clause P1_3.1, except that the team must include a CTE. The CTE may also perform the role of audit team leader (or auditor) if appropriately qualified.</td>
</tr>
<tr>
<td><strong>Consumer</strong></td>
<td>primarily, a person with disability who is receiving / has received support from the service provider being audited. Consumer may also mean family member/s or an unpaid primary carer or advocate of that person with disability. Some service providers may use the terms “client”, “participant”, “service user” etc. in lieu of “consumer”.</td>
</tr>
<tr>
<td><strong>Consumer technical expert (CTE)</strong></td>
<td>a person with disability, engaged for his/her specialist knowledge and abilities; e.g. empathy with the life experience of people with disability, and ability to plan and facilitate the effective input of people with disability in an audit process.</td>
</tr>
<tr>
<td><strong>Department</strong></td>
<td>the responsible body applicable to DES/SES Scheme (Part 3); specifically, the Australian Government Department of Social Services, including where acting as administrator of the national quality strategy for disability employment and rehabilitation services on behalf of the Australian Government.</td>
</tr>
<tr>
<td><strong>FOFMS</strong></td>
<td>DSS Online Funding Management System. An online system to manage funding and audit information for programs and initiatives.</td>
</tr>
<tr>
<td><strong>NSDS</strong></td>
<td>the National Standards for Disability Services (2014), are the applicable standards to the DES/SES Scheme. They are guided by the relevant Indicators of Practice. These standards have been allowed for via the Disability Services Act (National Standards for Disability Services) Determination 2014, Disability Services Act 1986.</td>
</tr>
<tr>
<td><strong>Outcomes</strong></td>
<td>outcomes for the purposes of this scheme are those identified through the NSDS which define the elements of quality support which should be achieved for people with disability receiving employment support.</td>
</tr>
</tbody>
</table>
Rating scale

the system used to rate conformity of a disability employment/support service. NSDS indicators of practice are provided as descriptive guidance to the standards.

The NSDS standards are to be rated as follows:

a. major nonconformity rating = 0
b. nonconformity rating = 1
c. conformity rating = 2

Service provider

has the same meaning as “client” at clause P1_3.1; the following service types are applicable to the DES/SES Scheme:

Australian Disability Enterprises (ADE): organisations providing supported employment opportunities for persons with disability to engage in a wide variety of work tasks, and with similar working conditions as other employers.

Note: An ADE is a form of ‘Supported employment service’ (SES).

Disability Management Services (DMS): services for job seekers with disability, injury or health conditions who require the assistance of a disability employment/enterprise service but are not expected to need long-term support in the workplace.

Employment Support Service (ESS): a service for job seekers with permanent disability, and with an assessed need for more long-term, regular support in the workplace.

Note: DMS and ESS are both forms of a ‘Disability Employment Service’ (DES). In turn, DES is also a form of ‘open employment’.

4 General requirements

4.5 Confidentiality

P3_4.5.1 The CB shall clearly explain levels of confidentiality and how they are applied to every participant in the audit, including but not limited to:

a) service provider (organisational) staff and management
b) families
c) carers and
d) advocates.

5 Structural requirements

5.2 Mechanism for safeguarding impartiality

P3_5.2.1 The impartial committee shall include a consumer. This person may be deemed to effectively represent the human services sector.
6 Resource requirements

6.1 Certification body personnel

6.1.1 General

P3_6.1.1.1 The requirement also applies to CTEs.

P3_6.1.1.2 All audit team members shall undergo a national police check at least every two years.

P3_6.1.1.3 In deciding the size and composition of the audit team and the need (if any) for other technical experts (in addition to the CTE), the CB shall always consider the range of disabilities, culture, gender and consumer communication needs likely to be encountered during the audit.

P3_6.1.1.4 The CB shall provide appropriate training and support to assist the CTE to function effectively in the audit team. Such training may include auditor or audit team leader training where appropriate. A supervising auditor or audit team leader shall always provide ongoing supervision to maintain the necessary level of communication and support to the CTE and other technical expert(s). The CB shall evaluate the competence of the CTE and other technical expert(s) to interview consumers face-to-face or by telephone without other members of the audit team present before authorising them to do so. The CB shall keep records of this evaluation.

P3_6.1.1.5 The CB shall require the CTE to provide evidence of having been a service recipient of a State or Commonwealth funded or registered disability organisation in Australia. The CB shall retain this evidence.

7 Process requirements

7.4 Evaluation

P3_7.4.1 The CTE shall actively participate in the following audit activities with other team members and this involvement shall be traceable via reports or other documents on the CB’s files:

a) developing and agreeing the final audit plan and reviewing the stage 1 audit findings

b) planning and preparing for the different methods of consumer participation in the audit and evaluating the need for independent support for consumers

c) participating for the full duration of the stage 2 audit, including the opening meeting, audit team review meeting(s) and closing meeting. If the stage 1 audit is done on-site, the CTE shall be present for the duration of the visit

d) engaging consumers during the audit to collect, examine and analyse evidence with respect to the NSDS. This does not preclude other team members engaging consumers if they have the appropriate competencies

e) reviewing consumer files or following up issues with consumers

f) reviewing audit findings, determining audit ratings and preparing the written audit report.
An audit team shall consist of at least two persons, normally a lead auditor and a CTE. However, a CTE may also perform the role of lead auditor (or auditor) if appropriately qualified and competent to do so.

If a service provider formally disagrees with its CB’s audit findings, the CB shall notify the relevant department within 10 working days of learning of the disagreement, if it has not been resolved in that time.

The content of all reports shall include:

a) the service types within the service provider organisation

b) the number and roles of stakeholders consulted with during each audit at each site, and methods of consultation

c) ratings of conformity against each standard, in accordance with the rating scale

d) an adequate description of the main evidence and audit trails used to support the ratings of standards. Qualifying comments about indicators should reflect the varying language for different service types.

The CB shall provide the draft written report to the service provider within 10 working days of completing the on-site component of the audit (single site and/or outlet service provider) or 20 working days (multiple site and/or outlet service provider), even if the draft decision is not to certify.

The service provider shall have 10 working days from receiving the draft written report in which to provide a response to the CB.

The CB shall consider any response provided by the service provider, make the final certification decision and provide the final report to the service provider and the department within a further seven working days, even if the decision is not to certify.

The CB’s procedures shall ensure that in the instance of a major nonconformity:

a) close out shall normally require a follow-up visit by the CB. For a certified service provider, evidence of a corrective action plan shall be presented to the CB within 5 working days of the date of issue of the major nonconformity, and close out shall normally require a follow-up visit by the CB within three months

b) the CB shall be able to justify circumstances where close out of a major nonconformity, or downgrading the major nonconformity to a nonconformity did not require a follow-up visit

c) for a certified service provider, failure to close out the major nonconformity within three months of the date of issue, or take action sufficient to downgrade the major nonconformity to a nonconformity, shall result in automatic suspension of certification

d) for a certified service provider, if the major nonconformity is downgraded to a nonconformity, that nonconformity shall be closed out within a further three months (maximum of six months from the date of issue to fully action a major nonconformity).

The CB’s procedures shall ensure that in the instance of nonconformity:
a) the nonconformity (major or minor) is closed out before certification or re-certification

b) for a certified service provider, the nonconformity shall be closed out within six months of the date of issue

c) for a certified service provider, failure to close out a nonconformity within six months of the date of issue will result in a major nonconformity being raised.

d) a nonconformity which has been escalated to a major nonconformity shall lead to a suspension if not closed (i.e., it shall not be downgraded to a nonconformity again).

P3_7.4.10 An extension to certification may only be considered if a service provider needs to delay a recertification due to ‘Acts of God’ beyond their control (including flood, fire, earthquake, cyclone or other natural disasters), interruption of electricity or telephone service. An application for extension will be jointly considered by the department and JAS-ANZ on a case-by-case basis.

7.6 Certification decision
P3_7.6.1 The CB shall include an independent CTE in the certification decision-making process. The CTE shall not be solely responsible for the certification decision.

7.9 Surveillance
P3_7.9.1 Surveillance includes maintenance audits in the first and second years of a three-year certification cycle.

P3_7.9.2 Once certification is achieved, the date of the first maintenance 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 maintenance audit shall be conducted not more than 12 months after the last day of the first maintenance audit.

P3_7.9.3 Maintenance audits shall include:

a) NSDS 1, 3 and 6; and

b) at least one other standard, chosen according to the results of the previous audit, complaints or significant change, with the CB justifying the choice in the audit report

7.13 Complaints and appeals
P3_7.13.1 The CB shall also include a CTE in each appeal hearing.

8 Management system requirements

No additional requirements
Annex A – Audit Duration

P3_A.1 The time allocated shall also be based on the type of service provider (ADE, DMS, or ESS). A service with consumers working together on-site provides a more definitive area for audit, whereas consumers working in open employment are dispersed.

P3_A.2 Table 1 below provides minimum times for auditing single site and/or outlet services of various sizes. It indicates the number of auditor-days to be spent on-site by the CB at each service provider for the stage 2 initial audit, annual maintenance and recertification audit.

P3_A.3 It is clearly understood that some service providers may require more time than the audit times in Table 1. The times in Table 1 shall be read as true minimums and may only be reduced to a maximum reduction of 25% if the system is subject to parallel audits for ISO 9001 certification.

P3_A.4 Audit duration calculations (i.e. auditor days) shall be based on an 8 hour working day including 1 hour for lunch, and exclude all activities other than auditing. The times in Table 1 (and Tables 2 & 3 in Part 3, Annex B) are to be regarded as true minimums.

P3_A.5 In Table 1 the number of consumers is those consumers who were receiving a service at the time the sample was drawn. The sample shall be drawn no earlier than 3 months prior to the projected audit date.

P3_A.6 When, in exceptional circumstances, CTEs work alone (see clause P3_6.1.1.4), that time shall not be counted as contributing to the audit duration, **unless the CTE is also qualified as an auditor or audit team leader**.

P3_A.7 Where two or more auditors are used along with one CTE, the CB shall demonstrate that the CTE has adequate time to conduct the required amount of consumer interviews and meet the requirements of clause P3_7.4.1.

<table>
<thead>
<tr>
<th>Number of consumers</th>
<th>Initial audit (stage 2): on-site minimum auditor days</th>
<th>Annual maintenance: on-site minimum auditor days</th>
<th>Recertification (stage 2 if applicable): on-site minimum auditor days</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-20</td>
<td>1.5</td>
<td>0.75</td>
<td>1.5</td>
</tr>
<tr>
<td>21-50</td>
<td>2</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>51-100</td>
<td>3</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>101-300</td>
<td>4</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>Over 300</td>
<td>5</td>
<td>4</td>
<td>5</td>
</tr>
</tbody>
</table>
Annex B – Certification of service provider organisations with multiple sites and/or outlets

B.2 Application

P3_B.2.1 Examples of multiple site and/or outlet service providers include:

a) service providers with multiple sites and/or outlets performing different business functions

b) service providers with multiple sites and/or outlets all performing similar business functions at different physical sites and/or outlets

c) service providers with a single physical site and/or outlet performing different business functions (e.g. ADE, DMS and ESS). In this case, the CB shall sample each business function.

B.5 Sampling

B.5.1 Methodology

P3_B.5.1.1 The selection criteria should also include variations in the work procedures and the complexity of the activities undertaken.

P3_B.5.1.2 Where the service provider has both full-time and part-time sites and/or outlets, the weight of focus on each during the audit should generally be in proportion to the numbers of consumers serviced at each. See also P1_B.2.2 in relation to outreach sites.

B.5.2 Size of sample

P3_B.5.2.1 A multiple site and/or outlet service provider may comprise different types of services, or separately service groups of consumers with similar disabilities within its network of sites and/or outlets – see also examples at clause P3_C.1.7. Examples:

a) ADE sites and/or outlets

b) DMS sites and/or outlets

c) ESS sites and/or outlets

d) any of the above offered to separate groups of consumers with specific disability types.

P3_B.5.2.2 The CB shall treat the examples in clause P3_B.5.2.1 as separate populations of sites and/or outlets, and apply the sampling formula to each population.

B.5.3 Audit times

P3_B.5.3.1 Table 2 below provides the minimum audit durations for head offices, recognising that some head offices of multiple site and/or outlet service providers do not directly offer services to consumers. Table 3 should be used, if required, to separately determine the audit duration for co-located sites and/or outlets where employment services are provided to consumers.

P3_B.5.3.2 Table 3 provides minimum audit durations for each site and/or outlet of a multiple site and/or outlet service providers based on the number of consumers serviced by the site.
and/or outlet. This includes, if required, sites and/or outlet co-located with the head office where employment services are provided to consumers.

P3_B.5.3.3

The total audit duration is thus the total of the figures for all the individual sites and/or outlets and the head office, from all populations of consumers. For example, an organisation with a head office providing services to 20 consumers, and a second site where a further 20 consumers are serviced, would have an initial stage 2 audit of 2.5 auditor days on-site (head office – 1 day; Consumer population at head office – 0.75 days; Consumer population at second site – 0.75 days), not 1.75 auditor days on-site.

Part 3, Table 2 - Minimum audit duration for the head office of a multiple site and/or outlet service provider (excluding co-located sites and/or outlets where consumers are serviced)

<table>
<thead>
<tr>
<th>Number of consumers attached to head office</th>
<th>Initial audit (stage 2): on-site minimum auditor days</th>
<th>Annual maintenance: on-site minimum auditor days</th>
<th>Recertification (stage 2 if applicable): on-site minimum auditor days</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>1</td>
<td>0.5</td>
<td>1</td>
</tr>
</tbody>
</table>

Part 3, Table 3 - Minimum audit duration for each site and/or outlet of a multiple site and/or outlet service provider where consumers are serviced

<table>
<thead>
<tr>
<th>Number of consumers PER SITE AND/OR OUTLET</th>
<th>Initial audit (stage 2): on-site minimum auditor days PER SITE AND/OR OUTLET</th>
<th>Annual maintenance: on-site minimum auditor days PER SITE AND/OR OUTLET</th>
<th>Recertification (stage 2 if applicable): on-site minimum auditor days PER SITE AND/OR OUTLET</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-20</td>
<td>0.75</td>
<td>0.5</td>
<td>0.75</td>
</tr>
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<td>1</td>
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</tr>
<tr>
<td>101-300</td>
<td>2</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Over 300</td>
<td>2.5</td>
<td>1.5</td>
<td>2.5</td>
</tr>
</tbody>
</table>
Annex C – Audit planning and consumer sampling

C.1 Consumer sampling principles

P3_C.1.1 When sampling consumers, the CB shall also attempt to represent the following demographics:
   a) home or living situation (e.g. group home; with parents; in community)
   b) working or not working
   c) type of work (e.g. packaging as distinct from gardening or clean room work)
   d) cultural, religious or language differences

P3_C.1.2 Other stakeholders can include other workers in open employment and employers.

P3_C.1.3 Noting that consumers have the right not to be involved, the minimum number of consumers to be sampled for an audit of a single site and/or outlet service provider (or per site and/or outlet, for a multiple site and/or outlet service provider) is:
   a) initial and recertification audits: the square root of the number of consumers (y=√x), rounded to the upper whole number
   b) maintenance audit: 0.6 times the square root of the number of consumers (y=0.6√x), rounded to the upper whole number.

P3_C.1.4 The CB should aim to have one to one face to face contact with 50% of the proposed sample of consumers. Where remote interviews (e.g. telephone, video conference etc.) are necessary, CBs shall be mindful of the possibility of others accessing the conversations, and shall take steps to ensure confidentiality is maintained. If the 50% ratio cannot be achieved (e.g. refusals or clear preference by consumers for another consultation method), the CB shall clearly document its justification for the sampling approaches used. The remaining 50% may be sampled using a combination of other methods (in preference to a single method) including:
   a) focus group
   b) written survey
   c) casual or informal conversation based on a chance meeting, which may not require a consent (e.g. factory walk-around). Note: the CB should not rely on this method for more than 25% of the total sample
   d) other innovative ways to involve consumers.

P3_C.1.5 The CB should aim to interview two exited consumers and review 5 files of exited consumers (or all files, if there are less than 5), per disability employment / support service (or per site and/or outlet, if applicable).

P3_C.1.6 Where a service provider has made all reasonable attempts to promote consultation with and provide flexible options for participation by a consumer in open employment selected in the sample, the sample size may be reduced accordingly if the consumer does not wish to participate in the audit, to avoid additional burden being placed on the remaining consumers. The CB shall document such a reduction in the audit report.
P3.C.1.7 A service provider with only one physical site and/or outlet may comprise different types of disability employment / supported employment services, or separately service groups of consumers with similar disabilities from that single site and/or outlet - see also examples at clauses P3.B.2.1 c) and P3.B.5.2.1. The emphasis here is on separate servicing of groups of consumers, not individual consumers, such that the disability employment/enterprise service's procedures and policies vary according to the group. Where a single site and/or outlet exhibits such variability, separate populations of consumers shall be considered to exist within that one site and/or outlet, and the CB shall apply the consumer sampling formulas in this Annex to each population.

C.2 Consumer file sampling

P3.C.2.1 If consent is denied, file access will not be granted. Where a consumer is unable to provide consent and has no authorised representative to provide consent, or it is impracticable to obtain consent, the auditor must not access the file unless the service provider can grant access in accordance with applicable legislation.