



Australian Government
Department of Social Services



HUMAN SERVICES SCHEME PART 3

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

DES/SES Scheme

Issue 11, 21 September 2021 Authority to Issue

This scheme was jointly developed by JAS-ANZ and the Department of Social Services

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0 Introduction

The Human Services Scheme (Part 1), including the Annexes, and this DES/SES Scheme (Human Services Scheme, Part 3) together set down the requirements for bodies seeking JAS-ANZ accreditation to audit disability employment and supported employment services, and certify they meet the *National Standards for Disability Services (2014)* (NSDS) set down by the Australian Government. The NSDS are included at Schedule 1 of the *Disability Services Act (National Standards for Disability Services) Determination 2014* ([here](#)).

0.1 Application

The DES/SES Scheme applies to services that receive funding under the *Commonwealth Disability Services Act 1986* for programs administered by the Department of Social Services (DSS).

Following the *Disability Services (National Standards for Disability Services) Amendment (2021 Measures No. 1) Determination 2021* (the Amendments), this Scheme no longer applies to supported employment services that receive funding under both the *Disability Services Act 1986* and the *National Disability Insurance Scheme Act 2013*. Under the Amendments, these organisations are required to adhere to and be audited against the standards set out in Schedule 1 to the *National Disability Insurance Scheme (Provider Registration and Practice Standards) Rules 2018* (NDIS Practice Standards).

0.2 Updates to Legislation | April 2021

The Amendments consolidated the certification requirements of supported employment services.

Supported employment providers funded under the Disability Employment Continuity of Support (DECoS) program, that are also registered providers for the National Disability Insurance Scheme (NDIS), no longer need to adhere to the certification requirements outlined in the DES/SES Scheme.

This is because section 8 of the *Determination* deemed the standards set out in Schedule 1 to the NDIS Practice Standards to be the standards observed by supported employment providers funded under the DECoS program, are also registered providers for the NDIS. The Amendments were enacted to reduce duplication and cost to supported employment providers and increase efficiency in reporting.

The Amendments came into effect 1 April 2021.

0.3 Prioritising the Schemes

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.

The requirements of ISO/IEC 17065 also apply.

HS Scheme (Part 1) clause numbers below e.g. P1_3.1 reference related clauses in HS Scheme (Part 1) and must be read with those requirements. DES/SES Scheme clause numbers are prefixed by P3 for Part 3.

1 Scope

No additional requirements

2 References

2.1 Normative references

ISO/IEC 17065 – 2012 Conformity assessment – Requirements for bodies certifying products, processes and services

IAF MD4:2018 – IAF Mandatory Document for the use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes

Disability Services Act 1986 – Principles and Objectives for the purposes of section 5 National Disability Insurance Scheme Act 2013

Disability Services Act (National Standards for Disability Services) Amendment (2021 Measures No. 1) Determination 2021

Disability Services Act (National Standards for Disability Services) Determination 2014

National Disability Insurance Scheme (Provider Registration and Practice Standards) Rules 2018

2.2 Informative references

National Disability Insurance Scheme (Approved Quality Auditors Scheme) Guidelines 2019

National Disability Insurance Scheme (Provider Registration and Practice Standards) Rules 2018

National Disability Insurance Scheme (Quality Indicators) Guidelines 2018

Note: *Informative references are not accreditation or certification requirements under the DES/SES Scheme*

3 Terms and definitions

The following definitions also apply to DES/SES Scheme (Part 3):

| | |
|--|--|
| Audit team | Has the same meaning as ‘audit team’ at clause P1_3.1, except the team must include a CTE. The CTE may also perform the role of audit team leader (or auditor) if appropriately qualified. |
| Consumer | 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”. |
| Consumer technical expert (CTE) | 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. |
| Department | 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. |
| GovGPS | DSS Online Funding Management System. An online system to manage funding and audit information for programs and initiatives. |
| NDIS Approved Quality Auditor (NDIS AQA) | Approved quality auditor means a person or body approved by the NDIS Quality and Safeguards Commissioner under section 73U of the <i>NDIS Act 2013</i> . |
| NDIS AQA Scheme | The third-party conformity assessment scheme operated by the NDIS Quality and Safeguards Commission, in accordance with the <i>NDIS Act 2013</i> . |
| NDIS Practice Standards | The standards as described in the <i>National Disability Insurance Scheme (Provider Registration and Practice Standards) Rules 2018</i> , including as updated through the life of the Scheme. |
| NDIS Quality & Safeguards Commission | The NDIS Quality and Safeguards Commission, established under section 181A of the <i>NDIS Act 2013</i> . |
| NSDS | 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 <i>Disability Services Act (National Standards for Disability Services) Determination 2014</i> , <i>Disability Services Act 1986</i> . |

HS Scheme, Part 3 – Additional requirements for bodies certifying disability employment services and supported employment services (DES/SES Scheme)

| | |
|------------------|--|
| Outcomes | 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. |
| Rating scale | <p>The system used to rate conformity of a disability employment/ support service. NSDS indicators of practice are provided as descriptive guidance to the standards.</p> <p>The NSDS standards are to be rated as follows:</p> <ol style="list-style-type: none">major nonconformity rating = 0nonconformity rating = 1conformity rating = 2 |
| Service provider | <p>Has the same meaning as “client” at clause P1_3.1. The following service types are applicable to the DES/SES Scheme:</p> <p>Australian Disability Enterprises (ADE): Organisations where a majority of employees have a moderate to severe disability and who are provided on-the-job employment supports to enable them to engage in a variety of work tasks who provide similar working conditions as other employers.</p> <p>Note 1: <i>An ADE is a form of ‘Supported Employment Service’ (SES).</i></p> <p>Note 2: <i>New applications for registration as an ADE are no longer being accepted. New organisational forms may emerge that have similar employee compositions to ADEs but will be registered under the NDIS as a different registration group/class of supports.</i></p> <p>Note 3: <i>ADEs in their capacity as supported employers that are funded under the NDIS are no longer required to follow the DES/SES Scheme. See Clause P3 0.1 Application.</i></p> <p>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.</p> <p>Employment Support Service (ESS): A service for job seekers with permanent disability with an assessed need for more long- term, regular support in the workplace.</p> <p>Note: <i>DMS and ESS are both forms of a ‘Disability Employment Service’ (DES). In turn, DES is also a form of ‘open employment’.</i></p> |

4 General requirements

4.1 Legal and contractual matters

No additional requirements

4.2 Management of Impartiality

No additional requirements

4.3 Liability and financing

No additional requirements

4.4 Non-discriminatory conditions

No additional requirements

4.5 Confidentiality

P3_4.5 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.

4.6 Publicly available information

No additional requirements

5 Structural requirements

5.1 Mechanism for safeguarding impartiality

P3_5.1 The impartial committee shall include a consumer. This person may be deemed to effectively represent the human services sector.

5.2 Publicly available information

No additional requirements

6 Resource requirements

6.1 Certification body personnel

6.1.1 General

- P3_6.1.1.1 The requirement of ISO/IEC 17065 Clause 6.1.1.1 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 so do. 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.

6.2 Resources for evaluation

No additional requirements

7 Process requirements

7.1 General

No additional requirements

7.2 Application

No additional requirements

7.3 Application review

No additional 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 with consumers if they have the appropriate competencies;
 - e. reviewing consumer files or following up issues with consumers; and
 - f. reviewing audit findings, determining audit ratings, and preparing the written audit report.
- P3_7.4.2 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 so do. Each site visited shall include a CTE or a CTE who is also a lead auditor or auditor.
- P3_7.4.3 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.
- P3_7.4.4 The content of all reports shall include:
- a. the service types within the service provider organisation;
 - b. the number and roles of stakeholders consulted during each audit at each site, and the methods of consultation;
 - c. ratings of conformity against each standard, in accordance with the rating scale, and
 - 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.
- P3_7.4.5 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 sites and/or outlet service provider), even if the draft decision is to not certify.
- P3_7.4.6 The service provider shall have 10 working days from receiving the draft written report in which to provide a response to the CB.

- P3_7.4.7 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 7 working days, even if the decision is to not certify.
- P3_7.4.8 The CB's procedures shall ensure that in the instance of a major nonconformity:
- a. close out shall 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 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 to take action to downgrade the major nonconformity to a nonconformity; shall result in automatic suspension of certification; and
 - 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).
- P3_7.4.9 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, and
 - 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 audit (whether onsite or remote auditing is used) due to natural disasters beyond their control (including flood, fire, earthquake, cyclone or other natural disasters), interruption of electricity or telephone service, or an unprecedented event such as a national health crisis occurs, and communities have to go into lockdown. An application for extension will be jointly considered by the department and JAS-ANZ on a case-by- case basis.

7.5 Review

No additional requirements

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.

7.7 Certification documentation

P3_7.7.1 When certification is extended, the previous DES/SES Scheme certification expiry date shall also be clearly specified on the re-issued certificate.

7.8 Directory of certified services

No additional requirements

7.9 Surveillance

P3_7.9.1 Surveillance includes maintenance audits in the first and second year of a three-year certification cycle for participants under the DES/SES Scheme.

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.

7.10 Changes affecting certification

No additional requirements

7.11 Termination, reduction, suspension, or withdrawal of certification

No additional requirements

7.12 Records

No additional requirements

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 *minima* 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](#) are to be regarded as true minima.
- 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 6.4](#)), 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 meets the requirements of [clause P3 7.1.1](#).

Table 1 – audit duration table (single site and/or outlet)

| Number of consumers | Initial audit (stage 2): on-site minimum auditor days | Annual maintenance: on-site minimum auditor days | Recertification (stage 2 if applicable): on-site minimum auditor days |
|---------------------|---|--|---|
| 1-20 | 1.5 | 0.75 | 1.5 |
| 21-50 | 2 | 1 | 2 |
| 51-100 | 3 | 2 | 3 |
| 101-300 | 4 | 3 | 4 |
| Over 300 | 5 | 4 | 5 |

Annex B – Certification of clients [service provider organisations] with multiple sites and/or outlets

B.0 Introduction

No additional requirements

B.1 Definitions

No additional requirements

B.2 Application

P3_ B.2.1 Examples of multiple site and/or outlet service providers includes:

- 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; and
- 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.3 Eligibility of an organisation for sampling

No additional requirements

B.4 Responsibility of the certification body

No additional requirements

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 by 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. DMS sites and/or outlets;
 - b. ESS sites and/or outlets; and
 - c. 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] duration

- 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 outlets 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 outlets co-located with the head office where employment services are provided to consumers.
- P3_ B.5.3.3 The total audit duration is the total of the figures for all 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.

B.5.4 Additional sites and/or outlets

No additional requirements

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)

| Number of consumers attached to head office | Initial audit (stage 2): on-site minimum auditor days | Annual maintenance: on-site minimum auditor days | Recertification (stage 2 if applicable): on-site minimum auditor days |
|---|---|--|---|
| 0 | 1 | 0.5 | 1 |

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

| Number of consumers PER SITE AND/OR OUTLET | Initial audit (stage 2): on-site minimum auditor days PER SITE AND/OR OUTLET | Annual maintenance: on-site minimum auditor days PER SITE AND/OR OUTLET | Recertification (stage 2 if applicable): on-site minimum auditor days PER SITE AND/OR OUTLET |
|--|--|---|--|
| 1-20 | 0.75 | 0.5 | 0.75 |
| 21-50 | 1 | 0.5 | 1 |
| 51-100 | 1.5 | 0.75 | 1.5 |
| 101-300 | 2 | 1 | 2 |
| Over 300 | 2.5 | 1.5 | 2.5 |

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:
- home or living situation (e.g. group home; with parents; in community);
 - working or not working;
 - type of work (e.g. packaging as distinct from gardening or clean room work), and
 - 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:
- initial and recertification audits: the square root of the number of consumers ($y=\sqrt{x}$), rounded to the upper whole number, and
 - maintenance audit: 0.6 times the square root of the number of consumers ($y=0.6\sqrt{x}$), rounded to the upper whole number.
- P3_C.1.4 In line with HS Scheme Part 1 C.1, every effort should be made to select the required number of consumers as set out in [P3_C.1.3](#) prior to the onsite audit days. The CB should aim to have one to one / face to face contact with at least 50% of the proposed sample of consumers. Where remote interviews (e.g. telephone, video contact 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:
- focus group;
 - written survey pertaining to the NSDS provided by the CB;
 - 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*); and
 - 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.5.2.1 \(c\)](#) and [P3 B.5.2.2](#). The emphasis 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
- P3_ C.1.8 *No additional requirements*
- P3_ C.1.9 *No additional requirements*
- P3_ C.1.10 *No additional requirements*
- P3_ C.1.11 *No additional requirements*

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 such consent; the auditor must not access the file unless the service provider can grant access in accordance with applicable legislation.
- P3_ C.2.2 *No additional requirements*
- P3_ C.2.3 *No additional requirements*
- P3_ C.2.4 *No additional requirements*

C.3 Traceability of sampling processes

No additional requirements

Annex D - Code of ethics for auditing and certification in the human services sector

No additional requirements