
Audit Report

Stage 2 audit for

Citizen Advocacy Sunbury & Districts Inc.

5/36 Macedon Street, Sunbury, VIC, 3429, Australia

Certificate No.: HDS40022

Audit Date: 21/05/2013 - 22/05/2013

Work Item I.D.: WI-515551

BACKGROUND INFORMATION

SAI Global conducted an audit of Citizen Advocacy Sunbury & Districts Inc. on 21/05/2013 - 22/05/2013.

The purpose of this audit report is to summarise the degree of compliance with relevant criteria, as defined on the cover page of this report, based on the evidence obtained during the audit of your organisation. This audit report considers your organisation's policies, objectives, and continual improvement processes. Comments may include how suitable the objectives selected by your organisation appear to be in regard to maintaining customer satisfaction levels and providing other benefits with respect to policy and other external and internal needs. We may also comment regarding the measurable progress you have made in reaching these targets for improvement.

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In addition to the information contained in this audit report, SAI Global maintains files for each client. These files contain details of organisation size and personnel as well as evidence collected during preliminary and subsequent audit activities (Documentation Review and Scope) relevant to the application for initial and continuing certification of your organisation.

Please take care to advise us of any change that may affect the application/certification or may assist us to keep your contact information up to date, as required by SAI Global Terms and Conditions.

This report has been prepared by SAI Global Limited (SAI Global) in respect of a Client's application for assessment by SAI Global. The purpose of the report is to comment upon evidence of the Client's compliance with the standards or other criteria specified. The content of this report applies only to matters, which were evident to SAI Global at the time of the audit within the audit scope. SAI Global does not warrant or otherwise comment upon the suitability of the contents of the report or the certificate for any particular purpose or use. SAI Global accepts no liability whatsoever for consequences to, or actions taken by, third parties as a result of or in reliance upon information contained in this report or certificate.

Please note that this report is subject to independent review and approval. Should changes to the outcomes of this report be necessary as a result of the review, a revised report will be issued and will supersede this report.

Standard(s):	NDAS:2012 Certification
Code(s):	nil
Scope of Certification:	The provision of citizen advocacy.
Number of Staff:	2 (1.8 EFT)
Shifts:	nil
Total audit duration:	24 hrs – auditor and CTE for 1.5 days
Audit Team:	Lichelle Clarke - Technical Advisor, Patty Wassenaar - Lead Auditor
Other Participants:	nil

Definitions and action required with respect to audit findings

Refer to end of appendix document provided with this report.

Executive Overview

The purpose of this audit was to determine implementation of your organisation's management system; the capability and effectiveness of the management system in ensuring continual compliance with customer, statutory and regulatory requirements and in meeting its specified objectives; and conformity of the management system to stated criteria.

Management commitment and achievements against objectives and targets

There is a clear flow of objectives from the organisations strategic plan, which includes the mission, key principles, aspirations and key result areas. More detail is provided in the operating plan which includes the objectives and strategies for their achievement (SMART principle used). An annual plan is also in place which tracks key events, reporting requirements, meetings etc.

Actions taken on previous audit issues

The areas of concern and majority of the opportunities for improvement identified during the stage 1 audit have been addressed.

Internal audit, management review processes and continual improvement

Effective systems are in place for the management of internal audits (self-assessments), system review and improvement. More detail is provided in Standards 7 and 8.

System requirements and interrelationships, functions, processes, areas audited

Specific details on the number of interviews, feedback and findings against each of the 10 National Disability Advocacy Standards are provided in the attachment to this report.

Key strengths included:

- The advocate and protégé handbooks. These were appreciated by protégés and advocates who commented that it made the agency more professional.
- Strong focus on the matching process ensuring the individual needs of protégés are met.
- Strong emphasis on the value of people with disabilities and the contribution they can make to the community when provided with appropriate support.
- The promotion of rights for people with disabilities.
- Through the formalisation of systems and procedures, a number of people commented that there had been a notable improvement in the professionalism of Citizen Advocacy Sunbury.
- Web site included a 'language selector' which enabled the information to be translated into a range of languages. This was most impressive.

Opportunities for Improvement

Some opportunities for improvement were identified and these have been identified against each relevant standard. A key area to focus on is:

- Ensuring system documentation and records facilitate handover to other staff should this need arise.

Recommendation

The recommendation from this audit is that your certification proceeds.

Audit recommendations are always subject to ratification by the SAI Global certification authority.

This report was prepared by: Patty Wassenaar and Lichelle Clarke.

Meeting Attendance Register

Name	Position	Entry	Exit
Patty Wassenaar	Audit Team Leader	21/5/13	22/5/13
Lichelle Clarke	Consumer Technical Expert	10.30am 21/5/13	22/5/13
David Abela	Program Coordinator	21/5/13	22/5/13
Melita Bonett	Administration Assistant	21/5/13	22/5/13
Bridie	COM – Secretary (also advocate)	21/5/13	
Irene	COM member (also advocate)	21/5/13	
Elizabeth	COM member (also protégé)	21/5/13	
Brendan	COM – Treasurer (also advocate)	21/5/13	22/5/13
Michael	COM member	21/5/13	
Anna	COM – Chairperson (past advocate)	22/5/13	22/5/13

Thank you

The audit team would like to thank all protégé's, citizen advocates and board members who participated in the audit for their positive contribution and feedback. Your feedback is a very important part of the audit process and we can't do the audit without your input.

Thank you also to the staff who worked very hard to contact everyone and make arrangements for interviews.

NEXT AUDIT PLAN

During our next audit the issues identified as requiring attention will be reviewed to ensure they have been adequately addressed, as well as the following set out in the plan below:

This plan is a draft and can be modified to suit the availability of relevant people.

Audit type :		Surveillance Audit		
Date	Auditor	Audit meetings plus functions/ processes/ areas/ shifts audited	Shift	Approx. time
May 2014 (1 day)	Team Leader and CTE	Entry Meeting (protégés and advocates are invited to participate in the entry meeting)	-	9am
		Review of system documentation and changes since the last audit (policies, procedures, instructions) and information provided to protégés and advocates. Review of complaints and related records (complaints log, forms), client feedback survey data.	-	am
		Focus on Standards 2, 7, 8, 10 (Mandatory) plus		
		Interviews with advocates and protégés. Aim for 5 interviews covering good demographic spread. Review of advocate and protégé files.	-	times to suit individuals.
		Records of last AGM, Annual Report, Annual financial audit evidence. Review of strategic plan, annual plan, governance plan, financial plan, management plan and protégé participation plan. Management and staff meeting minutes.	-	am
		Meeting with member of the Committee of Management if preferred (not required for first surveillance audit but can be included).	-	am
		Audit team meeting to discuss findings, ratings and commence report preparation	-	Approx. 2.30pm
Exit meeting (more specific time can be confirmed during the audit)	-	Approx. 4pm		

Notes in regards to client interviews:

- For a certification audit, the number of client interviews required is the square root of the number of clients receiving advocacy support (per advocacy model) over the last three months (0.6 times this number for surveillance audits) rounded up to the upper whole number. This should aim for a minimum of 5 and maximum of 10 clients per advocacy model.
- We would aim to individually interview around 50% of clients but the method chosen is flexible and can be arranged to suit clients. Methods can include:
 - Face to face interviews (individually or as a small group)
 - Telephone interviews
 - Methods using other suitable technology providing the clients privacy is maintained
- Ideally, we will also review relevant information on files for all clients interviewed.
- Clients to be interviewed will be selected randomly by the technical expert prior to the audit from a de-identified listing of willing participants provided by the agency.
- Individual interviews take around 30 minutes if face to face and about 15-20 minutes if over the phone.
- Group interviews take around 45-60 minutes.

Appendix to Report – Disability Advocacy Standards

Service Provider

- Citizen Advocacy Sunbury and Districts

Location, supports & Funding agreement

Geographical location of Head Office:

- 5/36 Macedon Street, Sunbury, VIC, 3429, Australia

The funding agreement Id: 1-VRBGA1, Schedule Id: 1-VEE9XF for the period 1/7/12 – 30/11/15 was viewed. It has a target of 42 (people with disability provided with advocacy support), 100% citizen advocacy and a specialisation area of people with intellectual disability. The service areas covered include Macedon Ranges and the Local Government Area of Hume.

Client / Stakeholder Profile

Site.	Total Client Numbers in past 3 months	Advocacy models	Minimum Sample Required
1	30-35 approximately. More contact with newer participants.	Citizen Advocacy	6

- For Citizen Advocacy, it is recognised that the protégé is “the client” but support and follow up is also provided to the citizen advocate so interviews with advocates are also a key aspect of the audit to ensure sound feedback on the systems and support processes is received.

Actual Sample

- The table below summarises the client interview methodology, numbers and files sampled for each site and advocacy model.
- The agency asked all protégés and clients if they wanted to be involved in the audit. From this invitation, 7 (protégé / advocate matches) were willing to participate and this formed the client sample.
- Protégés had a preference for interview with their citizen advocate.
- Signed consent forms were viewed for each file sampled.

Site / Advocacy Model	Face to Face	Focus Group	Telephone	Other e.g. carer	Total Interviews	Files
Citizen	7 protégés and 7 advocates	-	-	-	14	7 files (all matches)

- 6 members of the Committee of Management were also interviewed as part of the audit process. Three are also citizen advocates, one a past citizen advocate and one is a protégé.

Protégé and Advocate feedback

Overall people were very happy with the support received from staff. Advocates and protégés felt that they could approach staff with any issues or when they needed information or support. Everyone did provide feedback about the office being so welcoming and the wonderful staff. Feedback must be kept de-identified to protect the privacy of clients but general comments included:

Protégé and Citizen Advocate feedback:

- There is a strong focus on ensuring a good ‘match’.
- It is good to have the opportunity to meet with other advocates and protégés (e.g. Christmas Party or AGM).
- Although it is good to have a friend, the relationship can also be as a mentor.
- It is good if you can make a difference to someone’s life.
- As an advocate, your own life is enriched by being in the company of people with the same values.
- They are brilliant.
- If you are not sure where to go or are treading on new ground they help.
- They never make you feel like they’re too busy (and we know they are busy).
- They are always welcoming and give you time (and a cup of tea).
- I can talk to my citizen advocate about anything.
- It is good that I don’t feel alone.
- The staff are always there as a backup (from Citizen Advocates who gave examples where they were not available for their protégé at a particular time and staff stepped in to assist).
- I feel comfortable with the staff.
- They make everyone feel special.
- They are a wonderful service.
- David is very popular with the protégés. Particularly at the Christmas party.
- They focus on matching really well – they put a lot of effort into finding that special person to match the needs of the protégé / my needs.
- I’m a friend, which is nice.
- It is never rushed (when speaking to staff, having questions answered, seeking help or advice).
- When you ring you can be reassured.
- There is continual encouragement to ensure that protégés’ rights are upheld.
- I receive more than enough support as an advocate.
- David is very open – if problems arise I can call or see him.
- We couldn’t do this if the backup wasn’t there.
- The match was meant to happen (“God Ordained”).
- Protégés need the support – outside of what the system provides.
- The beauty of this is that it is not ‘over-governed’ or ‘orchestrated’.
- The staff do a great job.
- David is my mate too.
- They are very empathetic and understanding – it is pivotal to have that great support.
- It is very clear that citizen advocacy is there for the protégé. This is also made clear right at the beginning (advocate induction).
- I can stand up for myself now.
- I’m so lucky to have the relationship with my protégé / advocate.
- We are ‘the guardian of rights’. (In regards to ensuring protégés’ rights are upheld).
- My skills have improved; I’ve learned and can teach others now.
- The professionalism of the organisation has grown through the QA process. We can see that.
- Of course they uphold my rights (protégé response in regards to human rights).

Suggestions for improvement from clients/stakeholders interviewed

- With the Sunbury region growing quickly, some newer people may not be aware of the history (Caloola). (Important to know the history to understand the importance of Citizen Advocacy Sunbury and why it is there).
- For consideration: one advocate commented that they have no concerns at all about liability but this was a concern prior to coming into the process. This could be something that prevents others from wanting to be citizen advocates.

AUDIT FINDINGS

Standards	RATING
Standard 1. Accessing advocacy	2
Standard 2. Individual needs	2
Standard 3. Decision making and choice	2
Standard 4: Privacy, dignity & confidentiality	2
Standard 5: Participation and integration	2
Standard 6: Valued status	2
Standard 7: Complaints and disputes	2
Standard 8: Agency management	2
Standard 9: Staff recruitment, employment and training	2
Standard 10: Protection of Human Rights & Freedom from Abuse	2

ADVOCACY STANDARDS

Standard 1: Accessing advocacy Each person with disability has opportunities to access advocacy on the basis of relative need and available resources.	Recommended rating
	2
KPI 1.1 The agency adopts, applies and promotes non-discriminatory policy in respect of age, gender, race, culture, religion or disability or living arrangements, consistent with the contractual obligations and purpose of the advocacy agency and the relative need and available resources.	2
<p>Supporting evidence:</p> <p>Policies and procedures on accessing advocacy are included in the Policy Handbook (25/10/12) and the Protégé Handbook which outlines the process in an easy read format. Policies include the scope of the agency and processes involved in citizen advocacy.</p> <p>The Accessing Advocacy Policies outline the processes used to find protégés and advocates through visiting places where people are vulnerable, isolated or at risk. Examples given by staff included promotion of the agency through speaking at groups/clubs, web site promotion, promotion of the agency to other services providing support to people with disabilities, local radio promotion and general word of mouth. Committee members also spoke about their role in promoting Citizen Advocacy through community groups, church groups and speaking opportunities.</p> <p>In addition to the Accessing Advocacy Policy, the protégé handbook explains how you can become a protégé, how to contact the agency, and how you can stop having an advocate. It also explains Crisis Advocacy and that this may occur if there is an important issue needing immediate attention.</p> <p>The procedure recognises the priority of access process in regards to the actual seriousness of the problem and lack of alternative assistance. The policy and procedure also outline the exit process and the reasons for potential exit including the paperwork required. It also explains the re-matching process.</p> <p>The procedure includes the process to be followed for referral to other agencies if citizen advocacy is found not to be appropriate to their needs. Referrals are documented in the program coordinators diary and then collated for the FaHCSIA report.</p>	
KPI 1.2 The agency has processes to determine how the individuals or issues supported are chosen and prioritised based on relative need and available resources.	2
<p>Supporting evidence:</p> <p>The policy indicates that it applies to people regardless of gender, religion, age or culture with non-discriminatory practices applied.</p> <p>The coordinator and board review demographic details on protégés which is formally planned annually as part of the process of developing recruitment plans for protégés and citizen advocates.</p>	
KPI 1.3 Each person with disability is informed about how decisions are made in relation to access and advocacy issues.	2

Supporting evidence:

The protégé handbook provides information in easy read English. Prior to formally commencing with the program, protégés (or their carer/family members) and citizen advocates have the process explained to them. The matching process includes initial meetings for people to get to know each other and decide whether they would like to be an advocate / protégé match.

The process includes follow along and support, which is more intensive initially to ensure the ‘match’ is successful. Feedback from advocates and protégés confirmed the process with everyone agreeing that their input formed part of this decision.

<p>Consumer Technical expert and client feedback</p>	<p>Received feedback from protégés that they were informed of the services provided at Citizen Advocacy Sunbury from local community groups and networks, other disability services or from personal connections to the committee. Protégés who were interviewed appeared to be from a range of locations within this service area.</p> <p>Citizen advocates who were interviewed reported hearing about and getting involved in the program via local community groups and networks such as the church, or advertising Citizen Advocacy Sunbury had undertaken in local newspapers and radio advertisements. They reported receiving information on the service and what their role would be as a citizen advocate by going through an induction process which involved a police check and an advocate orientation to ensure they were appropriate for the program. Strong feedback was received regarding this process and how well prepared the citizen advocates felt after undertaking it.</p> <p>The majority of the protégés and advocate’s interviewed recalled receiving a handbook. Separate handbooks existed for the protégés and advocates and feedback from both expressed it was easy to understand and worth receiving as it provided good information on the service.</p> <p>Access to Citizen Advocacy Sunbury appeared to be nondiscriminatory and in line with relative need and available resources. It was reported from staff that if someone requires assistance that is not offered from Citizen Advocacy Sunbury, they would assist with referral to a more appropriate service.</p> <p>Several advocates interviewed spoke about ‘previous protégés’ and their reasons for exiting the process. Reasons included moving from the area, becoming independent and therefore no longer requiring formal support (although the advocate and protégé were still friends) and the protégé passing away.</p>
<p>Strengths</p>	<ul style="list-style-type: none"> • The Handbooks (both the protégé handbook and citizen advocate handbook) were very well received. Feedback on the citizen advocate orientation process was that it was very thorough, an extremely positive experience and really helped the citizen advocates feel confident and well prepared for their role.
<p>Opportunities for Improvement</p>	<ul style="list-style-type: none"> • Although citizen advocates confirmed that they had undergone the comprehensive orientation (usually over 2-3 sessions), records of this orientation were not always well documented on their files. • Confirmation letters were not always available on protégé / advocate files. • Procedures did not clearly specify exactly what documentation should be kept on advocate and protégé files. This would be helpful to ensure

	consistency in the future.
Non conformities (if applicable)	N/A

STANDARD 2: INDIVIDUAL NEEDS Each person with disability receives advocacy that is designed to meet their individual needs and interests.	Recommended rating
	2

KPI 2.1 The advocacy agency has a process for determining and documenting advocacy objectives that reflect the wishes, needs or interests of each person with disability.	2
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Supporting evidence:

An individual needs policy (25/10/12) forms part of the policy handbook. The procedure steps through each stage of the process, the information provided to advocates and protégés and records kept.

The protégé handbook explains how the Coordinator works with you to identify needs and develop an individual plan. It also explains that it is OK to say No if you don't think the advocate is right for you.

Files included comprehensive information on both the advocate and protégé with a focus on ensuring a successful long term match. The goals and needs for the protégé were clearly documented and confirmed in a letter to ensure the citizen advocate had a good understanding of these needs.

KPI 2.2 Advocacy activities are directed to meeting the advocacy objectives of each person with disability.	2
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Supporting evidence:

The policy and procedure outline the steps of the protégé and advocate processes including the importance of identifying the specific needs of the protégé to ensure a suitable match.

The initial objectives are documented and form the basis for the initial contact period. Citizen Advocates and Protégés confirmed that their needs and support levels do change over time. An appropriate level of support is provided by staff when needed.

KPI 2.3 Each person with disability engaged in determining advocacy objectives is provided with opportunities to involve a support person of their choice.	2
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<p>Supporting evidence:</p> <p>The initial matching process includes input from the protégé, family members or other support persons as appropriate. The protégé has the opportunity to meet the citizen advocate and also has input into the types of things they will work on together. Advocates and protégés interviewed all did different types of things and had different levels of contact depending on their relationship. It was clear that the activities and objectives varied depending on the needs of the protégé and changed as their circumstances changed.</p>	
<p>KPI 2.4 In meeting the needs of a person with disability, the advocacy agency avoids, where possible, any conflict of interest or the perception of any conflict of interest in relation to the conduct of its advocacy work, and deals with any conflict or perceived conflict transparently.</p>	<p>2</p>
<p>Supporting evidence:</p> <p>The individual needs policy includes a section on conflict of interest. This includes conflict of interest for advocates, the program, committee of management and staff.</p> <p>A conflicts of interest register is maintained and one entry had been made. During interviews, staff and citizen advocates confirmed the importance of ensuring that the matching process considered any potential conflicts of interest. An example included not matching a person working in a CRU as a citizen advocate with a protégé who was living in, or could potentially live in a CRU.</p>	
<p>KPI 2.5 The advocacy agency helps to empower people to advocate for themselves or their family or others with appropriate strategies (e.g. information, training, mentoring, support).</p>	<p>2</p>
<p>Supporting evidence:</p> <p>The protégé handbook includes information for the protégé about different types of advocacy, specific processes (e.g. making a complaint, your rights) and includes contact numbers for other services that might be of assistance.</p> <p>During interviews, a number of protégés spoke about education and training they had completed, and the types of skills they had developed through the involvement of their citizen advocate and the program. Improvements in the ability to be confident, speak out, make friends and train others were some key areas that protégés identified about themselves. Citizen Advocates also spoke about protégés being more independent in their decision making, standing up for themselves and identifying when something was not right (so they would call their citizen advocate to check).</p>	
<p>Consumer Technical expert and client feedback</p>	<p>Protégés provided positive feedback which indicated Citizen Advocacy Sunbury staff were aware of their needs, listened to their issues and ensured the citizen advocate they matched to them was appropriate and able to advocate and assist them as required.</p> <p>Protégés reported feeling their citizen advocates were well matched to their needs by staff at Citizen Advocacy Sunbury. Feedback also suggested citizen advocates were very flexible and accommodating to their individual needs and issues. On occasions where their citizen advocate was not available, protégé's reported being able to contact Citizen Advocacy Sunbury directly for advice.</p> <p>Citizen advocates also reported receiving strong assistance, advice and</p>

	support from staff at Citizen Advocacy Sunbury to be able to provided advocacy for their protégé.
Strengths	<ul style="list-style-type: none"> There is a strong focus on the individual needs of both the protégé and citizen advocate during the initial 'matching process' with the ultimate aim of a long term match. Feedback from everyone interviewed was that this process was very thorough and that this resulted in a great match.
Opportunities for Improvement	<ul style="list-style-type: none"> Although support notes were documented, there was room for improvement to ensure enough detail was provided to enable someone else to follow up if needed.
Non conformities (if applicable)	N/A

STANDARD 3: DECISION-MAKING AND CHOICE Each person with disability has the opportunity to participate as fully as possible in making decisions about the advocacy activities undertaken.	Recommended rating
	2

KPI 3.1 The advocacy agency's policies support each person with disability to direct, within the limits of their capacity, the advocacy activities undertaken to meet their advocacy objectives.	2
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Supporting evidence:

The policy handbook includes a specific policy and procedure for Decision Making and Choice. This emphasises that people with intellectual disabilities have the right to make their own decisions and choices and that the role of the advocate is to support this. The policy includes specific commitment statements that are fundamental to the citizen advocacy approach.

The procedure includes information and processes around Duty of Care and Protégés who lack decision making capacity.

The protégé handbook has a section on decision making and choice and gives examples in regards to the types of choices people can make. The handbook also states that protégés are encouraged to be involved in the committee and take part in decision making processes at Citizen Advocacy Sunbury. One protégé is on the Committee of Management.

KPI 3.2 In all other circumstances the advocacy activity is informed by ethical guidelines.	2
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Supporting evidence:

From advocate and protégé feedback in addition to discussions with the Committee of Management and Staff, the agency and advocacy activities are informed by ethical guidelines.

A conflict of interest register is in place with one conflict of interest declared.

<p>Consumer Technical expert and client feedback</p>	<p>All protégés reported being able to have input into the matching process of selecting their citizen advocate and spoke of meeting them for the first time with the support of a staff member from Citizen Advocacy Sunbury to ensure they felt comfortable.</p> <p>Protégés and citizen advocates spoke of their involvement in the AGM each year and some also spoke of their involvement on the committee. Feedback suggested this gave them good opportunities to have involvement into decisions for the organisation.</p> <p>Protégés and citizen advocates reported receiving a quarterly newsletter full of useful information on their local community and information regarding Citizen Advocacy Sunbury. Feedback suggested this newsletter helped them feel informed and involved in what is going on at Citizen Advocacy Sunbury.</p>
<p>Strengths</p>	<p>-</p>
<p>Opportunities for Improvement</p>	<p>N/A</p>
<p>Non conformities (if applicable)</p>	<p>N/A</p>

<p>STANDARD 4: PRIVACY, DIGNITY AND CONFIDENTIALITY</p> <p>The right of each person with disability to privacy, dignity and confidentiality is recognised and respected.</p>	<p>Recommended rating</p>
	<p>2</p>

<p>KPI 4.1 The advocacy agency complies with the Information Privacy Principles of the Privacy Act 1988 in order to protect and respect the rights of each person with disability.</p>	<p>2</p>
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Supporting evidence:

The policy handbook includes a policy on privacy, dignity and confidentiality (25/10/12). It makes reference to the Privacy Act and the specific procedures outline the process for the provision of information, collection and release of information, use of photographs, the storage of information, security and disposal of records. The procedure requires staff and committee of management members to sign a confidentiality agreement. Evidence of these was viewed on all staff and committee files sampled (both staff files and all current committee member files viewed).

The protégé handbook (policy on privacy, dignity and confidentiality) outlines what information is collected, how it is stored and kept secure and explains that no-one is told about anything without permission.

Consent forms were viewed for all advocates and protégés interviewed. Each had been informed

about the audit and were aware of the consent process. People also recalled signing consents for other purposes such as coming into the program, having their photo in the newspaper, in articles or on the web site. All people interviewed confirmed that their permission was gained before any information about them was published or released.

KPI 4.2 The advocacy agency promotes privacy, dignity and respect for each person with disability.

2

Supporting evidence:

The Privacy, dignity and confidentiality handbook states that the agency has proactive practices to ensure the dignity of the protégé is upheld. More specific information is included in the advocate handbook. This includes information on the “Philosophy and Principles of Citizen Advocacy and the Complaints section if there is an issue involving potential abuse or neglect.

The Code of Conduct (25/10/12) includes key principles and values: human rights, respect, accountability, impartiality, integrity, responsiveness, leadership and a policy on alcohol and drugs. The code of conduct is signed for acknowledgement by staff and committee members. Although it is not signed by advocates, it is covered as part of the advocate orientation program.

The protégé handbook includes a section on ‘what are my rights?’ and this includes the right to be treated with respect and dignity.

Everyone interviewed commented on how welcome they were made to feel whenever they came to the office or spoke to the staff. Staff and Citizen Advocates were also observed treating everyone with dignity and respect. This was confirmed during the interviews.

Consumer Technical expert and client feedback

Protégé and citizen advocacy feedback indicated most of them understand what their privacy is and felt Citizen Advocacy Sunbury helped them to maintain and protect their privacy when dealing with other contacts and services.

Feedback also indicated protégé’s and citizen advocates felt comfortable and trusted the organisation with their personal information and felt their privacy was well respect within Citizen Advocacy Sunbury.

Some protégé’s recalled signing consent forms or giving verbal consent to enable Citizen Advocacy Sunbury to contact other services or collect information from appropriate sources to find them a suitable citizen advocate. However, on file review, not all consent forms were located and no file notes were found to reflect the verbal consent therefore making it difficult to determine if consent had been provided.

Protégé feedback suggested, those who recalled signing consents felt informed of what they were signing and why.

It was observed when discussing protégé’s and advocates, Citizen Advocacy Sunbury staff were aware of their individual circumstances and able to speak of their needs and interests.

Observed protégé’s, advocates and Citizen Advocacy Sunbury staff interacting with dignity and respect towards one another.

	In cases where the protégé was unable or lacked the capacity to make their decisions, their citizen advocate reported the organisation still treated the protégé with respect and dignity.
Strengths	-
Opportunities for Improvement	<ul style="list-style-type: none"> Files included a variety of consent forms – we note that the system has been developed and will review these for consistency during the next audit.
Non conformities (if applicable)	N/A

STANDARD 5: PARTICIPATION & INTEGRATION Each person with disability is supported and encouraged to participate and be involved in the community.	Recommended rating
	2

KPI 5.1 Through advocacy, opportunities for participation and involvement in the community are promoted.	2
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Supporting evidence:

The policy handbook includes a policy and procedure on participation and integration (October 2012). This includes the rights of people with disabilities to be involved in the community and how Citizen Advocacy Sunbury and Citizen Advocates support this right for protégés.

The procedure outlines the process and gives examples of the types of things advocates can do to support this such as: accessing mainstream services, exploring community based options, promotion of social networks within the quarterly newsletter, and utilising skills of advocates to provide additional specific community support.

The protégé handbook explains that it is up to the protégé to decide what types of things they want to be involved with in the community and that they can speak to the staff or their advocate about this. It also makes reference to the newsletter and the web site.

Copies of newspaper articles posted in the office area provide some examples of protégés and their advocates within the community. During the audit, there were many examples where advocates and staff spoke to protégés about different activities within the community that were open to them. Examples included a local cooking club, local sport and a history walk, all of which were available to the general community.

Staff and citizen advocates strongly supported people being involved with things in the general community, rather than just activities that only included other people with disability. Everyone spoke about the importance of protégés being able to be part of the community and be accepted in the community.

KPI 5.2 Where appropriate, the advocacy agency takes action to introduce, influence or produce positive systemic change in the community.	2
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Supporting evidence:

Staff spoke about promotion of citizen advocacy at meetings, on the radio, through the web site and newsletters. COM members also explained that sometimes they are involved in presentation to community groups, churches, neighbourhood learning centres or other promotional events.

Staff and Committee Members also spoke about the importance of having links within the local community such as churches, allied health professionals, doctors, mental health services and other places. This aimed to promote Citizen Advocacy Sunbury and make the community aware of avenues open to potential protégés or people who might want to become a citizen advocate.

During interviews, some examples of local community areas understanding of the needs of protégés were explained. This included schools, legal services, pharmacies, health professionals and local community groups. From feedback, staff at the agency had developed good links and networks to enable this to occur.

<p>Consumer Technical expert and client feedback</p>	<p>It was reported from staff that if someone requires assistance that is not offered from Citizen Advocacy Sunbury, they would assist with referral to a more appropriate service within their community.</p> <p>Citizen advocates reported hearing about and becoming involved with Citizen Advocacy Sunbury through local networking and media use such as a newspaper advertisements, radio add, committee members, involvement in local church and community groups.</p> <p>Citizen advocates indicated they received support from the organisation to encourage and help involve their protégé's in the community by being informed from Citizen Advocacy Sunbury of local community activities and groups that their protégé may be interested in (Some of this information is provided within the quarterly newsletter).</p> <p>Feedback from protégé's stated that Citizen Advocacy Sunbury were actively involved with helping them and their citizen advocates speak up for their rights within the community.</p>
<p>Strengths</p>	<p>-</p>
<p>Opportunities for Improvement</p>	<p>N/A</p>
<p>Non conformities (if applicable)</p>	<p>N/A</p>

<p>STANDARD 6: VALUED STATUS The intrinsic value of each person with disability is recognised and each person is supported and encouraged to enhance their valued status in the community.</p>	<p>Recommended rating 2</p>
<p>KPI 6.1 Through advocacy, the aspirations and strengths of each person with disability is promoted.</p>	<p>2</p>

Supporting evidence:

The policy and procedure on valued status (25/10/12) provides a commitment to represent people with disabilities in a positive way. Examples include through newsletters, promotion, workshops, community presentations and the media.

The manual also makes a commitment to adhere to the principles and practices of Social Role Valorisation (SRV) Theory which is covered as part of the advocate orientation process.

The protégé handbook explains that each protégé is a valued member of the community and has valuable and individual skills.

At the office, a number of published newspaper articles that positively promoted protégés and advocates were displayed.

The development of the Citizen Advocacy Sunbury web site by a protégé, and public recognition of this through the AGM and a newspaper article clearly demonstrated the promotion of strengths of people with disabilities.

Protégés and citizen advocates were presented to the audit team in a very positive way. Strengths and achievements of the protégés formed part of the discussions and a number of advocates commented on being very proud of the protégés' achievements. Examples included learning skills, web site development, training others, speaking out, donating a cake to another person.

KPI 6.2 The advocacy agency promotes the intrinsic value and the valued status of each person with disability in all its activities.

2

Supporting evidence:

Stories of advocates and protégés presented in a positive light were evident in newspaper publications, the annual report and the web site. The web site included photographs of the Christmas function and award presentations, positive testimonials, links to other relevant information and newsletters. Newsletters also included positive stories and information which both clients and citizen advocates enjoyed reading. The newsletter was provided in a range of formats to suit individuals.

The audit team listened to the radio advertisement which focussed on Citizen Advocacy Sunbury being community based, making a positive difference, community participation, promoting independence and speaking up for people if needed. The key focus was on 'you can make a difference' with the overall aim being to attracting a range of people.

Citizen advocates reported receiving initial and ongoing information about the value of people with disabilities. Citizen Advocacy Sunbury is currently promoting a learning event for advocates entitled 'Achieving the good life for protégés' (to be run in June).

Consumer Technical expert and client feedback

Feedback from protégés and citizen advocates indicated they felt listened to and valued when dealing with Citizen Advocacy Sunbury staff and reported feeling they had always provided a strong support service, listened to their needs and helped them achieve their advocacy outcomes whenever they needed them.

Feedback from citizen advocates also suggested they felt that their protégé opinions and feelings were considered by Citizen Advocacy Sunbury staff and

	made to feel valued in part of the process.
Strengths	<ul style="list-style-type: none"> From observing the interaction between staff, advocates and protégés as well as the strong positive feedback received from everyone interviewed, it is clear that the organisation, including staff and citizen advocates, strongly values people with disabilities and encourages them to be their best.
Opportunities for Improvement	N/A
Non conformities (if applicable)	N/A

STANDARD 7: COMPLAINTS & DISPUTES Each person with disability, who has a complaint or dispute with the advocacy agency, is encouraged to raise it, and have it resolved, without threat of retribution.	Recommended rating
	2

KPI 7.1 The advocacy agency informs each person with disability about how to raise a complaint or initiate a dispute about any areas of dissatisfaction with the advocacy agency, without threat of retribution.	2
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Supporting evidence:

Policy 7 of the policy handbook includes policies and procedures for the management of complaints and disputes (25/10/12). The policy makes reference to the charter of Human Rights and the UN convention. It acknowledges that anyone can make a complaint and that the complaints process can lead to better services and identify improvements to prevent issues from recurring in the future.

The procedure outlines the complaints process including documentation, how the agency will assist people who want to make a complaint, the provision of information on external agencies that could assist, and the publication of the complaints process in handbooks, the web site and in newsletters. Within the manual, a listing of support organisations and legislative web sites are referenced. A flow chart of the process including follow up time-frames is included within the manual.

The protégé handbook includes the policy on complaints (policy 7) in addition to the Complaints process and a listing of complaint and support contacts.

KPI 7.2 The advocacy agency seeks to resolve complaints or disputes raised or initiated by a person with disability, with access to both internal complaints resolution mechanisms and external complaints resolution mechanisms.	2
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Supporting evidence:

There had been no formal complaints received by Citizen Advocacy Sunbury in the last few years and from feedback, there were no concerns raised by advocates or protégés that would have constituted a complaint.

A feedback survey had been sent out in March with some responses recently returned. In the main, feedback was very positive with only a few minor matters noted (e.g. not everyone aware of how they

<p>can provide input into how CA Sunbury is run). Data on feedback had not yet been collated or reviewed so we will review progress in this during the next audit.</p>	
<p>Consumer Technical expert and client feedback</p>	<p>Majority of protégé's and citizen advocates recalled receiving information regarding Citizen Advocacy Sunbury's complaints procedure within their respective handbooks and were confident they could refer to this if needed.</p> <p>On discussion with protégé's and citizen advocates, they stated they felt comfortable to raise any issues regarding Citizen Advocacy Sunbury's service with the staff and felt it would be dealt with well. They also reported feeling strongly that outside assistance regarding a complaint would never be required.</p>
<p>Strengths</p>	<p>-</p>
<p>Opportunities for Improvement</p>	<ul style="list-style-type: none"> • The review of feedback data, including any resulting improvement actions, from the 2013 survey results will be viewed during the next audit. • Consider whether positive feedback received should also form part of the records provided to the board (e.g. through the coordinators report or documented in a compliments/complaints feedback section).
<p>Non conformities (if applicable)</p>	<p>N/A</p>

<p>STANDARD 8: AGENCY MANAGEMENT</p> <p>Each agency adopts quality management systems and practices that optimise the effectiveness of advocacy for each person with disability and facilitates continuous improvement.</p>	<p>Recommended rating</p>
	<p>2</p>

<p>KPI 8.1 The advocacy agency has clearly stated aims and objectives that communicate to each person with disability and other relevant stakeholders the scope and limitations of the advocacy agency.</p>	<p>2</p>
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<p>Supporting evidence:</p> <p>The agencies aspiration, mission and key principles are defined within the orientation manual.</p> <p>System documentation, information for protégés and the information brochure outline what citizen advocacy is, explain why it is needed and explains who citizen advocates are. The policy handbook explains the processes involved including the need to identify whether citizen advocacy is appropriate for the protégé or whether a referral to alternative services should be made.</p> <p>The key aspiration of the agency 'Enabling Ordinary People Doing Ordinary Things of Extra-Ordinary Importance' is included in published material.</p>
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KPI 8.2 The advocacy agency has governance and management systems in place that facilitate quality management practices and continuous improvement.

2

Supporting evidence:

Governance and organisational structure

- Citizen Advocacy Sunbury has a Committee of Management and employs two staff.
- The Committee of Management and Staff orientation handbook includes the organisational profile and chart, details of the management committee, the program aspiration and mission statement, and information on the planning cycle and related documentation.
- The role of the COM includes planning, policy and decision making and management related matters. Specific responsibilities are outlined in the orientation handbook.
- The Program Goals and mission statement are outlined in the orientation handbook.
- Accountability processes are defined within the orientation handbook (section 11) and financial management and taxation processes (sections 12, 13). Legal processes including reference to relevant legislation is defined in section 14.
- Citizen Advocacy Sunbury's aspiration, vision and mission are also included in the Advocate Handbook.
- During the interview with Committee members, emphasis was placed on the importance of good governance, good systems, documentation and keeping up with legislative changes.
- The committee approve published materials including system documents (policies and procedures) information on web sites and other promotional materials.
- The Annual report and AGM records for 2011-2012 were viewed. Records of the AGM included the agenda, president and coordinator reports, the financial statements, approval of the updated constitution, committee elections and a guest speaker. The report also included the presentation of the web site (developed by a protégé), and positive stories of protégé's and advocates that had been in the newspaper.
- The annual report for 2011-2012 included the profit and loss, financial statements and independent auditors report (dated 23/10/12).
- Board meeting records were viewed for February, March, April and May (agenda). Action items were clearly identified throughout minutes and followed up at the next meeting. The board is also focussing on improving meeting records recognising that they were still 'a bit clunky' but improving. The review of objectives, risks and OHS now formed part of regular meetings.
- The performance and data report for July 2011- June 2012 was viewed. This indicated that 56 consumers had been supported throughout the 12 month period including 7 new, 49 ongoing, 13 referrals to other services, 11 group sessions/presentations.

Management Systems

- Policy Handbook 2012 includes policies and procedures covering each of the Standards in addition to plain English Policies and Administration processes.
- The Service Management Policy (Policy 8, 25/10/12) outlines the organisations structure,
- Policies and documentation/forms are dated to ensure the current version is easily established.
- Documentation is well structured and easy to follow. The inclusion of more detailed indexes at the front of each document would help to find information more easily.
- An organisational audit schedule has been developed for 2013. This includes the focus of review, method, accountability and timeframes. The schedule is not limited to audit and includes the strategic and operational plan review, policy and procedure review, asset management review and supplier review.
- The policy handbook includes occupational health and safety related information (policy 32), the risk assessment methodology and emergency procedures. The occupational health and safety manual (2012) includes further information on relevant legislation and provides specific examples in regards to ensuring a safe work environment. Some specific examples and suggested controls

are defined including the potential for occupational violence. The code of practice for Violence, aggression and bullying at work 2010 was also available as a reference.

- The Advocate Handbook (2013) Provides information on Citizen Advocacy, the Philosophy and Key Principles of Citizen Advocacy, Policies and Procedures and the protégé and advocate recruitment process.
- During interviews Advocates explained that their orientation was very detailed and was covered over a number of sessions. The Advocate Handbook was seen as being very useful.
- A risk register has been developed with some additional items added for review by the board.
- Policies and procedures had been approved by committee members with records retained in the policy approval file.

Planning and reporting

- Details on the target group of the program and specific planning processes are defined in the orientation handbook. This includes the strategic plan, annual plan, governance plan, financial plan, management plan and protégé participation plan.
- The strategic plan 2013-2018 was viewed. This included the organisations mission, principles aspiration and KRA's. 5 key result areas were identified with objectives and strategies documented. From the strategic plan, the operating plan 2013-2014 described the 'what, how, who and when' for each key result area identified within the strategic plan. Progress against the plan is reviewed regularly at COM meetings.
- A self-assessment against the NDAS was completed in February 2012. Evidence was documented on the self-assessment worksheet and one area for improvement was identified. Evidence viewed (confidentiality agreement) had been implemented as recommended. The financial plan and annual plan were also viewed. The annual plan provided more detail on what specific areas would be reviewed when.

File management processes

- Two files were viewed at the Stage 1 audit (consent provided) – intended to be a good example of documentation (more current file) and a poorer example (much older file for a long term match dating back to 1986). During the Certification Audit an additional 7 files were viewed.
- Files were kept in locked cabinets and staff were aware of the need to seek permission for the auditor to view files.
- Files included the police check evidence for the advocate and evidence of follow along and support notes.
- The newer files included documentation in line with current procedures. Viewed were the information release form, protégé application form, advocate application form, advocate welcome letter, support notes.
- Although the older files did not include the latest type of documentation, file notes generally demonstrated follow up and support, with regular contact on commencement of the relationship.

KPI 8.3 The advocacy agency operates independently and is structured in such a way that it is as free as possible from conflicts with other service provision and the interests of each person with disability.

Supporting evidence:

Policies include conflict of interest and the importance of staff, committee members and advocates declaring any potential conflict of interest.

A conflict of interest register has been established with one entry made.

Consumer Technical expert and client feedback

Files reviewed generally contained the information required but some variation was noted depending on the age of the file.
It is recognised that paperwork for files had been updated with newer files containing more up to date documentation. We will review progress on this

	<p>during our next audit.</p> <p>Several people interviewed commented that they had seen an improvement in the professionalism of the organisation with the introduction of the quality management systems and processes. The new handbooks for protégés and citizen advocates were well received by those interviewed.</p>
Strengths	<ul style="list-style-type: none"> Although there is still some progress to be made, the work done to date in developing clear policies, procedures, handbooks and documentation has been excellent. Citizen Advocates commented that they had noticed the improvement in the professionalism of the organisation.
Opportunities for Improvement	<ul style="list-style-type: none"> When the content of documents change, ensure the date is also updated (e.g. policy 10 updated since the stage 1 audit but still had an October 2012 date). Consider having an overall index at the front of the policy manual to make it easier to know the full content and find relevant sections. Consider adding the completion of the annual self-assessment to the audit schedule. Consider removing 'completed' action items from the list for the following meetings to keep a clearer focus on what still needs to be done. The record of completed items could be moved to a separate file or moved to the end of the listing. The next audit will review updates to the risk register and evidence that progress against key result areas and objectives is monitored. The fact that the agency has 1.8 EFT staff is a risk in itself (loss of knowledge and local contacts) and the organisation is encouraged to include this on the register. Procedures did not clearly define the type of documentation that should be completed for advocates and protégés. It is suggested that this be documented to ensure consistency.
Non conformities (if applicable)	N/A

<p>STANDARD 9: STAFF, RECRUITMENT, EMPLOYMENT & TRAINING</p> <p>Each person who has an employment or volunteer relationship with the advocacy agency has appropriate skills and competencies.</p>	Recommended rating
	2

<p>KPI 9.1 The advocacy agency ensures that its staff have relevant skills and competencies.</p>	2
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<p>Supporting evidence:</p> <p>Policy 9 in the policy handbook outlines key processes and procedures for staff and volunteers (includes board members).</p> <p>Position descriptions are in place for the program coordinator and administrative assistant. These</p>
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outline the primary duties and responsibilities in addition to performance tasks and specific selection criteria. Process documentation also includes a detailed application process, an annual performance appraisal, development plan and new staff/committee member induction checklist.

A file was viewed for one board member. This included the police check, signed code of conduct, position description, induction checklist were on file. This person had been employed for a long time.

The files for the program coordinator and administrative assistant were viewed. Both included the code of conduct, induction checklist, confidentiality pledge, drivers licence, Working with Children Check and permission form for media publication. The coordinators file included the professional development record but this was not in place for the administrative assistant. The administrative assistant's file included the police check. Evidence that the application for police check had been lodged was viewed for the coordinator.

Files were viewed for all board members. Each contained: a signed code of conduct, induction checklist, police check (or evidence of submission – 1 file), consent forms, position descriptions, medial permission forms and a signed confidentiality pledge.

KPI 9.2 The advocacy agency provides opportunities for the appropriate and continuing training and skills development for each staff member.

2

Supporting evidence:

From evidence viewed on the file, the coordinator had attended a range of training over the past two years. Discussions with staff indicated that they had many opportunities for training and development (so many that they couldn't attend them all). The board were very supportive of staff training and development.

<p>Consumer Technical expert and client feedback</p>	<p>Feedback from citizen advocates and protégé's stated they felt that staff at Citizen Advocacy Sunbury were competent at their roles and supportive to their needs with no suggestions for further training they may require.</p> <p>Citizen Advocates reported receiving information on the service and what their role would be as a citizen advocate by going through an induction process which involved an advocate orientation to ensure they were appropriate for the program. Strong feedback was received regarding this process and how well prepared the citizen advocates felt after undertaking it.</p>
<p>Strengths</p>	<p>-</p>
<p>Opportunities for Improvement</p>	<ul style="list-style-type: none"> • The development record/training log should be kept for the administrative assistance to track the training completed. • Although the performance review forms part of the process, this has not yet been completed for staff. • Board member training is generally captured in meeting minutes. Consider whether a training log should be maintained by the board to capture training relevant to Citizen Advocacy SA or board member roles. E.g. 3 committee members attended Governance Training.
<p>Non conformities (if applicable)</p>	<p>N/A</p>

<p>STANDARD 10: PROTECTION OF HUMAN RIGHTS & FREEDOM FROM ABUSE</p> <p>The advocacy agency acts to prevent abuse and neglect and to uphold the legal and human rights of each person with disability.</p>	<p>Recommended rating</p> <p>2</p>
<p>KPI 10.1 The advocacy agency takes all practical and appropriate steps to prevent abuse, neglect and discrimination of each person with disability.</p>	<p>2</p>
<p>Supporting evidence:</p> <p>Policy 10 outlines the policy and procedures for the protection of human rights and freedom from abuse. Examples of specific rights and protection from abuse are included in the policy. The policy also makes reference to the United Nations Declaration of Human Rights, the Disability Discrimination Act and Social Role Valorisation Theory.</p> <p>The protégé handbook includes information for protégés about the protection from human rights and freedom from abuse. It includes some plain English examples such as protégés feeling safe and protected, being able to speak up about what you think and being treated the same as everyone else.</p> <p>The code of conduct (October 2012) includes information on Human Rights as part of their principles and values. It also includes respect, impartiality, accountability, integrity and leadership.</p> <p>The importance of protecting the vulnerability of the protégé was raised by staff, committee members and advocates, as a key aspect of Citizen Advocacy.</p>	
<p>KPI 10.2 The advocacy agency upholds and promotes the legal and human rights of each person with disability.</p>	<p>2</p>
<p>Supporting evidence:</p> <p>Citizen Advocacy Sunbury has copies of the UN Convention of rights for people with disabilities and the Disability Discrimination Act.</p> <p>From feedback received (citizen advocates and protégés) it was evident that there was a strong focus on ensuring the legal and human rights of individuals was promoted and upheld. Examples of this included newspaper articles, the web site, policies and procedures and training (initial and ongoing) provided to citizen advocates.</p>	
<p>Consumer Technical expert and client feedback</p>	<p>Protégés and citizen advocates reported feeling safe and secure when dealing with Citizen Advocacy Sunbury and reported never having a worry with the service regarding their rights.</p> <p>Feedback from protégé's stated that Citizen Advocacy Sunbury were actively involved with helping them and their citizen advocates speak up for their rights within the community.</p> <p>Citizen advocates also stated receiving assistance from Citizen Advocacy Sunbury to help uphold their protégé's rights.</p>

	<p>From the evidence gathered during the audit the Citizen Advocacy Sunbury is suggested to be a safe and secure environment for their clients.</p> <p>Staff showed active involvement and enthusiasm to provide a safe and healthy environment within their organisation and outside in the community, safe from abuse and neglect for their protégés and citizen advocates.</p>
Strengths	<ul style="list-style-type: none"> The promotion of the rights of people with disabilities was excellent. Advocates and protégés all felt that they were strongly supported in regards to ensuring the rights were upheld.
Opportunities for Improvement	N/A
Non conformities (if applicable)	N/A

Rating Scale

Auditors are required to assess a service provider's performance against each of the ten National Disability Advocacy Standards using the following rating scale. A Standard is to be rated the same as the lowest rating of any of its associated Key Performance Indicators (KPI's).

RATING SCALE TO BE USED

Type	Explanation	Rating
Major Non-conformity	<p>The requirements of a KPI associated with a Disability Advocacy Standard are not met, or the outcome is ineffective. A number of related non conformities may also constitute a major non conformity.</p> <p>A major non conformity must be closed out before certification or expiry of certification.</p> <p>In the instance of a major non conformity:</p> <p>a) Verification of effective corrective action shall require a follow-up visit by the certification body within three months. If the service is already certified, evidence of a corrective plan shall be presented to the certification body within 5 working days and require reassessment within three months.</p> <p>b) Failure to action the major nonconformity within three months, or take action sufficient to downgrade the major nonconformity to a non conformity, shall result in automatic suspension of certification.</p>	0
Non-conformity	<p>The requirements of a KPI associated with a Disability Advocacy Standard are not fully met, or the outcome is only partly effective.</p> <p>A non conformity must be closed out before certification.</p> <p>In the instance of a non conformity:</p> <p>a) Verification of effective corrective action shall require a follow-up visit by the certification body within six months. If the service is already certified, evidence of a corrective plan shall be presented to the certification body within 5 working days and require reassessment within six months.</p> <p>b) Failure to action nonconformities within six months may lead to the nonconformity being upgraded to a major nonconformity, and in addition, a major nonconformity may be raised against service provider's corrective action process. Unsatisfactory outcome from a surveillance audit will require the original certification decision to be reconsidered and may result in certification suspension or withdrawal procedures being invoked.</p>	1
Conformity	<p>The requirements of a KPI associated with a Disability Advocacy Standard are met.</p>	2
Notifiable issue	<p>Evidence or allegations of a serious health, safety or abuse risk, financial impropriety and/or professional misconduct.</p>	

Opportunities for Improvement do not prevent certification, but should be considered carefully and addressed where possible to ensure conformity is not compromised in the future. Opportunities for improvement however shall not make specific recommendations.

Action required: Client may develop and implement solutions in order to add value to operations and management systems. SAI Global may follow up opportunities for improvement to confirm that they have been considered by the organisation.

Protocol for notifiable issues is as follows – if during an audit, the audit team comes across evidence or specific allegations of a serious health, safety or abuse risk, financial impropriety and/or professional misconduct, the certification body's auditors shall record the details of the disclosure, allegation or witnessed event; immediately notify the service provider's manager (unless there is justifiable reason for not doing so), and FaHCSIA. The certification body is not responsible for resolving the issue. Certification cannot proceed until the Department advises the certification body that the notifiable issue has been resolved.

