



Australian Government

Workforce
Australia

Quality Assurance Framework

Guidance Note - Application to be approved as a Conformity Assessment Body on the Department's Quality Auditor List

Version History

A full version history of this document can be found below.

Version	Date	Summary of changes
0.1	14 June 2022	Initial document
0.2	1 July 2022	Updated to reflect Department name change
0.3	1 December 2022	Updated department email address. Made changes to reflect change from 'weeks' to 'business days'.

Contents

Quality Assurance Framework	3
Quality Standards.....	3
Quality Standard Auditors.....	3
Quality Principles	3
Types and scope of Quality Principles Audits	4
Conducting Quality Principles Audits	4
Department approved Quality Principles Quality Auditors List	4
Eligibility.....	4
Inclusion on the Quality Auditors List	4
Contractual arrangements with Providers.....	5
Costs.....	5
Conflict of Interest	5
Lodgement of Application.....	6
Instructions for execution and return of Deed	6
Publication of the Department Approved Quality Principles Quality Auditors List	7
Further information	7
Appendix A: Quality Principles Quality Auditor Application	8
Appendix B: Quality Principles Quality Auditor Deed Particulars	1
Appendix C: Quality Principles Quality Auditor Deed	9
Appendix D: Schedule 1 – Deed and CAB Details to the Deed.....	1

Quality Assurance Framework

Note

All capitalised terms in this document have the same meaning as in the Quality Principles Quality Auditor Deed (the Deed) unless otherwise specified.

The Quality Assurance Framework (QAF) sets out the minimum standards of quality for Workforce Australia Services Providers (Providers), ensuring their policies and processes support continuous improvement and quality service delivery.

To obtain QAF Certification, Providers must:

- achieve Certification against one of the 2 approved Quality Standards, and
- demonstrate adherence to the Department of Employment and Workplace Relations (the Department) 7 Quality Principles.

QAF Certification is valid for 3 years, subject to a Provider maintaining Certification against both the Quality Standards and the Quality Principles.

QAF Certification will only be granted where the Provider has:

- provided the Department with evidence of Quality Standards Certification, and
- achieved Certification against the Quality Principles.

Providers must obtain a QAF Certificate no later than 9 months after any Head Licence Start Date, unless otherwise Notified by the Department, and maintain the currency of the Certificate for the duration of the Head Licence Term.

Quality Standards

Providers must choose one of the following Quality Standards to be certified against as part of their Certification under the QAF:

- **ISO 9001** - the international standard for a quality management system of that name issued by the International Organization for Standardization (available at <https://www.iso.org/iso-9001-quality-management.html>).
- **National Standards for Disability Services (NSDS)** - the National Standards for Disability Services as published by the Commonwealth (available at <https://www.dss.gov.au/our-responsibilities/disability-and-carers/standards-and-quality-assurance/national-standards-for-disability-services>).

Note

A Provider must be delivering Disability Employment Services (DES) if using NSDS for QAF Certification.

Quality Standard Auditors

A Provider must engage a Conformity Assessment Body (CAB) that has been accredited by the Joint Accreditation Scheme of Australia and New Zealand (JAS-ANZ) to undertake an ISO 9001:20015 or NSDS Audit.

A Provider may use a different CAB for its Quality Standards Audit to the CAB that is used for its Quality Principles Audit.

Quality Principles

There are 7 Quality Principles:

1. Governance
2. Leadership
3. Staff
4. Participants
5. Labour market, Employers and Community
6. Operational effectiveness
7. Continual improvement

Each of the Quality Principles is underpinned by a set of Key Performance Measures (KPMs), containing Practice Requirements (PRs) that a Provider must meet to demonstrate conformance with the KPM. The KPMs and PRs are included in the Quality Assurance Framework Guidance for Conformity Assessment Bodies document (the Guidance).

Types and scope of Quality Principles Audits

Audit Type	Description
Certification audit	<ul style="list-style-type: none"> Initial audit All KPMs and Practice Requirements must be audited.
Recertification audit	<ul style="list-style-type: none"> Conducted every 3 years All KPMs and Practice Requirements must be audited.
Surveillance audit	<ul style="list-style-type: none"> Conducted annually in between the certification and recertification audits. The following must be audited <ul style="list-style-type: none"> 50 per cent of the Practice Requirements (refer Attachment A) any non-conformances identified in the Certification or Recertification audit any other Practice Requirements, as identified by the Department.
Extraordinary audit	<ul style="list-style-type: none"> Conducted where requested by the department The scope of an Extraordinary Audit will be determined by the Department on a case-by-case basis and will be targeted to a specific aspect, or aspects, of the Quality Principles.

Conducting Quality Principles Audits

Auditor	Description
Quality Auditor Audits	Providers that are not audited by the Department must engage a Department approved CAB to undertake Quality Principles Audits.
Department led Audits	<p>Suitably trained Departmental Officers may conduct Quality Principles Certification, Recertification and Surveillance Audits on certain Providers at the Department's discretion.</p> <p>Providers selected for Department led audits will be advised no later than 40 business days prior to the proposed audit.</p>

Department approved Quality Principles Quality Auditors List

Eligibility

To be considered for inclusion on the Department approved Quality Principles Quality Auditors List (the Quality Auditor List), a CAB must be currently accredited with JAS-ANZ to undertake an ISO 9001 or NSDS Audit.

Appointment to the Quality Auditor List does not guarantee Providers will engage the CAB for any Quality Principles Audits or any volume of Quality Principles Audits.

The Department will only accept a proposal from a foreign company if it is registered under Part 5B.2, Division 2, of the *Corporations Act 2001 (Cth)*.

Inclusion on the Quality Auditors List

Eligible Applicants will be included on the Quality Auditor List once they have been assessed as meeting the Conditions for Participation and have entered into the Deed with the Department.

The terms of the Deed are not negotiable. A copy of the Deed is on the Department's website with the Application and must be signed and returned to the Department, as part of the Application process, in accordance with the instructions below. If your Application is accepted by the Department, the Department will execute the Deed.

Note

The Department reserves the right not to execute the Deed and makes no representations that it will accept the organisation's Application or approve the organisation as a Conformity Assessment Body on the Quality Auditor List

The Deed provides that the Department may issue the Guidance, which forms part of the Deed. The Guidance is provided as part of this application process. Other supporting QAF documents will be made available to approved CABs and Quality Auditors via the GovTeams platform.

CABs included on the Quality Auditor List will be required to:

- ensure that any relevant Personnel and Subcontractors attend and/or undertake any training and information sessions as specified in the Guidance or as otherwise Notified by the Department, including passing any assessment to the Department's satisfaction, prior to conducting Quality Principles Audits;
- ensure that any relevant Personnel and Subcontractors have the appropriate auditing experience, skill and/or qualification;
- ensure that any relevant Personnel and Subcontractors have a sufficient understanding of the Quality Principles and the Workforce Australia Services required to be delivered by Providers to effectively and efficiently conduct Quality Principles Audits;
- provide to the Department information related to the Deed, and comply with all the Department's requests and directions related to the Deed;
- maintain the Required Accreditation;
- maintain its expertise, capacity and capability to provide Quality Principles Audits, as specified in its Application;
- effect and maintain, or cause to be effected and maintained, the insurances specified in the Deed;
- conduct Quality Principles Audits and produce Quality Principles Reports in accordance with the Deed and Guidance, to a high professional standard, in line with all relevant professional codes of conduct, and based on valid, current and authentic evidence.

Contractual arrangements with Providers

Providers may request a Quality Principles Audit from any CAB on the Quality Auditor List as and when required. The engagement of a CAB from the Quality Auditor List is entirely a matter for the Providers.

The terms of any contract between a Provider and a CAB, including payments terms, for a Quality Principles Audit is a matter for agreement between those parties. However, Applicants should be aware that the Deed requires that certain conditions are included in any contract between a CAB and Provider, including a right of termination where the CAB's Deed with the Department is terminated.

Further, the Workforce Australia Deed of Standing Offer 2022 – 2028 requires the Provider to meet certain obligations in relation to engaging CABs. Those obligations include ensuring that in any relevant contract, CABs are required to provide all information and assistance to the Department, as requested by the Department, in relation to Quality Principles Audits.

Costs

All costs of applying and participating on the Quality Auditor List must be met by the CAB.

The Provider is responsible for its audit costs, including the close out of non-conformances.

Conflict of Interest

Applicants must notify the Department of any Conflict in accordance with the declaration included in the Application.

Conflict means an actual, potential or perceived conflict between any interest of the Applicant and the performance of the Applicant's obligations under the Deed, including any interest that may interfere with or restrict the applicant in performing those obligations fairly and independently.

If a Conflict exists at the time of Application, the Department may, at its absolute discretion:

- exclude the Application from further consideration, or
- impose conditions on the CAB for the management of the Conflict.

If the Applicant is unable or unwilling to comply with the conditions imposed or otherwise resolve the Conflict in a manner satisfactory to the Department, the Department may exclude the Application from further consideration.

There are also ongoing requirements under the Deed in relation to Conflicts that a CAB must adhere to.

Lodgement of Application

The Department will assess Applications for inclusion on the Quality Auditor List on an ongoing basis until 2 March 2028. The Department will endeavour to finalise assessment of Applications within 10 business days of receipt of the Application.

Applications will be assessed on whether they meet or do not meet the relevant requirements.

The Application package included with this *Guidance Note - Application to be approved as a Conformity Assessment Body on the Department's Quality Auditor List* ('Guidance Note') contains:

1. the Application to be approved as a Conformity Assessment Body on the Department's Quality Auditor List form (at Appendix A to this Guidance Note);
2. the Particulars (at Appendix B to this Guidance Note);
3. the Deed (at Appendix C to this Guidance Note); and
4. Schedule 1 – Deed and CAB Details to the Deed (at Appendix D to this Guidance Note).

To apply for inclusion on the Quality Auditor List, the Applicant must:

1. complete and submit the Application form to ESQAF@dewr.gov.au;
2. review and understand the Deed;
3. in Schedule 1 – Deed and CAB Details to the Deed (Appendix D), complete the CAB Contact Person details in item 2 and, where relevant, any Subcontractor details in item 3 and submit the completed Schedule to the Department in accordance with the below instructions; and
4. properly sign the Deed and submit 2 copies to the Department in accordance with the below instructions.

Instructions for execution and return of Deed

Two copies of the Deed must be properly signed by the person(s) with authority to bind the Applicant's organisation in accordance with the rules of the Applicant's organisation and relevant legislation.

To properly sign the Deed, the person(s) must apply their signature in the execution block relevant to the Applicant's organisation in the Particulars (Appendix B) and cross out each of the other execution blocks.

If the Applicant's organisation is registered under the Corporations Act 2001 (Cth), you have the option of signing the Deed electronically. Where you choose this option, please advise the Department of the method by which the Applicant's organisation will electronically execute the Deed and the names and roles of the individuals signing.

Please ensure that you **do not date** the 2 signed copies of the Deed (Appendix B), as the Department will insert the date upon execution by the Department.

Once 2 hard copies of the Deed (Appendix B) have been properly signed by the Applicant's organisation, return the 2 original signed copies and the completed Schedule items referred to above (Appendix D) to the postal address below, or, if signing electronically, to ESQAF@dewr.gov.au. The Department's postal address is:

*Attention: Director, Quality Assurance Framework Team
Department of Employment and Workplace Relations
Location Code: C12MR6
GPO Box 9828
CANBERRA ACT 2601*

If your Application is accepted by the Department, the Department will then execute and date each hard copy of the Deed and will forward one original copy to your organisation for its records.

Note

The Department reserves the right not to execute the Deed and makes no representations that it will accept the organisation's Application or approve the organisation as a Conformity Assessment Body on the Quality Auditor List

Publication of the Department Approved Quality Principles Quality Auditors List

The Applicant must agree to the publication of their legal name, trading name, ABN/ACN, address, contact position, telephone number, email address on the Department's Provider Portal if their Application is accepted.

Further information

Requests for further information regarding the Application process, the QAF or the Quality Principles should be submitted in writing to ESQAF@dewr.gov.au

Appendix A: Quality Principles Quality Auditor Application

Please refer to the electronic copy of the Quality Principles Quality Auditor Application located on the [Department's website](#).

Appendix B: Quality Principles Quality Auditor Deed Particulars



Australian Government

**Department of Employment
and Workplace Relations**

Quality Principles Quality Auditor Deed

between

The Commonwealth of Australia

and

«Fin_V_Legal_Contracting_Name»

Quality Principles Quality Auditor Deed

THIS DEED is made on the day of 2022

BETWEEN

THE COMMONWEALTH OF AUSTRALIA (the **Commonwealth**) as represented by the **DEPARTMENT OF EMPLOYMENT AND WORKPLACE RELATIONS** (ABN 96 584 957 427) (the **Department**)

AND

«**Fin_V_Legal_Contracting_Name**» of «**Provider_Physical_Address_Line_1**» (the **Conformity Assessment Body** or **CAB**)

(collectively, '**the Parties**')

RECITALS

- A. The Parties have agreed to enter into the Quality Principles Quality Auditor Deed referred to hereafter as 'the Deed'.
- B. The Deed consists of:
- (a) these Particulars;
 - (b) clauses 1 to 39 of the Deed;
 - (c) any annexures and attachments to the Deed;
 - (d) SCHEDULE 1 – DEED AND CAB DETAILS;
 - (e) ATTACHMENT 1 – DEFINITIONS to the Deed;
 - (f) the Guidance; and
 - (g) any documents incorporated by reference.
- C. The CAB has fully informed itself on all aspects of the work required to be conducted and agrees that:
- (a) by entering into the Deed, the Commonwealth appoints the CAB to the Quality Auditor List; and
 - (b) if contracted by a Provider, the CAB will conduct Quality Principles Audits, produce Quality Principles Reports and otherwise act in accordance with the Deed.

OPERATIVE PROVISIONS

Interpretation

1. This document (Particulars) forms part of the Deed.
2. Unless otherwise specified, all capitalised terms in these Particulars have the meaning given to them in ATTACHMENT 1 – DEFINITIONS to the Deed.

Identification, authority and liability – where the CAB consists of two or more legal entities

3. If the CAB is:
- (a) a partnership, the partner which executes these Particulars warrants that it is authorised to bind all of the partners in the partnership; or
 - (b) a member of a Group Respondent, the lead member which executes these Particulars warrants that all other members of the Group Respondent are listed in Table 2 below, and further warrants that it is fully authorised by each member of the Group Respondent to act as its agent to negotiate, bind and act on its behalf in relation to the Deed,

and the partners, if the CAB is a partnership, or each member of the Group Respondent, if the CAB is a Group Respondent, agree that the CAB may, for the purposes of the Deed, be referred to by the name in Table 1 below:

Note: 'Group Respondent' means a group of two or more entities, however constituted, other than a partnership, which have entered into an arrangement for the purposes of jointly entering into the Deed, and which may have appointed a lead member of the group with authority to act on behalf of all members of the group for the purposes of this Deed, as specified in these Particulars.

Table 1 - CAB Name

Name of legal entity	ABN

Table 2 - CAB members, if the CAB is a Group Respondent [see clause 3(b)]

Name of legal entity	ABN

Note: In relation to:

- *clause 3(a), the authorised partner should execute these Particulars; and*
- *clause 3(b), the lead member of the Group Respondent should execute these Particulars.*

EXECUTED by the Parties as a deed on the date above.

EXECUTED AS A DEED for and on behalf of:

THE COMMONWEALTH OF AUSTRALIA represented by the **Department of Employment and Workplace Relations (ABN 96 584 957 427)** by:

(Printed Name)

(Signature)

(Position)

In the presence of:

(Printed Name)

(Signature)

Please use the execution block that is relevant for your organisation and cross out the other execution blocks.

Signature block for a Corporations Act company where there are either two directors or a director and a secretary

EXECUTED for and on behalf of «Insert
Conformity Assessment Body legal name
and ABN » in accordance with the)
requirements of section 127(1) of the)
Corporations Act 2001 by:)

Name of Director who states that they
are a director of «Insert Conformity
Assessment Body legal name and ABN »

Signature

and by

Name of Director/Secretary [delete
position as appropriate] who states that
they are a company secretary/director
[delete position as appropriate] of
«Insert Conformity Assessment Body
legal name and ABN »

Signature

Signature block for a Corporations Act company acting as a trustee where there are either two directors or a director and a secretary:

EXECUTED for and on behalf of «Insert
Conformity Assessment Body legal name
and ABN » in accordance with the
requirements of section 127(1) of the
Corporations Act 2001 by:

Name of Director who states that they
are a director of «Insert Conformity
Assessment Body legal name and ABN »

Signature

and by

Name of Director/Secretary [delete
position as appropriate] who states that
they are a company secretary/director
[delete position as appropriate] of
«Insert Conformity Assessment Body
legal name and ABN »

Signature

Signature block for a sole director Corporations Act company who is also the sole company secretary for a proprietary Corporations Act company:

EXECUTED for and on behalf of «Insert
Conformity Assessment Body legal name
and ABN » in accordance with the
requirements of section 127(1) of the
Corporations Act 2001 by:

Name of sole Director and Secretary who
states that they are the sole director and
sole company secretary of «Insert
Conformity Assessment Body legal name
and ABN »

Signature

Signature block for a sole director for a proprietary Corporations Act company that does not have a company secretary:

EXECUTED for and on behalf of «Insert
Conformity Assessment Body legal name
and ABN » in accordance with the
requirements of section 127(1) of the
Corporations Act 2001 by:)
)
)

Name of sole Director who states that
they are the sole director of «Insert
Conformity Assessment Body legal name
and ABN »

Signature

Signature block for a Corporations Act company where a common seal is used:

EXECUTED for and on behalf of «Insert)
Conformity Assessment Body legal name)
and ABN » in accordance with the)
requirements of section 127(2) of the)
Corporations Act 2001 by: [Seal Affixed]

Name of Director *Signature*

and by

Name of Director/Secretary *Signature*

Signature block for an incorporated association:

SIGNED, SEALED and DELIVERED for and
on behalf of «Insert Conformity)
Assessment Body legal name and ABN »)
by:)

Name of Committee member

Signature

In the presence of:

Name of witness

Signature of witness

and by

Name of Committee member

Signature

In the presence of:

Name of witness

Signature of witness

Signature block for an incorporated association where a common seal is used:

The COMMON SEAL of «Insert
 Conformity Assessment Body legal name
 and ABN » the fixing of which was
 witnessed in accordance with its
 Constitution by:)
)
) [Seal Affixed]

 Name of Committee member

Signature

In the presence of:

 Name of witness

Signature of witness

and by

 Name of Committee member

Signature

In the presence of:

 Name of witness

Signature of witness

Signature block for an incorporated association acting as a trustee:

SIGNED, SEALED and DELIVERED for and
on behalf of «Insert Conformity)
Assessment Body legal name and ABN »)
by:)

Name of Committee member

Signature

In the presence of:

Name of witness

Signature of witness

and by

Name of Committee member

Signature

In the presence of:

Name of witness

Signature of witness

Signature block for a natural person (individual):

SIGNED, SEALED and DELIVERED by:)

)

_____)

Name of signatory

Signature

In the presence of:

Name of witness

Signature of witness

Signature block for other incorporated entities (including incorporated associations which are incorporated under a State Act and incorporated charitable institutions):

SIGNED, SEALED and DELIVERED for and on)
behalf of «Insert Conformity Assessment)
Body legal name and ABN » by:)
)

Name of authorised officer

Signature

who by signing warrants that he/she has
authority to bind «Insert Conformity
Assessment Body legal name and ABN »

In the presence of:

Name of witness (print)

Signature of witness

Signature block for a local council:

SIGNED, SEALED and DELIVERED for and
on behalf of «Insert Conformity)
Assessment Body legal name and ABN »)
by:)

Name of signatory

Signature

by the authority of the Council

In the presence of:

Name of witness

Signature of witness

Signature block for an Aboriginal and Torres Strait Islander Corporation where a common seal is used and there are two directors or a director and a secretary:

The COMMON SEAL of «Insert
Conformity Assessment Body legal name
and ABN » the fixing of which was
witnessed in accordance with the
requirements of section 99-5(2) of the
*Corporations (Aboriginal and Torres
Strait Islander) Act 2006* by:

[Seal Affixed]

Name of Director

Signature

and by

Name of Director/Secretary

Signature

Signature block for an Aboriginal and Torres Strait Islander Corporation where a common seal is used and the corporation has only one director:

The COMMON SEAL of «Insert
Conformity Assessment Body legal name
and ABN » the fixing of which was
witnessed in accordance with the
requirements of section 99-5(2) of the
*Corporations (Aboriginal and Torres
Strait Islander) Act 2006* by:

[Seal Affixed]

Name of Sole Director

Signature

Signature block for an Aboriginal and Torres Strait Islander Corporation where a common seal is not used and there are two directors or a director and a secretary:

EXECUTED for and on behalf of «Insert
Conformity Assessment Body legal name
and ABN » in accordance with the
requirements of section 99-5(1) of the
*Corporations (Aboriginal and Torres
Strait Islander) Act 2006* by:

Name of Director

Signature

and by

Name of Director/Secretary

Signature

Signature block for an Aboriginal and Torres Strait Islander Corporation where a common seal is used and the corporation has only one director:

EXECUTED for and on behalf of «Insert)
Conformity Assessment Body legal name)
and ABN » in accordance with the)
requirements of section 99-5(1) of the)
Corporations (Aboriginal and Torres
Strait Islander) Act 2006 by:

Name of Sole Director

Signature

Signature block for State or Territory government:

SIGNED, SEALED and DELIVERED for and)
on behalf of «Insert Conformity)
Assessment Body legal name and ABN »)
by:)

Name of Delegate

Signature

In the presence of:

Name of witness

Signature of witness

Signature block for a sole director Corporations Act company acting as a trustee:

EXECUTED for and on behalf of «Insert
Conformity Assessment Body legal name
and ABN » in accordance with the
requirements of section 127(1) of the
Corporations Act 2001 by:)
)
)

Name of Sole Director who states that
they are the sole director of «Insert
Conformity Assessment Body legal name
and ABN »

Signature

Signature block for a Corporations Act company where a common seal is used and the company is acting as a trustee:

EXECUTED for and on behalf of «Insert
Conformity Assessment Body legal name
and ABN » in accordance with the
requirements of section 127(2) of the
Corporations Act 2001 by:)
)
) [Seal Affixed]

Name of Director *Signature*

and by

Name of Director/Secretary *Signature*

Appendix C: Quality Principles Quality Auditor Deed

Please refer to the electronic copy of the Quality Principles Quality Auditor Deed located on the [Department's website](#).

Appendix D: Schedule 1 – Deed and CAB Details to the Deed

SCHEDULE 1 – DEED AND CAB DETAILS

Item 1 Department Contact Person (clauses 12.2 and 39.1(a)(ii), ATTACHMENT 1 - DEFINITIONS)

Position	Director
Telephone	02 6121 5055
Email	ESQAF@dewr.gov.au
Physical Address	12 Moore Street Canberra ACT 2601
Postal Address	Department of Employment and Workplace Relations C12MR6 GPO Box 9828 Canberra ACT 2601

Item 2 CAB Contact Person (clauses 12.2 and 39.1(a)(ii), ATTACHMENT 1 - DEFINITIONS)

Position	
Name	
Telephone	
Email	
Physical Address	
Postal Address	

Item 3 Subcontractors (clause 25.3, ATTACHMENT 1 - DEFINITIONS)

Name	Address	ABN