



Office of Fair Trading Qld Incorporated Association AI60060 Blue Card Registered Organisation ID 1030694

ABN 90 746 958 129 ACNC Registered Charity ATO Endorsed Deductible Gift Recipient

ADMINISTRATOR IS A REGISTERED NDTF TRAINER ASSESSOR NO 06791

PAWSOME ASSISTANCE DOGS INC COMPLIANCE AND VALIDATION POLICY

You are required to read, understand and sign this document. DO NOT SIGN IT if you do not understand it, or are not prepared to abide by it. If you cannot accept this Policy, you are not eligible to be registered with PAD.

PART B

Registered Handler Compliance and Validation Policy

PREAMBLE

"Compliance obligations can arise from mandatory requirements, such as applicable laws and regulations affecting the Association or Assistance Dogs/Teams, or voluntary commitments, such as organizational and industry standards, contractual relationships, Codes of Practice and Agreements with either Registered Handlers or Committee Members, or with other community entities, businesses, or individuals the Association may choose to interact with in an official capacity.

A professional and comprehensive compliance and validation policy protects the Association, its volunteers and Handler Teams, through due diligence processes that prevent or intercept breaches to standards, policies, and procedures, and addresses any behaviours that may bring the Association and / or Teams into disrepute or threaten the Association's stability or longevity through il/legal actions.

Validation involves checking that the assessment tool/s produce/s valid, reliable, sufficient, current, and authentic evidence to enable reasonable judgements to be made as to whether the requirements of the Association and of the Registered Handlers and their Assistance Dogs have been reasonably and appropriately met."

DATE

SIGNATURE

This Compliance Policy involves two processes

1. "Validation". The assurance that a product, service, or system meets the needs of the Association and other identified stakeholders. It often involves an external process, be that Regulatory Bodies or and Independent Assessment.
2. "Verification". The evaluation of whether or not a product, service, or system complies with a regulation, requirement, specification, or imposed condition. It is often an internal process and is generally covered by the Executive Committee ensuring the Policies and Procedures of the Association are met and maintained, in consultation with and accountability to the General Committee.

Parties to this Compliance Validation Policy include the regulatory bodies governing incorporated and charitable organisations, the legal and other requirements affecting Assistance Dog Teams functioning in public access environments, the Association's own Policies, Procedures and Governing documents, and the Association's Public and Volunteer Insurance Policies.

COMPLIANCE ASSESSMENT TOOLS

Assessment tools may include but are not limited to: -

1. Industry Reporting Procedures
2. Annual Review of Policies and Procedures
3. Additions, or removal of By-Laws, as appropriate on the recommendation and approval of the Committee
4. Annual audits of processes and procedures
5. On-going monitoring of processes, policies, Standards and Teams
6. Compliance Surveys: -
 - a. Compliance Knowledge Survey
The Compliance Knowledge Survey can measure a Handler's knowledge and understanding of the Policies and Procedures of the Association
 - b. Compliance Culture Survey
The Compliance Culture Survey assesses perceptions and attitudes towards compliance in organization either by Handlers, to gain a better sense of how individuals feel about their own roles and the organization.
 - c. Confidential Responses
Compliance Surveys are an effective way to collect valuable feedback from individuals and gain honest feedback. Surveys could be emailed directly to the person.
7. Robust Reporting, Analysis and Peer review of all decisions made by the Executive and General Committee to ensure a standard of accountability, and verification of all processes and procedures involved in the operations of the Association and the administration of the Registered Handler Teams.
8. Independent Assessment and validation of the Public Access Standards of Handler Teams.

DATE

SIGNATURE

9. Monitoring and review of the Standards of Behaviour of all Handlers, against the Code of Conduct, Safeguarding Vulnerable Persons Policy, Handler Agreement, Public Access Standards, and all other relevant policies and procedures in relation to their initial and ongoing registration

PART B

REGISTERED HANDLER COMPLIANCE AND VALIDATION POLICY

COMPLIANCE: -

Affiliated and Registered Handlers are not members of the Association. They are Registered with the Association for Certification, Training, Assessment and Support.

Registered Handlers are required to sign and agree to maintaining compliance with all Registered Handler Team standards, policies, and procedures.

1. At initial Registration and at Annual Renewal, Handlers are required to sign and agree to comply with the Code of Conduct, the Safeguarding Vulnerable Persons Policy, the Handler Agreement, all By-Laws, and all other Policies and Procedures in relation to being a registered Handler with PAWSOME ASSISTANCE DOGS. Payment of fees is a verification of agreement with all these standards. Handlers not maintaining compliance with any or all of the standards, policies and procedures may be de-registered at the Executive's discretion, without appeal or explanation.
2. Handlers are required to bring their Assistance Dog to Public Access standard (PASA) within a minimum period of two years or face deregistration.
3. Any Team, whose dog is three years or older, or has been with the Association for more than three years with that dog, should be at PASC standard. If the Team (Handler and Dog) has not reached PASC standard by this time, the Executive reserves the right to de-register the Team without appeal or explanation.
4. Handlers are required to meet and maintain standard of the Standards, policies and procedures of the Association, and the Public Access Standards for their dog, or risk de-registration.
5. All Public Access Training or Certified Teams are to be reviewed three times per year.
6. Handlers must maintain active contact with the Association. Both Handlers who do not have access to face-to-face meetings, and those who do, are to provide regular photos and videos of their dog Public Access working, or training. **Distance Teams are required to provide monthly videos of their dog complete all standards in the detailed assessment. All Handlers are required to have a minimum of eight active contacts with the Association per year to maintain registration.**

DATE

SIGNATURE

7. **ALL Handlers are required to create a digital journal of their training photos and videos, and demonstrate all of the detailed assessment standards. These journals need to regularly and consistently maintained in order to be in compliance. At a minimum the Administrator and Secretary are to have access to the digital journal.**
8. Handlers who have been accepted for registration on the basis of a probationary exemption of their dog in relation to the Accepted and Recommended Dogs and Breeds Policies, must be assessed as meeting standards of training, obedience, relationship, and potential to reach and maintain Public Access Standards to have their registration maintained or renewed. It is compulsory for these Teams to be part of the Public Access Certification Validation process when the Executive sets a time and place for these to be held. **Distance Teams will be required to arrange and pay for, and authorised Trainer in their own area, in consultation with the Association, to provide verification of the Assessment.**
9. In relation to Public Access Standards Assessment - TRAINING (PASA), PUBLIC ACCESS STANDARDS TEST (PAST), and the 3-year certification PUBLIC ACCESS STANDARDS CERTIFICATION (PASC) - the Handler must demonstrate both the Handler and Dog, are safe and effective as a Team in public, by -
 - Demonstrating the Dog can be controlled by the Primary Handler, or if required, jointly by the Primary and Alternate, and/or a Second Handler.
 - Demonstrating the Dog is able to be controlled and cared for by a non - Primary Handler individual in case of emergencies.
 - Meet the minimum standard required by PAD for a Registered Handler Team in public, in regard to professionalism, behaviour and etiquette around other Handlers, the general public and other dogs/animals.
 - Ensure that the Team can meet, and is willing to continue meet, all standards of the PAD Assistance Dogs Inc Public Access Standards Certification (PASC) within a maximum of two years of being PAST certified.
10. PAD requires all Teams to behave with professionalism and etiquette when wearing the PAD jacket or using the PAD ID Card for verification of Certification. The Assistance Dog Team must look like a professional and coherent Assistance Dog Team of public access standards at all times.
11. Failure to meet any of the Standards, or complying with all policies and procedures, may result in immediate de-registration, without appeal or explanation.

SIGNATURE

DATE

VALIDATION: -

The Public Access Certification Validation process involves the following: -

1. **Probationary and or Exemption Dog Teams** will be included in the Public Access Certification Validation process as a compulsory part of their registration or renewal.
2. **Teams deemed by the Executive** to not be meeting or maintaining standard will be included in the Validation process as a compulsory part of their registration or renewal. The Executive may also, interim to the Validation process, require the Team to be independently assessed at their own cost, by an Assessor appointed by the Association. **Failure to meet Standard at the Compliance Validation may result in de-registration without appeal or explanation.**
3. **The Executive will choose a sample of Handler Teams** who are PAST, PASA or PASC to be independently assessed by an external professional Assessor. Teams not in the regions of Sunshine Coast, Gold Coast, Brisbane or Toowoomba and surrounds may be required to be assessed by an alternate appointed Assessor, to the one/s used in those areas, which will be at the Handler's cost.
4. **The Executive will designate the time and place for the assessments to be carried out.** Teams chosen to participate in the Validation Process will be advised in writing, with appropriate notification. **A Team cannot refuse to participate in the Validation Process. If they do not attend at the designated time and place, their certification will be immediately suspended, pending them paying for an assessment, by an approved Assessor themselves. The Assessor cannot be a Trainer they have themselves used prior to the Validation Assessment, unless approved by the Executive.**
5. **The Independent Assessor**, appointed by the Association, will be required to assess each nominated Team against the Detailed Public Access Standards, as well as their presentation as a professional and coherent Assistance Dog Team, representing the Association with integrity and appropriate public manners and behaviour.
6. **The Association will pay the costs of the specified Validation Process. Individuals not attending, or Distance Teams, will be required to pay for the organised assessment themselves.** Teams not performing to standard will have their certification status reviewed.
7. **Teams not meeting standard interim to the Validation process will be required to pay for a Validation Assessment themselves in order to retain registration.**

SIGNATURE

DATE

VALIDATION PROCESS AND GUIDE FOR INDEPENDENT ASSESSOR

The Assessor will assess each nominated Team against the Detailed Public Access Standards, as well as the Team's presentation as a professional and coherent Assistance Dog Team, who is representing the Association with integrity and appropriate public manners and behaviour.

The process will take into account the **Principles of Assessment**, industry recognised as - Fairness, Flexibility, Validity, and Reliability.

1. FAIRNESS

An individual Handler's age or disability may be taken into consideration, and where appropriate adjustments may be made that do not alter the intent of the Standard.

2. FLEXIBILITY

Allowance may be made for variations to the manner of assessing competency and where appropriate may allow for the Handler's age or disability.

3. VALIDITY

Taking into account the Handler's age or disability, assessment of knowledge and skills in conjunction with practical application may be made. The Handler needs to be able to understand the principles of the Standards and be able to recognise their application in other similar situations or environments to those specified in the Standard.

4. RELIABILITY

All Teams are to be given consistent assessment and interpretation of the Standards, regardless of who is completing the Assessment.

Industry standards of **Rules of Evidence** for appropriate assessment apply, they are **Validity, Sufficiency, Authenticity, and Currency**.

1. VALIDITY

The Handler must demonstrate to the Assessor that they and their dog, have the skills, knowledge, and attributes to competently meet and maintain Standard

2. SUFFICIENCY

The Assessor must be confident that the quality, quantity, and relevance of each standard is assessed to the degree required to make a judgement that competency has been met. This allows for the Assessor to assess any and all standards in multiple environments and situations.

3. AUTHENTICITY

The Handler must prove to the Assessor their ability to meet and maintain all the Standards, regardless of age or disability. In the case of a Minor or guardianship this may be with the assistance of the Alternate Handler, but the primary Handler must be able to demonstrate control of the dog, and an understanding of the Standards.

SIGNATURE

DATE

4. CURRENCY

Assessments must be at the level of the current Team's status – PAST, PASA or PASC. A higher standard and consistency must be demonstrated by PASC, to PASA and PAST; and a higher standard than PAST for PASA, in order to remain certified at those levels. **Teams must demonstrate a “present day” competency at the level of certification to retain that level.** The Assessor will be advised of the public access status of each Team being assessed.

REPORTING BY THE INDEPENDENT ASSESSOR

1. The Assessor will provide a detailed written reports to the Executive, in relation to each Team assessed. Ideally the Reports will be provided within 30 days of the Assessments being carried out.
2. The Assessor will be provided with copies of the Detailed Standards Assessment forms, as well as a detailed explanation of the Standards, and the accommodations permitted in relation to small dogs, and medical equipment such as walkers and wheelchairs.
3. The Reports remain confidential to the Committee, and the independent Assessor is not accountable for any subsequent decisions the Committee makes in relation to a Teams status or registration.
4. The Assessor will be paid an agreed fee, by the Association, for the Assessments and subsequent provision of the Reports, in accordance with the time and location specified for the Validation Assessment. Distance Handlers, Handlers not attending the Assessment when requested, or Teams that are required to be independently assessed outside of the specified Compliance Validation process, will themselves incur the costs of assessment and reporting by the Assessor.

The Executive has the right to amend, alter or add to this COMPLIANCE AND VALIDATION POLICY without notification to the Registered Teams.

NAME

SIGNATURE

D.O.B.

DATE