OSPRI

Information Provider Accreditation Application Assessment Policy

APPROVED BY:	(GROUP) (DATE)
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Document Details

DOCUMENT VERSION AND APPROVAL				
VERSION	DATE	SUMMARY OF CHANGES	AUTHOR	APPROVED BY
V1.0	(DATE)	First draft / Annual Review	Name	Name

Contents

1.   Purpose

1.1. The purpose of this policy is to outline how OSPRI assesses and reviews applications for accreditation under the NAIT Standard for Information Providers (IPs).

1.2. This policy ensures consistent, transparent, and predictable decision-making aligned with NAIT Act obligations and sector expectations.

2.   Key Objectives

2.1. The objective of this policy is to provide clear criteria, processes, and responsibilities for IP accreditation, renewal, and compliance monitoring.

3.   Scope / Application

3.1. Applicants seeking new IP accreditation.
3.2. Accredited IPs seeking renewal or subject to performance monitoring.
3.3. It should be read alongside the NAIT Standard for Information Providers and Third-Party Software Standard as applicable.

4.   Responsibilities

Applicants/ IPs are responsible for:
- Understanding their responsibilities under this Policy.
- Meeting accreditation criteria at application and throughout the 4-year term
- Complying with the NAIT Act 2012, NAIT Terms of Use, and any NAIT data sharing agreement
- Maintaining competent personnel, appropriate resources, and customer complaint procedures.

NAIT is responsible for:
- Overseeing this Policy.
- Providing advice on using this policy
- Updating this policy regularly.
- Receiving applications and assessing against the IP Standard.
- Deciding outcomes
- Monitoring performance and issues notices of non-conformance
- Suspension and revocation of accreditation

5. Policy

Application Requirements

To apply for accreditation, you must complete any training required by the NAIT Organisation and follow the application process outlined on OSPRI's website.

Your submission must include the following evidence:

Organisation & Contact Details

- Legal entity information. Including applicable business and company numbers.
- Locations and NAIT numbers (if applicable) to be included in the accreditation.
- Primary and administrative user contacts.
- Details of PICA accessible contact including phone and email addresses.

How Criteria Is Assessed

Section 3 of the NAIT Standard – Information Providers sets out the ongoing criteria that EDNAs must meet to obtain and maintain accreditation.

General Roles and Responsibilities

- **Clause 3.3**. IPs will complete a declaration of intent, ensuring their public communications are consistent with all NAIT legislation.
- **Clause 3.4**. IP contact details will be provided in their application.
- **Clause 3.5**. IPs will agree to the NAIT terms of use which will be monitored for breaches.
- **Clause 3.6**. IPs will enter into a NAIT data sharing agreement which will be monitored for breaches.

Resources and Capability

- **Clause 3.7**. IPs to produce business continuity policy. If the size of the business does not support policy, a statement of business continuity will suffice.
- **Clause 3.8**. IPs will produce records of staff completion of NAIT competency and education modules. Performance in NAIT will be monitored.
- **Clause 3.9**. IPs will produce customer complaint procedure. For re-accreditation, any historic complaints will be reviewed.
- **Clause 3.10.** IPs will display where customers can access their complaints management procedure.

Data Quality

- **Clause 3.12.** IPs will provide their method of data access in their application.
- **Clause 3.13.** IPs procurement of Support Centre services will be monitored.
- **Clause 3.14.** The timeliness and correctness of NAIT data will be monitored.
- **Clause 3.15.** For re-accreditation, IPs will be reviewed against historic performance.
- **Clause 3.16.** For re-accreditation, IPs will be reviewed against historic performance.
- **Clause 3.17.** IPs will be monitored against PICA complaints of this nature. For re-accreditation, IPs will be reviewed against historic performance.

Incorrect Movement Data

- **Clause 3.18.** IP performance will be monitored. For re-accreditation, IPs will be reviewed against historic performance.
- **Clause 3.19.** IP performance will be monitored. For re-accreditation, IPs will be reviewed against historic performance.

Non-Scanning Tags

- **Clause 3.20.** IP performance will be monitored.
- **Clause 3.21.** IP performance will be monitored.

Appointment of Administration Users

- **Clause 3.22.** This will be reviewed after the creation of the IPs NAIT account. For re-accreditation, this will be confirmed.
- **Clause 3.23.** This will be reviewed after the creation of the IPs NAIT account. For re-accreditation, this will be confirmed.
- **Clause 3.24**. IP performance will be monitored.

Business Continuity

- **Clause 3.25**. IPs will produce disaster recovery plan or policy. If the size of the business does not support a business continuity plan or policy, a statement of business continuity will be required.

Linking Into the NAIT Information System

- **Clause 3.26**. If the NAIT Organisation introduces these requirements, any software connecting with the NAIT Information System must meet this standard.
- **Clause 3.27**. IPs will apply for data access.

Performance Monitoring

OSPRI will monitor the ongoing performance of accredited entities using the following means:

- Accredited entities will be monitored through the NAIT Compliance Monitoring Programme and are required to meet higher performance thresholds than general PICAs, consistent with their specialist role within the NAIT system.
- Complaints to OSPRI about accredited entities may be investigated
- Monitoring accredited entity resolution to reported issues or errors.

6. Approval and Provisional Approval

Once OSPRI has assessed an application for accreditation the application will be:

- Approved, or;
- Provisionally approved pending further evidence or performance monitoring, or;
- Declined

Approval

OSPRI may approve an application for accreditation when it is satisfied that all initial criteria has been met and, for re-accreditation, there are no outstanding performance concerns.

Provisional Approval

OSPRI may grant provisional approval of accreditation for up to 12 months if:

- Some initial criteria requires further evidence, or evidence of policy adoption (for instance where further training is required and evidence of completion presented) is required
- There are outstanding performance concerns with the entity
- The entity has a history of poor performance as an accredited entity but has provided OSPRI with a satisfactory plan to improve

OSPRI will only grant provisional approval if the Principal Advisor – Traceability, or Head of Traceability, is satisfied that resolution of outstanding items will be completed in a reasonable timeframe and will not affect the applicant's ability to perform as an accredited entity.

Provisional approval will not limit the entity's ability to act as an accredited entity, however more frequent performance monitoring will occur.

If the outstanding items are addressed to the satisfaction of OSPRI at any point during the provisional approval period OSPRI may grant the entity full approval.
If the outstanding items are not address by the conclusion of the provisional approval period OSPRI may, at it's discretion, extend the provisional approval period, or revoke accreditation.

Declined Application

OSPRI may decline an application for accreditation if it is not confident that the entity has:

- Not satisfactorily met initial criteria
- A history of poor performance as an accredited entity, and has not provided a satisfactory plan to improve