![Australian Government]

MARM013 Conduct an audit of safety management systems

Release: 1

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Modification History

Release 1. New unit of competency.

Application

This unit involves the skills and knowledge required to conduct a regulatory audit of the safety management system (SMS) on a domestic commercial vessel. It involves systematic examination against National Standard for the Administration of Marine Safety (NSAMS) audit criteria to determine conformance with planned arrangements and the effectiveness of the approach to managing operational safety.

This unit applies to people working in the maritime industry as a domestic commercial vessel marine surveyor and may form part of accreditation requirements for surveyors under Australian legislation.

No licensing, legislative or certification requirements apply to this unit at the time of publication.

Pre-requisite Unit

Not applicable.

Competency Field

M – Marine Surveying

Unit Sector

Not applicable.

Elements and Performance Criteria

Elements describe the essential outcomes.	Performance criteria describe the performance needed to demonstrate achievement of the element.
1 Carry out preliminary planning	1.1 Audit scope, objectives and benchmark are verified against regulatory requirements
	1.2 Relevant documentation is identified and obtained
	1.3 Resources required to conduct audit are established and arranged
	1.4 Timing requirements are identified and audit is scheduled in agreement with relevant personnel

2	**Develop safety management system audit plan**	2.1	Provision of valid and reliable evidence of a systematic approach to managing safety and risk controls within the context of the certificate of operation is ensured by nature of information and data collected
		2.2	Relevant personnel and stakeholders who may need to be consulted for corroborating evidence are included in sources of evidence
		2.3	Opportunities for corroborating evidence are included in information and data collection strategies
		2.4	Security, confidentiality, impartiality and equity issues are addressed through information and data collection strategies
		2.5	Audit plan is developed and documented
3	**Develop safety management system audit tool**	3.1	Benchmark criteria, nature of risks, identified relevant information and certificate of operation are accurately reflected in audit tool/s
		3.2	Ability of audit tool/s to focus on evaluation of performance of SMS management processes is ensured
		3.3	Ability of audit tool/s to produce consistent outcomes if used by others is ensured
		3.4	Collection of evidence in a timely and efficient manner is supported by audit tool/s
4	**Undertake safety audit activities**	4.1	Entry interview is carried out and records of evidence and findings are progressively documented and retained in an appropriate format
		4.2	Workplace hazard identification activities being undertaken are determined and compared to safety management plan
		4.3	Processes and systems are examined to determine whether hazards of long latency and low frequency/high consequence are included and minimised
		4.4	Processes and systems are examined to determine whether risks to persons other than employees are identified and minimised
		4.5	Organisational factors that impact on the SMS and safety management plan are identified
		4.6	Own health and safety is addressed during audit according to organisational requirements and standards for safe work

practices

	4.7	Compliance of information and data collection and evaluation activities with legal requirements is ensured
	4.8	Information and data collection and evaluation activities are carried out ethically
	4.9	Exit meetings with relevant personnel and stakeholders are conducted as required
5 **Assess, evaluate and advise on effectiveness of approach to safety and risk management**	5.1	Outcomes of the risk assessment process are assessed for validity, reliability and inclusion of all major safety risks, in particular demonstrated use of risk assessment methods in the organisation/on the vessel
	5.2	Risk controls are evaluated for suitability and effectiveness in relation to organisational SMS
	5.3	Scope of organisational processes to monitor ongoing implementation of approaches to managing safety are evaluated
	5.4	Systematic analysis is undertaken to identify areas of compliance and non-compliance
	5.5	Advice is provided on impact of legislation and standards on selection, suitability and implementation of a range of safety management plans
6 **Report on safety audit outcomes**	6.1	Compliance evaluation outcomes are documented and reported to relevant personnel and stakeholders
	6.2	Hazards identified during audit are reported promptly to appropriate person/s
	6.3	Evaluation results are checked and compared against audit criteria
	6.4	Objective evidence of audit findings and recommendations are presented to client at closing meeting
	6.5	Possible challenges to report are anticipated and further explanations are prepared to promote acceptance
	6.6	Corrective action and follow-up processes are recommended according to regulatory requirements

Foundation Skills

This section describes those language, literacy, numeracy and employment skills that are essential to performance.

Foundation skills essential to performance are explicit in the performance criteria of this unit of competency.

Range of Conditions

Specifies different work environments and conditions that may affect performance. Essential operating conditions that may be present (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) are included.

Range is restricted to essential operating conditions and any other variables essential to the work environment.

Benchmark includes one or more of the following:	• Australian or international standards for maritime safety management
	• specific industry standards (such as fishing, pearling, charter cruise, cargo)
	• standards developed:
	  • by work health and safety/occupational health and safety (WHS/OHS) authorities
	  • internally by the organisation or by commercial organisations or industry bodies

Regulatory requirements must include:	• Marine Safety (Domestic Commercial Vessel) National Law
Relevant documentation includes one or more of the following:	• codes of practice • guidance material • industry standards • organisational documents • WHS/OHS legislation, regulations and codes of practice
Resources must include:	• equipment • specialist personnel

Systematic approach to managing safety includes one or more of the following:	• comprehensive set of processes that are combined in a methodical and ordered manner to minimise risk of injury or ill health in the workplace such as:
	  • allocation of resources
	  • communication and consultation

	• hazard and risk management
	• processes of WHS/OHS planning
	• recordkeeping and reporting
	• review and evaluation for ongoing safety improvement
	• training and competency
Information and data collected includes one or more of the following:	• claims
	• complaints
	• enforcement notices and actions
	• hazard logs
	• incident and injury reports
	• information and data changes since last audit such as new equipment, processes, products, substances or certificate of operation
	• interviews with management, supervisors, work groups, employees and other parties across a range of levels and roles including:
	• health and safety representatives
	• maritime regulators
	• contractors
	• legal reports
	• management system documentation including:
	• policies and procedures
	• position descriptions
	• duty statements
	• observations in workplace, work operations and records
	• operational documentation including:
	• completed forms
	• schedules
	• checklists
	• log books
	• minutes of meetings
	• action plans
	• maintenance reports
	• health surveillance records
	• previous management system reports and industry risk profiles
	• reports and management reviews
	• surveillance audits
	• training materials and records
Relevant personnel and stakeholders include one or more of the following:	• employees and other parties across a range of levels and roles including:
	• customers/clients/passengers

	• health and safety representatives
	• industry associations
	• regulators
	• where appropriate, contractors
	• management, persons in control of workplace, supervisors
Audit plan includes one or more of the following:	• information and data required to be on hand
	• locations to be inspected
	• meetings to be scheduled, people to be interviewed
	• personnel involved
	• sampling methodology including statistical measures
	• scope of audit
	• timelines
Audit tool/s include one or more of the following:	• instruments for collecting evidence and conducting analysis and evaluation (not the same as audit criteria or benchmark):
	• adapted from existing tools
	• developed specifically for the purpose
	• purchased or accessed from existing tools
	• and
	• descriptions of required characteristics to be checked
	• limitations of and instructions for use
	• performance checklists
	• sets of questions to be asked
Appropriate person/s must include:	• owner
	• person in control of vessel
Objective evidence includes one or more of the following:	• information and data obtained through:
	• measurement
	• observation
	• tests
Audit findings and recommendations must include:	• benefits to be achieved by adopting audit report recommendations
Follow-up processes include one or more of the following:	• agreed meeting date with client following sufficient time for implementing corrective actions, and may include:
	• checking rigour of original audit findings
	• providing new non-conformance report/s as required
	• verifying effectiveness of recommendations and control

action/s, particularly in correction of non-compliance

Unit Mapping Information

This unit replaces and is equivalent to MARM5003A Conduct an audit of safety management systems.

Links

Companion Volume implementation guides are found in VETNet - https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=772efb7b-4cce-47fe-9bbd-ee3b1d1eb4c2