



Australian Government

MARM4005A Implement a systematic approach to the audit of safety management systems

Release 1

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Modification History

Release 1

This is the first release of this unit.

Unit Descriptor

This unit involves the skills and knowledge required to implement a systematic approach to the audit of safety management system (SMSs) on commercial vessels.

Application of the Unit

This unit applies to individuals with responsibilities for auditing SMSs including safety plans and equipment, work health and safety (WHS)/occupational health and safety (OHS) policies, procedures, and instruction and training for self, crew and others.

It includes advising vessel owners, masters and and/or crew on the requirements for developing and implementing appropriate safety systems and plans.

This unit applies to people working in the maritime industry as a marine surveyor assistant and forms part of requirements for the Certificate IV in Domestic Commercial Vessel Survey. The unit may apply to a range of different commercial vessels and vessel operations.

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Not applicable.

Employability Skills Information

This unit contains employability skills.

Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.

Performance criteria describe the required performance needed to demonstrate achievement of the element. Assessment of performance is to be consistent with the evidence guide.

Elements and Performance Criteria

- | | |
|---|--|
| 1 Scope legislative and regulatory framework | <p>1.1 <i>Relevant legislation and standards</i> for the role of surveyor in auditing SMSs are identified and evaluated</p> <p>1.2 Relevant safety management legislation and standards for vessel owners and operators, and implications for managing safety of crew and others is identified and evaluated</p> <p>1.3 Sources of information and data for impact on hazards, risks and management of SMSs on <i>commercial vessels</i> are monitored</p> |
| 2 Determine safety management priorities and identify implementation plans | <p>2.1 <i>Safety management priorities</i> are determined in consultation with colleagues and other workplace <i>consultative arrangements</i></p> <p>2.2 Appropriate <i>implementation plans</i> are identified to ensure preparedness for SMS audit</p> <p>2.3 Input from surveyors, <i>SMS specialists and technical advisors</i> is sought when required</p> |
| 3 Audit vessel safety management systems for vessel operations and provide advice to control risks | <p>3.1 Vessel SMSs are identified and assessed for compliance</p> <p>3.2 Existing safety management arrangements are identified and advice on proposed changes is provided</p> <p>3.3 Appropriate advice is provided to vessel owners and operators on <i>risk mitigation</i></p> <p>3.4 Disputes relating to SMS implementation issues are handled effectively and negotiation skills are employed to ensure agreement on <i>SMS action plans</i></p> <p>3.5 Regulatory documentation and vessel history are updated to reflect advice provided and agreed actions plans, according to organisational or legislative requirements</p> |
| 4 Evaluate effectiveness of approach to audit of safety | <p>4.1 <i>Sources of external and internal SMS information and data</i> are accessed as part of evaluation</p> <p>4.2 Need for any external evaluation input is identified and action is</p> |

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taken as appropriate

4.3 **Stakeholders** are consulted for evaluation input

4.4 Areas for improvement are identified, documented and actioned

Required Skills and Knowledge

This section describes the skills and knowledge required for this unit.

Required Skills:

- Address disputes relating to SMS implementation issues
- Build relationships with stakeholders (internal and external to organisation)
- Communicate effectively verbally and in writing
- Consult on and negotiate development, implementation and audit of SMS requirements for commercial vessels
- Inspect compliance level of safety management systems
- Relate to people from diverse backgrounds and to people with diverse abilities
- Research and evaluate relevant SMS information and data
- Sequence tasks and meet timelines
- Use a range of software and office equipment to access internal and external SMS information and data
- Work under supervision of a marine surveyor

Required Knowledge:

- Internal and external sources of SMS information and data
- Internal and external survey environment
- Legislative requirements for:
 - compliance timeframes
 - consulting with vessel operators and owners
 - exercising powers to enforce compliance requirements
 - information and data collection
 - recordkeeping
- Organisational policies and procedures for the audit of SMSs
- Principles and practices of systematic approaches to surveying and improving SMSs for commercial vessels
- Principles relating to:
 - hazard identification
 - hierarchy of control
 - risk management
 - systematic approaches to SMSs
- Relevant state/territory and commonwealth legislation, codes of practice and standards
- Roles and responsibilities of surveyors as specified in relevant legislation
- Targeted communication skills and strategies to communicate effectively with people at all levels within the organisation

- WHS/OHS legislation, regulations, codes of practice, standards, policies and procedures

Evidence Guide

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, the required skills and knowledge, the range statement and the Assessment Guidelines for the Training Package.

Critical aspects for assessment and evidence required to demonstrate competency in this unit

The evidence required to demonstrate competence in this unit must be relevant to and satisfy all of the requirements of the Elements, Performance Criteria, Required Skills, Required Knowledge and include:

- producing accurate and reliable information
- ensuring integrity of data
- attention to detail when completing documentation.

Context of and specific resources for assessment

Performance is demonstrated consistently over time and in a suitable range of contexts.

Resources for assessment include access to:

- industry-approved marine operations site where implementing a systematic approach to the audit of SMSs can be conducted
- tools, equipment and personal protective equipment currently used in industry
- relevant regulatory and equipment documentation that impacts on work activities
- range of relevant exercises, case studies and/or other simulated practical and knowledge assessments
- appropriate range of relevant operational situations in the workplace.

In both real and simulated environments, access is required to:

- relevant and appropriate materials and equipment
- applicable documentation including workplace procedures, regulations, codes of practice and operation manuals.

Method of assessment

Practical assessment must occur in an:

- appropriately simulated workplace environment and/or
- appropriate range of situations in the workplace.

A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate to this unit:

- direct observation of the candidate implementing a systematic approach to the audit of SMSs
- direct observation of the candidate applying relevant WHS/OHS requirements and work practices.

Guidance information for assessment

Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended.

In all cases where practical assessment is used it should be combined with targeted questioning to assess Required Knowledge.

Assessment processes and techniques must be appropriate to the language and literacy requirements of the work being performed and the capacity of the candidate.

Range Statement

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below.

Relevant legislation and standards may include:	• Commonwealth, state and territory WHS/OHS legislation • Marine Safety (Domestic Commercial Vessel) National Law • National Standard for Commercial Vessels (NSCV) • National Standard for the Administration of Marine Safety (NSAMS)
Commercial vessels must include:	• Vessels defined as commercial vessels in Marine Safety (Domestic Commercial Vessel) National Law
Safety management priorities may include:	• Identifying: • high risk vessels • known hazards to vessel operations • range and types of additional compliance arrangements
Consultative arrangements may include:	• Health and safety representatives • Industry associations and peak bodies • Involvement in SMS activities such as observing inspections and surveys • Regulatory and other SMS consultative and planning committees • Unions • Work group meetings
Implementation plans may include:	• Communicating with vessel owners and operators about new requirements • Developing procedures and policies for SMS audit • Negotiating compliance timeframes based on risk documented plans developed in negotiation with vessel owners and operators to improve SMS management, which allocates items to be addressed and timeframes • Procedures for reporting hazards and non-compliance • SMS performance indicators for a range of different commercial operations
SMS specialists may include:	• Industry peak bodies • ISM code auditors • Other surveyors • Regulators • Risk management specialists • WHS/OHS specialists
Technical advisors may	• Engineers • Legal practitioners

- include:
- Maintenance and trades people
 - Naval architects
 - Shipwrights
 - Workplace trainers and assessors
- Risk mitigation may include:
- Engaging consultants
 - Interpreting legislation to vessel operations and size
 - Ongoing self-assessment and testing of systems
 - Reducing operational capacity
 - Repairs and maintenance
 - Safety data sheets/material safety data sheets
 - Training of crew
- SMS action plans may include:
- Changes to:
 - management practices
 - operational environment
 - operational practices and conditions
 - work processes and systems
 - Equipment purchases
 - Introducing new technology
 - Introducing training and instruction
 - Material purchases
 - Organisational restructure
 - Other labour market changes
 - Refreshing skills
- Sources of external and internal SMS information and data may include:
- Consultants
 - Employees/colleagues
 - Government departments/agencies including SMS authorities and organisations such as AMSA
 - Industry networks and associations
 - Internet sites
 - Manufacturer manuals and specifications
 - Newspapers and journals, trade/industry publications
 - SMS and other relevant legislation
 - SMS specialists
 - Technical data
- Stakeholders may include:
- Colleagues and other supervisors
 - Managers/employer
 - Maritime safety authorities
 - SMS committees
 - Tradespeople
 - Vessel owners and operators

Unit Sector(s)

Not applicable.

Competency Field

Marine Surveying