



Australian Government

MARM5003A Conduct an 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 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.

Application of the Unit

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.

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

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| 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 identified 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 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

Required Skills and Knowledge

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

Required Skills:

- Access and enter internal and external information on work health and safety (WHS)/occupational health and safety (OHS)
- Access relevant SMS information and data
- Advise on and negotiate development of additional safety plans and monitor designated actions
- Attend to detail when making observations and recording outcomes
- Make observations of workplace tasks and interactions between people, their activities, equipment, environment and systems
- Manage own tasks within a timeframe
- Relate effectively to personnel at all levels of the organisation, safety specialists and emergency services personnel as required
- Review and analyse relevant workplace information and data
- Use language appropriate to work group and task
- Work independently and unsupervised
- Write complex reports, procedures and plans

Required Knowledge:

- Benefits, limitations and use of a range of communication strategies and tools appropriate to workplace
- Characteristics, mode of action and units of measurement of major hazard types
- Concept of common law duty of care
- Development of tools such as positive performance indicators (PPIs) in assessing safety management performance
- Difference between:
 - common law and statutory law
 - hazard and risk
- Ethics related to professional practice
- Formal and informal communication and consultation processes
- Hierarchy of control and considerations for choosing between different control measures, such as possible inadequacies of particular control measures
- How workforce characteristics and composition impacts on risk and a systematic approach to managing safety for example:
 - communication skills
 - cultural background/workplace diversity
 - gender

- structure and organisation of workforce e.g. part-time, casual and contract workers, shift rosters, geographical location
- language, literacy and numeracy
- workers with specific needs
- How vessel characteristics and certificate of operation may impact on SMS such as:
 - commercial activity
 - geographical location
 - maintenance requirements for vessel operating systems and work equipment
 - operational limits
 - passengers
 - size of vessel/ type of vessel
- Internal and external sources of SMS information and data
- Language, literacy and cultural profile of vessel employees
- Limitations of generic hazard and risk checklists and risk ranking processes
- Maritime legislative requirements for safety management plans and compliance
- Methods for:
 - collecting reliable information and data, commonly encountered problems in collection, and strategies for overcoming such problems
 - providing evidence of compliance with maritime and WHS/OHS legislation
- Nature and use of information and data that provides valid and reliable results on safety management performance processes (including PPIs) and limitations of other types of measures
- Nature of maritime and typical vessel work requirements and processes (including work flow, planning and control) and hazards relevant to particular workplace
- Organisational culture as it impacts on safety, risk management and change
- Other functional areas that impact on safety management plans, systems and processes
- Principles and practices of a systematic approach to managing safety
- Principles of:
 - human behaviour and response to interactions with human, physical and task environment to identify psychosocial hazards
 - incident causation and injury processes
- Professional liability in relation to providing advice
- Range of risk analysis/assessment techniques and tools, and application and limitations of these techniques and tools, and auditing methods and techniques
- Requirements for :
 - recordkeeping that addresses WHS/OHS, risk management, privacy and other relevant legislation
 - reporting under WHS/OHS and other relevant legislation including notifying and reporting incidents
- Requirements of WHS/OHS and standards related to systematically managing safety

- Requirements under hazard-specific WHS/OHS legislation and codes of practice
- Risk as a measure of uncertainty and factors that affect risk
- Roles and responsibilities under WHS/OHS legislation of employees including supervisors, contractors and other external WHS/OHS inspectors and advisors
- Sampling methodologies, application and related statistical measures
- Standard maritime industry controls for a range of hazards
- Standards related to SMS information and data, statistics and records management including requirements for information and data under elements of systematically managing safety
- State/territory and commonwealth WHS/OHS legislation, regulations, codes of practice, associated standards and guidance material, including prescriptive and performance approaches, and links to other relevant legislation such as industrial relations, equal employment opportunity, workers compensation, rehabilitation
- Structure and forms of legislation including regulations, codes of practice, associated standards and guidance material
- Types of hazard identification tools
- WHS/OHS requirements and safe work practices

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:

- conducting maritime SMS audits against certificate of operation requirements for at least five vessels varying in size and operational limits
- developing effective planning documents
- providing high quality reports
- ensuring behaviour reflects relevant current legislative and regulatory requirements
- ensuring currency of relevant WHS/OHS skills and knowledge.

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 conducting an 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 conducting an 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.

- | | |
|---|--|
| Benchmark may include: | <ul style="list-style-type: none"> • Australian or international standards for maritime safety management • Specific industry standards (such as fishing, pearling, charter cruise, cargo) • Standards developed: <ul style="list-style-type: none"> • by WHS/OHS authorities • internally by the organisation or by commercial organisations or industry bodies |
| Regulatory requirements must include: | <ul style="list-style-type: none"> • Marine Safety (Domestic Commercial Vessel) National Law |
| Relevant documentation may include: | <ul style="list-style-type: none"> • Codes of practice • Guidance material • Industry standards • Organisational documents • WHS/OHS legislation, regulations and codes of practice |
| Resources may include: | <ul style="list-style-type: none"> • Equipment • Specialist personnel |
| Systematic approach to managing safety may include: | <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> • 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 may include: | <ul style="list-style-type: none"> • 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 may include:
- 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 may include:
- 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 may include:
- Instruments for collecting evidence and conducting analysis and evaluation (not the same as audit criteria or benchmark), which may be:

	• adapted from existing tools • developed specifically for the purpose • purchased or accessed from existing tools • And may include: • descriptions of required characteristics to be checked • limitations for and instructions for use • performance checklists • sets of questions to be asked
Appropriate person/s may include:	• Owner • Person in control of vessel
Objective evidence may include:	• Information and data obtained through: • measurement • observation • tests
Audit findings and recommendations must include:	• Benefits to be achieved by adopting audit report recommendations • Clear and concise
Follow-up processes may include:	• Agreed meeting date with client following sufficient time for implementation of 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 Sector(s)

Not applicable.

Competency Field

Marine Surveying