

# BoatSafe audit framework

## January 2010

## Introduction

To obtain an authority from Maritime Safety Queensland (MSQ) to deliver training and assessment for recreational marine driver licences or personal watercraft licences a BoatSafe Training Organisation (BTO) must:

1. meet the requirements of the *Transport Operations (Marine Safety-Examining and Training Program Approvals (Recreational Ships and Personal Watercraft)) Standard 2005*
2. demonstrate the processes they have developed to meet the requirements of the *BoatSafe management standard*
3. have approved training and assessment resources which meet the requirements of the *BoatSafe competency standard*.

Once an authority is granted, a BTO must maintain compliance with the *BoatSafe management standard* and *BoatSafe competency standard*.

The method for determining compliance used by MSQ is routine audits. There are a number of audits that may be conducted throughout the life of an authority. The details of these are contained in this publication.

## Scheduling of audits

Prior to an audit the applicant is provided with:

- the names of the members of the audit team
- the plan, scope and proposed date of the audit. (An alternative date within 14 days can be requested by the applicant if the proposed date is unsuitable.)

## Pre-approval audit

MSQ must be satisfied that a prospective BTO has adequate processes and procedures in place to meet the requirements of the *BoatSafe management standard* and *BoatSafe competency standard* before an authority will be issued.

Initially, a desktop audit will be undertaken to ensure all the relevant information and documentation is available. When all the relevant information has been received, a MSQ shipping inspector will conduct a site audit to verify that the applicant has all the necessary administrative resources and physical facilities to properly conduct training and assessment.

The decision to grant an authority is then based on the results of the pre-approval audit.

## Compliance audits

Compliance audits will be held at least once during each year of an authority. They measure the degree of compliance of the authority holder to the *BoatSafe management standard* and the conditions of the authority.

In addition to the standard of record keeping required under the *BoatSafe management standard*, past clients may be interviewed to verify the conduct of courses run by BoatSafe training providers (BTPs) engaged by the BTO.

Delivery methods, strategies and compliance with the *BoatSafe competency standard* may also be assessed at this time.

At the conclusion of the audit, MSQ will provide written advice to the BTO summarising the findings of the audit and outlining any rectification required to maintain compliance under the *BoatSafe management standard*.

## Complaint audits

A complaint audit will be conducted by MSQ following receipt of a complaint about an authority holder. An initial investigation will be undertaken to verify if further investigation is warranted. The audit will focus on the subject of the received complaint but may cover any additional aspect of the *BoatSafe management standard*.

At the completion of the audit the BTO will be given advice about the complaint made, the findings of the audit and any action to follow.

## Re-application audits

An authority is issued for the term stated on it. If a BTO wishes to continue operating beyond the term of the authority it will need to lodge an application for a new authority within two months prior to the expiry of the existing authority.

As well as meeting the initial requirements for the issue of an authority, the BTO is also required to demonstrate continued compliance with the *BoatSafe management standard* and *BoatSafe competency standard*. Some of this information will have been compiled during previous audits.

MSQ will adopt a risk based approach to the issue of a new authority to existing authority holders. Where there is evidence of audit non-compliance during the term of the previous authority this may be used to shorten the term of a new authority, or even to decline the application for a new authority.

## Post-audit

Following a site audit, the applicant will receive written advice, which will include the following:

- the date that the audit was conducted
- the name of the MSQ shipping inspector who conducted the audit
- confirmation of the proposed delivery sites
- continuing effectiveness of any action taken in relation to non-compliances identified during previous audits
- feedback on the adequacy of the applicant's compliance with the *BoatSafe management standard* and *BoatSafe competency standard* with suggestions for improvement where required and clear descriptions on any areas of non-compliance
- timelines for rectification of any non-compliances
- audit records will be placed in the BTO file.

