

# BoatSafe Audit Framework

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# Contents

|                             |          |
|-----------------------------|----------|
| <b>Introduction</b>         | <b>1</b> |
| <b>Scheduling of audits</b> | <b>1</b> |
| <b>Entry audit</b>          | <b>1</b> |
| <b>Compliance audits</b>    | <b>1</b> |
| <b>Complaints audits</b>    | <b>2</b> |
| <b>Renewal Audits</b>       | <b>2</b> |
| <b>Audit Report</b>         | <b>2</b> |
| <b>Effective date</b>       | <b>2</b> |

# Introduction

To obtain an authority from the Department of Transport and Main Roads (the department) to deliver BoatSafe training and assessment for recreational marine driver and personal watercraft licences, an applicant must:

1. Meet the requirements of the *Transport Operations (Marine Safety) Regulation 2016*.
2. Demonstrate the processes they have developed to meet the BoatSafe Management Standard.
3. Have approved training and assessment resources which meet the *BoatSafe RMDL Competency Standard* and the *BoatSafe PWCL Competency Standard*.

Once an authority is granted, a BoatSafe Training Organisation (BTO) must maintain compliance with the conditions of their authority. Their compliance is measured by audits conducted by Marine Officers attached to Marine Safety Queensland (MSQ) throughout the state. There are a number of audits that may be conducted throughout the currency of an authority.

## Scheduling of audits

Prior to an audit the BTO 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).

## Entry audit

Before an authority will be issued, the department must be satisfied that a prospective BTO has demonstrated that they can meet:

- *The BoatSafe Management Standard*
- *The BoatSafe RMDL Competency Standard*
- *The BoatSafe PWCL Competency Standard*
- *PWC Consistent Assessment Process*.

A desktop review will be undertaken to ensure all the relevant information and documentation has been presented to decide the application. If this review is successful, a Marine Officer or a departmental officer 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 outcome of the entry audit will affect the decision to grant an authority.

Within the first 12 months of the initial approval, a compliance audit will be conducted to assist the BTO to achieve ongoing compliance with the standards.

## Compliance audits

Scheduled compliance audits aim to confirm ongoing compliance with the standards and may be conducted during the term of the authority and prior to renewal of the authority.

Delivery of training and assessment may also be assessed during this audit. Past candidates may be interviewed as part of this process.

An audit report will be provided to the BTO summarising the findings of the audit and detailing any corrective action requests (CAR) required to be addressed for the BTO to become compliant with the conditions of their authority.

## Complaints audits

This type of audit will be conducted by a Marine Officer or a departmental officer following a complaint received about a BTO. An initial investigation will be undertaken to decide whether further investigation is needed. The audit will focus on the information contained in the complaint but may cover additional aspects depending on what is found during the audit.

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

## Renewal Audits

An authority is issued to a BTO for the period stated on it. To continue past the date stated on the authority, the BTO must apply for a new authority at least two months prior to that date.

The BTOs ability to meet the conditions for the issue of an authority will be reassessed at this point. This will in part be assessed through an audit conducted by a Marine Officer or a departmental officer and also from previous audit reports.

Where there is evidence of 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.

## Audit Report

After the audit, the BTO will receive a written audit report covering the issues reviewed during the audit and may include:

- The date the audit was conducted
- The name of the Marine Officer or departmental officer who conducted the audit
- Confirmation of the proposed training and assessment sites
- Continuing effectiveness of any action taken in relation to non-conformances identified during previous audits
- Feedback on the BTOs compliance with the conditions of their authority with suggestions for improvement, where required, and clear descriptions of any areas of non-compliance
- Timelines for rectification of a non-compliance.

The audit records will be placed on the BTO's departmental file.

## Effective date

This policy will take effect from the 1 September 2016.