



# CBOS

Consumer, Building &  
Occupational Services

*Promoting a fair marketplace*

## Fact Sheet

# CBOS Audit Program

Consumer, Building and Occupational Services (CBOS), is a business unit of the Department of Justice in the Tasmanian government. We work towards a fair, just and safe Tasmania through delivering equitable, efficient and effective consumer, building and occupational regulation.

We licence a range of occupations:

- Builders
- Designers
- Gas-fitters
- People working with children or vulnerable adults
- Building surveyors
- Owner builders
- Auto gas-fitters
- Architects
- Plumbers
- Conveyancers
- Security
- Engineers
- Electricians
- Motor vehicle traders

## What are performance audits?

Performance audits are a compliance function undertaken by CBOS. Audits ensure individuals and businesses are meeting their obligations and acting within the scope of their Tasmanian licence or registration. Audits also help identify unlicensed and unregistered individuals and businesses working in Tasmania.

CBOS Compliance staff are authorised to undertake performance audits under the following legislation:

- *Occupational Licensing Act 2005*
- *Security and Investigations Agents Act 2002*
- *Conveyancing Act 2004*
- *Building Act 2016*
- *Registration to Work With Vulnerable People Act 2013*
- *Motor Vehicle Traders Act 2011*
- *Australian Consumer Law (Tasmania) Act 2010*

## What is the audit process?

### 1. Set clear objectives

Audits review specific and targeted criteria based on a person, a licence holder or business' legislative responsibilities and identifies risks posed to the Tasmanian public.

Audit criteria directly relate to risks identified by CBOS. CBOS work with relevant industry organisations in developing audit criteria.

Before undertaking an audit CBOS may provide written advice to the licensed/registered people or businesses being audited on the scope of the audit and potential outcomes.

Audits may be undertaken at set times or randomly at the discretion of CBOS. Audits may be undertaken on-site or administratively in CBOS offices.

## 2. Create an audit checklist

An audit tool is developed for each specific type of audit to ensure consistency and fairness.

## 3. Undertake the audit

Audits are performed by professionals with appropriate legislative knowledge and technical qualifications, where applicable.

## 4. Review the audit findings

CBOS analyses all outcomes of audits and uses findings to identify areas needing further auditing, support or training.

## 5. Report on findings

All parties involved will receive feedback following an audit. Feedback includes the level of compliance by the audit and feedback on individual performance. CBOS will identify areas where an individual can improve their compliance with the relevant legislation. Finalised audit findings can be found at [www.cbos.tas.gov.au](http://www.cbos.tas.gov.au)

## 6. Compliance outcomes and actions

Audit outcomes are used to identify where education and support is required. CBOS may also take direct compliance action against individuals or businesses. Serious breaches may be investigated and may lead to financial penalties or licence action.

## Why does CBOS perform audits?

CBOS licences and registers occupations and trades based on risk to the Tasmanian community. Audit programs ensure licensed individuals and businesses get value out of their licence by having unlicensed operators identified and investigated. Audits help CBOS identify where further education and industry involvement would be beneficial.

## Who / what gets audited?

Different occupational licences and registered people or businesses are audited against the appropriate legislation. CBOS prioritises the scope of audits based on risk to the public. Before starting any audit, CBOS will advise anyone who may be subject to an audit as to the general timeframe and scope of the audit. The risk-based approach ensures maximum benefit to the Tasmanian community while minimising unnecessary burden on industry.

## What are you required to do?

CBOS compliance staff are authorised to access premises and documents in most cases. CBOS staff will identify themselves and provide evidence of their authorisation. We recommend that licensed and registered individuals and businesses become familiar with their responsibilities relating to compliance auditing by CBOS.

## Complaints

A person who has been audited has the right to review any outcome of the audit.

You can appeal a decision made by CBOS. You must refer to the information provided with the decision. If this information has not been provided to you, contact CBOS. If you are unhappy with the response to your appeal you can contact the Tasmanian Ombudsman:

Phone: **1800 001 170**

Email: **[ombudsman@ombudsman.tas.gov.au](mailto:ombudsman@ombudsman.tas.gov.au)**

Mail: **Ombudsman Tasmania  
GPO Box 960 Hobart TAS 7001**

This document has been produced and published by the Consumer, Building and Occupational Services Division of the Department of Justice. Although every care has been taken in the production of the work, no responsibility is accepted for the accuracy, completeness, or relevance to the user's purpose, of the information. Those using it for whatever purpose are advised to verify it with the relevant government department, local government body or other source and to obtain any appropriate professional advice. The Crown, its officers, employees and agents do not accept liability however arising, including liability for negligence, for any loss resulting from the use of or reliance upon the information and/or reliance on its availability at any time.

Published January 2019

