



QACE Auditing Requirements

Project Plan

Issue 1



Safeguarding internationally operated vessels and the marine environment through a continuous improvement of the quality standards of recognised organisations

This document has been approved by the QACE Board on 22nd October 2018

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1. Background

“QACE - Entity for the Quality Assessment and Certification of Organisations Recognised by the European Union CIC” was founded 24 November 2010 by the 12 organisations currently recognised by the European Commission as “Recognised Organisations” - “ROs” - to the European Community Member States. The establishment was the result of the introduction of mandatory requirements in EU Regulation (EC) No 391/2009 on “Common rules and standards for ship inspection and survey organisations”. Article 11 in this Regulation requires the ROs to the European Community to “set up by June 2011 and maintain an independent quality assessment and certification entity in accordance with the applicable international quality standards ...”.

QACE was incorporated on 30 November 2010 under the English Companies Act 2006 as a private company limited by guarantee, that is a community interest company and not-for-profit. The company has its office in London.

The EU Regulation states that the quality assessment and certification entity shall carry out “frequent and regular assessment of the quality management systems of recognised organisations, in accordance with the ISO 9001 quality standard criteria” and “certification of the quality management systems of recognised organisations”. The Regulation also states that “The quality assessment and certification entity will lay down its working methods and rules of procedure.”

The Article 11.2 (c) of the Regulation provides that:

“2. The quality assessment and certification entity shall carry out the following tasks:

(c) issue of interpretations of internationally recognised quality management standards, in particular to take account of the specific features of the nature and obligations of recognised organisations”, and for the purpose of achievement of these objectives, QACE will set up a project organisation with the participation of interested parties, for the purpose of establishment of procedures outlining the QACE Audit Requirements (QAR).

1. INTRODUCTION

1.1 Project Objectives

- 1.1.1 The Project is to deliver a set of audit procedures and contained requirements, the QACE Audit Requirements (QAR) that demonstrate QACE interpretation of the relevant business standards and inputs and include QACE specific audit requirements to continuously improve the RO's Quality Management Systems.
- 1.1.2 The Project is to deliver the QAR according to the Project Schedule and Project Budget.
- 1.1.3 The Project is to ensure interested party involvement in the Project and feedback in relation to the audit requirements, in line with QACE's stated objectives of inclusion and transparency.

1.2 Purpose of the Project Plan (PP)

The Project Plan (PP) is to clearly define the quality expectations that are to be met within the scope of the project.

The complexity of the challenges set by the QACE QAR Project, if not controlled and consistent, could lead to varying levels of quality of the project deliverables. The deliverables or outputs can be generally categorized as the QAR document itself, the individual procedures and audit requirements they contain and the Project and its associated documents.

The intention of this PP is to provide that all activities necessary for the achievement of the stated objectives are realised to the highest level of quality, taking in consideration operational, administrative and accounting aspects of their realization. The PP is structured in such a way as to cover and analyse all relevant aspects of quality control process.

Project Management defines the project's organisation roles and responsibilities, structure, inputs and outputs and communication methodology.

Project Control defines the necessary Project controls, review and validation.

The PPs intended audience is the QACE personnel involved in the Project and the interested parties whose support is needed to implement the Project.

2. PROJECT MANAGEMENT

2.1 Organisation, Roles & Responsibilities

The QACE QAR Project organisation is defined as follows:

Role	Responsibility
QACE Board	Responsible for approving the Project Plan and the QACE Audit Requirements (QAR).
Project Director QACE Secretary General	Responsible for project management and oversight, overall quality, deliverables and implementation.
Project Manager	Responsible for the interpretation of the applicable standards and inputs for incorporation in the QAR, review of the Consultancy Group feedback, implementation of project activities and project daily operations and to ensure the on-time, effective and economical completion of the Project.
QACE Secretariat	Responsible for providing the draft deliverables, managing the Consultancy Group feedback and the online deliverables.
QACE Review Panel (QACE Assessors & nominated QACE Director)	Responsible for review of the audit procedures.
Consultancy Group of interested parties: <ul style="list-style-type: none">• Recognised Organisations• Certification Bodies (ACBs)• IACS Advisory Committee• IACS Operations	Responsible for review of the audit procedures (and contained audit requirements).

2.2 Inputs & Outputs

Inputs.

The main Project input is that the QAR is to meet the EU Regulation 391 Article 11.2 (c), QACE should issue *'interpretations of internationally recognised quality management standards, in particular to take account of the specific features of the nature and obligations of recognised organisations'*.

The QACE objectives are an important Project input.

Annex 1 includes the recognised quality management standards and other relevant standards, regulation and guidance as Project inputs.

Outputs. The QAR Project outputs, or deliverables, are listed in Annex 1. A list of the intended audit requirement procedures will be defined at the Project initialization.

2.3 Project Management Structure

The project management structure has been planned during the preparation of the Project Plan and will be adopted at the kick-off meeting. The structure is composed in such a manner as to ensure QACE ownership of the audit requirements, having been developed (and planned to be maintained) in line with the QACE stated objectives of inclusion and transparency.

The Project management is structured at six levels as defined in the organisation, roles and responsibilities.

2.4 Project Communication

Communication is critical to success as the project and the audit requirements will require extensive review, comment and 'sense checking' by internal and external parties who intend to take an active role in the project and to maintain the requirements in the longer term.

Communication is planned to be largely by email exchange. The Project's control and management information and the documents for review and comment will be emailed and will be available through a portal on the QACE website.

After approval of the PP by the QACE Board of Directors and budget a communication will be sent to the interest parties planned to form the Project Consultancy Group. The communication will include the PP. The Project organisation will be confirmed when the participants of the Consultancy Group have been established.

The PP defines the groups and responsibilities. It is intended that one individual will represent a group within the interested parties Consultancy Group to filter the agreed participant member's comments.

The QACE participants and Consultancy Group members will be provided with a password protected link to a QAR Project page from the QACE Website, allowing Project participants access. The web page will contain Project information and documentation. QACE will establish a completed Annex 4: 'QAR Feedback & Response Summary'.

It is planned that the draft QACE audit requirement procedures will be provided to the Consultancy Group in 3rd quarter 2019 and 2020 for review and comment. Provided by email, they will also be maintained on the Project webpage.

3. PROJECT CONTROL

The Project controls are specified to ensure that the Project and its deliverables conform to the Project objectives. Those responsible for quality of realised activities are identified and their role is described in the corresponding section of this document. Internal audit will be scheduled to ensure the requirements of the PP have been met.

3.1 Planning

A 'Project Schedule' Annex 2 has been prepared as part of the PP considering the nature, duration and complexity of the QAR Project. The required process stages are identified, including the applicable Project controls, reviews and validation activities. The responsibilities and authorities and internal and external resources involved in the audit procedure development process have been documented. The reviews, verifications and validations are to ensure and confirm that the final deliverables meet the QAR objectives and requirements.

3.2 Project Implementation

The beginning of the implementation of project activities is the starting date as defined in the schedule. At the start of the Project, there are several necessary measures to be realised:

- Assignment of the Project 2019 budget,
- project team and decision-making body to be established,
- project schedule to be defined,
- organization of the kick-off meeting.

The responsibilities of participants for realisation of these activities will be coordinated by the QACE Secretariat. All activities need to be clearly planned and organised, so that management structure can be effective from Project initiation. Success against these factors will be reported (planned QACE BOD meeting 23rd January 2019).

3.3 Project Kick-off Meeting

The kick-off meeting will be held in conjunction with the 2019 Assessor's Meeting (9-11th January). The QAR Review Panel will be made up of representatives from the QACE Assessors. Also, with a representative of the Board, the QACE Secretariat and the Project Manager, all internal Project participants are represented. The results will be reported at the QACE Board meeting (23rd January 2019).

3.4 Audit Procedures Development

After approval of the Project Plan (PP) and the budget, it will be communicated to the Consultancy Group for comment. Any resulting comments will be discussed at the Project Kick-off Meeting

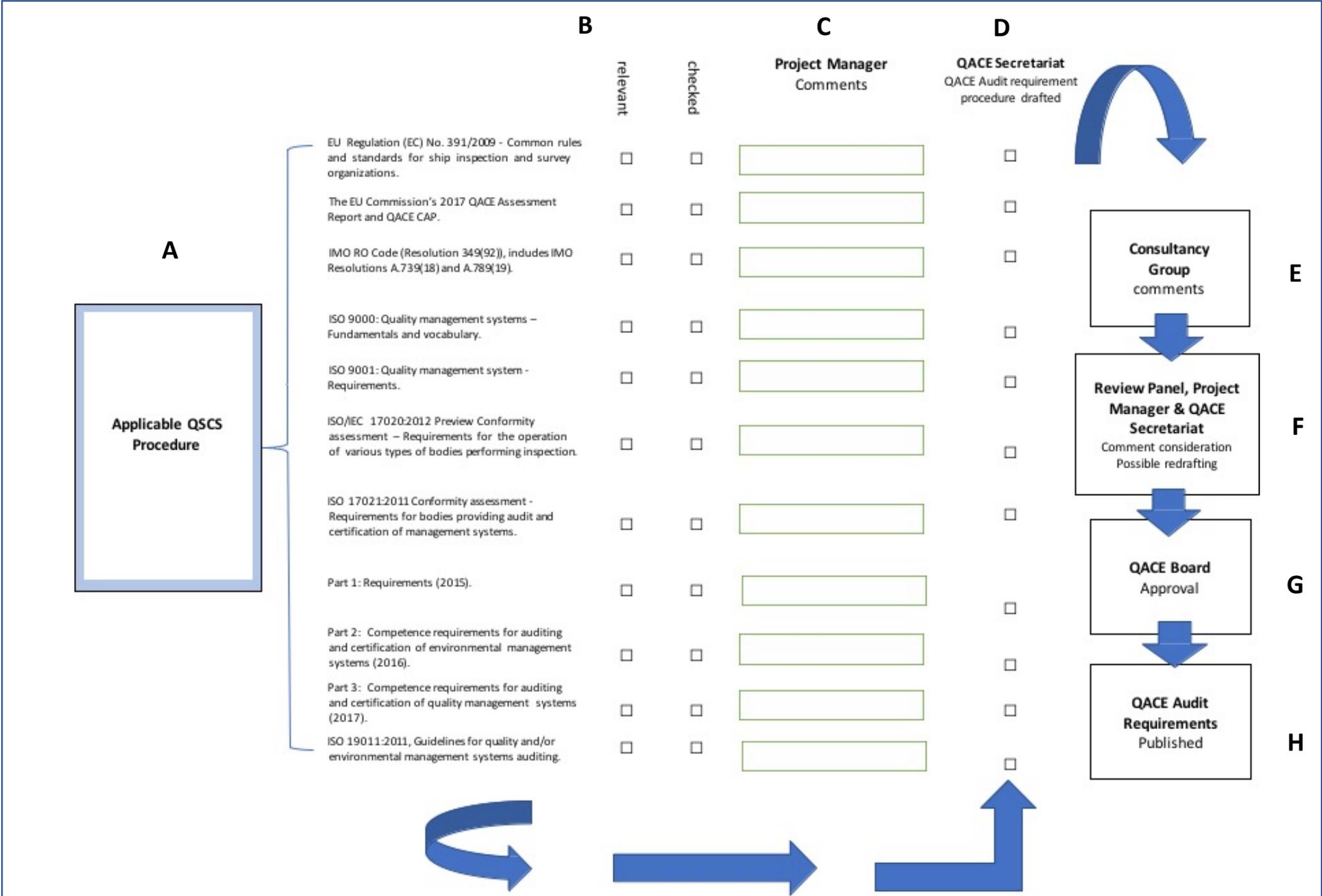
The QAR procedure development process is illustrated on the following page.

- A. In preparation for the Kick-off Meeting discussion the Project Manager will select the IACS QSCS procedures that are relevant to the development of the QAR.
- B. The Project Manager will carry out a review of the agreed QSCS procedures in relation to the specified quality standards included in the Project Inputs and the remit and objectives of QACE.
- C. The Project Manager will list the resulting interpretations by way of proposed inclusions, exclusions and additions for a developed QAR procedure.
- D. The QACE Secretariat will develop a draft of the QAR procedure.
- E. The Consultancy Group of interest parties will be asked to comment on the developed procedure package. (proposed changes to the QSCS procedure will be highlighted). Each of the Consultancy Group's representatives will be asked to use Annex 4: 'QAR Feedback and Response Summary' to filter each of the group's members' comments concerning the audit procedural requirements, or any other feedback concerning the Project. The Secretariat will complete the responses to the comments in the form and will respond to the group. As such the 'Feedback Review Comments and Response Summary' is an important control process for the Project. It will be maintained 'live' on the webpage so that all participants are well informed, and the Project can demonstrate that all comments have been well considered.
- F. The Review Panel will consider the Consultancy Group's comments for possible redrafting and feedback to the Consultancy Group of the decisions made. The Project Manager will set the response times for audit requirement submissions with the QACE Review Panel. The Project Manager will discuss with the Consultancy Group the most appropriate timings for the submission of the audit requirements and response timings to meet the Project Schedule.
- G. On completion the Secretary General will make a recommendation for approval of the QAR to the QACE Board. Once satisfied the QACE Board will approve the final versions of the QAR.
- H. Once approved the QAR will be published.

In Stage 2 of the Project additional procedures may be developed such as a 'Risk Audit Procedure'.

It is planned that the QAR Consultancy Group will stay in place to assist with the ongoing changes to the QAR.

QAR PROCEDURE DEVELOPMENT PROCESS



3.5 Quarterly Review

The 'Quarterly Project Activity Report' Annex 5, is another major control process during the Project's life. It ensures transparent, clear and objective traceability of the Project's progress against the schedule, procedural development, budget, issues and resolutions. Any resulting approved changes and actions will be managed by the Project Manager.

3.6 Project Budget

The 2019 Project budget Annex 3, is to be approved at the November 2018 Annual General Meeting. The Secretary General will allocate the budget during the Project Kick-off meeting according to the Project Manager and Assessor resources required during the year. The Secretary General will monitor spend during the year, which will make part of the Quarterly Activity Reports.

The 2020 Project budget will be determined according to progress of the project during 2019 and what remains to be completed in 20120.

The Secretary General will report progress against the Project budget at each Board meeting during the Project's lifespan

3.7 Validation of Project Deliverables

Individual QAR procedures:

For the validation of the individual procedures and the contained requirements please refer to the 'Development of the QACE Audit Requirements' Procedure Development Process graphic, page 9 of the Project Plan.

QACE Audit Requirements document:

For the associated timings and validations please refer to the Project Schedule Annex 2 of the Project Plan.

QACE Project:

The Secretary General is responsible for ensuring the successful implementation of the Project and its activities by monitoring and reporting on the Project's progress. Please refer to the 'Quarterly Project Activity Report' Annex 5. To ensure efficient project administrative and management, the QACE Secretary General will monitor the achievements of milestones and outputs and the quarterly progress reports from the Project Manager.

The achievement of the Project's objectives will be audited as part of the internal audit process.

Success in meeting the interested parties' expectations will be ascertained by a feedback request on Project completion.

ANNEX 1: Project Input & Output Documents

Inputs:

- EU Regulation (EC) No. 391/2009 - Common rules and standards for ship inspection and survey organizations
- The EU Commission's 2017 QACE Assessment Report and QACE CAP
- IMO RO Code (Resolution 349(92)), includes IMO Resolutions A.739(18) and A.789(19)
- ISO 9000: Quality management systems - Fundamentals and vocabulary
- ISO 9001: Quality management system - Requirements
- ISO/IEC 17020:2012 Preview Conformity assessment - Requirements for the operation of various types of bodies performing inspection
- ISO 17021:2011 Conformity assessment - Requirements for bodies providing audit and certification of management systems
 - Part 1: Requirements (2015)
 - Part 2: Competence requirements for auditing and certification of environmental management systems (2016)
 - Part 3: Competence requirements for auditing and certification of quality management systems (2017)
- ISO 19011:2011, Guidelines for quality and/or environmental management systems auditing
- IACS QSCS and IQMSR 10th Issues
- IACS Procedure Requirement Volume 3 (Rev.6)
- Casualty and Accident Investigation Reports
- PSC Statistics (Paris MOU, Tokyo MOU, USCG)
- Feedback from Interest Parties
- QACE/RO/ACB Tripartite Agreement v 5.4
- QACE Annual Reports and Collective Recommendations
- QACE Individual Recommendations
- QACE QMS
- ACB audit findings
- QACE Assessment Reports
- Feedback from QACE End User workshop
- QACE Requirements Notices (QRNs)

Outputs:

- QACE Audit Requirements (QAR)
- QAR Project Plan (PP)
- QAR Project and project documentation

QAR PROCEDURE DEVELOPMENT PROCESS

ANNEX 2: Project Schedule

Month	Nov 18	Dec 18	Jan '19	Feb '19	Mar '19	Apr '19	May '19	Jun '19	Jul '19	Aug '19	Sep '19	Oct '19	Nov '19	Dec '19	Jan '20	Feb '20	Mar '20	Apr '20	May '20	Jun '20	Jul '20	Aug '20	Sep '20	Oct '20	Nov '20	Dec Jan	Jan 21	
Project Plan Approval	•																											
Consultancy Group Set Up			•																									
Quarterly Activity Report						•			•			•			•			•			•			•			•	
Stage One																												
Project Kick off Meeting			•																									
Preparation of Procedures					•	•	•	•	•																			
Consultancy Group Review									•	•																		
Review Panel										•	•																	
Finalise QAR v1											•	•																
Approve and publish QAR V1													•															
Submit QAR V1 to UKAS for accreditation														•														
Stage Two																												
Auditor training															•													•
Preparation of Procedures																•	•	•	•	•	•							
Consultancy Group Review																				•	•							•
Review Panel															•						•	•						•
Finalise QAR V2																						•	•	•				
Approve and publish QAR V2																										•		
Project Review & Completion																												•
Send QAR V2 to UKAS for accreditation																										•		

ANNEX 3: QAR Project Budget 2019

Person responsible for the Budget: _____

Project Manager: _____

ITEMS	DESCRIPTION	AMOUNT				NOTE
		UNIT PRICE	QUANTITY	BUDGET	ACTUAL	
Human Resource	Project Consultant Fee	550	28	15,400		Day rate
	Subtotal			15,400		
General Expense	Printing Fee	100	1	100		
	Photocopying fee	200	1	200		
	Communication	150	1	150		Telephone, Fax, Land Line Calls
	Mailing Expenses	20	4	80		Postage and Courier
Subtotal			530			
Total			15,930			

ANNEX 4: QAR Feedback & Response Summary

All review comments will be registered and responded to by using the following summary sheet. A 'live' version available at [\(link\)](#).

Review Comments & Response Summary				
Document:			Working Group Chairman:	
Item	Proposed by	Review Comments	Response	Conclusion
1				
2				
3				
4				
5				
6				
7				
8				
9				

ANNEX 5: Quarterly Project Activity Report

To be completed by Project Manager and sent to the Secretary General every quarter.

Reporting Period: _

1. General organization

Main activities implemented during the period:

a) *Description of activities implemented during the period. Mention any change in dates, deviations from original plan:*

b) *Report any problems encountered during the current period, explain the reasons and the proposed solutions*

2. QACE steps to be taken in relation to the project activities at next quarter (refer to the project schedule)

3. Delivery of project outputs, publishable materials in this quarter.

