

2016 COLLECTIVE RECOMMENDATIONS

QACE 2015 ANNUAL REPORT - ANNEX C

- 1. Auditing of new and major statutory requirements.** The scheme's auditor training includes training in relation to new and coming statutory requirements

QACE recommends that new statutory requirements become a focus for following year's audits, at an appropriate time to audit the RO's technical evaluation and inclusion into Rules and instructions, advice or training to surveyors, associated products such as checklists and, once implemented, reviewed effectiveness in the field during Survey Location audits and wherever possible Vertical Contract Audits on board during surveys. It is recommended that specific major or high-risk requirements are selected. The recommendation supports a process-based approach to auditing and will cover a number of years. This recommendation continues the theme of end-to-end process auditing.

- 2. Review of Activity Monitoring (IACS PR6).** There has been a weakness in the ability of some ROs to evaluate the result of activity monitoring and evidencing identified improvements.

Further feedback indicates that the procedural requirements may not be focussed on the aim, which is for ROs to evaluate the performance of field surveyors and auditors and plan approval staff. It is recommended that the process be reconsidered to effectively achieve the requirement.

- 3. Major Incident and Casualty feedback.**

While the responsibility for casualty investigation lies with the flag State, Recognised Organisations should learn any lessons relevant to them from internal casualty investigations and major incidents, both in addressing possible Rule amendments and advice to the surveyor team where it is appropriate. QACE recommends that requirements are developed to be verified under audit.

- 4. Effective implementation of new procedures** Last Year's Collective Recommendation are being covered with new procedures and guidance within the audit scheme.

QACE would recommend an audit focus on implementation of the procedures and guidance into the RO's systems, followed by a review of their effectiveness in operation. It is recognised these focuses would be relevant for 2017 and 2018.