



AS-3 Independent Training Organization (ITO) Trade Skills Training Audit Checklist

Contractor: _____ Jobsite Location: _____

Date: _____ Audit Completed: _____ Audit Performed By: _____ Audit Scheduled

Attribute Ratings: 1 = Major, 2 = Minor, 3 = Standard Requirement, N/A = Not Applicable

Business Structure (7.1, 7.2, 7.3)

Assessment of the business structure used by the contractor to manage, encourage, & deliver a trade skills training program to ensure the quality of the job being performed & availability of trained personnel.

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
1	Statement of Training Goals 7.3.1	ITO provides evidence of a Training Goals statement that is readily available to students in hard copy or electronic format. The statement is prominently posted, and available for students, instructors, visitors, and, managers to see.		1 2 3 N/A			
2	Trade Skills Training Manual or Instructions 7.2	ITO shall have a Training Program Manual, or collection of instructions providing direction for the various elements, tasks, and recording requirements defined in Section 7.3 of AS-3 ITO.		1 2 3 N/A			
3	Effective in-house training management team 7.4	ITO provide names and evidence of experience, training, or other qualifying factors for the positions of Director of Training, Training Manager, Trade Skills Instructor(s), and any other Instructor(s).		1 2 3 N/A			
4	Organizational Chart and Job Descriptions 7.3.3.	ITO shall have one or more organizational charts, Job Descriptions, Contact Information and required certifications covering the following positions: Director of Training, Training Manager, Trade Skills Instructor(s) and any other Instructor(s) and EHS Manager. Each must provide detail including responsibility for development & approval for applicable lesson plans, exams, quizzes, lecture material, & retention testing.		1 2 3 N/A			
5	Trade Skills Training & Certification for Trade Skills Training Managers 7.3.2	Provide documented evidence that the Instructors, including the EHS instructor, have required certifications and they are maintained. in accordance with Appendix 1 of AS-3 Auditing Standard.		1 2 3 N/A			
6	ESH Manager/Instructor Position Requirements Appendix 1	EHS Instructor must have academic credentials and instructional experience necessary to teach the required subjects. The facility must provide records that demonstrate that the EHS Instructor has competent instructional skills and knowledge or the applicable subject matter (29 CFR 1910.120-13). Position responsibilities may be assigned among multiple personnel. Assignment shall include responsibility for maintenance of the HSE Manual or instructions.		1 2 3 N/A			
Business Structure				Section Score			

Trade Skills Training Program Management (7.3)

Assessment of functions and management of the In House Trade Skills Training Program.

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
7	Direction for development, review, update, and delivery of a lesson plan 7.3.5.(b)	ITO shall provide evidence of a written standard or instruction describing the development, management and delivery of lesson plans by Instructors and/or staff.		1 2 3 N/A			
8	Training Plan & Lesson Plan for delivering trade skills training 7.3.5.(a), (c)	ITO shall provide evidence of a formalized system to access training & lesson plans which describe how the subjects will be delivered and tested. These plans may be in written or electronic format.		1 2 3 N/A			
9	Managing written & hands on quizzes and tests 7.3.5.(f)	ITO shall provide evidence of protocol for administering and correcting both hands on and written/electronic tests and quizzes.		1 2 3 N/A			
10	Trade Skills Training Manual or Instructions 7.3.	ITO shall provide documentation or evidence of an Applicator's Trade Skills instruction or manual in compliance with section 7.3 of the AMPP AS-3 ITO Auditing Standard AS-3.		1 2 3 N/A			

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
11	Perform and Review In House surveillances 7.3.5.(f)	ITO shall provide written evidence that requires a yearly inhouse audit of their education programs and review of audit reports by inhouse personnel/governing boards and an outside agency.		1 2 3 N/A			
Trade Skills Training Program Management				Section Score			

Position Descriptions and Responsibilities (7.5)

Assessment of Training Manager, Trade Skills Instructor, & Instructor position descriptions for thoroughness of responsibilities.

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
12	Position Descriptions Manage tracking system, OJT tasks & hours, training completed, test scores, etc. 7.5.4.	ITO to provide job specific details including responsibility for managing the skills tracking system for each employee, including OJT tasks & hours (as reported by employer or student), training completed, training needed (as reported by employer), test scores, due dates (when applicable), progress review information to verify timely completion of tasks.		1 2 3 N/A			
13	Position Descriptions Manage function & professional development of Instructors 7.5.1.(b)	ITO provide evidence that records and manages the functions & professional development of the instructors.		1 2 3 N/A			
14	Position Descriptions Trade Skills Instructor 7.5.2.	Job descriptions for Trade Skills Instructor includes responsibility for presenting material in accordance with the applicable lesson plan, answering technical questions posed by the students, counseling students on academic or trade skill strengths & weaknesses.		1 2 3 N/A			
15	Position Descriptions Trade Skills Instructor 7.5.2.	Job descriptions for Trade Skills Instructor includes responsibility to proctor exams & quizzes, maintain & provide to the Training Manager records of the students' progress, on academic or trade skill strengths & weaknesses.		1 2 3 N/A			
16	Position Descriptions Trade Skills Instructor 7.5.2.	Job descriptions for Trade Skills Instructor includes responsibility to report to the Training Manager recommendations for changes to the lesson plans.		1 2 3 N/A			
Position Descriptions				Section Score			

General Knowledge Requirements (7.9)

Assessment of the general knowledge requirements including the ability to read, write, and communicate in the language of the worksite, safety, health, and environmental training; the principles of corrosion and environmental control.

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
17	Lesson Plan, testing, or other method to verify language skills 7.7.1	ITO demonstrates that the lesson plan, and testing require the student/employee to be proficient in the language of the worksite. NOTE: THERE MAY BE MORE THAN ONE LANGUAGE IN COMMON USE AT THE WORKSITE. PROFICIENCY IN ANY LANGUAGE IN COMMON USE AT THE WORKSITE IS ACCEPTABLE.		1 2 3 N/A			
18	Students receive general safety training prior to exposure to the worksite hazards 7.7.2	For students whose training is scheduled through the ITO provide evidence that general safety training is provided to students prior to exposure to hazards. Evidence may include training rosters, employment papers, & job assignments to show that students/employees received safety & health training immediately after being hired. Training must cover subjects outlined in Appendix 1 of AS-3 ITO.		1 2 3 N/A			
19	Principles of Corrosion 7.7.3.	ITO shall provide evidence that students receive training covering the principles of corrosion, detrimental effects of corrosion, & principles of surface protection. Evidence may include training rosters, & lesson plans.		1 2 3 N/A			
20	Principles of Environmental Conditions & Data Collection 7.8.1.(a)	ITO shall provide evidence that students receive training covering the principles of environmental conditions, detrimental effects of excessive humidity, surface & ambient temperature outside the acceptable range, & dewpoint. ITO may provide training rosters, & lesson plan to show that students/employees received training related to the principles of environmental conditions.		1 2 3 N/A			

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
21	Principles of Environmental Controls 7.8.1.(b)	ITO shall demonstrate that students receive training covering the principles of environmental controls to avoid detrimental effects of excessive humidity, surface & ambient temperature outside the acceptable range, & dewpoint concerns. Evidence may include training rosters, & lesson plan.		1 2 3 N/A			
General Knowledge Requirements (7.9)				Section Score			

Surface Preparation (7.10)

Assessment of surface preparation requirements including training to perform an initial assessment of the surface, clean the surface, inspect for imperfections or manufacturer defects, prepare the surface using various methods and tools, and test the surface to ensure compliance with the specification and applicable standards.

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
22	Existing surface assessment 7.8.2.(b)	ITO shall demonstrate that students receive training covering the initial visual assessment of a surface to be prepared. Evidence may include training rosters, & lesson plan training students about the use of VIS 1, VIS 3, & VIS 4, & assess a number of pieces of steel.		1 2 3 N/A			
23	Existing coating assessment 7.8.2.(b)	ITO shall show evidence that students receive training covering the assessment of existing surface condition prior to surface preparation. Evidence may include training rosters, & lesson plan covering discussion of non-visible contaminants, coatings degradation, heavy metals testing principles, & coating incompatibility concerns.		1 2 3 N/A			
24	Surface preparation standards 7.8.2.(b)	ITO shall provide evidence that students receive training covering surface preparation standards from NACE/SSPC, SSPC, & ISO. Evidence may include training rosters, & lesson plan.		1 2 3 N/A			
25	Common abrasives 7.8.2.(c)	ITO provides training rosters, & lesson plan including discussion of common abrasives used in industry. A minimum of 5 abrasives must be included in the discussion.		1 2 3 N/A			
26	Surface preparation of special substrates Zinc, Aluminum, & Stainless steel, 7.8.2.(d)	ITO provides evidence of a training roster and lesson plan including discussion of surface preparation for the special substrates such as zinc, aluminum and stainless steel and the special precautions required when working with dissimilar metals.		1 2 3 N/A			
27	Surface preparation of complex geometry 7.8.2.(e)	ITO shall provide training rosters, & lesson plan including discussion of complex geometry & the practices to be taken to prepare surfaces to the maximum extent practical.		1 2 3 N/A			
28	Surface defects 7.8.2.(f)	ITO shall provide training rosters, & lesson plan including discussion of surface defects & the practices to be taken to prepare surfaces properly when surface defects are encountered.		1 2 3 N/A			
29	Surface preparation equipment 7.8.2.(h)	ITO provide training rosters, & lesson plan including discussion of various equipment used for surface preparation & specific practices applicable to the types of surface preparation equipment. Discussion shall include dry abrasive blast cleaning, centrifugal blast cleaning, vapor blasting and water jetting.		1 2 3 N/A			
30	Surface preparation acceptance elements 7.8.2.(i)	ITO provide training rosters, & lesson plan including discussion of surface profile standards measuring surface profile, and testing requirements related to the industry standards.		1 2 3 N/A			
31	Testing, inspection, frequency, & documentation for surface preparation 7.8.2.(j)	ITO shall show evidence that students receive training covering how to perform & document various testing related to surface preparation for the elements listed in AS-3 paragraph 7.8.2.(j). Evidence may include training rosters, & lesson plan including discussion of surface preparation testing & inspections listed above.		1 2 3 N/A			
Surface Preparation				Section Score			

Coating/Lining Application (7.11)

Assessment of contractor's training practices related to coating/lining process. Includes discussion of the physical properties of coatings, selection of coatings, use of the product data sheet, proper material storage, application methods and equipment, recognizing and addressing application errors.

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
32	Physical properties of coatings 7.8.3.(a)	ITO shall provide evidence that students receive training covering coatings used in industry. Discussion should include coatings, convertible vs. non-convertible, curing mechanisms, & properties of coatings used in industry. Evidence may include training rosters, & lesson plan.		1 2 3 N/A			

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
22	Product data sheet 7.8.3.(c)	ITO shall provide evidence that students receive training covering the use of a Product Data Sheet. Emphasize the difference between the information on a PDS & an MSDS or SDS. Discussion may include the use of a PDS to learn the properties of coatings, how to prepare the surface, apply the coating, & cure the coating for service. Evidence may include training rosters, & lesson plan.		1 2 3 N/A			
34	Material storage & staging 7.8.3.(d)	ITO shall provide evidence that students receive training covering required material storage and staging conditions based on the Product Data Sheet. Emphasize secondary containment, temperature control, exposure to sunlight, ventilation, & environmental monitoring & recordkeeping. Evidence may include training rosters, & lesson plan.		1 2 3 N/A			
35	Material mixing 7.8.3.(e)	ITO shall provide evidence that students receive training covering material mixing based on the Product Data Sheet. Emphasize visual inspection for condition of material in container, using clean mixer, ensure the proper Part A & Part B are being mixed, don't cross contaminate between Part A & Part B, induction time & temperature, mixing the entire batch, mixing for an adequate amount of time. Evidence may include training rosters, & lesson plan including discussion of the subjects mentioned above.		1 2 3 N/A			
36	Coating/lining application methods 7.8.4.	ITO shall provide evidence that students receive training covering coating/lining application tools and methods. Training shall include description of tools, methods, and pros & cons of each method. As a minimum training shall cover brush & roll, airless, plural component airless, conventional air spray. Evidence may include training rosters, & lesson plan including discussion of the subjects mentioned above. NOTE: TRAINING FOR APPLICATION METHODS & TOOLS MAY BE COMBINED.		1 2 3 N/A			
37	Recognizing & addressing application errors 7.8.6.	ITO shall provide evidence that students receive training covering recognizing coating/lining application errors. Training shall include description of errors such as improper spray pattern or overlap, fingering or tailing, improper thickness, holidays, complex geometry, & off ratio pump, & how to correct the errors. Evidence may include training rosters, & lesson plan including discussion of the subjects mentioned above.		1 2 3 N/A			
38	Testing, inspection, frequency, & documentation 7.8.7.	ITO shall provide evidence that students receive training covering WFT, DFT, visual inspection, holiday detection, and adhesion testing for students involved with those activities. Training shall include description of the readings, hands on use of the tools, & proficiency testing with the tools. Evidence may include training rosters, & lesson plan including discussion of the subjects mentioned above. Contractor provides evidence of hands on practical testing & test results.		1 2 3 N/A			
Coating/lining Application			Section Score				

Data Collection & Documentation (7.12)

Assessment of contractor's training program for the collection and documentation of data. The contractor will define the training and certification required to perform data collection and quality control tasks within the company. Training may be provided by a third party such as NACE or SSPC, or training may be in house. However, in house training can only support data collection as a part of verifying the required parameters within the contractor's organization. In house training does not qualify or certify a worker to perform independent QA/QC functions.

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
39	Data Collection & Documentation precision measurement equipment 7.8.8.	ITO shall provide evidence that students receive training covering precision measurement equipment, such as dry film thickness instruments, surface profile instruments, and instruments for measuring ambient conditions. Training must include description of the equipment, how to operate the equipment, how to validate calibration of equipment & validation frequency, taking readings, hands on use of the tools, & proficiency testing with the tools. Expected: Contractor provides training rosters, & lesson plan including discussion of the subjects mentioned above. Contractor provides evidence of hands on practical testing & test results.					
40	Direction for actions to be taken if "Out of specification" data is collected 7.8.8.(d)(2)	ITO shall provide evidence that students receive training describing corrective actions to take if inspection readings do not conform with the requirements of the specification. Training shall emphasize recording the data collected, include the use of reporting forms when practical, contact information, whether to continue work or wait for resolution. The answers to the above issues may change depending upon the type of data collected & the significance of the discrepancy. Training shall refer to the specification for clarification. Evidence may include training rosters, & lesson plan.					
41	Data Collection & Documentation completing sample forms 7.8.8.(d)(4)	ITO shall provide evidence that students receive training describing when specific hold point test requirements are applicable. General observation requirements should include proper use of applicable forms, & determining what data needs to be entered for a specific block or entry. Evidence may include training rosters, written test sheets, & lesson plan.					
42	Importance of objectivity & honesty in data collection & documentation 7.8.8.(d)(6)	ITO shall provide evidence that students receive training regarding objectivity & integrity when selecting random sample sites, collecting data, and recording data for test requirements & general observation requirements. Evidence may include training rosters, & lesson plan.					
Data Collection & Documentation			Section Score				

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
Testing Policies to Verify Trade Skills Knowledge (7.1.3)							
An assessment of the Contractor's Training Manual or Training Program Instruction coverage of testing protocols used for quizzes, written tests, and hands on testing for demonstrating trade skill knowledge.							
Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
43	Physical & intellectual security of materials 7.9.2.(a)	ITO Shall provide evidence of a written policy requiring physical & intellectual security of test material, written test keys, hands on test guidelines, student records, & grades. Training Program Instruction or Manual contains direction regarding security of the above listed items.		1 2 3 N/A			
44	Policy on cheating 7.9.2.(b)	ITO shall provide evidence of a formal documented policy that any cheating during a written or hands on test will be cause for failing the test.		1 2 3 N/A			
45	Separate but similar question banks 7.9.2.(c)	ITO shall provide evidence that separate but similar question banks are used for quizzes and testing. Evidence may be written policy or access to question banks to verify separation between the quiz question bank & the test question bank.		1 2 3 N/A			
46	Verify each question was covered 7.9.2.(d)	ITO shall provide evidence that each question used for quizzes and testing are covered in the documentation, lesson plan delivery, or assigned reading. Evidence may be access to question bank log showing reference to the location where the correct answer can be found.		1 2 3 N/A			
47	Hands on testing test panel 7.9.2.(e)(2) (3)	ITO shall provide evidence that the test panel used for hands on testing of surface preparation and coating application meets the requirements of ASTM D 4228 or acceptable equivalent. If an equivalent is used, the ITO shall provide evidence that the test panel or location used for hands on testing is of equivalent difficulty. Evidence shall include written or photographic description of the deviation, & written description and technical justification of the equivalency of the deviation from this auditing standard.		1 2 3 N/A			
48	Written test key 7.9.2.(f)(1)	ITO shall provide evidence of a test key used for correcting written tests & quizzes.		1 2 3 N/A			
49	Hands on test guidelines 7.9.2.(f)(2)	ITO shall provide evidence of written test guidelines used for grading hands on tests. Guideline must provide definition of acceptable ranges for WFT, DFT & surface profile depth.		1 2 3 N/A			
Testing Policies to Verify Trade Skills Knowledge			Section Score				

Safety - Haz Mat - Haz Waste (7.1.2)

An assessment of the ITO's safety requirements, Hazardous Material and Hazardous Waste practices.

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
50	Training Prior to Exposure 7.1.2(a)(2)	ITO Shall provide evidence of a policy that students, instructors, or employees have adequate safety and health training prior to exposure to materials, processes, or waste that may pose a hazard to the life or health of the individual or others.		1 2 3 N/A			
51	HazWaste/HazMat storage, inspection, & Disposal 7.1.2(a)(3)	ITO Shall provide evidence of a hazardous material - hazardous waste program proving for storage, labeling, processes for waste management, inspection and disposal in accordance with applicable requirements.		1 2 3 N/A			
52	Process Review for HSE Issues; Update SOPs 7.1.2(a)(4)	ITO Shall provide evidence of a program or policy for review of potential environmental, safety, or health issues and that SOPs or instructions are modified as appropriate when improvements are identified.		1 2 3 N/A			
53	Safety & Respiratory equipment is maintained & available as needed. 7.1.2(a)(5)	ITO Shall provide evidence of availability of all required PPE, including respirators, tyvek & abrasive blasting coveralls, gloves, hearing protection, eye protection (safety glasses & face shields), and direction for use of steel toed shoes (or equivalent protection), and all applicable PPE.		1 2 3 N/A			
54	Material Handling Equipment training prior to use. 7.1.2(a)(6)	ITO Shall provide evidence of a program or policy for use of material handling equipment such as forklifts, manlifts, dollies, and cranes; and that personnel are adequately trained prior to use. Outstanding: Electronic database tracking qualifications, due dates, incident or mishap investigations, identified issues, follow-up actions and implementation of changes.		1 2 3 N/A			
55	Material Handling Equipment training prior to use. 7.1.2(a)(7)	ITO shall provide evidence of an emergency plan including emergency escape routes, muster points, fire extinguishers, eye wash stations, first aid kits, and evacuation plans. All placards, signs and instructions shall be in place. All emergency equipment shall be in working order, inspected and replenished regularly. Ensure appropriate notification is included in the opening brief for all training, testing, and activities.		1 2 3 N/A			
56	Mishap Prevention Program. 7.1.2(a)(8)	ITO shall provide evidence of a Mishap Prevention Program that provides for investigation of mishaps or near misses to determine root causes, and implement corrective or preventive actions; require periodic surveillances or audits to identify hazards or potential improvements; track findings from investigations, surveillances, and audits to verify follow through on assigned actions.		1 2 3 N/A			

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
Safety - Haz Mat - Haz Waste (7.1.2)			Section Score				

Observation of Testing Practices (5.4.10)

Assessment of contractor's training practices and adherence to the management program elements previously verified during the review portion of this assessment. Jobsite assessment will include observation of training & testing, verification of mock up facility or contractor's equivalency assessment, observation of written and hands on retention testing, & grading of tests.

Item	Attribute	Description	Comments	Rated Value	Major Finding	Minor Finding	Observation
57	Proctor retention test 5.2.7(a)	ITO shall arrange for a written test (scheduled or retention) of several students randomly selected by the auditor from the list of qualified employees for a given subject, or from students currently attending a class at the ITO. Auditor will select 10 names from a list of available students. The ITO may eliminate up to 5 names for cause, such as not currently attending class at the facility; however, any employees eliminated will be replaced by additional employees randomly selected by the auditor. If students are not readily available, the retention test may be performed the next day. The Instructor will be allowed a 30 minute verbal review session prior to the test. The Instructor will provide verbal review, require the tables to be cleared, then distribute the test used to originally qualify the students. Time allowed will be consistent with the Lesson Plan for the subject. The average of all retention test scores shall be at least 70%; at least 80% of the students shall pass with a 70% score.					
58	Verify mock up facility or equivalency report 5.2.7(b)	ITO shall provide access to the mock up facility & test panel. If the ITO uses a test panel or location determined to be of equivalent complexity, the auditor shall review the assessment & documentation required by Paragraph 5.2.7 (b) of AS-3. The mock up facility shall have the equipment & support services necessary to abrasive blast and apply coatings. The test panel complexity shall be equivalent to the complexity of the panel defined in ASTM D4228.					
59	Hands on skills testing 5.2.7(c)	ITO shall arrange for a hands on test (scheduled or retention) of several students randomly selected by the auditor from the list of qualified employees for a given subject. Auditor will select the names from those students available. The contractor may eliminate up to 1 name for cause; however, any student eliminated will be replaced by an additional student randomly selected by the auditor. If students are not immediately available, the test will be performed the next day. The Instructor will be allowed a 30 minute verbal review session prior to the test. Instructor will provide verbal review, then proctor the hands on test. Time allowed shall be consistent with the Lesson Plan for the subject. The average of all retention test scores shall be at least 70%; at least 70% of the students shall pass with a 70% score. Outstanding: Average of all test scores is at least 90%, all students pass with at least a 70% score.					
60	Grading or correcting of written tests based on a test key 5.2.7. (d) & (e)	ITO shall provide access to the written test key, and a number of graded written tests. Auditor will randomly select names for a list of qualified personnel for a given subject. The ITO shall provide the corrected test used as the basis for qualification. Auditor reviews a sample of the tests provided with the sample key to determine that the grading was consistent & objective. If there are any deviations from the results obtained with the test key they should be clearly explained on the test sheet.					
61	Grading or correcting of hands on tests based on a written guideline 7.9.2.	ITO shall provide access to the written guideline & a number of graded hands on test results sheets. Auditor shall randomly select names for a list of qualified personnel for a given subject. The ITO shall provide the corrected test results used as the basis for qualification. Auditor reviews a sample of the tests provided with the written guidelines to determine that the grading was consistent & objective. If there are any deviations from the results obtained with the written guidelines they shall be clearly explained on the test results sheet.					
Observation of Testing Practices (5.4.10)			Section Score				