



QP1 Audit Checklist

Revised April 2020

Contractor: _____

Jobsite Location: _____

Date: _____

Audit Performed By: _____

Date Completed: _____

Name/Title: _____

Email Address: _____ **Fax:** _____

Phone Numbers: Mobile: _____ **Office:** _____

Recent Changes in Personnel:

QCS: _____

E H & Safety Officer: _____

Production Manager: _____

Executive Management: _____

Superintendents: _____

Project Managers: _____

Other: _____

Changes in Ownership: _____

Audit and Initial Application Item Number:	Quality Procedure Reference Number:	Audit Criteria:	Rating 1 2 3	Comments:
1	4.1.1a. Mission Statement	<ul style="list-style-type: none"> • Must address the Company's commitment to: Quality Work, Compliance with applicable Environmental and Worker Health/Safety regulations during coating and related operations • Posted at office and job sites where workers can view. • On company letterhead (signed and updated by current member of executive management). 		
2	4.1.1b. Disseminating Company Policies	<ul style="list-style-type: none"> • Procedures have been implemented to disseminate policies to all employees and workers under contractor's direction through an employee manual or handbook, new employee orientation materials, work force meetings or other methods. • Companies with informal policies must record employee orientation attendees, dates, topics covered and documents issued. 		
3	4.1.2a. Organizational Chart	<ul style="list-style-type: none"> • Lines of responsibility of key personnel responsible for coating and related operations are shown by name and title and reflect actual company practice (key personnel must include owner managers or responsible executive, if not owner managed, production management, QCS, and EHS officer). • Key personnel must be full time employees of the organization (e.g. contractor, shipyard) and report to executive management. • Must be signed, and dated by member of current executive management or posted on active company web site 		
4	4.1.2b. Job Descriptions for Key Personnel (includes management, quality control, and EHS)	<ul style="list-style-type: none"> • Responsibilities and duties are clearly stated and current. • Required experience, licenses, certifications, training and refresher training for Project and Production Managers, QCS, EH&S officer are stated and current. 		

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5	4.1.3a.& b. Financial Record-keeping	<ul style="list-style-type: none"> • A formal accounting system is in place using accepted accounting practices. • Current letter from a CPA firm, ACCA Certified, or equivalent accounting professional, is on file confirming that the Contractor's operating accounting system and procedures follow established accounting principles and procedures for the jurisdiction where the contractor operates 		
6	4.1.3c Contract Review	There is evidence (documentation) that one or more members of management review contract documents prior to assembling job packages		
7	4.1.3d Distribution of Specifications	There is evidence that specifications, upon completion of management review, are subsequently distributed (e.g., by email, company data base or mail service), to all affected personnel within the organization		
8	4.1.3e & 4.4.1i Procedures for Learning About and Complying with Regulations (usually auditable at the office during "full" audits) & Access to project-applicable regulations at the job site	<ul style="list-style-type: none"> • A key person is designated by management (in writing) to keep abreast of and inform key personnel of regulations affecting the Contractor's operations. • Versions of regulations applicable to specific projects and general business operations are available at the main office and any division offices. • The contractor has copies of or immediate access to project-applicable EH&S regulations at the job site 		

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9.	4.1.3f. Legal Viability Subject to verification at all Initial Audits, and at Full, or Follow-up Audits, or after major reorganization or a change in ownership (at the discretion of the Auditor, Certification Manager or Program Administrator)	<ul style="list-style-type: none"> • Federal Tax returns are filed in a timely manner in the name of the company on the certification application • Federal Tax ID/EIN Number statement issued by the IRS under the applicant's name is on file for review during the audit. • Company holds current and valid worker's compensation, general liability, and other insurance coverage required to conduct operations. • There is evidence that production workers are employed or properly leased by the company. • Firm holds current licenses for locales where it operates. • Appropriate ownership/incorporation papers under applicant's name are on file with proper authorities and available for review during the audit. 		

10.	4.1.3g. & 4.5 Subcontracting Assignment & Delegation	<p>Qualifying Subcontractors The QP-1 Contractor shall ensure it hires qualified subcontractors to perform surface preparation, coating application and related work.</p> <p>Basis for Subcontractor Selection At a minimum, the Contractor must review the subcontractor candidate's:</p> <ul style="list-style-type: none"> • Work experience • Recently completed projects • Technical Competence • Adequacy of EH & S Programs & Safety Performance • Financial Ability <p>Subcontracting on QP-1 Required Projects (4.5.3) Verify that all subcontractors performing surface preparation, coating application and any other elements requiring QP-1, hold valid QP-1 certification. QP-1 subcontractors on a particular Contractor project are subject to audit, at the discretion of the Program Manager</p> <p>Subcontracting on Non-QP 1 Required Projects SSPC will not audit non-QP subcontractor's working on a Contractor's Non QP required job site, with one exception: if auditing a Contractor on a Non QP-1 required job because it's the only work it can show the auditor to remain qualified, verify that the Contractor is performing reasonable oversight of subcontractors per 4.5.6 below.</p> <p>Good Faith (4.5.4)</p> <ul style="list-style-type: none"> • Confirm with the owner's representative that the owner has been notified of the use of any non-QP subcontractor on a QP-1 required project • Also, confirm with the owner's representative that the Contractor has obtained approval to use the subcontractor, where such approval is required by contract <p>Written Subcontract (4.5.5)</p> <ul style="list-style-type: none"> • Verify that the QP-1 Contractor has on file a written, signed contract or P.O. with the subcontractor that incorporates all applicable project, regulatory, qualification and certification requirements. <p>Reasonable Oversight (4.5.6)</p>		
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		<ul style="list-style-type: none"> • There is evidence that the Contractor maintains reasonable oversight to ensure that subcontract requirements are met. • Acceptable evidence includes: <ul style="list-style-type: none"> • Internal audit of the Subcontractor's Records • QCS review of subcontractor's QC documentation • EH & S Manager review of subcontractor's Safety performance & Environmental Compliance • Periodic Observation of Production that is documented on the Contractor's DIR's (Daily Inspection Reports) and Daily job site assessment reports <p>Audit Findings Audit findings attributable directly to a Non QP-1 subcontractor's work shall be deemed audit findings for the Contractor. Consult with the Program Manager before writing such findings.</p>		
11.	4.1.3h. Regulatory Citations and related documentation (e.g. settlement agreements, final orders, affirmation of violations) <u>CRITICAL ITEM</u> 1	<ul style="list-style-type: none"> • Records and fine amounts are kept of all federal, state and local regulatory citations, notices of non-compliance and violations issued to the Contractor for coating and related operations, and their resolution. • (Note to auditor: Affirmed violations/final orders/settlement agreements are documented by the auditor for referral to the SSPC Corporate Certification Program Manager for potential disciplinary action review under the DAC.) • There is evidence that executive management reviews all significant (e.g. "serious, willful or repeat") regulatory citations, etc., and documents root cause analysis (RCA) for each and takes corrective action to avoid repeat violations 		

12.	<p>4.2.1 & Appendix A</p> <p>Craft Worker Assessment & Qualification Program (including CAS Implementation and Project-Specific Requirements)</p> <p><u>CRITICAL ITEM</u></p> <p><u>2</u></p>	<ul style="list-style-type: none"> • The contractor has a written Craft Worker Assessment Program conforming to the requirements of Mandatory Appendix A reproduced in full at the end of this checklist). <p>There is:</p> <ul style="list-style-type: none"> • A designated Training Manager who is qualified and conducts duties IAW Appendix A. • A set of procedures that have been implemented for conducting and documenting training (as needed) and for qualifying trainees, newly hired craft workers and newly hired experienced workers. • Evidence that the Training Manager uses training materials that have been developed by material and equipment suppliers, or SSPC, PDCA, NCCER, FTI or other craft training acceptable to the Program Manager • Evidence that the contractor complies with contract-specific craft-worker training and certification requirements. • Evidence that the contractor complies with the QP 1 CAS implementation plan in effect at the time of the audit unless otherwise superseded by project-specific facility owner craft-worker requirements (bullet #3 above) or facility owner waiver of the CAS requirement <p>Special Note:</p> <ul style="list-style-type: none"> • CAS-qualified workers are considered qualified to Appendix A, as well as workers holding one of the following, for a period of one year after achieving certification, evaluation or completion: <ul style="list-style-type: none"> • SSPC C Programs (e.g., C-7; C-12; C-14) • NCCER Journey Level Industrial Painter Performance Verification • ICATs Certification • Completion of Apprenticeship OJT Program • Completion of training by another QP-1 contractor • Equivalent accepted by SSPC Program Manager <p>Rate Separately</p> <p>Annual proficiency evaluation</p> <ul style="list-style-type: none"> • System for all craft workers is in place (including documentation of assessments) (Excludes CAS certified personnel) • Proficiency evaluations are accessible to the auditor at the job site for craft personnel on site. <p>Important Note: Proficiency evaluations are waived for CAS qualified workers and those meeting the qualifications listed in the “Special Note” above.</p>		
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13	4.2.2 a & b.& 4.3.2a Technical Resources & Standards Library <u>CRITICAL ITEM</u> <u>3</u>	<ul style="list-style-type: none"> • There is evidence (e.g. current membership certificates or correspondence) that the Contractor is affiliated with technical organizations such as SSPC in order to keep abreast of the latest technological advances and industry best practices. • Contractor shall maintain a library (e.g., hardcopy, desktop, mobile device or smart phone, CD or on-line) at the home and division offices of current technical standards volumes applicable to its operations (e.g. API, ASTM, CIDs, IMO, ISO, MIL-Specs, NACE, NAVSEA Standard Items, SSPC, etc.) PDSs, and SDSs. • Versions of project-specified technical standards, all PDS, and SDS applicable to each project are at the job site or immediately accessible at the job site and available to craft workers, production supervisors, QC personnel and all other contractor personnel or subcontractors who have a need to know to effectively perform their tasks. 		
14.	4.2.3a. Document Control: Procedures for Receipt of Revisions to Specifications & Removal of Obsolete and Superseded Documents from the Active Project Files	<ul style="list-style-type: none"> • Contractor records receipt and distribution of specifications and other contract documents and all changes and revisions (record is kept of who gets copies with signatures of recipients, or electronic receipts, and dates of receipt). • Superseded or obsolete documents are removed from the workplace as active documents and archived so those performing the work, QC, and other key personnel are working with the most current requirements. 		

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15.	4.2.3b. Procedures for Clarifying Ambiguous Specifications <u>CRITICAL</u> <u>ITEM 4</u>	<ul style="list-style-type: none"> There is evidence of communication or meeting notes or pre-construction conference minutes noting exceptions to specifications such as omissions, errors, and conflicting requirements or other clarifications prior to start of work Verify that acknowledgement of correspondence is on file showing that the clarification request was received and answered. <p>Note: In isolated cases contractors will submit a request for clarification and receive a “verbal” response from the owner or its representative. Clarifications received through a “verbal” process should be documented by the contractor (name & title of person responding and date / method of response). This approach still presents risks for the contractor.</p>		
16.	4.2.3c. Communicating Contract and Technical Requirements to field personnel <u>CRITICAL</u> <u>ITEM 5</u>	<ul style="list-style-type: none"> Pre-job and other contract/specification altering meeting notes are formally documented and available at the job site as part of the contract information package There is a procedure to show that current contract and technical requirements, including changes and clarifications, are formally delivered to key jobsite personnel in the field responsible for ensuring conformance with contract requirements. Contract documents shall include all contract submittals submitted to the owner or prime contractor (e.g. containment drawings, environmental compliance plans, QC & Safety plans) by the auditee 		
17.	4.2.3d Quality Control Programs <u>CRITICAL</u> <u>ITEM 6</u>	<ul style="list-style-type: none"> The contractor has developed a written, Quality Control Program based on the procedures detailed in 4.3.2 and 4.3.3 below Project-Specific QC plans, when determined by the QCS or required by contract, are available for QC personnel and field supervisors at the job site 		

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18.	4.2.3e Work Plans/Process Control Procedures CRITICAL ITEM 7	<ul style="list-style-type: none"> Contractor has developed written procedures for all production processes (excluding QC & Safety which are addressed in separate Plans) used by its production crews. Examples of production processes include but are not limited to: <ul style="list-style-type: none"> Abrasive Blasting (dry or wet) & related processes Water-jetting & related processes Hand and Power Tool Cleaning & related processes Coating Mixing & related processes Coating Application (e.g. Brush, Roller, Spray, Mitt) & related processes 		
19.	4.2.4 a & b Experience, Facilities & Equipment DAC Requirement Job notifications CRITICAL ITEM 8	<ul style="list-style-type: none"> There is evidence that the contractor has successfully completed industrial/marine painting projects completed within the previous 18 calendar months or since its previous SSPC QP 1 audit Initial applicants are required to submit a list of recently completed or in progress industrial/marine painting projects, that have been reviewed & accepted by the SSPC Certification Program Manager as valid experience. Acceptable evidence includes (but is not limited to): <ul style="list-style-type: none"> Copies of facility owner project performance evaluations Letters of commendation from the owner or prime contractor Statements of final payment Punch list acceptance Job Notifications – there is evidence that currently certified firms have: <ul style="list-style-type: none"> Submitted JN's for eligible jobs completed or in progress since the company's previous QP 1 audit Discovery of 1st omission – minor CAR – 2nd and subsequent omission – major finding 		

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20.	<p>4.2.4 c, d & e</p> <p>Required information Reporting of: Defaults, Contract Terminations, Disbarments, Projects in Litigation, ADR or Arbitration, etc.</p> <p>While not a Critical Item per se, treat as a Critical Item by asking the appropriate questions during all audits conducted.</p>	<ul style="list-style-type: none"> Contractor is required to notify the SSPC Certification Program Manager and the Auditor (when asked during an audit) of any projects that the contractor has failed to complete or failed to complete satisfactorily, according to the facility owner. The contractor is also obligated to report contract terminations, disbarments, disqualifications, etc., when asked by the auditor during the audit. Provide any details re: the above reported during the audit on the audit summary. Instruct contractor representative to submit detailed information to the Certification Program Manager of any reportable incidents. 	<p>Yes - Incidents to report</p> <p>No - (nothing to report)</p>	
21	<p>4.2.4f.</p> <p>Maintenance and Repair of Major Equipment</p>	<ul style="list-style-type: none"> Office Audit - Contractor has a written preventive maintenance plan or copies of manufacturer's maintenance manual for all major equipment, leased or owned. Office Audit - There are maintenance records that document routine PM (Preventative Maintenance) and other required service and repair of major equipment used by the contractor or its subcontractors. Field Audit - Equipment on site is in good operating condition & appears to be well-maintained. Document with photos where permitted. 		

22	<p>4.3.1.1</p> <p>A) Quality Control Supervisor (QCS)</p> <p><u>CRITICAL ITEM</u> <u>9</u></p>	<p>Qualifications (QCS)</p> <ul style="list-style-type: none"> • A full-time employee (verified by payroll records) is designated in writing by executive management by way of company documents (e.g. organization chart, QCS job description, or letter) as the Quality Control Supervisor (QCS) and given written authority to perform the duties of the QCS position. <p>Training and Experience:</p> <p>A qualified QCS has:</p> <ul style="list-style-type: none"> • Successfully completed the SSPC QCS course or equivalent training or grandfathering accepted by the Certification Program Manager in advance of the Audit. • Achieved and maintained (at a minimum) SSPC PCI Level 2 or BCI Level 2 or NACE CIP Level 2 Inspector Certification or equivalent third-party certification approved by the SSPC Certification Program Manager prior to the audit. • At least 3 years of full-time field experience in Industrial/Marine Coatings field • Hold valid certifications and licenses where required <p>Primary Duties and Responsibilities (QCS)</p> <ul style="list-style-type: none"> • Ensure that contractor uses qualified personnel for QC • Ensure that proper inspection forms and recording procedures are used for job quality monitoring (QC) • Ensure correct and properly operating and calibrated equipment is used. • Review and sign off on DIRs on a timely basis (QCS must sign off or authorize review of DIR's by other competent QC personnel) • Ensure that work is inspected for conformance with contract requirements, good painting practice, and internal QC procedures (QC Manual) • Ensure that nonconforming work and rework is properly documented. • Develop or review Inspection and Test Plans. • Conduct or review Internal Audits. • Oversee company Corrective Action Program (e.g. respond to external CARs, issue internal CARs, document corrective action of QMS failures for management review. 		
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23	43.1.2 B) Personnel Qualifications (Quality Control Inspectors) <u>CRITICAL ITEM</u> <u>10</u>	<p style="text-align: center;">Quality Control Inspector:</p> <ul style="list-style-type: none"> • Formal training: Acceptable coating inspection training programs include at a minimum: SSPC (PCI, NBPI, BCI) Level 1, NACE (CIP Level 1, Frosio) or equivalent formal in-house inspection training conforming with Appendix B and accepted by the Certification Program Manager prior to the audit - Curriculum for In-house training (IAW ASTM D3276), attendance sheets, written exams and scores are on file and available for review. • Each QC Inspector must have at least 2 years of full-time field experience in Industrial/Marine Coatings QC or related work. • When required by contract, all licenses and certifications must be valid and available for verification. • QC inspectors have written authority from the QCS to perform their jobs. <p>Notes: QC personnel must have immediate access (on the jobsite) to all specification and contract referenced written and visual standards (e.g., SSPC, ASTM).</p>		

24	<p>4.3.2b & h</p> <p>Daily Documentation of Surface Preparation and Coating Application QC Inspections</p> <p><u>CRITICAL ITEM</u></p> <p><u>11</u></p>	<ul style="list-style-type: none"> • Daily Inspection Reports (DIRs) and all results of related testing are maintained IAW project-specific QC plans and company procedures (Quality Manual) • Non conforming work shall be documented • At a minimum, DIRs and results of related testing are maintained on file for each project (during all surface preparation and coating application operations). <p><i>DIRs and other daily reports must record project- relevant observations of:</i></p> <ul style="list-style-type: none"> • Compressed air cleanliness • Air temperature • Relative humidity • Dew point • Substrate surface temperature • Abrasive cleanliness & conductivity • Surface preparation cleanliness specified and achieved • Surface profile specified and achieved • Illumination of work area (foot candles for surface preparation, coating application, and inspection) in accordance with SSPC Technology Guide 12 recommendations or contract requirements. • Batch numbers of coatings and thinners • Mixing of coatings (in accordance with coating manufacturer's mixing instructions) • DFT readings for each applied coating meet specification requirements. • DFT readings for specifications requiring SSPC PA 2 are properly documented and meet specification requirements. • Inspection instruments used (manufacturer, model, and serial number) • Storage temperature & storage conditions to include min/max daily temperatures, or as required • Reports shall be maintained for a minimum of three years <p><i>Note: DIRs must be signed and dated by Inspector and formally reviewed by the QCS or designated qualified QC person.</i></p>		
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25	4.3.2.c. Inspection Equipment Calibration and Calibration Accuracy Checks <u>CRITICAL ITEM 12</u>	<ul style="list-style-type: none"> • Unless more stringent requirements are specified or stated in the contractor's Quality Manual, calibration verification of instruments used for inspection is performed and documented in accordance with either the equipment manufacturer's instructions or industry standards. The contractor maintains calibration records and certificates in the office for all instruments that require formal calibration. • Calibration records are available at the job site for instruments being used by QC and other personnel on site. 		
26	4.3.2d & g. Documenting Non-Conforming Work and Authorized Deviations <u>CRITICAL ITEM 13</u>	<ul style="list-style-type: none"> • Nonconforming work, identified by owner, or prime contractor QA personnel, or owner's representative performing QA on behalf of the owner or prime contractor, is documented per company procedure, and repaired or otherwise addressed as determined by the facility owner or authorized representative. • Requests for deviations from contract requirements are documented and processed through proper channels. Contractor maintains copies of notices or correspondence showing that any deviation from specification (DFS) has been accepted by the contracting officer or engineer of record or other owner authorized representative. 		

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27 C.2.e.	4.3.2e & f. Written Procedures and Inspection Plans/Hold or Checkpoint Inspections	<ul style="list-style-type: none"> • Standard company or contract-specific procedures are available to and used by on-site personnel for verifying that coating and related operations are performed in accordance with contract requirements and industry best practices. • Inspection procedures or project-specific inspection plans ensuring that each major operation is properly performed and documented on a daily basis during coating operations or documented in accordance with contract requirements, are available to on-site personnel, and are used to perform in-process inspections of work at key hold points. <p>Major Operations are defined as:</p> <ul style="list-style-type: none"> • surface pre-cleaning • surface preparation • primer application • intermediate coat(s) application • finish coat application • initial cure testing (when specified) 		
28	4.3.3 Corrective Action (CA) Procedures <u>CRITICAL ITEM</u> <u>14</u>	<p>The Contractor shall maintain a non-conformance log and document, on an annual basis, actions taken by management to identify and eliminate recurring (more than one occurrence) nonconformities. These actions include identification of the root cause of recurring nonconformities, implementing changes to company procedures and practices to improve quality and follow-up to ensure implementation has been effective.</p> <p>Note: The auditor shall review internal and external non-conformity or CAR logs to verify that Corrective Action has been implemented. Internal NCR/CARs are written by anyone within the contractor's organization. External CARs are those written by owners or their representatives, the SSPC auditor or other external auditors.</p>		

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29	4.3.1.3 Environmental Health and Safety Officer CRITICAL ITEM NO. 15	<p>• There is evidence that the EH & S Officer carries out duties per the company job description.</p> <p>Minimum Qualifications :</p> <ul style="list-style-type: none"> • OSHA 500 or 5400 Training or equivalent accepted by the Corporate Certification Specialist or. • C-3 + OSHA 30 training or. • 40 hours of training covering topics in Section 10 of SSPC Guide 17 or • Be the author of the Corporate Safety & Health Program and: <ul style="list-style-type: none"> • have minimum of 3 years experience in industrial painting industry or • related construction safety experience and: <ul style="list-style-type: none"> • be primary author of environmental compliance program or • have documented training on the contents of said program 	-	

30	<p>3.4</p> <p>Corporate Health and Safety Program</p> <p><u>CRITICAL ITEM</u> <u>NO. 16</u></p>	<p><i>Contractor has a written Health and Safety Program based on current OSHA or equivalent standards applicable to its operations.</i></p> <p>At a minimum, the program must address all <u>applicable</u> sections of the following topics:</p> <ul style="list-style-type: none"> • Hazardous materials • Personal protective equipment (PPE) • General health and safety • Occupational health and environmental controls • Fire protection and prevention • Signs signals, and barricades • Materials handling, storage, use, and disposal • Hand and power tools • Welding and cutting • Electrical (e.g., lighting, wiring, heating and cooling equipment, GFCIs) • Working near power lines, third rails, other live power sources, etc. • Scaffolds • Fall protection • Cranes, derricks, hoists, elevators, and conveyors • Ladders • Toxic and hazardous substances • Airless spray injection • High and ultra high pressure water-jetting • Abrasive blasting (wet and dry) • Project-specific plans are in place for: <ul style="list-style-type: none"> • Confined space safety • Erecting, moving and tearing down containments and platforms • Other project-specific hazardous conditions not addressed in the corporate safety program 		
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30 (Continued)	4.4.1 Corporate Environmental Health and Safety (EHS) Program – Procedures and Recordkeeping(Continued) CRITICAL ITEM NO. 16	<p>Communication to Workers</p> <ul style="list-style-type: none"> • There is evidence that workers receive annual, general health and safety refresher training (or as required by applicable regulations) • The Corporate Health and Safety Plan must be reviewed and approved in writing by the Owner, Manager or Responsible Company Executive and EH & S officer at least annually. • There is evidence that EHS violations are filed (office and at applicable job sites). • There is evidence that workers are made aware of the contents of the corporate safety and health program <p>Field</p> <ul style="list-style-type: none"> • There is evidence that workers receive project-specific training (e.g., weekly tool box talks; job specific hazard training) • There is a copy of the corporate or project-specific safety & health program on site <p>Safety Assessments</p> <ul style="list-style-type: none"> • Pre-job safety assessments identifying specific job site hazards are conducted and documented (can be included in site specific safety plan) 		
31	4.4.1b. Routine Job Specific Hazard Identification	<ul style="list-style-type: none"> • There is evidence that field crew competent persons, directed by the EH&S Officer, perform project-specific hazard identification, and analysis , and provide documented notification of results to all project crews on a routine and as needed basis. 		
32	4.4.1c Accident Reporting	<ul style="list-style-type: none"> • Contractor has a written accident reporting procedure. • Accident reports address (what happened, to who, where, how it happened, root cause, and follow-up action to prevent recurrence) • Accidents are documented in accordance with federal/state/local regulations and contract requirements. <p>Field</p> <ul style="list-style-type: none"> • There is evidence that supervisors assigned follow up actions complete necessary corrective action at the job site within a week after an accident, if feasible, to ensure hazard is removed or properly controlled. 		

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33	4.4.1d. Monitoring Safety and Loss Control	<ul style="list-style-type: none"> Contractor can provide written evidence (i.e. documentation of management review) that executive management & key personnel perform a comprehensive annual review of accidents, near misses, and safety procedures, etc., in an effort to improve safety performance or maintain good safety performance. The required annual review of safety performance includes review of OSHA logs, Workers Compensation incident rates as well as actual losses. 		
34	44.1e. SOPs for Major Equipment <u>CRITICAL ITEM 17</u>	<ul style="list-style-type: none"> Copies of equipment manufacturer's standard operating and safety procedures, written so they are understood by the workers on the job site, are on the job site, on or in close proximity to the piece of operating equipment and available for reference by personnel operating the equipment and their field supervisors. 		
35	4.4.1f. Personal Protective Equipment and Respiratory Protection <u>CRITICAL ITEM 18</u>	<ul style="list-style-type: none"> Contractor has an OSHA 1910.134 compliant (or equivalent regulatory compliant) respiratory protection program (documented annual fit testing and training). Contractor also has written procedures for issuing and using other PPE such as protective clothing for skin protection, eye protection, hearing protection, foot protection, head protection, and all other life saving equipment (e.g., skiffs, life jackets, fall protection, confined space rescue equipment, etc.). Required respirators and protective equipment are available and there is evidence that workers use respirators and PPE at each job site per company safety plan or project-specific plan or PPE Assessment, and applicable SDSs. The Contractor has a process to ensure that any PPE used is in the appropriate condition for effective usage as defined by the PPE manufacturer and the contractor's safety program. 		

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36	4.4.1g. First Aid Trained Employees	<ul style="list-style-type: none"> • An approved, functional, first aid kit is available on the jobsite and is accessible in case of an emergency. • At least one person is available on each job site that has had current first aid and CPR training certificates issued by the Red Cross or an equivalent organization. This is applicable to all projects that last 2 or more days. A crew of 6 or more will require a back up first aid and CPR trained person. • Check credentials on site. • Emergency telephone numbers (e.g. police, fire, ambulance, nearest hospital or clinic) are posted at each jobsite 		
37.	4.4.1h Enforcement of Safety Rules <u>CRITICAL ITEM</u> NO. 19	<ul style="list-style-type: none"> • There is tangible and documented evidence that contractor management and supervision enforces all safety rules, per its own compliance programs whether general or project-specific, and per customer requirements (e.g., plant, shipyard, military or governmental installation safety rules). 		
38	4.4.3 Environmental Compliance CRITICAL ITEM NO. 20	<ul style="list-style-type: none"> • The contractor has a “general” environmental compliance program for proper handling and disposal of paint & solvent waste, wastewater, spill waste. Field • There is evidence of implementation at the job site 		

Note to Auditor: Issue a deficiency if 20% of crew is in violation of a safety rule or if you believe a person on the work site is in imminent danger. Contact the Certification Program Manager or Program Director immediately by cell phone for guidance if you encounter what you deem to be an imminent danger situation and have concerns on how to proceed. Otherwise, proceed. The contractor has the option to appeal your finding.

Mandatory Appendix A – Craft Worker Qualifications QP-1:

A.1 GENERAL TRAINING AND QUALIFICATION REQUIREMENTS

The Contractor shall administer a formal Craft Worker training and qualification program that shall include provisions for training inexperienced Craft Workers and evaluating the qualifications of experienced Craft Workers. The program shall contain Procedures for training, evaluation, and documentation consistent with the requirements of this Appendix .

The Contractor shall evaluate each Craft Worker's performance at least annually, unless otherwise noted in this Appendix.

The Contractor shall comply with all contractually-mandated training and evaluation requirements, imposed by the Facility Owner, including training programs, certifications, certified Craft Worker ratios, and certification implementation plans.

On projects where the Contractor is contractually required to maintain QP 1 certification, at least 50% of the portions of the Contractor's workforce¹ performing abrasive blasting or spray application of coatings shall be Coating Application Specialists (Level 2 or Level 3)^{2,3} This requirement may be waived by the Facility Owner.

A.2 CONTENTS OF THE PROGRAM

Inexperienced Craft Workers

The training program for inexperienced Craft Workers shall be based on training materials or programs developed by SSPC, NACE, the IFTI,⁴ the IUPAT⁵ or its affiliates; NCCER,⁶ or equivalent materials, acceptable to the Qualifying Agency. The Contractor may also incorporate outside individual training programs into its program or incorporate company participation in apprenticeship, on-the-job training (OJT), or similar programs.

Experienced Craft Workers

The evaluation program for experienced Craft Workers shall contain provisions to administer a written test and/or a hands-on evaluation to assess the knowledge and skills required for the Craft Worker's assigned work.

- (1) When written tests are used, they shall include information that the Contractor determines to be necessary to verify the Craft Worker's general knowledge of the trade and ability to perform assigned work. While it is left to the Contractor to create or use a test

¹ The Contractor's workforce is considered to include all applicable craft workers working on behalf of the Contractor. This may include workers from labor staffing agencies or subcontractors, regardless of their QP certification status. For multiple QP 1 Contractors working in cooperation, the ratio may be calculated jointly.

² The standards committee recognizes that at the time of writing, the industry is in the process of certifying Application Specialists and may need additional time to comply with this requirement. The Qualifying Agency, with input from industry, may adopt an interim implementation plan to temporarily accept less stringent requirements, with the goal of achieving full implementation by the year 2020.

³ The Qualifying Agency, with the input of industry, may designate certain types of tasks or sizes of projects where Certified Application Specialist requirements will be waived by default.

⁴ International Finishing Trades Institute (IFTI), 7230 Parkway Drive, Hanover, MD 21076.

⁵ International Union of Painters and Allied Trades (IUPAT) 1750 New York Avenue, NW, Washington, DC 20006.

⁶ National Center for Construction Education and Research (NCCER), P.O. Box 141104, Gainesville, FL 32614-1104.

suited to its operations, the Contractor shall show that the questions and answers are based on training materials, standards, or publications developed by SSPC, NACE, ASTM, PDCA, the IFTI the IUPAT or its affiliates; NCCER, or materials developed by another organization that are acceptable to the Qualifying Agency.

- (2) Hands on Skill Evaluation – At minimum, abrasive blasters shall be qualified using a hands-on skill assessment protocol for testing blasters that shall verify that the abrasive blaster can achieve surface cleanliness and profile to industry standards. Acceptable protocols include the SSPC C-7 protocol or an equivalent hands-on evaluation, acceptable to the Qualifying Agency. The hands-on evaluation can be done in a controlled qualification session in the shop or yard or in the field at an actual production site.
- (3) Spray painters shall be qualified per the Contractor's quality control Procedures using industry accepted Procedures from one or more of the sources listed in (1) above.
- (4) Skill qualifications for specialized processes such as UHP water jetting, thermal spray metallizing, or plural component spray shall be developed based on material or equipment supplier best practices or industry standard training
- (5) Craft Workers previously trained or qualified by a Contractor will retain their status in the Craft Worker evaluation cycle when returning after a lay off or other break in work. The Craft Worker need not be re-qualified to update assessment of their skills until required to do so as if they had been continuously employed.

A.3 QUALIFICATION TO APPLY SPECIFIC MATERIAL AND USE NEW EQUIPMENT

The program shall contain Procedures to qualify Craft Workers to apply materials or use equipment unfamiliar to the Craft Worker. The program shall be based on training materials or programs developed by material or equipment suppliers, SSPC, NACE, PDCA, the IFTI, the IUPAT or its affiliates, or NCCER, or on equivalent materials acceptable to the Qualifying Agency. The program shall also document that the Craft Workers have been qualified/trained.

A.4 TRAINING MANAGER

Each Contractor shall formally designate one or more persons to be responsible for implementation of the company's Craft Worker training and qualification program and for monitoring its effective use in the field.

The Training Manager shall have sufficient technical knowledge and documented training in the use of relevant materials and equipment.

A.5 COATINGS APPLICATION SPECIALISTS

Craft Workers holding the following qualifications will be deemed qualified for the purposes of this Appendix. The Contractor will not be formally required to further evaluate these Craft Workers' knowledge and skills for the period that the Craft Worker's qualification is valid.

- Coatings Application Specialist (Level 1)
- Coatings Application Specialist (Level 2)
- Coatings Application Specialist (Level 3)

A.6 OTHER QUALIFICATIONS

The Contractor will not be required to further evaluate Craft Workers holding the following qualifications for a period of one year from the date of the certification, evaluation, or program completion, provided that the qualification directly relates to the Craft Worker's assigned work. The qualification must have included a skills assessment or evaluation. Courses taken under a course audit or training-only option are not adequate.

- SSPC C-series Surface Preparation and Coating Application certifications (e.g. C7, C12)
- NCCER Journey Level Industrial Painter Performance Verification
- ICATS certification⁷
- Completion of an apprenticeship, on-the-job training program, union training program, or similar
- Documentation of successful QP 1-compliant Craft Worker evaluation by another QP 1-certified contractor
- Approved equal acceptable to the Qualifying Agency

Appendix B. Course Content

QCS Formal Training Course (SSPC QCS or equivalent) (QP-1: 4.3.1.1) :

- Course material should meet the BOK outlined in ASQ Quality Management System (basics)
- 16 hour course minimum (final lecture examination, minimum passing grade 80%)

Curriculum must include definitions of quality systems, quality manuals and procedures, documentation and data controls, calibration programs, contract document and specification review, work plans and process control procedures, inspection plans, inspection reports, internal audits, and SSPC QP audit requirements)

- Certificates must be issued after successful completion
- Minimum Instructor qualifications (SSPC QCS or equivalent, 3 years experience in industrial/marine protective coatings QCS and inspection)

⁷ ICorr (Correx) manages the ICATS training program. More information is available at <<http://www.icats-training.org>>

QC Inspector Formal Training Course (e.g. include SSPC PCI, NBPI, BCI; NACE CIP Level I, KTA Level I, or equivalent)
(QP-1: 4.3.1.1)

- Course material should meet the BOK outlined in ASTM D 3276
- 24 hour course minimum contact time
- Course must include at least 8 hours of hands-on inspection instrument workshops (graded instrument use examination, minimum passing grade 70%)
- Inspection plan development
- Documentation of inspection results
- SSPC industry standards and visual guides
- Specification review and product data sheets
- Certificates must be issued after successful completion
- Minimum Instructor qualifications (e.g. include SSPC PCS, PCI, NBPI, BCI; NACE CIP Level I, KTA Level I, or equivalent; 3 years of experience in industrial/marine protective coatings QC inspection)

For QC Inspector course equivalency consideration, please submit the following to the SSPC Certification Program Manager:

- Curriculum, course schedule, and course locations
- Training materials
- Quizzes and examinations
- Instructor roster and instructor qualifications

Scoring

The SSPC auditor rates your company on all applicable* evaluation items. Only findings rated 1 or 2 are reported on the deficiency schedule, which is given to the auditee at the closing interview. Lack of a finding for an evaluation item means that the auditor rated it “3,” or did not rate the item.

*More items are evaluated on initial and full audits than are evaluated on maintenance, spot-check or corrective action follow-up audits.

Below are the ratings and what they mean.

The rating of 1, (a.k.a. a major CAR or deficiency), indicates: (a) the required training, written program, practice or procedure is non-existent; (b) the required training or written program is inadequate; or (c) the required practice or procedure has not been in place for the minimum amount of time (six consecutive production months) or it has been in place sporadically (e.g., less than 2/3 implemented).

Important Note: Typically, auditors will not issue major deficiencies for isolated breakdowns in the contractor’s Quality System. However, there are exceptions: For example, auditors will issue a rating of “1” when they observe one or more safety violations or safety hazards

that could result in an injury or serious incident. An obvious example would be a person working without appropriate fall protection as required by the contractor's safety and health plan and/or governing regulations. Auditors will also issue a rating of "1" if they discover one or more unauthorized deviations from contract requirements or deviations from good painting practices found in the paint shop, shipyard or field job site.

The rating of 2, (a.k.a. a minor CAR or deficiency), indicates the training or written program is adequate but requires minor revision. Examples include a practice or procedure that is in place with isolated instances of non-conformance (no more than 1/3 of the time), lack of practice or documentation due to personnel turnover, non-performance by field personnel, personal hardship, and natural disaster.

The rating of 3 indicates that a contractor, based on audit sampling, consistently adheres to specific training and written program requirements, and required practices and procedures consistently meet the letter of the standard. When there are no audit findings, it means that all items evaluated during the audit were rated "3."

Corrective Action Report

A Corrective Action Report (CAR), using the SSPC CAP form found on the SSPC web site (<http://www.sspc.org/capform/>), is required for each major deficiency (rating of "1") and for five or more minor deficiencies (rating of "2") found by the auditor. Remedial action for a Major CAR requires the submission of a corrective action report followed by an on-site audit to confirm that the contractor has corrected the deficiency and implemented the corrective action plan submitted.

Remedial action for a Minor CAR requires that the auditor confirm remediation at the next audit. Minor CARs that are not remediated by the contractor by the next audit turn into a Major CAR or deficiency.

Note: Initial Audits require corrective action report submission for all deficiencies cited (major or minor).

Concerns - Occasionally, the auditor will note a "concern" on an audit report. A concern is not a rating. It is simply a statement for the contractor to consider for its own business purposes. No response is required for a "concern."