AUDIT CHECKLIST FOR AMPP ACCREDITED INSPECTION COMPANY (SSPC QP 5) QUALITY SYSTEM AUDITS

ANNUAL QP-5 INSPECTION COMPANY AUDIT CHECKLIST (V 5/2024)

Rating Procedure

The QP 5 audit criteria contains twenty-nine evaluation items that the coating inspection organization be evaluated against.

To complete this Annual Internal audit, rate your company on each item using the scale of 1-3 as explained below.

When completed, maintain the original copy, and make it available to AMPP as part of the initial application process or upon request by the auditor or Program Manager.

AMPP External SSPC QP 5 Audit

Please note that the AMPP auditor uses the same "audit checklist" to conduct AMPP's external QP 5 audit at your main place of business, or job site, or both.

Scoring Criteria

Criteria

1. CAR = Corrective Action Report required for each Major or Minor deficiency found by the auditor.
2. Remedial action for a MAJOR CAR requires a submission of a corrective action plan (CAP) within 45 days of notification of audit results to the QP Accreditation Program Manager followed by an on-site re-audit to confirm that the deficiency has been corrected and the root cause addressed. For internal audits, use the comment section of the checklist to include supporting documentation for the rating.
3. Remedial action for a MINOR CAR requires submission of an acceptable corrective action plan (CAP) to the QP Accreditation Program Manager within 45 days of notification of audit results. Four (4) or more minor CARs may also trigger a follow-up audit, at AMPP''s discretion. For internal audits, use the comment section of the checklist to include supporting documentation for the rating.

4. Submit CAPs using the AMPP QP Interactive CAP Form found on the web at: https://www.ampp.org/qp-program/qp-quick-links/access-job-forms.

Rating Definitions & Scoring Terms

a. **Rating "1" –** (Major CAR) The required training, written program, practice, or procedure is non-existent or required training or written program is inadequate (i.e., required practice and procedure in place sporadically – less than 2/3 implemented).

b. **Rating "2" –** (Minor CAR) The training or written program is adequate or requires minor revisions (i.e., practice or procedure is in place with isolated instances of non-conformance – no more than 1/3 of the time. e.g., lack of practice or documentation due to personnel turnover, **non-performance by field personnel, or extenuating circumstances.)**

c. **Rating "3"** – (No CAR required) The company consistently adheres to specific training and written program requirements; required practice and procedures consistently meet the letter of the standard.

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
1.	3.1.1 Legal Identifiability of Organization	There is documentation that all the company's business offices are legally identifiable based on the laws where the business is located.	1 2 3	**The QP-5 company must demonstrate that it has experience (i.e., executed contracts for coating and lining inspection services successfully) in addition to being a legitimate entity.** Examples of acceptable documentation include: 1. Certificate of good standing from home state. 2. Registration or authorization to do business in states where practicing. 3. Incorporation documents. 4. Tax returns. 5. Insurance a. Worker's compensation b. Liability c. Errors and Omissions
2.	3.1.2 Managerial staff has expertise, responsibility, authority & resources to routinely review and verify work done by coating inspectors (in the field or shop)	• The organization chart shows clear lines of authority as it relates to coating inspection work. • Managers (e.g., inspector supervisors) have training & experience to perform assigned duties.	1 2 3 1 2 3	Org chart should be current at the time of each office audit. Typically, we like to see it signed and dated.

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
3.	5.3.2 & 5.3.3 Technical/Quality Manager (TQM) Minimum qualifications of TQM	• The company **employs** a full-time employee (TQM) with executive responsibility and authority to implement and monitor compliance with quality management procedures as they apply to coating and lining inspection activities. • The TQM reports directly to the owner, president, CEO, or COO, or other company executive (hereinafter referred to as Responsible Executive or RE) or is one of these persons. Job duties, organization chart and company practice confirm this. • For inspection of steel/metal substrates, the TQM shall: 1. Be SSPC or NACE Certified PCS, or 2. Hold SSPC PCI Level 3 or NACE CIP Level 3. (Senior) Coating Inspector Certification or AMPP QP accepted equivalent. • For inspection of cementitious substrates, the TQM shall: 1. Be PCS certified per above, or 2. Hold SSPC CCI Level 2 Certification or AMPP QP accepted equivalent. • If a company's inspection services include both steel & concrete substrates, the TQM shall meet the requirements of bullets 1 & 2 above. • The TQM shall have documented training in the Principles of Auditing (e.g., ASQ training) • The TQM shall have documented training in the Principles of Quality Management of the coating process; (SSPC QCS or equivalent acceptable to AMPP QP	1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3	

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
4.	5.3.2 RE (Responsible Executive)-approved TQM backup plan	• There is a written plan appointing a designated temporary replacement, by name, who has equivalent qualifications, per Item 3 above. • The RE approved plan requires designated replacements that report directly to the RE or who is the RE.	1 2 3 1 2 3	Verify identity and qualifications of designated back up(s) Verify that backups have been utilized when applicable.
5.	5.3.4 Auditor Qualifications (for the Internal audit process)	Internal Auditor • Completed auditor training from either a recognized auditor-training source such as ASQ Auditing Fundamentals I and II, or an internal training program using a curriculum accepted by the AMPP QP PM or DIR. • Additional training shall include: 1. Basic Coating & Lining Inspection (e.g., AMPP Level 1 or higher, or equivalent acceptable to AMPP QP PM or DIR) 2. Ethics, Professional Conduct, Liability Issues 3. Audit & Checklist Preparation 4. Document Review 5. Audit Reporting, Review and finalizing results. 6. Corrective Action Follow Up & Closure. 7. All training shall be documented. • Shall possess the ability to communicate orally and in writing.	1 2 3 1 2 3 1 2 3	**Auditor** training should be curriculum-driven rather than a specific number of hours. **Auditors note:** An internal auditor may be part of the inspection program when not performing audit functions, however, when functioning as an internal auditor, no individual may audit any inspection work performed by his/her division or group in order to support the independence of the audit. The underlying principle is that no one shall be allowed to audit their own Inspection work or work they are directly responsible for.

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
6.	3.3 Quality Management System (QMS) **<u>Submittal Item</u>** Quality Manual	The written quality manual clearly states the company's policies and operational procedures as they pertain to inspection activities: At a minimum, the quality manual shall contain: • 3.3.1: A quality policy statement, including objectives and commitments, by executive management. • 3.3.2: An ethics statement that the company proactively avoids any real or perceived conflicts of interest. In particular, the ethics statement shall make clear that: 1. The Company and its personnel shall not engage in any activities that may conflict with their independence of judgment and integrity in relation to its inspection activities. a. The Company shall not be engaged in the manufacture, supply, application, surface preparation, purchase, or maintenance of the applied film on the project for which the Company is engaged. b. Potential conflicts are disclosed to the Company's client for disposition in writing. • 3.3.3: The organization and management structure of the inspection company (group, division, department, etc.), its place in any parent organization and relevant organizational charts. • 3.3.4: Roles and Responsibilities & job descriptions of key staff • 3.3.5: Procedures for control (including distribution) and maintenance of all quality control documents and retention policies. • a. 3.3.5.1: All DIRs shall include the i.d., of personnel involved in sampling, preparation, inspection, or testing. • b. 3.3.5.2: All records, including those pertaining to calibration & test equipment, certificates and reports shall be safely stored and held securely. • 3.3.6: Identification of the Company's approved signatories (where this concept is appropriate).	1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3	a. Verify that: The Company is not engaged in the manufacture, supply, application, surface preparation, purchase, or maintenance of the applied film on the project for which the Company is engaged. b. If there is evidence of the above, document the evidence and notify the QP PM or DIR without hesitation. c. Potential conflicts must be disclosed to the client for disposition. The "disposition" is documented. d. QMS is reviewed thoroughly at the initial audit, or if the auditor is unfamiliar with the company. e. Changes to the QMS are evaluated at subsequent annual audits rather than having to review the entire document at each audit.

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
		• 3.3.7: The Company's procedures for achieving traceability of measurements.	1 2 3	
		• 3.3.8: The inspection company's standard SOPs (The precise scope of an inspection will be determined by the terms of the individual contract or work order.) SOPS shall contain appropriate and clear references to the inspection, verification, and test procedures to be used.	1 2 3	
		• 3.3.9: Procedures for calibration and control of equipment including references to any inspection equipment used calibration process and frequency and use of traceable references to standards used for calibration.	1 2 3	
		• 3.3.10: Procedures for reporting nonconformances whenever inspection and testing discrepancies of contractor's work are detected. and tracking completion of corrective actions, if applicable.	1 2 3	
		• 3.3.11: Procedures for tracking, reporting, documenting, and verifying corrective action of internal deviations from the QMS, and SOP	1 2 3	
		• 3.3.12: Procedures for receiving, assessing, documenting, and responding to client complaints, including any corrective action.	1 2 3	
		• 3.3.13: Procedures for internal auditing3.3.14: Procedures for confidentiality of clients' information and proprietary rights.	1 2 3	
		• 3.3.15: Procedures for periodic verification (in writing) of inspection and testing through supervisory review if inspection reports, duplicative inspections and testing verification of equipment operation or internal audits (field or desk).	1 2 3	
		• 3.3.16: Procedures for qualifying and training inspection staff, internal auditors, supervisory personnel and TQM's including obtaining and maintaining internal certifications.	1 2 3	
		3.3.17: Procedures for review of inspection documentation (DIRs; NCRs) prior to submittal to the client Info reviewed & approved by a competent supervisor (TQM or Assistant).	1 2 3	

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
7.	3.4 & 3.4.1 SOPs	3.4.2; Inspection Procedures and Recording Systems	1 2 3	
		3 4.3: Procedures for receipt of specification and revisions	1 2 3	
		3.4.4: Records of standards and specifications and coating work records and their utilization	1 2 3	
		3.4.5: System for filing, distribution, storing and retrieving inspection reports.	1 2 3	
		3.4.6: Availability of Inspection Equipment and calibration standards and procedures	1 2 3	
		3.4.7: Procedures to ensure that each major significant activity (SP CA cure) is inspected and documented.	1 2 3	
		3.4.8: Procedure for IDing the structure or equipment to be inspected or tested to ensure there's no confusion regarding identity of such items.	1 2 3	
		3.4.9: Appropriate methods and SOPs are used for all inspections, tests and related actys - methods are consistent with accuracy required, and with any relevant standard specs.	1 2 3	
		3.4.10: Where methods are not specified methods are selected based on recognized industry standards or reputable scientific journals or textbooks.	1 2 3	
		3.4.11: Non established methods when used, shall be used in agreement with client and coating mfg.	1 2 3	
		3.4.12: Where sampling is carried out, documented procedures and appropriate statistical techniques are used to select samples.	1 2 3	
		3.4.13: Calculations and data transfers are subject to appropriate checks.	1 2 3	
		3 4.14: All personnel involved in the inspection process have acknowledged in writing that they have read and understood company SOPs.	1 2 3	

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
8	3.5 Executive Management review (By TQM) (RE) etc.	There is evidence that the QMS is reviewed at least annually, and the results are documented. The review shall include: a) Audit results b) Client feedback c) NCRs and CA d) Previous review action item follow-ups e) Adequacy of inspector assessment & training f) Adequacy of equipment & resources g) Opportunities for improving the QMS. h) Resource Needs	1 2 3	
9.	3.3.15,16 & 17 Independent verification of inspection result by Supervisor	There is written evidence (sign off) that inspection results are verified by a competent supervisory level person not directly performing the inspections.	1 2 3	**FIELD ASSESSMENT (SEE ITEM 25 BELOW IF PERFORMING A FIELD AUDIT ONLY)** **Auditors note 1:** This should be accomplished by a supervisor or an assistant TQM, or the TQM, consistent with the structure of the company. Every inspection report shall be reviewed and "signed off" by a qualified person while the project is in progress, to the extent practical. **Auditors note 2:** Supervision is not the same as internal auditing.

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
10.	3.3.15 (Field) Review of "field work" for conformance with company procedures & contract requirements	• There is written evidence that inspection results/tests are independently reviewed **in the field** or at the desk, as applicable, on a spot basis by a competent supervisor (e.g., Project Mgr., Division Mgr., TQM, RE or other company executive or manager, consistent with the company's structure) to ensure conformance with specifications and other contract requirements as well as company procedures. • There is a company policy for spot checks, and documentation of specific project changes. Look for sign-off specific to this task and corresponding travel/expense/trip records. • Spot checks include (at a minimum): 1. Verifying supervisory review of inspection results 2. Performing replica inspection or testing 3. Verifying that certified reference materials or in-house reference materials are being used. 4. Verifying those appropriate statistical methods (e.g., PA 2 spot readings) are used by inspectors when applicable. 5. Verifying that inspectors and their supervisors maintain proficiency in use of equipment and standards & maintain their qualifications. .	1 2 3 1 2 3 1 2 3	**FIELD ASSESSMENT (ITEM 27 BELOW) IF PERFORMING FIELD AUDIT ONLY)** **Auditors note:** Where specifically documented, and performed by a qualifying auditor, independent of the inspection program, such field checks can be considered part of the internal audit process. **(**This item references back to Quality Manual Item 3.3.15) – for Item #10, the auditor is verifying on a field audit that field work is being independently reviewed by "supervision." Verification of this item may involve discussion with the field inspector(s) as well supervision on site or elsewhere (working at the office or remotely). * Field visits can be performed live virtually for remote locations or short during jobs.

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
11.	7.1, 7.2, 7.3 Internal audit of inspection activities	• The company has a plan (set of procedures) that outlines the particulars of internal audits (who, when, where etc.). At a minimum, the plan should include auditing of all or a stated portion of QP-5 projects. depending on volume of QP-5 projects • Audits are conducted, findings documented, and results reported in accordance with company procedure for internal audits. • Corrective actions are documented and implemented & tracked to ensure they take hold. • Clients whose work is affected by an audit finding, are notified in writing per applicable contract requirements, or company procedures, for reporting to client. • Audits are conducted by qualified personnel as described above (i.e., qualifications) are documented. • The QP-5 company shall maintain a written audit file that includes: a) Job audited. b) When audited. c) Findings identified. d) CA required. e) CA implemented.	1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3	
12.	6.1 & 6.1.2 Qualification of Inspection Personnel	• Records of relevant qualifications, training, skills, and experience are maintained for each inspector employed. • Inspectors are qualified by the company based on tasks assigned from the groupings noted below in Items 13 a, b, c., as well as any specific contract requirements.	1 2 3 1 2 3	**FIELD ASSESSMENT (SEE ITEM 27 BELOW) IF PERFORMING A FIELD AUDIT ONLY)**

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
13a	6.1.1 & 6.1.2 Qualification and training of inspectors **QP-5 Task Grouping No 1**	QP-5 Task Grouping "1" Authorized Work a) Perform inspection and prepare DIRs. b) Interpret specifications, standards, PDS/SDS c) Verify Calibration of Inspection Instruments 1. Training: NACE or SSPC Level 1 or equivalent	1 2 3 1 2 3	• Auditors note: Independent inspectors used that are not employees (e.g., 1099 in the USA) shall be fully insured per local/state/federal regulations and fully trained on the SOPs of the QP-5 firm. Training and orientation shall be documented.
		2. Experience – minimum 90 days	1 2 3	
13b	**QP-5 Task Grouping No 2**	1. QP-5 Task Grouping "2" Authorized Work a) Review inspection procedures and plans inspections b) Initiate ITPs per QMS & Client Specs and Work Plans c) Maintain Logbook & submit required DIRs to client. d) Initiate CARS and NCRs	1 2 3 1 2 3 1 2 3 1 2 3	
		2. Training and Minimum -Experience a) NACE or SSPC L 3 - 2 yrs. b) NACE or SSPC L 2 - 5 yrs. c) NACE or SSPC L 1 - 7 yrs.	1 2 3	Note: An individual inspector might be assigned to perform a mix of tasks from different groupings for which he or she is qualified. Task groupings are not intended to be job descriptions.

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
13c	QP-5 Task Grouping No. 3	Task Grouping No. 3 Authorized Work (a) Train/oversee performance of inspection personnel. (b) Review and Approve Inspection Activities (c) Evaluate Adequacy and implementation of inspector training. (d) Validate certification and work experience of inspection personnel	1 2 3 1 2 3 1 2 3 1 2 3	
		1. Training and Minimum Experience a) Level 3 Inspector Certification & Documented Quality Mgmt. Training – 5 yrs. b) Level 2 Inspector Certification & Documented Quality Mgmt. Training – 7 yrs.	1 2 3 1 2 3	
14.	6.2 Physical Qualifications of Inspectors			
14a	6.2.1 & 6.2.4 Near distance visual acuity	• Each inspector is examined annually to ensure natural or corrected near distance visual acuity in at least one eye. The inspector shall read the J-1 letters of a standard Jaeger Test Chart or equivalent, at a distance of not less than 12 inches with one or both eyes, corrected or uncorrected. • The exams are administered by a licensed medical practitioner or a person familiar with the tests involved. The results of the vision tests are documented on a "Vision Test Record."	1 2 3 1 2 3	**Auditors note:** Sample 2 or 3 inspector visual test records at random from inspector records.

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
14b	6.2.2 &/6.2.4 Color perception	• Each inspector is initially examined for color perception using the Ishihara Test or the Farnsworth D-15 Test. • The exams are administered by a licensed medical practitioner or a person familiar with the tests involved. The results of the vision tests are documented on a "Vision Test Record." • If an Inspector fails to pass Farnsworth D-15 Test, the inspector is evaluated by a licensed medical practitioner to provide the necessary data to determine the inspector's color perception. After evaluation, such individuals are certified to perform inspection work that is within the inspector's color perception capability.	1 2 3 1 2 3 1 2 3	**Auditors note:** Sample 2 or 3 inspector visual test records at random from inspector records. (Also verify in personnel records that records of limited-duty inspectors are clearly annotated).
15.	6.2.5 Other physical qualifications	The responsible organization shall identify any other physical qualifications (in addition to the visual tests referenced above) required to perform assigned inspection duties. The coating inspection company shall verify, prior to assigning an inspector to a project, that, in addition to the visual acuity requirements, the inspector has the physical capability to perform required inspections. **Auditors note:** A sampling of 4-5 records from each qualification category confirms compliance.	1 2 3	For all the medical qualification testing, there should be documentation between the company and its doctor concerning the specific tests and evaluations required for inspectors, including pass/fail criteria.
16.	8.1 Inspection Equipment and equipment reference materials	• Inspection personnel are furnished with all items of equipment, including references to perform inspections & tests. **Auditors note:** Project records should document all equipment issued to each project or each inspector. This item can also be verified "in the field" during job visits or "floor" audits of inspectors by phone, skype, zoom, teams or other electronic media.	1 2 3	**FIELD ASSESSMENT (SEE ITEM 28 BELOW) IF PERFORMING FIELD AUDIT ONLY)** Review of inspection reports and equipment calibration records to confirm compliance. See inspection instrument field kits and verification of accuracy standards. Also, see the Accuracy verification log.

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
17.	8.2 Maintenance & calibration of inspection equipment	• Procedures (and/or manufacturer's instructions) for operation, maintenance accuracy verification and calibration requirements for each piece of equipment are provided to each inspector using the equipment. • All equipment is maintained in accordance with the manufacturer's recommendations. • Records indicate that defective equipment is clearly identified and removed from service. • Instruments that have been subject to mishandling, or which give suspect results or have shown to be defective after verification, shall be clearly identified and removed from service. • The effect on previous inspections and tests shall be examined by the TQM and documented	1 2 3 1 2 3 1 2 3 1 2 3 1 2 3	! **Auditors note**: Review of records should establish that all measuring & testing equipment having an effect on the accuracy and validity of inspections or tests performed by the company's inspectors shall be calibrated before being put into service. No exceptions!
18.	8.3 8.3 Calibration records of Inspection Instruments	Calibration records shall be maintained for instruments. Calibration Records include: • The name of the instrument. • Manufacturer's name, type identification, and serial number or other unique identification. • Date instrument was received & date placed in service. • Condition of the instrument when received (e.g., new, used reconditioned). • Manufacturer's operating and calibrating instructions for the instrument. • Dates and results of the instrument's calibration & date that the next calibration should be performed. • Details of maintenance procedures carried out to date. • History of any damage, malfunction, modification, or repair.	1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3	

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
19a	8.4 Measurement traceability	• Standards used to calibrate inspection equipment shall have evidence of calibration.	1 2 3	
19b	8.3 Measurement traceability (in service)	• Where relevant, reference standards and measuring and testing equipment are subjected to in-service checks between calibrations. • Inspectors note field verification of accuracy checks on inspection reports.	1 2 3 1 2 3	**FIELD ASSESSMENT (SEE ITEM 29 BELOW IF PERFORMING FIELD AUDIT ONLY)**

	QP 5 REFERENCE	M.A.R.	SCORE	COMMENTS
20.	5.1 and 5.2 Inspection Procedures and Recording Systems	Individual Inspectors have copies of and are familiar with specific job site specifications, specific product data sheets, and applicable job site documents and standards for work being inspected for compliance. • The Coating Inspection firm shall demonstrate that: a) Applicable standards and specifications for coating inspection work are available and used by inspectors in the field. b) An implemented system for maintaining and filing complete and accurate daily in-process and final reports is in place. c) Job-specific inspection equipment and calibration verification standards & procedures are available on each job site and properly used by the inspector. d) Non-conforming work is documented. e) Logs are maintained to I.D. Nonconforming work and I.D. repairs if required by Owner. f) Company or project-specific SOPs for verifying that coating and related operations are performed in accordance with contract requirements and standard industry practices & are available and used by onsite inspection personnel. g) Procedures or Inspection Plans to ensure that each major operation (e.g., surface prep; primer; intermediate; topcoat application) is properly performed and documented daily or in accordance with contract requirements, are available to on site personnel & used to perform in-process inspections of work at key hold points. h) The inspector shall maintain copies of Owner-provided correspondence showing approved inspector deviations. i) In-process and final inspection records are retained for a minimum of 3 years after project completion unless otherwise specified.	1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3	**FIELD ASSESSMENT (SEE ITEM 30 BELOW IF PERFORMING FIELD AUDIT ONLY)**

VI. RECORDS AND RECORDKEEPING				
21.	3.3.5.1 Record system	There is evidence that: • The inspection company maintains a record system to suit its circumstance and comply with any applicable regulations. • All inspection reports (IRs) shall include the identity of personnel involved in sampling, preparation, inspection, or testing. • All records including IRs and calibration certificates shall be retained per the company's retention period as defined in the QMS.	1 2 3 1 2 3 1 2 3	.
22.	3.3.5.2 Storage of records	• All records (including those pertaining to calibration and test equipment), certificates and reports are safely stored, held securely and in confidence with the client.	1 2 3	

23.	4. (4.2.1 --4.2.16) (4.3 – 4.6) Certificates and reports	There is evidence that: • The results of each inspection, test, or series of inspections or tests carried out by the inspection company are recorded in a written report accurately and objectively, in accordance with any instructions in the inspection or test methods. The reports include all the information necessary for the interpretation of the inspection or test results and all information required by the method used. • Each report includes at least: 1. A descriptive title. 2. Name and address of inspection company, and location where the inspection was carried out. 3. Identification of the instrumentation (such as serial number). 4. Name of client. 5. Name of coating application company. 6. Description and clear identification of the structure or equipment inspected. 7. Description of the test area and results of the inspection or test. 8. Date of inspection. 9. Identification of the coating/lining system **(Continued on next page)**	1 2 3 1 2 3	**FIELD ASSESSMENT (SEE ITEM 31 BELOW IF PERFORMING A FIELD AUDIT ONLY)** **Auditor Note**: Particular care and attention is paid to the arrangement of data recorded on all inspection reports. Information recorded shall be legible, easy to read and complete.

	4. (continued) Certificates and reports	10. Identification of the inspection or test method used, or clear description of any non-standard method used. 11. Reference to sampling procedure, where relevant. 12. Any deviations from, additions to or exclusions from the inspection or test method, and any other information relevant to a specific inspection or test, such as environmental conditions. 13. Measurements, examinations, and derived results, supported by tables, graphs, sketches and photographs as appropriate, and any failures identified. 14. A signature and title, or an equivalent identification of the persons accepting responsibility for the content of the report and date of issue. 15. Where relevant, a statement to the effect that the results relate only to items inspected/tested. 16. A statement that the report shall not be reproduced except in full, without the written approval of the inspection company's management. 17. Where the report contains the results of inspections or tests performed by subcontractors, these results shall be clearly identified. 18. There is evidence that clients are promptly notified in writing of any event that casts doubt on the validity of results given in an inspection report or an amendment to a report. 19. Inspectors or support staff follow established procedures for electronic transmission of inspection reports, including guarding confidentiality where applicable		

24.	9.1 & 9.2; 10.1 & 10.2. Subcontracting of Inspection and Testing & Equipment and Supplies	• Subcontracted coatings and linings inspection or testing work are performed, regardless of the scope, without exception, by firms that are QP-5 certified, when QP-5 is required. • The subcontracting QP-5 firm shall record and retain details of its investigation of the competence and compliance of any subcontractors used. Outside Support & Supplies • There are procedures in place to ensure that purchased equipment, materials and services comply with specified requirements. • Purchased equipment and consumable materials are not used until they have been inspected, calibrated or otherwise verified as complying with any standard specifications relevant to the inspections and tests concerned. • The company maintains records of all suppliers from whom it obtains support services or supplies required for inspections or tests.	1 2 3 1 2 3 1 2 3 1 2 3 1 2 3	
		ALL CHECKLIST ITEMS BELOW ARE FOR FIELD AUDITS ONLY. USE THESE "FIELD" CHECKLIST ITEMS BELOW (ITEMS 25-31) IN LIEU OF CHECKLIST LIST ITEMS ABOVE (1-24) WHEN PERFORMING A FIELD ONLY AUDIT.		

25.	3.3.15,16 & 17 Independent verification of inspection result by Supervisor	There is written evidence (sign off) that inspection results are verified by a competent supervisory level person not directly performing the inspections.	1 2 3	**Auditors note 1:** This should be accomplished by a supervisor or an assistant TQM, or the TQM, consistent with the structure of the company. Every inspection report shall be reviewed and "signed off" by a qualified person while the project is in progress, to the extent practical. **Auditors note 2:** Supervision is not the same as internal auditing.
26	3.3.15 (Field) Review of "field work" for conformance with company procedures & contract requirements	• There is written evidence that inspection results/tests are independently reviewed **in the field**, as applicable, on a spot basis by a competent supervisor (e.g., Project Mgr., Division Mgr., TQM, RE or other company executive or manager, consistent with the company's structure) to ensure conformance with specifications and other contract requirements as well as company procedures. • There is a company policy for field spot checks, and documentation of specific project changes. Look for sign-off specific to this task and corresponding travel/expense/trip records. • Spot checks include (at a minimum): 1. Verifying supervisory review of inspection results 2. Performing replica inspection or testing 3. Verifying that certified reference materials or in-house reference materials are being used. 4. Verifying those appropriate statistical methods (e.g., PA 2 spot readings) are used by inspectors when applicable. 5. Verifying that inspectors and their supervisors maintain proficiency in use of equipment and standards & maintain their qualifications	1 2 3 1 2 3 1 2 3	Verify that there are field visits. An audit of a project in the field/shop can be considered a field visit. Live virtual meetings (e.g., Skype, Teams, Zoom or similar video conferencing service) are an acceptable alternative to an in-person internal audit for remote (e.g., overseas) and short duration projects. Such "visits" are documented
27	6.1 & 6.2 Inspection Personnel	Inspectors in the field are qualified by the company based on tasks assigned per Task Groupings in 13a, b & c	1 2 3	See Items 13a, b & c above for Task Grouping descriptions. Review inspection reports to verify that inspectors are performing work in accordance with their Task Grouping

28	8.1 Inspection Equipment and equipment reference materials	• Inspection personnel are furnished with all items of equipment, including references to perform inspections & tests.	1 2 3	**Auditors note:** Project records should document all equipment issued to each inspector. This item can be verified “in the field” during job visits or “floor” audits of inspectors by phone, skype, zoom, teams or other electronic media
29	8.3 Measurement traceability (in service)	• Where relevant, reference standards and measuring and testing equipment are subjected to in-service checks between calibrations. • Inspectors note field verification of accuracy checks on inspection reports.	1 2 3 1 2 3	Review field inspection reports and equipment calibration records to confirm compliance. See inspection instrument field kits and verification of accuracy standards. Also, see the Accuracy verification log.

30	5.1 and 5.2Inspection Procedures and Recording Systems	• Individual Inspectors have copies of and are familiar with specific job site specifications, specific product data sheets, and applicable job site documents and standards for work being inspected for compliance. • In the field the inspector(s) shall demonstrate that: A. Applicable standards and specifications for coating inspection work are available and used by inspectors. B. An implemented system for maintaining and filing complete and accurate daily in-process and final reports is in place. C. Job-specific inspection equipment and calibration verification standards & procedures are available on the job site and properly used by the inspector. D. Non-conforming work is documented. E. Logs are maintained to I.D. Nonconforming work and I.D. repairs if required by Owner. F. Company or project-specific SOPs for verifying that coating and related operations are performed in accordance with contract requirements and standard industry practices & are available and used by onsite inspection personnel. G. Procedures or Inspection Plans to ensure that each major operation (e.g., surface prep; primer; intermediate; topcoat application) is properly performed and documented daily or in accordance with contract requirements, are available to site personnel & used to perform in-process inspections of work at key hold points. H. The inspector shall receive copies of Owner-provided correspondence showing approved deviations and changes.	1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3	

31	4. (4.2.1 --4.2.16) (4.3 – 4.6) Certificates and Reports	There is evidence that: • The results of each inspection, test, or series of inspections or tests carried out by the inspection company are recorded in a written report accurately and objectively, in accordance with any instructions in the inspection or test methods. The reports include all the information necessary for the interpretation of the inspection or test results and all information required by the method used. • Each report includes at least: 1. A descriptive title. 2. Name and address of inspection company, and location where the inspection was carried out. 3. Identification of the instrumentation (such as serial number). 4. Name of client. 5. Name of coating application company. 6. Description and clear identification of the structure or equipment inspected. 7. Description of the test area and results of the inspection or test. 8. Date of inspection. 9. Identification of the coating/lining system **(Continued on next page)**	1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3	

31 (Cont'd	Certificates & Reports	10. Identification of the inspection or test method used, or clear description of any non-standard method used.	1 2 3	
		11. Reference to sampling procedure, where relevant.	1 2 3	
		12. Any deviations from, additions to or exclusions from the inspection or test method, and any other information relevant to a specific inspection or test, such as environmental conditions.	1 2 3	
		13. Measurements, examinations, and derived results, supported by tables, graphs, sketches and photographs as appropriate, and any failures identified.	1 2 3	
		14. A signature and title, or an equivalent identification of the persons accepting responsibility for the content of the report and date of issue.	1 2 3	
		15. Where relevant, a statement to the effect that the results relate only to items inspected/tested.	1 2 3	
		16. A statement that the report shall not be reproduced except in full, without the written approval of the inspection company's management.	1 2 3	
		17. Where the report contains the results of inspections or tests performed by subcontractors, these results shall be clearly identified.	1 2 3	
		18. There is evidence that clients are promptly notified in writing of any event that casts doubt on the validity of results given in an inspection report or an amendment to a report.	1 2 3	
		19. Inspectors follow established procedures for electronic transmission of inspection reports, including guarding confidentiality where applicable	1 2 3	

End of Report/Checklist

Appendix A

QP-5 Internal Audit

Compliance with QP-5

AMPP/SSPC expects QP-5 firms to perform internal audits on all coating and linings inspection projects that require QP-5. One way to demonstrate compliance with this quantitative requirement is to keep a log of annual (FY calendar) inspection projects with notations on the log showing which jobs were internally audited, the name of the internal auditor, and the date(s) of the internal audit. The log should link specific project records to the appropriate internal audit records.

If you already have such a log or list and use it for other purposes, this is acceptable.

To assist you in identifying projects for auditing, here is a list of situations that might pose unusual risks and must be considered high-priority projects for internal auditing:

- Using or having used an inspector “new” to your company.
- Using or having used a newly trained, inexperienced inspector.
- Doing inspection work for a new client
- Doing inspection work in a new category of work, regardless of whether you have an experienced inspector on the project.
- Receiving a complaint about the level or quality of inspection from your client, the prime contractor, the painting contractor, or the material or equipment supplier
- Receiving a formal request from a client to audit project documents and test procedures/results.
- Executing a contract that requires internal auditing.

You should allow for internal audits to be both announced and unannounced at the discretion of your total quality manager (TQM) or the responsible executive (RE).

Audit Sample Size

Much value can be derived from internal audits when appropriate sampling techniques are used. The inspection company should have procedures in place to implement the internal audit policy, including selecting projects, sampling, evaluating, and reporting.

Internal audits should be fair and objective. Before beginning any audit, the internal auditor must become familiar with the details of the coating specification, especially acceptance criteria, as well as details of the QMS. Records and test procedures and results must be reviewed for completeness, accuracy, and relevance.

When the audit is complete, the internal auditor must sign the report and distribute copies to the TQM and the RE. All audit reports (internal and external), management reviews, and corrective actions and resolutions (internal and external) shall be part of the controlled records.

Periodic Spot Checks at Job Sites

In addition to the annual QP-5 external audit conducted at your headquarters or at a division office or virtually by AMPP, AMPP technical auditors visiting job sites to conduct other types of AMPP SSPC QP audits may, at their discretion, do a spot check of your QP-5 procedures as they apply to a particular job. Please notify your field inspectors and project managers so they are prepared to respond to an auditor's questions about QP-5 related procedures. If the AMPP auditor cites your company for a deficiency or a corrective action as a result of a job-site spot check, the auditor will inform your inspector on site of the deficiency or corrective action and have the inspector sign-off that he/she has been notified. The QP Accreditation Program Manager will notify the TQM formally after the QP-5 field audit report is received and processed.

Performed By:

_____	_____	_____
Name & Title	Signature	Date
_____	_____	_____
Name & Title	Signature	Date
_____	_____	_____
Name & Title	Signature	Date

Approved By:
(Note: Must be approved by your CEO, Chief Operations Officer, President, or other Responsible Executive)

_____	_____	_____
Name & Title	Signature	Date