



ANNUAL INTERNAL AUDIT REPORT / CHECKLIST

Company Name: _____

Street Address: _____

City: _____ **State:** _____ **Zip:** _____

Phone: _____ **Fax:** _____

E-mail: _____ **Web:** _____

Performed By: _____
Corporate QA/QC Mgr. (print) Signature / Date

Office Audit: _____
Date

Job Audit: _____
Date Name of Site

Approved By: _____
S & H Officer (print) Signature / Date

* Required if Health & Safety portion of audit is performed by someone other than the QA/QC Manager.

Approved By: _____
President, CEO, COO (print) Signature / Date

Note: This internal audit report/checklist must be approved by the CEO, Chief Operations Officer, or President in order to be accepted by SSPC.

ANNUAL QP 8 INTERNAL AUDIT REPORT

The following questions must be answered by the contractor's representative performing the Annual Qp 8 Internal Audit.

1. Have you replaced key management personnel in the past year? _____ Yes _____ No (if Yes, list names and titles below)

NAME	TITLE
_____	_____
_____	_____

2. Has your company undergone (within the past 12-18 months) or planning to undergo any major organizational changes (e.g., name change: change in ownership; chapter 7, 11, 13; purchase or takeover of another contracting firm, etc.) _____ Yes _____ No (If yes, please explain – attach sheet)

3. Have you completed and signed the annual Internal Audit Report? (The certification cannot be continued without performing an annual internal audit and reporting the results to SSPC.) _____ Yes _____ No

4. a. Is your company now or has it in the past been associated in any way with a contracting firm operating under another name, which has been disciplined by SSPC under the DAC? _____ Yes _____ No (If yes, please explain- attach sheet)
- b. Are any of your company's officers, directors, owners, managing agents, managers now exercising (or have previously exercised) directly or indirectly control, management or ownership of another contracting firm, which has been disciplined by SSPC under the DAC? _____ Yes _____ No (If yes, please explain – attach sheet)

If no such association with a firm previously disciplined under the DAC exists, you must state so below.

- _____ No, there has not been an association.
_____ Yes, there has been an association (attach explanation).

5. Has your company been disqualified or disbarred from any bidder's list in the past 24 months? _____ Yes _____ No (If yes, please provide the reason for the disqualification or disbarment and the name of the facility owner.)

6. a. Have the previous SSPC QP 8 external audit results been reviewed prior to completing this Internal Audit? _____ Yes _____ No
- b. Have previous deficiencies cited at both your last external audit and the most recent internal audit been reviewed and the corrective actions verified? _____ Yes _____ No

MANAGEMENT PROCEDURES*COMPANY POLICY*

A	QP-8 Reference	M.A.R.	Score	Auditor Comments
1.	4.1.1.a Mission Statement	<ul style="list-style-type: none"> • On company letterhead and signed by the President/CEO and dated. • Updated or reaffirmed annually by CEO • Posted at office and job sites. • Must address: Company Quality; Safety & Health, Environmental Protection, Commitments. 	0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3	
		Item Score		
2.	4.1.1.b Disseminating Company Policies to Personnel	There is evidence that management has implemented procedures to disseminate policies to all workers under its direction. Examples include: <ul style="list-style-type: none"> • employee manual or handbook • new employee orientation / handouts • work force conferences / staff meetings 	0 1 2 3	
		Item Score		

MANAGEMENT PROCEDURES**ORGANIZATION AND PERSONNEL**

A	QP-8 Reference	M.A.R.	Score	Auditor Comments
3.	4.1.2.a Organization Chart	<ul style="list-style-type: none"> • Organization chart exists. • Lines of responsibility and authority of key personnel are shown and reflect company practice. • Must be dated and updated or reaffirmed annually by President or CEO. 	0 1 2 3 0 1 2 3 0 1 2 3	
Item Score				
4.	4.1.2.b Job Descriptions for Management and other Key Personnel And 4.1.3.e Evaluating Job Functions	<ul style="list-style-type: none"> • Written job descriptions for management and those personnel responsible for quality control and safety exist. • Responsibilities and duties are clearly stated and current. • Required experience, licenses, certifications and training are stated and current. • Documentation confirms that duties match job descriptions. • Key personnel are paid employees. • Training programs for key personnel are in-place or available and correlate with industry jobs and professions. 	0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3	
Item Score				

MANAGEMENT PROCEDURES**ADMINISTRATION AND MANAGEMENT (cont)**

A	QP-8 Reference	M.A.R.	Score	Auditor Comments
5.	4.1.3.a Financial Record-keeping	<ul style="list-style-type: none"> • A recognized accounting system is in place. • Evidence exists that tax returns are submitted in a timely manner. • Evidence exists that worker's compensation, liability and other insurances are paid and current. • Evidence exists that employees and workers are paid by the company. 	0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3	
Item Score				
6.	4.1.3.b Estimating and Scheduling	<ul style="list-style-type: none"> • Estimates for work are recorded. • Estimates take into account such items as labor, materials, equipment, training, worker protection, environmental protection and overhead. • Written job schedules are available that outline major activities such as <ol style="list-style-type: none"> (1) mobilization, (2) pre-cleaning, (3) substrate repairs, (4) surface preparation, (5) prime coat, (6) topcoats applied over prime, (7) demobilization. 	0 1 2 3 0 1 2 3 0 1 2 3	
Item Score				
7.	4.1.3.c Procedures for Reviewing Specifications and Bidding Documentation	<ul style="list-style-type: none"> • Demonstrate that there's a procedure in place, either a checklist or other documentation, that shows that management reviews specification and inquiry documents. • Auditor checks date of spec vs. date of review documentation. • Evaluation criteria are used to define requirements. • Internal discussion is coordinated and results are recorded in writing. (e.g., Project Documentation Log) 	0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3	
Item Score				

MANAGEMENT PROCEDURES

ADMINISTRATION AND MANAGEMENT (cont)

A	QP-8 Reference	M.A.R.	Score	Auditor Comments
8.	4.1.3.d Procedures for Learning About and Complying with Regulations <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • A key person is designated (in writing) to keep abreast of environmental, safety and health and other regulations affecting the contractor's operations. • There is a history of a key person performing these duties at least 6 months prior to the initial audit and routinely thereafter. • Current versions of regulations applicable to specific projects are available at the job site. • Versions of regulations applicable to general business operations are available at the main office. <p style="text-align: right;">Item Score</p>	0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3	

TECHNICAL CAPABILITIES**TECHNICAL RESOURCES**

B	QP-8 Reference	M.A.R.	Score	Auditor Comments
10.	4.2.2.a Industry Group Affiliations	Review of current membership certificates and correspondence confirms that contractor maintains affiliation(s) with industry group(s) that provide information on use of protective coatings for concrete substrates.	0 1 2 3	
		Item Score		
11.	4.2.2.b Technical Standards Library <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • Office and key Management and Production Personnel have access to and are aware of current versions of technical standards applicable to the company's operations. • Current hard copy versions, or specified versions of technical standards applicable to each project are at the job site. • There is evidence that requirements of these standards are followed when called for in the project specification/Product Data Sheet. 	0 1 2 3 0 1 2 3 0 1 2 3	
		Item Score		
12.	4.3.a Document Control Procedures for Recording of Specifications and Revisions and Their Receipt <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • Contractor records/logs receipt of specifications/revisions. • Record is kept of who gets copies. A verification of document acknowledgement form is signed by recipient(s). • Superseded or obsolete documents are removed from the workplace. 	0 1 2 3 0 1 2 3 0 1 2 3	
		Item Score		

TECHNICAL CAPABILITIES**TECHNICAL RESOURCES (cont.)**

13.	4.3.b Procedures for Clarifying Ambiguous Specs <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • There is evidence of correspondence or other communication noting errors, omissions, ambiguities in the specification or other clarification. • A verification of document/ correspondence acknowledgement is available. <p style="text-align: right;">Item Score</p>	0 1 2 3 0 1 2 3	
14.	4.3.c Communicating Contract & Technical Requirements <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • There is a procedure to show that current contract and technical requirements are communicated to supervisors and their work crews at each jobsite. <p style="text-align: right;">Item Score</p>	0 1 2 3	
15.	4.2.4 Documentation that the contractor is currently involved in or has successfully applied protective coatings over concrete within the last 12 months. The documentation shall include (see column to the right):	<ul style="list-style-type: none"> • Facility name, address, including zip code, telephone and fax number of owner's and prime contractor's representative in charge of your field operations. • Scope of work performed • Materials applied and approximate quantities • Equipment used for surface preparation and coating installation • Types (e.g., installers; surface preparation operators; helpers) and number of field personnel employed • Special safety and environmental (e.g., containment) requirements • Duration of project (start-finish date) <p>NOTE: List should include all coating installation work under contract to your firm regardless of whether all or any portion of the job was subcontracted.</p> <p style="text-align: right;">Item Score</p>	0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3	

TECHNICAL CAPABILITIES
EXPERIENCE, EQUIPMENT, AND FACILITIES

B	QP-8 Reference	M.A.R.	Score	Auditor Comments
16.	4.2.4.b Maintenance/Repair of Equipment	<ul style="list-style-type: none"> • Contractor has a written preventive maintenance plan and copies of manufacturer's maintenance manual and repair intervals for major equipment. • There is evidence (e.g., maintenance records; service/repair invoices;) that maintenance schedules are followed. 	<p>0 1 2 3</p> <p>0 1 2 3</p>	
Item Score				

QUALITY CONTROL**PERSONNEL QUALIFICATIONS (cont.)**

C	QP-8 Reference	M.A.R.	Score	Auditor Comments
19.	Authority of QC Personnel <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> Q.C. Inspectors have written authority to report nonconforming work directly to management and inform the production supervisor of required corrective rework. This authority may be written into a site-specific plan or job description or company procedure plan. <p>Note: Contractor may choose to delegate this authority to someone other than the inspector, provided that person has the authority to direct production to take corrective actions to meet contract/specification requirements.</p>	0 1 2 3 0 1 2 3	
Item Score				
20.	Identifying Non-conforming Work and Processing Deviations from Specification Requirements <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> There are procedures for checking for non-conforming work and stopping work, if necessary. There is evidence that these procedures are used by on-site Q.C. Personnel when necessary. There is evidence (e.g., NCRs, hold tags) that QC inspectors notify operations supervisors of nonconforming work and identify re-work requirements. Non-conformities and required corrective actions are routinely recorded by QC inspectors. There is evidence that re-work inspections are performed and/or NCRs or hold tags are removed when work is accepted by QC. Deviations from above procedures or for specified circumstances (e.g., client 	0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3	

		<p>request or deviations from contract requirements) are clearly controlled and documented. Deviations from the specification are requested through proper channels before being implemented. Documentation must state the deviation, the person authorizing the change, and the technical justification for the change or substitution.</p>		
		<p style="text-align: right;">Item Score</p>		

QUALITY CONTROL**INSPECTION PROCEDURES AND RECORDING SYSTEMS (cont.)**

C	QP-8 Reference	M.A.R.	Score	Auditor Comments
22.	4.3.2.b Calibration Standards-- Checking Accuracy of Inspection Instruments <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • Calibration standards exist for use by Quality Control personnel on site. • There is evidence that inspection equipment on site is checked for accuracy before use. • Records of calibration/accuracy checks of inspection equipment used on site are maintained. • Planned maintenance of inspection equipment is carried out. • Calibration and verification of accuracy program meets contractor's QC procedure or contract requirements. 	0 1 2 3	
			0 1 2 3	
			0 1 2 3	
			0 1 2 3	
			0 1 2 3	
Item Score				
23.	4.3.2.e Verifying Proper Surface Preparation and Coating Application and Inspection <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • There is a written QC procedure, either general or site-specific, defining how the company's site personnel are to ensure that proper repair work, surface preparation, installation and curing takes place in the field. • This procedure is available to and utilized by site personnel. 	0 1 2 3	
			0 1 2 3	
			Item Score	
24.	4.3.2.f Hold Point or Checkpoint Inspections	<ul style="list-style-type: none"> • There is evidence that hold point or checkpoint inspections are conducted during each major operation. <u>Examples</u> of inspections done: <ul style="list-style-type: none"> - pre-cleaning - substrate repair - surface preparation - primer - intermediate coat - top coat - cure • contractor must have process procedure checkpoints per the QC procedure manual referenced in Item 23. 	0 1 2 3	
			0 1 2 3	
			0 1 2 3	
			Item Score	

SAFETY

PROCEDURES (cont)

D	QP-8 Reference	M.A.R.	Score	Auditor Comments
25. (cont)	3.4.1. Safety Program and Safety Education <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • There is evidence that work area safety assessments are conducted and corrective actions taken when necessary to correct existing or potential hazards or as required by the customer or safety officer. • There is evidence that safety performance is part of each manager's written job description (if contractor is managed by a non-owner). • The safety and health program is reviewed by ownership or management at least annually to determine whether the goal of protecting workers at all work sites is being achieved. • The program is approved by a CIH, CSP or safety professional with a minimum of 5 years full-time experience in the construction industry at least once every 3 years and as changes in processes used and changes in regulations take place <p>Note to Auditor: Item score is determined by averaging the four sub bullet scores.</p> <p style="text-align: right;">Item Score</p>	<p>0 1 2 3</p> <p>0 1 2 3</p> <p>0 1 2 3</p> <p>0 1 2 3</p>	

SAFETY**PROCEDURES (cont)**

D	QP-8 Reference	M.A.R.	Score	Auditor Comments
26.	4.4.1.b Pre-job Safety Meetings	<ul style="list-style-type: none"> • A written job-specific implementation plan is developed as a result of the pre-job hazard analysis. • In this plan, Safety and health hazards are identified and documented by the contracting firm's safety officer or designated safety professional for each job/phase activity during the pre-job hazard analysis. • Project-specific requirements are communicated to work crews at the start of each project and throughout as determined by contractor management. • Evidence of such an analysis on the three most recent jobs is documented. <p style="text-align: right;">Item Score</p>	0 1 2 3	
27.	3.4.1.c Accident Reporting	<ul style="list-style-type: none"> • Contractor has a written accident reporting procedure. <p><u>Sub-scores</u></p> <ul style="list-style-type: none"> • Accident reports address: <ul style="list-style-type: none"> – what happened – to whom – where it happened – how it happened – root cause – immediate follow-up actions to prevent recurrence • There is evidence that the procedure is used (e.g., compare against OSHA 300 log; workers' compensation loss runs) • There is evidence that supervisors assigned follow up actions complete necessary corrective action at the job site within a week after the accident, if feasible, to ensure hazard is removed or properly controlled. <p>Note to Auditor: Average of 3 sub-scores.</p> <p style="text-align: right;">Item Score</p>	0 1 2 3 0 1 2 3 0 1 2 3	

SAFETY**PROCEDURES (cont)**

D	QP-8 Reference	M.A.R.	Score	Auditor Comments
28.	4.4.1.d Monitoring Safety and Loss Control	<ul style="list-style-type: none"> • There is evidence that contractor's owners or managers review safety performance at least annually. • OSHA incidence rates are within industry norms (N/EH x 200,000). • Workers' compensation experience rating (EMR) averaged over most recent 3-year period does not exceed 1.10. No single E.M.R., during the 3-year period exceeds 1.25. 	0 1 2 3 0 1 2 3 0 1 2 3	
Item Score				
29.	4.4.1.e SOPs for Major Equipment <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • Written SOP's for major equipment are available at job site. (e.g., pressurized equipment) • Owners and/or managers have approved these procedures and review them annually and document that review. • These procedures have also been reviewed by the contractor's safety director or designated safety professional. • There is evidence that these procedures incorporate equipment manufacturers' recommendations for safe operation. 	0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3	
Item Score				

SAFETY

PROCEDURES (cont)

D	QP-8 Reference	M.A.R.	Score	Auditor Comments
30.	4.4.1.f Personal Protective Equipment and Respiratory Protection <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • As part of contractor’s comprehensive Health and Safety Program, the contractor has a written respiratory protection program based on OSHA 1910.134 <i>or</i> equivalent regulation or standard. • Contractor also has written procedures for issuing and use of other PPE such as protective clothing for skin protection, devices for eye protection, devices for hearing protection, foot protection, head protection, knee protection, life jackets if applicable, life saving equipment. • Required respirators and protective equipment are available. • There is evidence that workers use respirators and PPE at each job site per company safety plan and applicable MSDS’s. • There is evidence that workers are trained in the use and maintenance of respirators and PPE. • The contractor uses formal system to check the effectiveness of PPE used on site and to maintain PPE used on site in good working condition. <p>Note to Auditor: Average 6 bullet scores to obtain total item score.</p> <p style="text-align: right;">Item Score</p>	0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3 0 1 2 3	

SAFETY**PROCEDURES (cont)**

D	QP-8 Reference	M.A.R.	Score	Auditor Comments
31.	4.4.1.g First Aid-Trained Employees	<ul style="list-style-type: none"> • An approved first aid kit is available on the jobsite and is accessible in case of an emergency. Check if filled. • There is at least one person available on each job site that has first aid (and CPR) training certificates issued by the Red Cross or an equivalent organization. This is applicable to a crew of 6 or more on a project that lasts 2 or more days. Check credentials on site. • Provisions are made during pre-job planning for prompt medical attention in case of serious injury including transportation and communication. Emergency telephone numbers and emergency procedures are posted at job site where workers and management can see. <p style="text-align: right;">Item Score</p>	<p>0 1 2 3</p> <p>0 1 2 3</p> <p>0 1 2 3</p>	
32.	4.4.1.h Compliance Plan/Procedures <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • Contractor owners or management keep records of non-compliance with federal, state and local, worker protection, worker compensation, environmental protection, wage and hourly and tax laws, and all other applicable regulations. • Corrective actions taken to avoid receiving citations for repeat violations are documented. <p style="text-align: right;">Item Score</p>	<p>0 1 2 3</p> <p>0 1 2 3</p>	

Response Ratings define the quality of the company's response to each evaluation item as follows:

Rating	Interpretations (Definition)
0	Non-Responsive (No answer, or one with no connection to the question)
1	Unsatisfactory Response (pertinent, but inadequate answer)
2	Satisfactory Response (minimally acceptable)
3	Superior Responses (exceeds minimum standard)