

SSPC

Painting Contractor Certification Program (PCCP)

**QP –9 Audit Evaluation Checklist - Architectural Coating Application on
Commercial/Institutional Buildings and Interiors**

Version 02/09

Contractor: _____

Location: _____

Date: _____

Type of Audit: _____

Auditor: _____

Job sites visited:

MANAGEMENT PROCEDURES COMPANY POLICY

	QP-9 Reference	Audit Criteria	Rating	Comments
1	3.1.1.a Mission Statement	<ul style="list-style-type: none"> • On company letterhead. Signed and dated by current executive management. • Posted at office and job sites. • Must address the Company's responsibility for Quality Workmanship; Safe Work Practices & Environmental Protection during painting and related operations. 	<p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	
		Item Score		
2	3.1.1.b Disseminating Company Policies	<p>There is evidence that management has implemented procedures to disseminate policies to all workers under its direction via issuance of an employee manual or handbook, new employee orientation, or work force conferences.</p> <p>Companies with informal policies must record orientation-meeting attendees, dates, topics covered and documents issued.</p>	<p>1 2 3</p>	
		Item Score		

MANAGEMENT PROCEDURES ORGANIZATION AND PERSONNEL

	QP-9 Reference	Audit Criteria	Rating	Comments
3	3.1.2.a Organizational Chart	<ul style="list-style-type: none"> • Lines of responsibility of key personnel are shown by name and title and reflect company commercial painting practice. • Key personnel are employees of the company and must include Executive Management, Production Management, Quality Manager and EHS officer. Note: in some company's one person may wear several hats. The key is to verify that the function is being performed. • Organization chart should clearly show separation between Commercial and Industrial areas of a contactor's operations. • Must be reviewed annually, signed and dated by current executive management. 	1 2 3	
		Item Score		
4	3.1.2.b Job Descriptions for Management and other Key Personnel	<ul style="list-style-type: none"> • Responsibilities and duties are clearly stated and current • Required experience, licenses, certifications and training are stated and current. 	1 2 3 1 2 3	
		Item Score		

MANAGEMENT PROCEDURES ADMINISTRATION AND MANAGEMENT (cont)

	QP-9 Reference	Audit Criteria	Rating	Comments
5	3.1.3.a 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 is on file that confirms above • Contractor has solid A/P history (line of credit; D & B rating) 	<p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	
6	3.1.3. e, f, g, h. Legal Viability	<ul style="list-style-type: none"> • Tax returns are filed in a timely manner • Company holds current and valid worker's compensation, General Liability, and other insurance coverage required to do business. • Production workers are employed or leased by the company • Company holds current licenses for locales where it operates • Appropriate ownership/ incorporation papers have been filed with proper federal, state and local authorities • Federal and State Tax ID/EIN statement is available and corresponds with company name • Employee eligibility verifications, vehicle registration, building permits are current and on file 	<p>1 2 3</p>	
7	3.1.3.b	<ul style="list-style-type: none"> • Specifications, contracts and other 	<p>1 2 3</p>	

	QP-9 Reference	Audit Criteria	Rating	Comments
	3.1.3.b Procedures for Reviewing Specifications, contract documents and related Bid Documentation	bid documents are reviewed by management and these reviews are documented • Painting subcontractors are selected based on ability to meet contract requirements	1 2 3	
8	3.1.3.c, d Procedures for Complying with Regulations <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • A key person is designated by executive management (in writing) to keep abreast and inform the CEO of regulations affecting the contractor's operations. • There is a history of someone performing these duties. • Current versions of regulations applicable to specific projects are available to or readily accessible to job site personnel. • Versions of regulations applicable to general business operations are available at company offices • Management reviews regulatory violations issued to the company. Root cause is analyzed and corrective actions implemented to avoid repeat violations 	1 2 3 1 2 3 1 2 3 1 2 3	

TECHNICAL CAPABILITIES PERSONNEL QUALIFICATIONS

	QP-9 Reference	Audit Criteria	Rating	Comments
9	3.2.1.a and b Craft Worker Assessment <u>CRITICAL ITEM</u>	<p>The contractor has developed and implemented a written Craft Worker Assessment Program in accordance with the requirements outlined in Appendix A.</p> <p>At a minimum, there is:</p> <ul style="list-style-type: none"> • A designated “Supervisor” that is qualified and performs duties per requirements of Appendix A. • Procedures exist and have been implemented for conducting training (as needed) and qualifying newly hired and/or experienced craft workers. • Procedures exist and have been implemented for conducting training (as needed to meet job or contract requirements) and qualifying trainees. • Procedures exist and have been implemented for training and qualifying workers on the use of materials and equipment not previously used by or unfamiliar to craft personnel. • A worker proficiency evaluation system is in place and performed annually by supervisory personnel. 	1 2 3	

TECHNICAL CAPABILITIES *TECHNICAL RESOURCES*

	QP-9 Reference	Audit Criteria	Rating	Comments
10	3.2.2.a & 3.4.3 Industry Group Affiliations	Review of current membership certificates and correspondence confirms that contractor maintains affiliation(s) with industry group(s) such as PDCA or MPI that provide technical and regulatory compliance information re: architectural painting of commercial buildings and interiors.	1 2 3	
11	3.2.2.b Technical Standards Library <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • Key personnel have access to technical standards applicable to the company's operations. • Versions of specified and applicable technical standards and documents (e.g. PDCA, MPI), PDSs and MSDSs applicable to each project are available to affected personnel on site 	<p>1 2 3</p> <p>1 2 3</p>	

TECHNICAL CAPABILITIES *TECHNICAL PROCEDURES*

2	QP-9 Reference	Audit Criteria	Rating	Comments
12	3.2.3.a Document Control Procedures Provide for Recording of Specifications and Revisions <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • Contractor records/logs receipt of specifications/revisions. • Record is kept of who gets copies with signatures and dates signed for. • Superseded or obsolete documents are removed from the workplace and returned to the office for archiving. 	<p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	
13	3.2.3.b, d Procedures for Clarifying Ambiguous Specifications <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • There is evidence of correspondence or other communication noting exceptions to specifications or other clarifications such as omissions, errors, conflicting requirements, touch up vs. repair, color & sheen acceptance criteria • Verification of follow up is documented. • Requests to deviate from contract requirements (including technical or logistical justification) are documented as well as their approval or rejection 	<p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	
14	3.2.3.c Communicating	<ul style="list-style-type: none"> • Pre-job and other specification altering meeting notes are 	<p>1 2 3</p>	

2	QP-9 Reference	Audit Criteria	Rating	Comments
	<p>Contract & Technical Requirements</p> <p><u>CRITICAL ITEM</u></p>	<p>formally documented and available at the job as part of the contract document package</p> <ul style="list-style-type: none"> • Current contract and technical requirements, change orders, are formally delivered to key job-site personnel • Contract document package includes all contract submittals (e.g. color schedule; approved drawn downs; wall cover samples; quantities of materials; room by room summaries: purchase orders; punch lists) 	<p>1 2 3</p> <p>1 2 3</p>	

	QP-9 Reference	Audit Criteria	Rating	Comments
	Years of Experience	<ul style="list-style-type: none"> • Review company documents to confirm years (dating back from the initial audit date) of applying architectural coatings on commercial/institutional buildings/interiors and record in the next column 	Years of experience _____	

TECHNICAL CAPABILITIES EXPERIENCE, EQUIPMENT, AND FACILITIES

	QP-9 Reference	Audit Criteria	Rating	Auditor Comments
16	3.2.4. a, b (Equipment) Maintenance/ Repair of Equipment	<ul style="list-style-type: none"> • Contractor has a system for making and documenting repairs to surface preparation and painting equipment and vehicles that limit disruption to production. • Contractor has a written preventive maintenance plan and/or 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. • Out-of-service equipment is removed from the inventory 	1 2 3	
17	3.2.4. (Storage Facilities) (CRITICAL ITEM)	<p>Contractor maintains proper storage of coatings materials per manufacturer's and/or specification requirements and regulations and building codes:</p> <ul style="list-style-type: none"> • Material is properly handled and stored per federal, state, and local regulations and codes (confirmed by Fire Marshall, Insurance Company, OSHA, Safety consultant audits). • Flammable materials are in approved containers • Storage temperatures are maintained. • Paints and solvents are properly covered and out of direct sunlight 	<p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	

	QP-9 Reference	Audit Criteria	Rating	Auditor Comments
		<ul style="list-style-type: none"> • Storage areas have approved and functioning fire extinguishers & explosion proof lighting, if applicable • Hazard and warning signs where applicable are visible and posted. • Material with expired shelf life is segregated from current material and labeled expired. • Storage area is free of debris, empty paint cans and combustibles. 	<p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	
18	3.3.3.d Process Control Procedures (PCPs) – (CRITICAL ITEM)	<ul style="list-style-type: none"> • Contractor has written process control procedures for all work processes (Surface Preparation; Application, repairs, etc) that its production crews follow to ensure conforming work • Examples include: <ul style="list-style-type: none"> (1) Surface Preparation of Drywall, Concrete, Wood, Metal, Steel (2) Brush, Spray and Roll (3) Repair Procedures 	1 2 3	Note: some companies may use PDCA or equivalent procedures/standards as their PCP's

JOB QUALITY MONITORING PERSONNEL QUALIFICATIONS

	QP-9 Reference	Audit Criteria	Rating	Comments
19	<p>Categories 1 & 2 only 3.3.1.a Personnel Qualifications/ Q.C. Supervisor</p> <p><u>CRITICAL ITEM</u></p>	<ul style="list-style-type: none"> • A Full-time employee (verified by payroll records) is designated in writing (e.g. letter, org chart, job description) by executive management as the company Quality Control Supervisor (QCS) • Designated person must be listed on organization chart. • Designated person meets the requirements of contractor’s job description. • Designated person shall have a minimum of 2 years experience in quality control for architectural coating applications or related functions. • Designated person has documented proof of successful completion of SSPC QCS Course or equivalent training in quality systems management. • There is evidence that designated person performs duties of Quality Control Supervisor. 	1 2 3	
20	<p>Categories 1 & 2 only 3.3.1 b Paint Inspectors</p>	<p>Contractor employs the services of a Paint Inspector(s):</p> <ul style="list-style-type: none"> • Contactor has evidence that all inspections are performed by a qualified Paint Inspector and 	1 2 3	

	<p>QP-9 Reference</p>	<p>Audit Criteria</p>	<p>Rating</p>	<p>Comments</p>
	<p><u>CRITICAL ITEM</u></p>	<p>results are reported, as required, per contract documents.</p> <ul style="list-style-type: none"> • Paint Inspectors shall have a minimum of 1-year experience in architectural painting and coating inspection. • Paint Inspectors have documented proof of successful completion of architectural paint and coating inspection training. <p>Note (1): A training program (in-house, supplier, consultant) equivalent to the Masters Painters Institute or CSI is acceptable.</p> <p>Note (2): Unless 3rd party inspection is required, the inspector is provided by the contractor</p> <p>Note (3): the QCS can also be the inspector for a specific project</p>	<p>1 2 3</p> <p>1 2 3</p>	

	QP-9 Reference	Audit Criteria	Rating	Comments
	rework is conforming <u>CRITICAL ITEM</u>	(2) Root cause of problem is noted and documented (3) Inspectors notify production supervisors of non-conforming work and identify re-work requirements, if applicable (4) Non-conformities and required corrective actions are routinely recorded by Paint inspectors. (5) There is evidence that re-work inspections are performed and rework is accepted by QC.	1 2 3 1 2 3 1 2 3 1 2 3	

	QP-9 Reference	Audit Criteria	Rating	Comments
		<ul style="list-style-type: none"> - <i>Note (1) : Jobs will have varied requirements. Contractor must document objective evidence of compliance with job specifications and Product Data Sheets.</i> - <i>Note (2): Additional inspection criteria (e.g. DFT) may be required for specialty applications such as coating of steel, non ferrous metals, applying intumescent paint.</i> - <i>Note (3): daily foreman logs, etc., may serve to record visual and instrument inspections</i> 		

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

	QP-9 Reference	Audit Criteria	Rating	Comments
24	3.3.3.a. Calibration Standards-- Checking Accuracy of Inspection Instruments	<ul style="list-style-type: none"> • Calibration standards exist for use by Quality Control personnel on site for instruments used. • There is evidence that inspection equipment used for QC 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 used is carried out per mfg's recommendations. <p>Note: instrument use for inspection of applied architectural coatings is limited to specialty applications. Visual inspection may be adequate in many cases</p>	<p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	

QUALITY CONTROL INSPECTION PROCEDURES AND RECORDING SYSTEMS (cont.)

3	QP-9 Reference	Audit Criteria	Rating	Comments
25	3.3.3.g Customer Complaints- Receipt and Resolution <u>CRITICAL ITEM</u>	<ul style="list-style-type: none"> • There is a process for documenting receipt and resolution of customer complaints • Management is fully engaged in this process. 	<p>1 2 3</p> <p>1 2 3</p>	
		Item Score		
26	3.3.4 Preventive Action Program (PA)	<ul style="list-style-type: none"> • There is a Quality System manual • Corrective (CA)(see item #21 above) and Preventive Action (PA) Programs are implemented and supported by Executive Management • (PA) Management review of the effectiveness of all company processes and procedures occurs at least annually and is documented • Processes and procedures in the Quality System Manual are adjusted, as necessary, based on Management review 	<p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	

SAFETY PROCEDURES

	QP-9 Reference	Audit Criteria	Rating	Comments
27	<p>3.4.1. Safety Program and Safety Education</p> <p><u>CRITICAL ITEM</u></p>	<p>Contractor has written Safety and Health Compliance Program based on OSHA or equivalent standards applicable to its operations.</p> <p>At a minimum, the program must address applicable portions of the following topics:</p> <ul style="list-style-type: none"> • Hazardous Materials (MSDS) • Personal Protective Equipment • General Safety & Health Provisions • Occupational Health & Environmental Controls as applicable to the painting SIC or NAISC • Sanitation & Housekeeping • Fire Protection & Prevention • Signs and Barricades • Materials Handling, Storage, Use, and Disposal • Hand and Power Tools • Electrical & Grounding • Scaffolds • Fall Protection • Ladders • Toxic & Hazardous Substances • Airless Injection 	<p>1 2 3</p> <p>1 2 3</p>	

	QP-9 Reference	Audit Criteria	Rating	Comments
	3.4.1 (Cont'd)	<ul style="list-style-type: none">• Drug Testing Policies• Mold & Mildew		

SAFETY PROCEDURES (cont.)

	QP-9 Reference	Audit Requirements	Rating	Comments
27 (Cont')	3.4.1 (Cont'd) Safety Program and Safety Education <u>(CRITICAL ITEM)</u>	<ul style="list-style-type: none"> • There is evidence that workers are trained on project-specific requirements. • There is evidence that general and job-specific safety rules are enforced. • There is evidence that workers receive general safety refresher training (e.g. OSHA 10 or 30) (at least annually for full-time employees) • There is evidence that work area safety assessments are conducted and corrective actions taken immediately to correct existing or potential hazards at least monthly or as required by the customer and internal procedures. • 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 also reviewed by ownership or management at least annually to evaluate whether the goal of protecting workers at all work sites is being 	<p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	

	QP-9 Reference	Audit Requirements	Rating	Comments
		achieved. • The program is approved by a CIH, CSP or safety professional with a minimum of 5 years full-time experience in the painting Industry at least once every 3 years and as major changes in company processes or regulations are implemented.	1 2 3 1 2 3	
28	3.4.1.b Pre-job Safety Meetings	• A written job-specific implementation plan is developed as a result of the pre-job hazard analysis (JHA). • In this plan, Safety and health hazards are identified and documented by the safety officer or designated safety person for each job/phase activity during the pre-job hazard analysis.	1 2 3 1 2 3	

SAFETY PROCEDURES (cont.)

	QP-9 Reference	Audit Criteria	Rating	Comments
29	3.4.1.c Accident Reporting & First Aid Training	<ul style="list-style-type: none"> • Contractor has a written accident reporting procedure. <u>Subscores</u> • 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 procedure is used (e.g., compare against OSHA 300 log; workers' compensation loss runs) for each accident • There is evidence that supervisors assigned follow up actions complete necessary corrective action at the job site as soon as practical after the accident to ensure hazard is removed or properly controlled. • There are at least two first-aid trained employees on each job 	<p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	

SAFETY PROCEDURES (cont.)

	QP-9 Reference	Audit Criteria	Rating	Comments
30	3.4.1.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 or after a major incident or near miss. • 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. 	<p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	
31	3.4.1.e SOPs for Major Equipment (CRITICAL ITEM)	<ul style="list-style-type: none"> • Written Safe Operating Procedures (SOP’s) for major equipment are available at job site. (Pressurized equipment) • Owners and/or managers have approved these procedures. • These procedures have also been reviewed by the contractor’s safety director or designated safety professional. 	<p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	

	QP-9 Reference	Audit Criteria	Rating	Comments
		<ul style="list-style-type: none"> There is evidence that these procedures incorporate equipment manufacturers' recommendations for safe operation. 		
32	<p>3.4.1.f Personal Protective Equipment and Respiratory Protection</p> <p><u>CRITICAL ITEM</u></p>	<ul style="list-style-type: none"> As part of contractor's comprehensive Health and Safety Program, the contractor has 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 personal protective equipment (PPE) (e.g. protective clothing, eye protection, hearing protection, foot protection and head protection). Required respirators and protective equipment are available, fit tested when applicable and used on the job. There is evidence that workers are trained in the use and maintenance of respirators and PPE. 	<p>1 2 3</p> <p><u>Subscores</u></p> <p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	

	QP-9 Reference	Audit Criteria	Rating	Comments
		<ul style="list-style-type: none"> • The contractor uses a formal system to check the effectiveness of PPE used on site and to maintain PPE used on site in good working condition. • Damaged or defective PPE is tracked and removed from the inventory. 	<p>1 2 3</p> <p>1 2 3</p>	
33	<p>3.4.2 Environmental Compliance</p> <p><u>(CRITICAL ITEM)</u></p>	<ul style="list-style-type: none"> • The contractor has a current, written environmental compliance program that addresses how the company handles and disposes and records chain-of-custody of hazardous and non hazardous materials (e.g. solvent, paint cans) discarded • There's documented evidence that the program is enforced • The contractor has knowledge of USGBC (Leed) standards and complies where required <p>Note: some contractors may have Leed certified persons on staff</p>	<p>1 2 3</p> <p>1 2 3</p> <p>1 2 3</p>	

	QP-9 Reference	Audit Criteria	Rating	Comments

Rating Key:

1= Does not meet minimum requirements

2= Meets minimum requirements

3= Exceeds minimum requirements