



SSPC-QP 9

APPLICATION,  
INSTRUCTIONS,  
AND  
PROGRAM RULES



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## **Application Form, Instructions, and Program Rules / SSPC-QP 9**

### **I. Introduction**

SSPC developed the Architectural Painting Contractor Certification Program (QP 9) to verify capabilities of contractors performing surface preparation and architectural coating application on commercial and institutional buildings and their interiors. The program's objective is to determine if a commercial painting contractor has the personnel, organization, qualifications, procedures, knowledge, and capability to produce quality surface preparation and coating application of architectural paints in the commercial market. Commercial and institutional buildings encompass a wide range of building types and interior and exterior configurations. Architectural coatings and paints are normally applied for aesthetics, protection or signage. Examples of commercial applications include: retail stores, shopping centers and malls, office buildings and office areas in industrial structures, schools, libraries, buildings on a military base, apartment or condominium buildings, public housing, warehouses, distribution facilities, medical and dental offices, hospitals, sports and recreation areas, airports, bus and rail stations and so forth.

Please note that the SSPC-QP 9 Certification process does not involve inspection of the contractor's painting work or training of its personnel. It does not cover industrial painting. Field and shop painting of steel and concrete industrial structures is covered under SSPC-QP 1, QP 2, QP 3, QP 6 and QP 8. Finally, the program is not intended to guarantee the quality or safety performance of a specific contractor on any of its projects. Rather, it is intended to assist building owners, general contractors, developers, architects, engineers in their evaluation of the primary technical capabilities of commercial painting contractors. While SSPC certification confirms a company's capability to meet the requirements of SSPC-QP 9, owners, specifiers and general contractors can also assess the painting contractor's financial and operational capability to perform a specific project as well obtain references directly from the contractor's previous clients, and other areas not covered under this program.

This package contains information and materials needed to apply for SSPC-QP 9 Certification. You will find copies of this application and all other documents detailing program requirements, related procedures, clarifications, etc., on SSPC Online at <<http://www.sspc.org>> Contractors who desire program information but who do not have access to the Internet can also contact SSPC staff directly for copies of any and all program related documents. Contact SSPC Certification: Gloria Dawson at X2209 or Norm Suzich at: X2235 (877-281-7772).

While every precaution is taken to ensure that all information furnished is accurate and complete, SSPC cannot assume responsibility nor incur any obligation resulting from the use or misuse of the methods contained herein, or of the program itself.

## **Initial Application Instructions**

**Filling out the application:** Fill out the application form in the beginning of this document and be sure the application is signed with proper signatures and include the completed application form with the submittal items described below.

**Compiling the required items as listed in the application:** The submittal items are listed in detail and have been numbered for clarity when referencing. Compiling the information in a three-ring binder is required to keep all material in order. Provide each item (documents) as listed in the application and “tab” and “label” each item as it is referenced in the application. This practice will save time during the initial review process. After the initial review, if any of the items (documents) are missing, SSPC will notify you and put the review on hold until the missing items are provided. This is why it is important to reference the submittal items, so that both the contractor and SSPC can confirm that all the necessary information is included.

**Submitting the application:** You must provide SSPC with two copies for review. Why? One copy is kept at the SSPC Corporate Office and the other is provided to the auditor assigned to your audit. SSPC suggests that a third copy be kept by the contractor to reference during the audit.

**Audit fees:** Must be provided to SSPC when submitting the application for review. SSPC accepts checks and credit cards. Credit card payments can be taken over the phone.

**After the application and submittal package is reviewed by SSPC:** Once the initial application and submittal review is complete and your application has been accepted, it is assigned to an SSPC Auditor. The Auditor will contact you to schedule an office audit and an audit at one or more active job sites.

If you have questions regarding the submittal process, please call Gloria Dawson at 877-281-7772 or 412-281-2331 X2209 or Norm Suzich at X2235.

## **II. General Program Procedure**

The SSPC-QP 9 certification process contains this sequence of procedures that you must follow:

- A. Complete the application form found in Item III.
- B. Gather and prepare the required information outlined in Item III following the application.
- C. Send SSPC the application, submittal items, and appropriate non-refundable certification fee and the required audit deposit.
- D. SSPC staff will review your application and submittals within 10 working days after receipt. If everything is in order, an on-site audit will be performed. If not, SSPC will indicate what must be done, or what additional information is required to complete the submittal. Note: The initial job site visit will most likely be announced, and may be performed at a job site selected by SSPC.

- E. An SSPC program auditor will conduct the evaluation at one or more active (commercial painting) job sites, to verify conformance with QP 9 requirements. The initial audit usually takes two to three days to complete, and always includes a visit to your offices and one or more active job sites that are representative of work that your company performs and where you can demonstrate your company's capability. Note: The auditor will review randomly selected project files on projects listed in your submittal or other projects in your files. These files as well as management and production personnel familiar with those projects must be available during the audit for it to be completed. The auditor must visit your headquarters office as part of the initial audit.
- F. At the end of the audit, the auditor will schedule an exit interview for the purpose of advising you of any deficiencies, corrective actions or concerns cited or noted during the audit.
- G. If your firm has a qualifying score, SSPC will certify it for a three-year period subject to its ability to maintain program standards. Your company's ability to maintain certification standards during the three year certification term is confirmed through: (1) annual announced and unannounced audits which your company must undergo at least once in each of the three years of the certification term; (2) your company's ability to adhere to the program's administrative rules; (3) avoidance of disciplinary actions as described in the Disciplinary Action Criteria (DAC). Certification lapses after three years.
- H. If your firm does not qualify, you have up to 90 days after SSPC notifies you of your audit results to submit an acceptable written corrective action plan (CAP) to correct deficiencies and change system procedures and request a follow-up audit for verification of the corrective action. If you do not submit acceptable corrective actions within 90 days, you must re-apply for initial certification.
- I. The program provides for an appeals procedure, should you contest audit findings.
- J. If the Contractor disputes a suspension or revocation of certification as a result of audit findings, the Contractor can appeal to the SSPC Certification Manager, in writing, within 10 business days of formal notification of a suspension or appeal. A suspension or revocation issued as a result of a failed audit remains in effect during any appeal process.



**III. QP 9 Application Form** for the SSPC Architectural Painting Contractor Certification Program

Instructions: The application form below is used to provide information that will aid in evaluating and rating your firm. To avoid delays in carrying out the evaluation process, you must answer all questions accurately and truthfully. Information must be either typed or clearly printed. **Please send SSPC two typed or printed copies of your completed application and all submittals with the correct non-refundable fees.**

**1. Contact Information**

Company Name:
Principal Officer/Title:
Company Headquarters Address:
City:
State:
E-mail address
Web Site Address (if applicable):
Telephone Number (include Area Code):
Fax Number:
Federal I.D. #/EIN (enclose copy of Fed. ID/EIN notification from the IRS or equivalent form for non-USA-based contractors):
Qualification Category Sought: <input type="checkbox"/> Category 1 <input type="checkbox"/> Category 2 <input type="checkbox"/> Category 3

**2. Branch / Division Office Address** (if more than 1, please submit a list of branch / division offices with the information requested in 1A below or in a separate attachment):

Company Division Address:
City:
State:
E-mail address
Web Site Address (if applicable):
Telephone Number (include Area Code):
Fax Number:
Federal I.D. #/EIN (enclose copy of Fed. ID/EIN notification from the IRS or equivalent form for non-USA-based contractors):

**3. Provide a list of current owners (if you are not publicly traded):**


- 4. Ownership:**  Private Ownership  Sole  Partnership  
 Corporation  
 Publicly Traded Stock Ownership

5. Years your company has operated (performed commercial painting) under name listed in Question #1: \_\_\_\_\_

If less than 3 years, list previous names below:

Previous Name: \_\_\_\_\_

From:To: \_\_\_\_\_

Previous Name: \_\_\_\_\_

From:To: \_\_\_\_\_

6. Has your company undergone (within the past 18 months) or is it planning to undergo any significant changes (e.g. name change; change in ownership; Chapter 7, 11, or 13; purchase or takeover of another contracting firm; joint venture/partnership with another contractor; executive management personnel changes, etc.)

Yes  No

If yes, please attach an explanation that meets the notification requirements described in Item X, Part A, "Major Changes in a Company's Organization"

7. **Field Audit of an Active Job Site.** The certification program requires that **the auditor** conduct a field visit to **one or more active commercial painting** job sites. List location of jobs in progress where job site audits can be conducted. (Please include any restrictions below such as special safety requirements, facial hair, security clearances, etc.)

Job Site:
Restrictions:
Name, title, and phone number (including cell phone) of your key contact person on this job site: Name:
Title:
Phone No:
Day and Time Crews are on Site:

Job Site:
Restrictions:
Name, title, and phone number (including cell phone) of your key contact person on this job site: Name:
Title:
Phone No:
Day and Time Crews are on Site:

Job Site:
Restrictions:
Name, title, and phone number (including cell phone) of your key contact person on this job site: Name:
Title:
Phone No:
Day and Time Crews are on Site:

9. Current experience modification rate (EMR) for State/Province of Domicile and Principal States/ Provinces of Operation. Provide documentation of experience modification rates on your Insurance Company and State/Provincial Workmen's Compensation Bureau (Board) letterhead per evaluation item described in Item IV, Part D. Submit a detailed explanation for any EMR above 1.25.
10. Attach copies of any federal, or state/provincial or local regulatory agency worker safety and health or environmental non-compliance, or other regulatory violations (e.g. wage and hourly violation) and citations issued to any of your firm's commercial painting operations during the previous 36 months. Provide resolution/settlement/notice of contest documentation if applicable, as well as a brief summary of policy changes and actions your company has taken as a result of the citations. Submit required copy of OSHA Form 170 or equivalent regarding fatalities that have occurred on your job sites in the last 36 months.
11. Has your company or any of its current or former personnel been accused/charged/alleged by a Court (Local, State, or Federal) to be involved in

any of the following practices in the past 36 months: (1) fraud; (2) alteration of test results or reports; (3) criminal conviction; (4) misrepresentation of information; (5) illegal business practices; (6) illegal activities related to any of your company's operations. (Refer to the Disciplinary Action Criteria [DAC])

Yes  No

If yes, please explain below in or a separate attachment:

12. 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 the SSPC under the DAC? A copy of the DAC can be found on SSPC's web site at <http://www.sspc.org/site/cert/PCCP/DAC.html>.

Yes  No

If yes, please explain

13. Are any of your company's officers, directors, owners, managing agents, or managers now exercising (or have previously exercised) direct or indirect control, management or ownership of another contracting firm, which has been disciplined by the SSPC under the DAC?  Yes  No

If yes, please explain

14. If your company *has not* had such association with a firm previously disciplined under the DAC, please check this box .

Note: Failure to answer truthfully or any instance of providing inaccurate information will result in immediate revocation or denial of certification status.

15. 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 suspension/disbarment and the name of the entity disqualifying your firm:

16. Attach copy of most recent (12 months) OSHA accident & illness forms. (OSHA Forms 300 & 300A), if applicable.

17. Please submit 2 copies of your corporate Health and Safety Plan.

18. Average number of workers you've employed over preceding 3 years:

19. Is your firm an organizational member of SSPC?  Yes  No If yes, indicate category of membership:  Patron  Sustaining

Membership Number: \_\_\_\_\_ Date membership expires: \_\_\_\_\_

20. If your company is ISO 9001 Certified (or has another Quality Management System accreditation), please describe below or in a separate attachment and attach relevant qualification certificates:

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**21. By my Initialing and signature below, I acknowledge that I have read and understand:**

Initial: \_\_\_\_\_ The QP 9 Certification Program Application Form, Instructions, and Program Rules.

Initial: \_\_\_\_\_ The QP 9 procedure set forth therein.

Initial: \_\_\_\_\_ The Disciplinary Action Criteria.

Note: Forms can be found at SSPC's website [www.sspc.org](http://www.sspc.org).

As a principal officer of the painting contractor, I attest that the company agrees to abide by and be bound by rules, regulations and procedures set forth therein. (Must be initialed above and signed by the President, Chief Operations Officer or Chief Executive Officer)

Signed: \_\_\_\_\_

Printed Name and Title: \_\_\_\_\_

Date Submitted: \_\_\_\_\_

Certification Fee and Deposit Submitted with this Application: \$ \_\_\_\_\_

Note: Failure to report accurate, complete information will delay your certification evaluation. Omission or falsification of information or failure to answer all questions truthfully will result in withholding or denial of certification status. Your firm will be checked against the provisions of the Disciplinary Action Criteria (DAC). If your firm has critical faults under the DAC and falls under one of its categories of "suspension or revocation," your application will be held at SSPC for the length of time that is equivalent to the appropriate penalty. If your firm has critical faults and subsequently falls under "warning or probation," you are placed on warning or probation and are subject to further disciplinary action if future problems arise, provided your firm is certified after successfully completing the initial audit.



## Required Information

In order to rate and evaluate your firm, the program uses specific criteria, organized into four business areas outlined below:

I. Management Procedures: Measures utilized by your company to organize, coordinate, and otherwise manage the various activities required to prepare surfaces and apply architectural paint and coatings properly.

II. Technical Capabilities: Resources maintained by your company to properly interpret and execute job specifications and requirements.

III. Job Quality Control: Procedures implemented and maintained by your company to verify that all stages of work are performed in accordance with contract documents and specifications and internal quality procedures.

IV Safety, Health and Environmental Compliance: Practices and procedures used by your company to see that safe operations and environmental compliance are maintained.

Each of these four areas contains several subcategories focusing on your company's policies, personnel, procedures and resources. **All items must be described in writing with the initial application.** They must be typed on separate sheets of paper and clearly identified. Documents such as charts or file documents, which already exist, must be submitted and identified in the same manner. They should be bound in the order of the evaluation items listed in Section IV, to avoid delays processing your application.

The auditor will verify and evaluate thirty-three evaluation items during the on-site visit. The necessary records or files that you must present at that time include but are not limited to: job files for reported projects, inspection logs, foreman logs, equipment and maintenance records, etc. Some information will be presented verbally. The auditor may also evaluate DAC-related items as directed by the program administrator or certification manager.

Item IV lists and describes the thirty-three required items of information. To confer certification, a score of 2 is required on all nineteen (19 ) critical items.

Note: Contractors applying for SSPC-QP 9 certification must demonstrate a history of compliance with applicable QP 9 requirements, depending upon certification category applied for. Once certified, the contractor is expected to consistently apply applicable certification procedures and practices year round for all commercial painting jobs.

## Certification & Qualification Categories

### Category 1

To be eligible for QP 9 certification, Category 1, a painting contractor must have a minimum of 5 years recent, documented experience applying architectural coatings on commercial structures or institutional structures (see sec 2.2 of QP-9). To achieve certification, a contractor must pass a full audit showing capability to meet all the requirements of QP-9.

## Category 2

Painting contractors who do not have the minimum 5 years experience required to be certified to QP-9 can apply for Category 2 or Category 3 Qualification as an interim step toward eventually achieving “full” certification. To be eligible for a Category 2 Qualification Certificate, the contractor must have at least 3 years of recent, documented, commercial painting experience but is not expected to have fully implemented a QP 9 quality management system. An audit at the company’s headquarters is required to achieve a Category 2 Certificate of Qualification.

## Category 3

Painting Contractors with two years of recent, documented experience may be eligible for a Category 3 certificate. A detailed submittal, but no audit is required to achieve Category 3 qualification.

**Table 1**  
**Summary of Requirements for Commercial Painting Contractor**  
**Qualification Categories**

Category	Minimum Years Experience	Formal QC Program	Formal Safety/ Environmental Compliance Program	Application & Submittal	Pass On Site External Audit
Category 1	5	Implemented	Implemented	Yes	Yes (Headquarters and Jobsite)
Category 2	3	On Paper	On Paper	Yes	Yes (Headquarters Only)
Category 3	2	No	No	Yes	No audit required

## IV. Evaluation Checklist

This is a list and description of all items of required information for QP 9 certification. Following each item is a statement telling you whether it is a **critical item**.

Documentation explaining each item must be submitted with your initial application. **All non-public information submitted is treated as confidential.**

- 1. Mission Statement:** It must contain specific declarations regarding quality workmanship, safety and health of your workers, environmental protection commitments and practices statements. It must be on company letterhead, signed and dated by the President or CEO and posted at the office and job sites.
- 2. Procedures for Disseminating Company Policies within the Organization:** Show that management has implemented procedures to disseminate all policies to workers (e.g., employee manual or handbook, new employee orientation, workforce conferences) under its direction.
- 3. Organization Chart:** Provide a diagram that shows lines of authority and responsibility of key personnel, by name and title. The organization chart must

clearly show key positions (e.g., Environmental/Health/Safety (EHS) Officer, QCS, Production Manager). Key personnel must be full time employees of the Contractor and the Chart must be signed and dated by current executive management. Companies with diverse operations must clearly show through the organization chart, the separation between Commercial painting operations and other work (e.g. industrial or residential painting) performed by the company. It is understood that in some companies a person may wear several hats.

4. Job Descriptions: For key personnel (e.g., management, quality control, and safety personnel) provide job descriptions that clearly state their responsibilities and duties. Include their work experience, required licenses, and required certifications. Licenses and certifications must be current.
5. Financial Record Keeping: Documentation (e.g. current letter from a CPA firm) must show that a formal accounting system is in place. Also show that your company has a strong Accounts Payable record and is in good financial shape (e.g. line of credit; D & B report).
6. Legal Viability Documentation: Note: Concerning Reporting of Financial Information to SSPC: Contractors may “white out” sensitive financial information. SSPC’s interest in reviewing financial documents is limited to verifying legal identification, insurance coverage, and the fact that the applicant follows accepted accounting practices. The specific financial information contained on such documents is beyond the scope of the SSPC audit and as such has no bearing on the outcome of the audit.

Demonstrate the following:

- 1) Tax returns are filed in a timely manner
  - 2) Company holds current and valid worker compensation insurance, General Liability insurance, vehicle insurance and other insurance required to do business
  - 3) Company holds current business licenses for locales where it operates
  - 4) Appropriate ownership/incorporation papers have been filed with the correct governmental agency
  - 5) Copy of IRS Federal Tax I.D. statement issued to your company is on file
  - 6) Employee eligibility verifications, vehicle registration, building permits are current
7. Procedures for Reviewing Specifications and Other Bidding Documentation: Demonstrate that there’s a procedure in place, either a checklist or other documentation, that shows that management reviews specifications and inquiry documents, (e.g. project documentation log).

**8. Procedures for Complying with Regulations (CRITICAL ITEM)**

- Show that a key person is designated (in writing) to keep abreast of and inform key personnel of regulations affecting the Contractor's operations. There is a history of this key person(s) performing these duties. Current versions of regulations applicable to specific projects are readily accessible by job site personnel. Versions of regulations applicable to general business operations are available at the main office and any division offices.
  - Show that management reviews regulatory violations issued to the company. Root cause analysis is done and corrective actions are taken to avoid repeat violations.
9. **Craft Worker Qualification (CRITICAL ITEM)**; Show that you have implemented a craft worker assessment program per (Appendix A) at the end of this document.
10. **Industry Group Affiliations**: Demonstrate that you have affiliation with organizations that provide information on architectural painting of commercial and institutional buildings and interiors.
11. **Technical Standards Library (CRITICAL ITEM)**: Show that 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.
12. **Document Control Procedures Provide for Recording of Specifications and Revisions (CRITICAL ITEM)**: Show that you record/log 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 active files and archived.
13. **Procedures for Clarifying Ambiguous Specifications (CRITICAL ITEM)**:
- Show through correspondence or other communication the documentation of exceptions to specifications or other clarifications such as omissions, errors, conflicting requirements, touch up vs. repair, color & sheen acceptance criteria.
  - Verification of follow up to requests are documented.
  - Requests to deviate from contract requirements (including technical or logistical justification) are documented as well as their approval or rejection.
14. **Communicating Contract & Technical Requirements (CRITICAL ITEM)**: Show that Pre-job and other specification altering meeting notes are formally documented and available as part of the contract document package. 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).

15. **Work Experience:** Submit a representative list of current and recently completed commercial painting jobs (previous 12-18 months) showing your company's capability to perform work at the level of certification sought. The documentation shall include:
- Building owner name, address, including zip code, telephone and fax number; owner's and GC's representative overseeing your field operations.
  - Duration of project (start-finish date)
  - Description of work performed
  - Architectural paints applied/thinners used and approximate quantities
  - Equipment used for surface preparation and coating application
  - Numbers of personnel and type used to do the work; names of project manager and field supervisors
  - Special safety (e.g., protection from lead; working at heights; ventilation) practices
  - Provide documentation (e.g. letters of reference from customers and suppliers; approved punch lists) supporting successful completion of these and other projects
16. **Maintenance and Repair of Equipment:** Show that your company has a system for making and documenting repairs to equipment and vehicles that limit disruption to production. Show that you follow a written preventive maintenance plan and/or copies of manufacturer's maintenance manual and repair intervals for major equipment. Show through maintenance records; service/repair invoices, etc.) that maintenance schedules are followed. Show that defective and out-of-service equipment is removed from the active inventory.
17. **Storage Facilities (CRITICAL ITEM):** Contractor maintains proper storage of paints and coatings per manufacturer's and/or specification requirements as well as insurance and code requirements. At a minimum:
- Material is properly handled and stored per federal, state, and local regulations (Provide copies of fire marshal, insurance company, safety consultant audits, OSHA audits).
  - Flammable materials are in approved containers
  - Storage temperatures are maintained.
  - Paints and solvents are properly covered and out of direct sunlight
  - 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.
18. **Process Control Procedures (CRITICAL ITEM):** Contractor has written process control procedures for all work processes (Surface Preparation; Application, repairs & touch up, etc.) that its production crews follow to ensure conforming work. Examples include:

- Surface Preparation of Drywall, Concrete, Wood, Metal, Steel
- Brush, Spray and Roll
- Touch Up & Repair Procedures

**19. (Categories 1 & 2 only.) Personnel Qualifications/Q.C. Supervisor (CRITICAL ITEM):**

- 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.<sup>1</sup>
- There is evidence that the designated person performs duties of Quality Control Supervisor.<sup>2</sup>

**20. (Categories 1 & 2 only.) Paint Inspectors (CRITICAL ITEM):** Contractor employs the services of a Paint Inspector(s):

- Contactor has evidence that all inspections are performed by a qualified Paint Inspector and results are reported, as required, per contract documents.<sup>3</sup>
- Paint Inspectors shall have a minimum of one year experience in the architectural painting and coating business.
- Paint Inspectors have documented proof of successful completion of architectural paint and coating inspection training.
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**21. Authority of QC Personnel (CRITICAL ITEM):**

- There is written authority for the Q.C. Supervisor and Paint Inspectors to report directly to management, and to stop nonconforming work and inform the production supervisor of required corrective rework.
- This authority may be written in a site-specific plan or job description or authorized letter or company plan.

***Note: Contractor may choose to delegate this authority to someone other than the inspector if he so chooses, provided that person has the authority to direct production crews to take corrective actions to meet specification requirements***

**22. Corrective Action Program: Identifying Non-conforming Work – performing rework and verifying that rework is conforming (CRITICAL ITEM):** There are procedures for checking for non-conforming work and

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<sup>1</sup> A training program (in-house, supplier, consultant) equivalent to the Masters Painters Institute is acceptable.

<sup>2</sup> The QCS can also be the inspector for a specific project.

<sup>3</sup> Unless 3rd party inspection is required, the inspector is provided by the contractor.

stopping work, if necessary, and correcting the work. There is evidence that these procedures are used by on-site Q.C. Personnel when necessary as follows:

- Nonconforming work is documented
- Root cause of problem is noted and documented
- Inspectors notify production supervisors of non-conforming work and identify re-work requirements, if applicable
- Non-conformities and required corrective actions are routinely recorded by paint inspectors.
- There is evidence that re-work inspections are performed and rework is accepted by QC.

**23. Documentation of Paint Inspection (CRITICAL ITEM):** Written inspection results of tests are maintained for each project. Inspection results are recorded on a daily basis during painting operations. Check which tests are recorded: Reports shall contain (as applicable) the following:

- Detergent/Cleaning agents used
- Repair materials used
- Surface conditions & temperature
- Ambient conditions (air temperature and RH @ start & in process)
- Type and amount of paint used
- Thinner used and amount
- Type of mixing done
- Tinting or custom colors
- Type of Application
- (Spray-pressure and tip size) (Brush size & type)
- (Roller-size and type)
- WFT measurements
- Mixing (box, stir, mechanical)
- Moisture transmission levels
- Damages and source

**Note (1) : Jobs will have varied requirements. Contractor must document objective evidence of compliance with job specifications and Product Data Sheets**

**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.**

**Note (3): Punch lists, daily foreman logs, etc., may serve to record visual and instrument inspections.**

**24. Calibration Standards—Checking Accuracy of Inspection Instruments (CRITICAL ITEM):** Show that calibration standards exist for use by Quality Control personnel on site for instruments used. Show that inspection equipment

used for QC on site is operational and checked for accuracy before use. Show that records of calibration/accuracy checks of inspection equipment used on site are maintained.

**Note: Instrument use for inspection of applied architectural coatings is limited to specialty applications. Visual inspection may be adequate in many cases.**

25. **Customer Complaints-Receipt and Resolution (CRITICAL ITEM):** Describe your process for documenting receipt and resolution of external customer complaints regarding work quality. Show how management is fully engaged in this process
26. Preventive Action Program (PA).
- Provide a copy of your Quality System manual
  - Corrective (CA)(see item #21 above) and Preventive Action (PA) Programs are implemented and supported by Executive Management
  - (PA) Show how 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
27. **Safety Program and Documentation of Safety Education, Meetings, and Other Safety-Related Activity (CRITICAL ITEM):** Provide a copy of your written Safety & Health compliance program based on current OSHA or equivalent standards applicable to your operation.

At a minimum, the program should address applicable portions of the following topics and others as needed:

- 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
- Drug Testing Policies
- Mold & Mildew

28. Pre-job Safety & Health Hazard Analysis (JSA): 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 corporate safety officer or designated safety professional for each job/phase activity during the pre-job hazard analysis.
29. Accident Reporting: Describe your accident reporting procedure. Accident reports should address, at a minimum:
- what happened
  - to whom
  - where it happened
  - how it happened
  - root cause
  - immediate follow-up actions to prevent recurrence

Show 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.

30. Monitoring Safety and Loss Control: Show how company owners or managers review safety performance at least annually or after a major incident or near miss.
- Provide OSHA incidence rates and their comparison with industry norms (N/EA x 200,000).
  - Provide copy of current Workers' compensation experience rating (EMR).
  -
31. **SOPs for Major Equipment. Written Safe Operating Procedures (SOP's) for major equipment are available at job site. (Pressurized equipment) (CRITICAL ITEM):**
- Provide copies of these procedures and show that they have been approved by management and the company safety director or consultant.
  - Show that these procedures incorporate equipment manufacturers' recommendations for safe operation.
32. **Personal Protective Equipment and Respiratory Protection (CRITICAL ITEM):**
- Provide a copy of your written respiratory protection program based on OSHA 1910.134 or equivalent regulation or standard.
  - Provide copies of your written procedures for issuing and use of other personal protective equipment (PPE) such as protective clothing for skin protection, devices for eye protection, devices for hearing protection, foot protection and head protection.

**33. Environmental Compliance (CRITICAL ITEM).**

- Submit a copy of your written environmental compliance program that addresses how your company handles and properly disposes of hazardous and non hazardous materials (e.g. solvent, paint cans).
- Describe your company’s knowledge of U.S. Green Building Standards (Leed) and how they apply to your company’s commercial painting operations.

**V. QP-9 Fee Schedule (In U.S. Funds) Effective December 15, 2008**

<b>Admin Fee</b>	<b>Sustaining Member</b>	<b>Patron Member</b>	<b>Non-Member</b>
QP 9 Administrative Fee	\$2,100	\$2,400	\$2,700
QP 9 Anticipated Audit Deposit (US/Canada/Mexico)	\$2,100	\$2,400	\$2,700
QP 9 Anticipated Audit Deposit (Outside North America)	\$3,100	\$3,400	\$3,700
QP 9 Corrective Action Verification	\$300	\$550	\$800

The annual administrative fee plus deposit for audit expenses must accompany the application for certification.

Example: If you are applying for initial QP 9 certification and you are a SSPC patron member, submit \$4,800 (\$2,400 Administrative Fee + \$2,400 Anticipated Audit Expense).

- If your audit expenses are less than the deposit you submit, SSPC will refund the difference. If expenses are higher, SSPC will bill you for additional expenses.
- Fees must be paid in advance of the audit. Certification will be withheld until all post-audit expenses are paid. Post audit fees for QP 9 deficiency audits or additional audit expenses are payable when due. Failure to pay these fees in a timely manner can result in a six-month suspension from the program and public notification of the suspension. If fees are still not paid after the suspension, the contractor will be decertified.
- Note: The fees cover the cost of staff time to review and process your application package and submittals, and fees and expenses for the on site evaluation, and associated overhead costs required to operate the PCCP. Program fees are non-refundable regardless of the results of the evaluation. SSPC will withhold \$500 for application processing expenses if a firm decides to withdraw its application prior to scheduling of the field evaluation.
- “Non-responsive” and “inactive” applications will be returned to the applicant, less a \$500 non-refundable administrative processing fee after six months of inactive status.

## **VI. Submittal Procedure**

To avoid delay and/or confusion, gather and submit application package materials as follows:

1. Type or clearly print all entries on the application form.
2. Be certain all items on the form are answered completely and accurately.
3. Send the original and one copy of the application package to SSPC. Keep a copy on hand for your use at the on-site audit.
4. Clearly identify the submittal items included with the application. Secure all pages to minimize chances of loss or separation. Organize submittal items in the order listed in Section IV.
5. Determine and send the non-refundable certification fee/deposit using the fee schedule described in Item VI. Make check payable to: SSPC Painting Contractor Certification Program.
6. Mail the entire application package to:  
US MAIL & DELIVERY SERVICE ADDRESS  
SSPC: The Society for Protective Coatings/ ATTN: Certification Manager  
40 24<sup>th</sup> Street – 6<sup>th</sup> Floor  
Pittsburgh, PA 15222

## **VII. Evaluation Process**

Evaluation of your firm is performed in conformity with the current version of SSPC-QP 9: Standard for Evaluating Qualifications of Painting Contractors Who Apply Architectural Paints and Coatings and the QP 9 audit evaluation checklist. The audit evaluation checklist is available on the SSPC web site, [www.sspc.org](http://www.sspc.org).

The application package (e.g. application form, written submittals, certification fee) is received by SSPC. Upon acceptance of the application and submittals by SSPC, the application package is forwarded to the SSPC auditor to schedule the initial audit.

When a date or time frame has been selected for the office visit, mutually agreed upon, and confirmed in writing or verbally by you and the SSPC auditor, a program auditor will visit your office and job site(s) to perform the following: (As stated earlier, the job site visit may take place before or after the office visit and may be unannounced or done on short notice.)

- Confirm data submitted in the application package.
- Interview key supervisory personnel.  
Note: At least one active job site must be observed for the audit to be complete.
- Observe and rate company organization and operation (including field operations), using the standard program guidelines and rating procedures.
- Examine and rate equipment and facilities.
- Schedule Exit Interview

At the conclusion of the site visit, the auditor will schedule an exit interview with your supervisory or management personnel to review the audit and point out items (i.e. Major Deficiencies) that were scored less than 2 and items scored 2 (Minor Deficiencies). If there are any deficiencies or corrective actions, the auditor will fill out a deficiency schedule for your representative to sign at the conclusion of the audit. Your representative's signature does not connote agreement with the results. It only confirms that you have been made aware of the results. Refusal to sign the deficiency schedules results in denial of certification.

If you choose to appeal the audit findings, you must notify the SSPC Certification Manager, in writing, within 10 working days of the Exit Interview.

### **A. Cancellation of Audit Policy**

After the on-site office audit date has been selected, mutually agreed upon by both you and SSPC, and confirmed in writing or verbally, if you either cancel the audit, request a change in that date or fail to make the job site selected by SSPC available for auditing, you will be responsible for any expenses incurred by SSPC as a result of the cancellation or rescheduling.

## **B. Critical Item Provision**

The QP9 critical item provision identifies 19 (of the 33 total) evaluation items program auditors use to evaluate contractors for certification. SSPC has deemed these 19 critical to the annual certification maintenance of a contractor. The provision requires the contractor to score a minimum of two (2) on a scale of 1 to 3, on all 19 critical evaluation items or certification can be withheld.

The PCCP provides a 90 day-period for applicants who have not attained an adequate score to: make corrections in the deficient areas, submit a written corrective action plan to change system procedures, and ask for a reevaluation. That same 90-day period is available to program members unable to achieve the required minimum score on all 19 critical evaluation items during annual on site maintenance or follow up evaluations.

For initial applicants, SSPC can withhold certification until: corrections are made, required procedures are put in place, and the passing score (2 or 3) is achieved during any follow up on site evaluation.

For program members unable to achieve the required score during an annual on site maintenance evaluation (which consists of an evaluation of all 19 critical items), SSPC will provide the member 90 days to submit a corrective action plan and request any required follow up evaluation.

If a program member is deficient in no more than 2 critical items upon completion of the annual maintenance evaluation, SSPC will extend certification status until the follow up evaluation is completed, pending acceptance by SSPC of a written corrective action plan. If the program member is deficient in more than 2 critical items, SSPC can suspend certification status for up to six months, pending receipt and acceptance of a written corrective actions and any required verification through a follow up audit. If submission of a required CAP is not received (or post-marked) by the established deadline, QP 9 certification can be revoked. If a stay is granted and a required corrective action is requested a second time and still not provided by this second established deadline (verified by any required follow-up audit deadline), SSPC will decertify your firm.

***Note: Refer to the Special Provisions section for information regarding Joint Ventures and Auditing.***

### **C. Critical Evaluation Items (19 total)**

- Procedures for securing and evaluating applicable regulations (Item 8)
- Qualifications of quality control supervisor (Item 19 )
- Assessment of craft workers (Item 9)
- Availability of technical standards (Item 11)
- Recording of job specifications and revisions (Item 12)
- Procedures for clarifying ambiguous specifications (Item 13)
- Procedures to communicate contract and technical requirements (Item 14)
- Storage Facilities (Item 17)
- Qualifications of quality control inspectors (Item 20)
- Written authority of quality control personnel (Item 21)
- Corrective Action Plan (Item 22 )
- Documentation of inspection results (Item 23)
- Availability of inspection equipment and calibration verification standards (Item 24)
- Procedures for proper surface preparation and coating application (Item 18)
- Processing and follow up of customer complaints (Item 25)
- Written corporate worker safety and health program (Item 27)
- Safety procedures for specialized equipment (Item 31 )
- Availability and use of personal protective equipment (Item 32 )
- Environmental Compliance program (Item 33)

### **D. Determination of Status**

At the conclusion of the evaluation process described in Part IV, the SSPC designated Program Auditor will report audit findings to the SSPC Certification Manager. The SSPC Program Administrator will make the final decision regarding your status. Those decisions are either:

- Confer Certification: Your company achieved required scores in the four function areas and scored 2 or better on all Nineteen Critical Items.
- Deny Qualification: Your firm has not attained the scores adequate to achieve SSPC-QP-9 certification. You then have 90 days after written notification of audit results to submit an acceptable corrective action plan to address deficiencies and request that SSPC re-evaluate to verify implementation of your corrective action plan.

### **E. Appeals Procedure**

- (1) During the exit interview, the auditor will explain the deficiencies cited during the evaluation. If you dispute the results of the audit you may appeal, using the steps of recourse listed in 2 below.
- (2) You must notify the SSPC Certification Manager in writing within 10 working days after the exit interview, specifically identifying those items you dispute, and why you dispute them.
- (3) If step 2 cannot resolve the dispute, SSPC reserves the right to suspend or revoke your certification based on unsatisfactory audit findings. You may however arrange with SSPC to have a second audit at your expense (using a

different SSPC auditor if requested) to evaluate items in contention. The second evaluation may be announced or unannounced, at SSPC's discretion.

- (4) In the event the foregoing step (#3) fails to resolve the dispute, an arbitration panel set up in accordance with SSPC DAC arbitration procedures will hear evidence and make a final decision. If the arbitration panel finds for you, the contractor, the cost of all fees and expenses of the arbitration will be shared equally by your company and SSPC. If the arbitration panel finds against you, your company is responsible for payment of all arbitration fees and expenses.

An annual internal audit will be required in each in each year of certification after initial certification. SSPC will supply an internal audit form, which you can use to perform your internal audits.

Customers will be given an opportunity to comment directly to SSPC at any time on your company's performance. All replies will be treated as confidential and may be used only as a component in determining certification reconfirmation or verification of critical faults under the DAC.

Failure to pass the aforementioned annual or unannounced follow-up audits will result in suspension of your company's certification status. See Item H, "Maintenance Applications" for specific rules governing maintenance of QP 9 certification status after initial certification.

**IMPORTANT:** Failure to cooperate with the program auditor or SSPC Certification Manager, or failure to provide access to data, personnel or on site premises, shall be sufficient cause for denial, suspension or revocation of your firm's certification status at the Program Administrator's discretion.

## VIII. Maintenance Applications

The SSPC QP 9 certification term is three years. To assure that your operations remain in compliance with certification standards during that period, the program requires that SSPC evaluate your firm at least once in each of the second and third years of the term. The evaluation may be announced or unannounced. Additional audits may be performed at SSPC's discretion, at no cost to the program member. To maintain uninterrupted certification status, you must reapply for certification annually. You must submit a maintenance application, a signed internal audit report completion statement, list of applicable (i.e. complex industrial structure) work in progress and completed since the last evaluation, current safety information and maintenance fee by the January 15 due date. The necessary forms and applications can be found on SSPC Online at [www.sspc.org](http://www.sspc.org). Click "certification" and follow the appropriate links.

SSPC will make every effort to send you a letter approximately 60 days before the January 15 submittal due date as a reminder to reapply. If you fail to reapply when your submittal is due, your company's certification will expire and your firm will be decertified. SSPC will send a letter to any contractor who has failed to reapply as a reminder that certification has expired. Note: You are responsible for ensuring that SSPC has your current mailing address, phone and fax numbers, etc. Failure to receive a reminder letter from SSPC does not relieve you of your responsibility to submit your renewal application when due.

Once you have reapplied, the annual evaluation (complex industrial structure job site and possibly office visit) must take place within the calendar year or your certification will expire. Note: Job records for projects reported in the annual submittal and those for which SSPC is aware of are subject to review during a maintenance audit and should be available if the auditor asks for them. Note that it is mandatory to show the auditor an active job site during the annual audit. If you have active work and have not been audited prior September 1, you are obligated to inform SSPC so the audit can be conducted to avoid a situation where you have no work to show for the annual audit. Contractors who have no active work face loss of certification.

**Important Note:** Contractors who fail two consecutive certification maintenance / annual audits at any time while certified (corrective action verification audits following a failed audit are not considered maintenance / annual audits) will be suspended from the program for 12 months following failure of the second audit. Audit failure is defined as = Three or more Critical Item (Major) Deficiencies. (Additional notes found in the Special Provisions Section, Item G)

Contractors who fail the annual maintenance evaluation will be given 90 days after notification of audit results to submit a Corrective Action Plan and request that SSPC re-evaluate. SSPC reserves the right to withhold certification from firms who fail a maintenance or follow-up evaluation until a Corrective Action Plan (CAP) is submitted and accepted by SSPC. [SSPC may opt, in certain cases, to extend the company's

certification status following acceptance of a CAP for a limited period subject to certain conditions.]

Contractors placed on suspension for failing a maintenance audit during their certification term will be formally notified in writing (e.g. by letter or email) of the suspension.

1. The contractor is given 90 days from notification to make corrections and submit an acceptable corrective action plan and be re-audited,
2. The contractor is asked to return original certificates, and
3. The contractor is asked not to present itself as a QP certified contractor during the suspension period

During a suspension period the contractor's name will be removed from SSPC's web site list of QP certified contractors:

<http://www.sspc.org/certification/PCCP/PCCPforms.html>.

Contractors will be formally notified in writing when a suspension is lifted, valid certificates will be reissued, and the contractor's name will be added back to the web site list of QP certified contractors.

## **IX. Special Provisions**

### **A. Major Changes in a Company's Organization**

SSPC certified contracting firms are required to notify the SSPC Certification Manager or Program Administrator in writing within 30 days of any major organizational or name change. Examples of a major change include, but are not limited to, the following:

- change in ownership
- partnership/joint venture arrangement- or change in existing partnership status
- change in executive management (e.g. President, CEO; General Manager)
- declaration of bankruptcy
- incorporation or change in corporate status
- name change
- becoming a subsidiary
- change to sole proprietorship
- Relocation of main or branch business offices or opening of new branch offices

The notification shall include the following information:

- specific details about changes
- revised organizational and responsibility chart
- effective dates of change
- names of officers of reorganized company
- any change in tax identification/EIN number, federal or state. (Submit statement from IRS or Secretary of your state assigning new Tax I.D./EIN.)

**Note:** If a company changes federal or state tax I.D. numbers or is incorporated in a new state, it will automatically have to reapply as a new company. If it is a

simple change of name (i.e., John R. Doe Co., Inc., to J.R. Doe, Inc., or a change in location) incorporated in the same state with the same tax I.D. numbers, a simple transfer of certification can be authorized after review by the Program Administrator.

SSPC will subsequently schedule a special audit, at the contracting firm's expense, within 60 days of notification. SSPC will also schedule another audit, at the contracting firm's expense, within 6 months after the special (first) audit to verify that the reorganized company is in fact maintaining the standards of the program. If the company does not pass the 6-month audit, certification will be rescinded.

No transfer of certification status to a new company will be approved until the company provides SSPC with any required or requested information and passes the special (first) audit.

Failure to notify the program administrator of any major changes within the required time period can result in an automatic 6-month suspension.

A company, which has changed its name or has otherwise reorganized must certify in writing that it will assume responsibility for any disciplinary actions or violations of federal, state and local regulations. In addition, any violations of the SSPC PCCP program (e.g. written complaints from owners or critical faults) by the firm under its original name will be considered as part of the record of the firm under its new name. A company submitting a change of organizational status can request that SSPC waive the requirement for a special (first) audit before approving any transfer. SSPC will evaluate each request and may waive the requirement at its own discretion. Requests to have the audit waived must be submitted at the time of notification of the organizational change.

### **B. Suspension for Non-Payment of Fees**

Failure to pay all fees in a timely manner will result in a six-month suspension from the program and public notification of the suspension. SSPC will notify a firm of its suspension if it fails to respond within (3) three business days to the final (second) notice of non-payment. SSPC will also withhold issuing certification for initial and annual renewal applicants who pass the evaluation but still have fees due.

### **C. Formal Complaint Procedure**

Any authorized representative of an owner who hires a QP 9 certified painting contractor can file a formal complaint against the contractor if the representative has information that the contracting firm does not practice QP 9 certification procedures. The contractor may respond to the complaint by submitting information supporting its position to SSPC.

### **D. Subcontracting Work**

SSPC certified contractors are responsible for the actions of subcontractors, to ensure they perform in accordance with PCCP requirements. Contracted tasks include (but

are not to be limited to) environmental monitoring and testing; personal monitoring; medical surveillance; cleaning, surface preparation and painting; erecting and moving containment and scaffolding; and equipment maintenance.

The contractor will control its subcontracting process to ensure that its subcontractors conform to PCCP quality management requirements. The contractor shall evaluate and select subcontractors based on their ability to provide products/service in accordance with the contract and PCCP quality management requirements.

Purchasing documents sent to the subcontractor shall specify information describing the product or service being purchased. The contractor shall ensure that specified requirements are adequately defined in the purchasing documents prior to their release to subcontractors. Subcontractors must also be notified by you, the certified contractor, that SSPC holds the right to audit their surface preparation and coating application operations.

In all circumstances, SSPC certified contractors should hire only SSPC certified subcontractors for surface preparation and coating application work. SSPC certified contractors MUST hire SSPC certified contractors as required by the facility owner. SSPC realizes that there are circumstances when you are hired because of your credentials as an SSPC certified contractor and yet are required to hire painting subcontractors, as part of your contract, that may not be certified (e.g., minority or set aside contracts). In cases when you do hire non-certified sub-contractors to fulfill a contract obligation which cannot practically (or reasonably) be met by the contractor or other PCCP certified subcontractor, you will need a written waiver of the QP requirement for the subcontractor from the facility owner or contract administrator. Regardless of the subcontractor's certification status, you are still responsible for the actions of those subcontractors to ensure they perform in accordance with your QP quality programs.

All subcontractors hired by SSPC certified contractors must be formally approved in writing by the facility owner or its official representative. Failure to comply will result in issuance of a "SEVERE" critical fault under the DAC.

If a certified contractor's job site is audited and one or more of the painting subcontractors performing surface preparation and coating application work at that job site are not in compliance with QP requirements, SSPC will issue the certified contractor a warning for violations of the PCCP Subcontracting Special Provision. A second incident will result in an automatic 12-month suspension from the certification program.

SSPC certified contractors who hire non-certified contractors even though the facility owner, general contractor or specifying engineer specifically call out in their contract or general notice to contractors that all cleaning and painting subcontractors must be SSPC certified, will be subject to disciplinary action (e.g. deliberate violation of

specification requirements – a “severe” violation resulting in suspension) under the Disciplinary Action Criteria (DAC).

If a certified contractor utilizes another contractor’s workers (e.g. applicators, blasters, helpers, tenders, quality control inspectors, competent persons, etc.) and these workers are paid by another entity (regardless of whether they are under your direct supervision), the workers are considered to be subcontracted from the other entity. If the contract calls for a QP 9 contractor, the other entity must also be certified or it is considered a violation of the DAC.

If a certified contractor is borrowing, leasing, renting, etc., workers, and those workers are on the certified contractor’s payroll, and under the certified contractor’s direct supervision, the workers are considered employees of the certified company.

Complaints concerning SSPC certified contractors allegedly violating subcontracting practices described above will be investigated by SSPC and may result in an unscheduled audit of job records and/or job site.

#### **E. Joint Ventures and Auditing**

When SSPC audits a project being done by one or more QP certified firms as a Joint Venture (JV), the audit counts as an audit for all the QP certified companies involved in the JV. That is, if the audit is successful, all the JV QP companies audited share in the success. If the audit is not successful, the audit is unsuccessful for all QP firms involved. In addition, SSPC reserves the right to audit a non-JV project being done by one or more of the joint venture contractors.

#### **F. Reporting Work and Citation History on Application**

Contractors are responsible for the accuracy and completeness of reporting of regulatory citation history information submitted to SSPC when completing a certification application. Failure to accurately report this information on the application will delay the application or result in a disciplinary action or if the company’s already certified, will result in suspension of the firm’s certification.

#### **G. Administrative Suspension and Change of Company Name**

Change of company name, ownership or structure does not void a suspension issued by SSPC. Any company that is suspended for failing to meet QP audit standards, SSPC administrative policy, or any other policy related to QP certification is restricted from reapplying for certification as a newly formed, merged, or renamed company. Recertification in any form is prohibited for the stated duration of the suspension. Once the suspension period has lapsed, any suspension history and records will be transferred to the new business.

Any representative of the management, including but not limited to an officer, director, superintendent, quality control supervisor, safety director, general manager, or stockholder, or any person who exercises directly or indirectly, including through an intermediary person, any degree of ownership, management or control of the suspended contracting firm, who forms or purchases a new company or who exercises any management or control of a new, existing, or purchased company, or who exercises any degree of ownership of a new, existing, or purchased company, renders the new, existing, or purchased company ineligible for certification while any suspension of the company the person was associated with, is in effect. The intent is to prevent management, or other key individuals associated with the suspended firm from forming or purchasing a new company, or exercising any control over an existing affiliated company (such as through an intermediary person) to avoid the consequences of a PCCP suspension.

A suspended contractor may re-enter the program when the suspension period has lapsed and the conditions for reinstatement have been met. A newly formed, merged, renamed, or otherwise reorganized company must submit an application and follow all procedures for QP certification.

**Note:** For purposes of this document, affiliated company is defined as: “A company, corporation, partnership, joint venture, or other business entity operating under a different name than the certified firm, which performs surface preparation or coating application or administrative and other support functions for the certified company; and in which an officer, director, owner, partner or stockholder of the certified firm, a previously certified firm disciplined by SSPC, or the certified firm itself, exercises directly or indirectly (such as through an intermediary person or family member) any significant degree of ownership, management or control.”

## **X. Definitions and Explanations**

### **A. Definition of Terms**

**Architectural Coatings:** paints and coatings applied on-site to new and existing commercial, institutional and industrial buildings.

**Auditor:** The person or persons technically qualified to perform audits of a contractor’s management structure; organization structure; personnel, technical capability; quality management system; and safety, health and environmental compliance programs on behalf of the Qualifying Agency and report findings to the Qualifying Agency’s audit program manager

**Customer:** Entity (e.g., the building owner, developer, property manager or leasing agent, general contractor, or architect/designer) having the agreement with the painting contractor for architectural coating application.

**Owner:** The owner (or owner’s legal representative) of the building/structure/ facility to be painted.

**Procedure:** The sequence of steps taken to carry out a particular course of action.

**Qualification:** The objective evidence by which written assurance is given that an applicant conforms to the prescribed set of conditions or requirements of this procedure.

**Qualifying Agency:** The organization responsible for development, maintenance, sponsorship, and operation of a program to ensure uniform compliance with the provisions of this procedure.

## B. Scoring

Your company is judged on its total score, which is derived by multiplying Response Ratings for each evaluation item by the Assigned Value for that item, and totaling the resulting weighted response ratings for all evaluation items.

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

<u>Rating</u>	<u>Interpretations (Definition)</u>
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)

## **Section XII: QP 9 Appendix A**

### **A. GENERAL DESCRIPTION**

In order to meet the requirements of QP 9 section 3.2.1(a)(b), the contractor must document implementation of the program to:

- (1) Assess the skills and general training needs of newly hired craft workers\* and qualify them for their assigned tasks;
- (2) Verify the qualifications of existing craft workers;
- (3) Train inexperienced craft workers (trainees) as necessary
- (4) Evaluate the performance of craft workers at least once per calendar year and provide additional training as necessary
- (5) Ensure compliance with contract specific worker training/qualification requirements

\*A craft worker is one who performs surface preparation and/or applies architectural paints and coating materials

### **B. CONTENTS OF THE PROGRAM - GENERAL TRAINING AND QUALIFICATION REQUIREMENTS**

#### **NEWLY HIRED EXPERIENCED CRAFT WORKERS**

The program must contain provisions to administer written tests and/or a hands-on evaluation to assess the skills of new hires that claim to have previous experience, or verify previous qualifications through a formal training or qualification program

- (1) When written tests are used, they shall include information that the contractor determines to be necessary to verify the general knowledge of the trade and the qualifications of the individual tested to perform work assigned. While it is left to the contractor to create or use the test that works best for its business, the contractor must show that the questions and answers are based on training materials, or standards or publications developed by PDCA, the IUPAT or its affiliates; NCCER or materials developed by another organization, that are acceptable to SSPC.
- (2) Spray painters shall be qualified per the contractor's Quality Control Procedures Manual using industry accepted qualification procedures from one or more of the sources listed in B. (1) above.
- (3) Craft workers previously trained or qualified by your company who have been laid off or who have left to work for another contractor, only to return to work for your company within a two year period need not be re-qualified to update your assessment of their skills.

## **TRAINEES**

General training for trainees - shall be based on training materials developed by PDCA, the IUPAT or its affiliates; NCCER or equivalent materials, acceptable to SSPC.

## **C. QUALIFICATION TO APPLY SPECIFIC MATERIAL AND USE NEW EQUIPMENT**

The program must contain procedures to qualify craft workers to apply paint or coatings or use equipment unfamiliar to the craft worker. The program must also document that those workers have been qualified/trained.

## **D. SUPERVISOR**

Each contractor shall designate a "Supervisor" to be responsible for implementation of the company's craft worker training and qualification program and monitoring its effective use in the field.

The "Supervisor" shall have sufficient technical knowledge and documented training in the use of specific paints and coatings and equipment.

## **ANNUAL PERFORMANCE EVALUATION**

The contractor must have implemented procedures and documentation to show that his/her production supervisor evaluates and documents each craft worker's performance at least annually. Annual performance evaluation is a "major" critical item deficiency (see audit item number 9).

**QCS Formal Training Course (SSPC QCS or equivalent):** 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