



**QP1 Audit Checklist**

**Revised 3/13**

**Contractor:** \_\_\_\_\_

**Jobsite Location:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Audit Performed By:** \_\_\_\_\_

**Date Completed:** \_\_\_\_\_

**Name/Title:** \_\_\_\_\_

**Email Address:** \_\_\_\_\_ **Fax** \_\_\_\_\_

**Phone Numbers: Mobile:** \_\_\_\_\_ **Office:** \_\_\_\_\_

**Recent Changes in Personnel**

**QCS:** \_\_\_\_\_

**EH & Safety Officer:** \_\_\_\_\_

**Production Manager:** \_\_\_\_\_

**Executive Management:** \_\_\_\_\_

**Superintendents:** \_\_\_\_\_

**Project Managers:** \_\_\_\_\_

**Other:** \_\_\_\_\_

**Changes in Ownership:** \_\_\_\_\_

<b>Audit and Initial Application Item Number:</b>	<b>Quality Procedure Reference Number:</b>	<b>Audit Criteria:</b>	<b>Rating (1, 2, 3)</b>	<b>Comments:</b>
1	3.1.1a.  Mission Statement	<ul style="list-style-type: none"> <li>• Must address the Company's commitment to: Quality Work, Compliance with applicable Environmental and Worker Health/Safety regulations during coating and related operations</li> <li>• Posted at office and job sites where workers can view.</li> <li>• On company letterhead (signed and dated within the previous 12 months by current member of executive management).</li> </ul>	<b>Rating (1, 2, 3)</b>	<b>Comments:</b>
2	3.1.1b.  Disseminating Company Policies	<ul style="list-style-type: none"> <li>• Procedures have been implemented to disseminate policies to all workers under its direction through an employee manual or handbook, new employee orientation materials, work force meetings or other methods).</li> <li>• Companies with informal policies must record employee orientation attendees, dates, topics covered and documents issued.</li> </ul>	<b>Rating (1, 2, 3)</b>	<b>Comments:</b>
3	3.1.2a.  Organizational Chart	<ul style="list-style-type: none"> <li>• Lines of responsibility of key personnel responsible for coating and related operations are shown by name and title and reflect actual company practice (key personnel must include owner managers or responsible executive, if not owner managed, production management, QCS, and EHS officer).</li> <li>• Key personnel must be full time employees of the organization (e.g. contractor, shipyard).</li> <li>• Must be signed, and dated by member of current executive management or posted on active company web site</li> </ul>	<b>Rating (1, 2, 3)</b>	<b>Comments:</b>
4	3.1.2b.  Job Descriptions for Key Personnel (includes management, quality control, and EHS)	<ul style="list-style-type: none"> <li>• Responsibilities and duties are clearly stated and current.</li> <li>• Required experience, licenses, certifications, training and refresher training for Project and Production Managers, QCS, EH&amp;S officer are stated and current.</li> </ul>	<b>Rating (1, 2, 3)</b>	<b>Comments:</b>

5	<p>3.1.3a. 3.1.3b.</p> <p>Financial Record-keeping</p>	<ul style="list-style-type: none"> <li>• A formal accounting system is in place using accepted accounting practices.</li> <li>• Current letter from CPA firm or accounting professional is on file confirming that the contractor's operating accounting system and procedures follow established accounting principles and procedures.</li> </ul>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>
6	<p>3.1.3c</p> <p>Contract Review</p>	<ul style="list-style-type: none"> <li>• There is evidence (documentation) that one or more members of management prior to production review project contract documents and specifications in effect at contract award.</li> </ul>	<p><b>Rating</b> <b>(1,2,3)</b></p>	<p><b>Comments:</b></p>
7	<p>3.1.3d</p> <p>Distribution of Specifications</p>	<ul style="list-style-type: none"> <li>• There is evidence that specifications are reviewed by one or more key personnel prior to start of production and subsequently distributed to all affected personnel within the organization</li> </ul>	<p><b>Rating</b> <b>(1,2,3)</b></p>	<p><b>Comments:</b></p>
8	<p>3.1.3e &amp; 3.4.1i</p> <p>Procedures for Learning About and Complying with Regulations (usually auditable at the office during "full" audits)</p> <p>&amp;</p> <p>Access to project-applicable regulations at the job site</p>	<ul style="list-style-type: none"> <li>• A key person is designated by management (in writing) to keep abreast of and inform key personnel of EPA, OSHA, DOL, Coast Guard, RR, Army Corps and other regulations affecting the Contractor's operations.</li> <li>• There is a history of a key person(s) performing these duties at least 6 months prior to the first audit and routinely thereafter.</li> <li>• Versions of regulations applicable to specific projects and general business operations are available at the main office and any division offices.</li> <li>• The contractor has copies of or immediate access to project-applicable EH &amp; S regulations at the job site</li> </ul>	<p><b>(Rating)</b> <b>(1,2,3)</b></p>	<p><b>Comments:</b></p>

<p>9.</p>	<p>3.1.3f.  Legal Viability  Subject to verification at all Initial Audits, and at Full, or Follow-up Audits, ,or after major reorganization or a change in ownership (at the discretion of the Auditor, Certification Manager or Program Administrator)</p>	<ul style="list-style-type: none"> <li>• Federal Tax returns are filed in the name of the company on the certification application in a timely manner.</li> <li>• Federal Tax ID/EIN Number statement issued by the IRS under the applicant's name is on file for review during the audit.</li> <li>• Company holds current and valid worker's compensation, general liability, and other insurance coverage required to conduct operations.</li> <li>• There is evidence that production workers are employed or properly leased by the company.</li> <li>• Firm holds current licenses for locales where it operates.</li> <li>• Appropriate ownership/incorporation papers under applicant's name are on file with proper authorities and available for review during the audit.</li> </ul> <p><b>Note to auditor-all items above are subject to verification for new applicants and those having undergone major organization or ownership changes after initial certification.</b></p>	<p><b>Rating (1, 2, 3)</b></p>	<p><b>Comments:</b></p>
<p>10.</p>	<p>3.1.3g.  Subcontracting &amp; Monitoring of Subcontractors Performance</p>	<ul style="list-style-type: none"> <li>• Coating subcontractors are selected based on their ability to meet contract requirements. Where QP 1 or other QP certification is required, subcontractors hold current certification(s).</li> <li>• There is evidence that subcontractor operations are closely monitored by key contractor personnel to ensure conformance with project-specific compliance programs and contract requirements.</li> </ul>	<p><b>Rating (1, 2, 3)</b></p>	<p><b>Comments:</b></p>
<p>11.</p>	<p>3.1.3h.  Regulatory Citations and related documentation (e.g. settlement agreements, final orders, affirmation of violations) <b><u>CRITICAL ITEM 1</u></b></p>	<ul style="list-style-type: none"> <li>• Records and fine amounts are kept of all federal, state and local regulatory citations, notices of non-compliance and violations issued to the contractor for coating and related operations, and their resolution.( Note by auditor: Affirmed violations/final orders/settlement agreements are documented by the auditor for referral to the SSPC Corporate Certification Specialist for potential disciplinary action review under the DAC.)</li> <li>• There is evidence that management reviews all significant (e.g. "serious, willful or repeat") regulatory citations, etc., and documents root cause analysis (RCA) for each and takes corrective action to avoid repeat violations</li> </ul>	<p><b>Rating (1,2,3,NR)</b></p>	<p><b>Comments:</b></p>



<p>13</p>	<p>3.2.2 a &amp; b.&amp; 3.3.2a</p> <p>Technical Resources &amp; Standards Library <b><u>CRITICAL ITEM 3</u></b></p>	<ul style="list-style-type: none"> <li>• There is evidence (e.g. current membership certificates or correspondence) that the contractor is affiliated with technical organizations such as SSPC in order to keep abreast of the latest technological advances and industry best practices.</li> <li>• Versions of project-specified technical standards, all PDS, and MSDS applicable to each project are at the job site or immediately accessible at the job site and available to craft workers, production supervisors, QC personnel and all other contractor personnel or subcontractors who have a need to know to effectively perform their tasks.</li> <li>• Contractor shall maintain a library (e.g., hardcopy, desktop, CD or on-line) at the home and division offices of current technical standards volumes applicable to its operations (e.g. API, ASTM, CIDs, IMO, ISO, MIL-Specs, NACE, NAVSEA Standard Items, SSPC, etc.) PDSs, and MSDSs.</li> </ul>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>
<p>14.</p>	<p>3.2.3a.</p> <p>Document Control: Procedures for Receipt of Revisions to Specifications &amp; Removal of Obsolete and Superseded Documents from the Active Project Files</p>	<ul style="list-style-type: none"> <li>• Contractor records receipt and distribution of specifications and other contract documents and all changes and revisions (record is kept of who gets copies with signatures of recipients and dates of receipt).</li> <li>• Superseded or obsolete documents are removed from the workplace are removed as active documents from the workplace so those performing the work, QC, and other key functions are working with the most current requirements.</li> </ul>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>
<p>15.</p>	<p>3.2.3b.</p> <p>Procedures for Clarifying Ambiguous Specifications <b><u>CRITICAL ITEM 4</u></b></p>	<ul style="list-style-type: none"> <li>• There is evidence of correspondence or other communication noting exceptions to specifications or other clarifications such as omissions, errors, and conflicting requirements.</li> <li>• Verify that acknowledgement of correspondence is on file showing that the clarification request was received and answered.</li> </ul> <p><b>Note: In isolated cases contractors will submit a request for clarification and receive a “verbal” response from the owner or its representative. Clarifications received through a “verbal” process should be documented by the contractor (name &amp; title of person responding and date / method of response). This approach still presents risks for the contractor.</b></p>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>

<p>16.</p>	<p>3.2.3b. and 3.2.3c.</p> <p>Communicating Contract and Technical Requirements</p> <p><b><u>CRITICAL ITEM 5</u></b></p>	<ul style="list-style-type: none"> <li>• Pre-job and other contract/specification altering meeting notes are formally documented and available at the job site as part of the contract information package</li> <li>• There is a procedure to show that current contract and technical requirements, including changes and clarifications, are formally delivered to key jobsite personnel in the field responsible for ensuring conformance with contract requirements.</li> <li>• Contract documents shall include all contract submittals submitted to the owner or prime contractor (e.g. containment drawings, environmental compliance plans) by the auditee</li> </ul>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>
<p>17.</p>	<p>3.2.3d</p> <p>Quality Control Programs</p> <p><b><u>CRITICAL ITEM 6</u></b></p>	<ul style="list-style-type: none"> <li>• The contractor has developed a written, Quality Control Program to be followed on all industrial painting projects.</li> <li>• Project-Specific QC plans are developed when determined by the QCS or required by contract.</li> </ul>	<p><b>Rating</b> <b>(1,2,3)</b></p>	<p><b>Comments:</b></p>
<p>18.</p>	<p>3.2.3e</p> <p>Work Plans/Process Control Procedures</p> <p><b><u>CRITICAL ITEM 7</u></b></p>	<ul style="list-style-type: none"> <li>• The contractor has developed written procedures for all production processes (excluding QC &amp; Safety which are addressed in separate Plans) used by its production crews. Examples of production processes include but are not limited to:                             <ul style="list-style-type: none"> <li>- Abrasive Blasting (dry or wet) &amp; related processes</li> <li>- Waterjetting &amp; related processes</li> <li>- Hand and Power Tool Cleaning &amp; related processes</li> <li>- Coating Mixing &amp; related processes</li> <li>- Coating Application (e.g. Brush, Roller, Spray, Mit) &amp; related processes</li> <li>- Topcoating Procedures (e.g., conditions when meeting and exceeding recoat windows)</li> <li>- Curing process for materials applied</li> <li>- Erecting, moving and tearing down containment</li> </ul> </li> </ul>	<p><b>Rating</b> <b>(1,2,3)</b></p>	<p><b>Comments:</b></p>



19.	3.2.4 a & b Experience, Facilities & Equipment  DAC Requirement Job notifications  <b>CRITICAL ITEM 8</b>	<ul style="list-style-type: none"> <li>• There is evidence that the contractor has successfully completed industrial/marine painting projects completed within the previous 18 calendar months or since its previous SSPC QP 1 audit</li> <li>• Initial applicants are required to submit a list of recently completed or in progress industrial/marine painting projects, that have been reviewed &amp; accepted by the SSPC Certification Manager as valid experience.</li> <li>• Acceptable evidence includes (but is not limited to):                             <ul style="list-style-type: none"> <li>- Copies of facility owner project performance evaluations</li> <li>- Letters of commendation from the owner or prime contractor</li> <li>- Statements of final payment</li> <li>- Punch list acceptance</li> </ul> </li> <li>• Job Notifications – there is evidence that currently certified firms have:                             <ul style="list-style-type: none"> <li>- Submitted JN's for eligible jobs completed or in progress since the company's previous QP 1 audit</li> <li>- Discovery of 1<sup>st</sup> omission – minor CAR – 2<sup>nd</sup> and subsequent omission – major finding</li> </ul> </li> </ul>	<b>Rating (1,2,3)</b>	<b>Comments:</b>

<p>20.</p>	<p>3.2.4 c, d &amp; e</p> <p><b>Required information</b> Reporting of: Defaults, Contract Terminations, Disbarments, Projects in Litigation, ADR or Arbitration, etc.</p> <p><b>While not a Critical Item per se, treat as a Critical Item by asking the appropriate questions during all audits conducted after initial certification</b></p>	<ul style="list-style-type: none"> <li>• Contractor is required to notify the SSPC Certification Manager and the Auditor (when asked during an audit) of any projects that the contractor has failed to complete or failed to complete satisfactorily, according to the facility owner.</li> <li>• The contractor is also obligated to report contract terminations, disbarments, disqualifications, etc., when asked by the auditor during the audit.</li> <li>• Provide any details re: above reported during the audit on the audit summary. Instruct contractor representative to submit detailed information to the Certification Manager of any reportable incidents.</li> </ul>	<p><b>Yes - Incidents to report</b></p> <p><b>No - (nothing to report)</b></p>	<p><b>Comments:</b></p>
<p>21</p>	<p>3.2.4f.</p> <p>Maintenance and Repair of Major Equipment</p>	<ul style="list-style-type: none"> <li>• Office Audit - Contractor has a written preventive maintenance plan or copies of manufacturer's maintenance manual for all major equipment, leased or owned.</li> <li>• Office Audit - There are maintenance records that document routine PM (Preventative Maintenance) and other required service and repair of major equipment used by the contractor or its subcontractors.</li> <li>• Field Audits – Equipment on site is in good operating condition &amp; appears to be well-maintained Document with photos where permitted.</li> </ul>	<p><b>Rating (1, 2, 3)</b></p>	<p><b>Comments:</b></p>

<p>22</p>	<p>3.3.1</p> <p>A) Quality Control Supervisor (QCS)</p> <p><b><u>CRITICAL ITEM 9</u></b></p>	<p>Qualifications (QCS)</p> <ul style="list-style-type: none"> <li>• A full time employee (verified by payroll records) is designated in writing by executive management by way of company documents (e.g. organization chart, QCS job description, or letter) as the Quality Control Supervisor (QCS) and given written authority to perform the duties of the QCS position.</li> </ul> <p>Training and Experience:</p> <p>A qualified QCS has:</p> <ul style="list-style-type: none"> <li>• Successfully completed the SSPC QCS course or equivalent training or grandfathering accepted by the Certification Manager in advance of the Audit.</li> <li>• Achieved and maintained (at a minimum) SSPC PCI Level 2 or BCI Level 2 or NACE CIP Level 2 Inspector Certification or equivalent third party certification approved by the SSPC Certification Manager prior to the audit.</li> <li>• At least 3 years of full-time field experience in Industrial/Marine Coatings field</li> <li>• Hold valid certifications and licenses where required</li> </ul> <p>Primary Duties and Responsibilities (QCS)</p> <ul style="list-style-type: none"> <li>• Ensure that contractor uses qualified personnel for QC</li> <li>• Ensure that proper inspection forms and recording procedures are used for job quality monitoring (QC)</li> <li>• Ensure correct and properly operating and calibrated equipment is used.</li> <li>• Review and sign off on DIRs on a timely basis (QCS must sign off or authorize review of DIR's by other competent QC personnel)</li> <li>• Ensure that work is inspected for conformance with contract requirements, good painting practice, and internal QC procedures.</li> <li>• Ensure that nonconforming work and rework is properly documented.</li> <li>• Develop and/or review Inspection and Test Plans.</li> <li>• Conduct and/or review Internal Audits.</li> <li>• Oversee company Corrective Action Program (e.g. respond to external CARs, issue internal CARs, document corrective action of QMS failures for management review.)</li> </ul>		<p><b>Comments:</b></p>
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23	3.3.1.2  B) Personnel Qualifications (Quality Control Inspectors)  <b><u>CRITICAL ITEM 10</u></b>	<p align="center"><b>Quality Control Inspector:</b></p> <ul style="list-style-type: none"> <li>• Formal training: Acceptable coating inspection training programs include at a minimum: SSPC (PCI, NBPI, BCI) Level 1, KTA Level 1, GPI (Level 1), NACE (CIP Level 1, Frosio) or equivalent formal in-house inspection training conforming with Appendix B and accepted by the Certification Manager prior to the audit - Curriculum for In-house training (IAW ASTM D3276), attendance sheets, written exams and scores are on file and available for review.</li> <li>• Each QC Inspector must have at least 2 years of full-time field experience in Industrial/Marine Coatings QC or related work.</li> <li>• When required by contract, all licenses and certifications must be valid and available for verification.</li> <li>• Visual acuity can be assessed by the Standard Jaeger Test Chart or equivalent and color perception by using the Ishihara Test or the Farnsworth D-15 Test</li> <li>• QC inspectors have written authority from the QCS to perform their jobs.</li> </ul> <p><b>Notes: QC personnel must have immediate access (on the jobsite) to all specification and/or contract referenced written and/or visual standards (e.g., SSPC, ASTM standards).</b></p>	<b>Rating (1, 2, 3)</b>	<b>Comments:</b>

<p>24</p>	<p>3.3.2b</p> <p>Daily Documentation of Surface Preparation and Coating Application QC Inspections</p> <p><b><u>CRITICAL ITEM 11</u></b></p>	<ul style="list-style-type: none"> <li>• Daily Inspection Reports (DIRs) and all results of related testing are maintained IAW project-specific QC plans and company procedures</li> <li>• At a minimum, DIRs and results of related testing are maintained on file for each project (during all surface preparation and coating application operations).</li> </ul> <p><b><i>DIRs and other daily reports must record project- relevant observations of:</i></b></p> <ul style="list-style-type: none"> <li>• Compressed air cleanliness</li> <li>• Air temperature (dry and wet bulb)</li> <li>• Relative humidity</li> <li>• Dew point</li> <li>• Substrate surface temperature</li> <li>• Abrasive cleanliness</li> <li>• Surface preparation cleanliness specified and achieved</li> <li>• Surface profile specified and achieved</li> <li>• Illumination of work area (foot candles for surface preparation, coating application, and inspection) in accordance with SSPC Technology Guide 12 recommendations or contract requirements.</li> <li>• Batch numbers of coatings and thinners</li> <li>• Mixing of coatings (in accordance with coating manufacturer’s mixing instructions)</li> <li>• DFT readings for each applied coating meet specification requirements.</li> <li>• DFT readings for specifications requiring SSPC PA 2 are properly documented and meet specification requirements.</li> <li>• Inspection instruments used (manufacturer, model, and serial number)</li> <li>• Storage temperature &amp; storage conditions to include min/max daily, or as required.</li> </ul> <p><b><i>Note: DIRs must be signed and dated by Inspector and formally reviewed by the QCS or other designated competent QC personnel.</i></b></p>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>

<p>25</p>	<p>3.3.2.c.                      Inspection Equipment Calibration and Calibration Accuracy Checks    <u><b>CRITICAL ITEM 12</b></u></p>	<ul style="list-style-type: none"> <li>• Unless more stringent requirements are specified or stated in the contractor's Quality Manual, calibration verification of instruments used for inspection is performed and documented in accordance with either the equipment manufacturer's instructions or industry standards. The contractor maintains calibration records and certificates in the office for all instruments that require formal calibration.</li> <li>• Calibration records are available at the job site for instruments being used by QC personnel on site.</li> </ul>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>
<p>26</p>	<p>3.3.2d &amp; g.                      Documenting Non-Conforming Work and Authorized Deviations    <u><b>CRITICAL ITEM 13</b></u></p>	<ul style="list-style-type: none"> <li>• Nonconforming work, identified by contractor QC personnel, owner or prime contractor QA personnel or owner's representative performing QA on behalf of the owner or prime contractor is documented, and repaired or otherwise addressed as determined by the facility owner or authorized representative.</li> <li>• Requests for deviations from contract requirements are documented and processed through proper channels. Contractor maintains copies of notices or correspondence showing that any deviation from specification (DFS) has been accepted by the contracting officer or engineer of record or other owner authorized representative.</li> </ul>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>

<p>27</p> <p>C.2.e.</p>	<p>3.3.2e &amp; f.</p> <p>Written Procedures and Inspection Plans/Hold or Checkpoint Inspections</p>	<ul style="list-style-type: none"> <li>• Standard company or contract-specific procedures are available to and used by on-site personnel for verifying that coating and related operations are performed in accordance with contract requirements and industry best practices.</li> <li>• Inspection procedures or project-specific inspection plans ensuring that each major operation is properly performed and documented on a daily basis during coating operations or documented in accordance with contract requirements, are available to on-site personnel, and are used to perform in-process inspections of work at key hold points.</li> </ul> <p>Major Operations are defined as:</p> <ul style="list-style-type: none"> <li>• surface pre-cleaning</li> <li>• surface preparation</li> <li>• primer application</li> <li>• intermediate coat(s) application</li> <li>• finish coat application</li> <li>• initial cure testing (when specified)</li> </ul> <p><b>Note: Contractor must have a procedure for QC inspection and documentation of each hold-point.</b></p>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>
<p>28</p>	<p>3.3.3</p> <p>Corrective Action (CA) Procedures</p> <p><b><u>CRITICAL ITEM 14</u></b></p>	<p>The Contractor shall maintain a non-conformance log and document, on an annual basis, actions taken by management to identify and eliminate recurring (happening more than once) nonconformities. These actions include identification of the root cause of recurring nonconformities, implementing changes to company procedures and practices to improve production and follow-up to ensure implementation has been effective.</p> <p><b>Note: The auditor shall review internal and external non-conformity or CAR logs to verify that Corrective Action has been implemented Internal NCR/CARs are written by anyone within the contractor's organization. External CARs are those written by owners or their representatives, the SSPC auditor or other external auditors.</b></p>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>

<p>29</p>	<p>3.3.1.3</p> <p>Environmental Health &amp; Safety Officer</p> <p><b>CRITICAL ITEM NO. 15</b></p>	<ul style="list-style-type: none"> <li>• Executive Management has designated a qualified employee as the EH &amp; S Officer</li> <li>• There is evidence that the EH &amp; S Officer carries out duties per the company job description.</li> <li>• Minimum Qualifications:             <ul style="list-style-type: none"> <li>- OSHA 500 or 5400 Training or equivalent accepted by the Corporate Certification Specialist <b>or</b>:</li> <li>- C-3 + OSHA 30 training <b>or</b>:</li> <li>- 40 hours of training covering topics in Section 10 of SSPC Guide 17 <b>or</b>:</li> <li>- be the author of the Corporate Safety &amp; Health Program <b>and</b>:</li> <li>- minimum of 3 years experience in industrial painting industry or related construction safety experience <b>and</b>:</li> <li>- be primary author of environmental compliance program <b>or</b> have documented training on the contents of said program.</li> </ul> </li> </ul>		<p><b>Comments:</b></p>
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30	3.4	<b>Contractor has a written Health and Safety Program based on current OSHA or equivalent standards applicable to its operations.</b>	<b>Rating</b> <b>(1, 2, 3)</b>	<b>Comments:</b>
	Corporate Health and Safety Program  <b><u>CRITICAL ITEM NO. 16</u></b>	<p>At a minimum, the program must address all <u>applicable</u> sections of the following topics:</p> <ul style="list-style-type: none"> <li>• Hazardous materials</li> <li>• Personal protective equipment (PPE)</li> <li>• General health and safety</li> <li>• Occupational health and environmental controls</li> <li>• Fire protection and prevention</li> <li>• Signs signals, and barricades</li> <li>• Materials handling, storage, use, and disposal</li> <li>• Hand and power tools</li> <li>• Welding and cutting</li> <li>• Electrical (e.g., lighting, wiring, heating and cooling equipment, GFCIs)</li> <li>• Working near power lines, third rails, other live power sources, etc.</li> <li>• Scaffolds</li> <li>• Fall protection</li> <li>• Cranes, derricks, hoists, elevators, and conveyors</li> <li>• Ladders</li> <li>• Toxic and hazardous substances</li> <li>• Airless spray injection</li> <li>• High and ultra high pressure waterjetting</li> <li>• Abrasive blasting (wet and dry)</li> <li>• Safe operating procedures for major equipment (e.g., dust collectors, vacuum equipment, blast machines and components, waterjetting equipment and components)</li> <li>• Project-specific plans are in place for:                             <ul style="list-style-type: none"> <li>• - Confined space safety</li> <li>• - Erecting, moving and tearing down containments and platforms</li> <li>• - Other project-specific conditions not addressed in the corporate safety program</li> </ul> </li> </ul>		

<p>30 (Continued)</p>	<p>3.4  Corporate Environmental Health and Safety (EHS) Program (Continued)</p> <p><b>CRITICAL ITEM NO. 16</b></p> <p><b>Note to auditor: Rate each evaluation item under "Safety Program" separately. Issue findings for each nonconformity under "Safety Program." For example, if you find that the program has not been reviewed and approved, and job site safety assessments are not being conducted, issue two major findings.</b></p>	<p>Communication to Workers</p> <ul style="list-style-type: none"> <li>• There is evidence that workers receive annual general health and safety refresher training (or as required by applicable regulations).</li> <li>• There is evidence that EHS violations are filed (office and at applicable job sites).</li> <li>• There is evidence that workers are made aware of the contents of the corporate safety and health program</li> <li>• There is evidence that workers receive project-specific training (e.g., weekly tool box talks; job specific hazard training)</li> <li>• The Corporate Health and Safety Plan must be reviewed and approved in writing by the Owner Manager or Responsible Company Executive and EH &amp; S officer at least annually.</li> <li>•</li> </ul> <p>Safety Assessments</p> <ul style="list-style-type: none"> <li>• Pre-job safety assessments identifying specific job site hazards are conducted and documented.</li> <li>• Job site safety assessments are routinely conducted (at least weekly) by the EH &amp; S officer or his/her delegate and immediate corrective actions are taken when potential hazards or safety violations are identified</li> </ul>	<p><b>Rating (1, 2, 3)</b></p>	<p><b>Comments:</b></p>
<p>31</p>	<p>3.4.1b. Routine Job Specific Hazard Identification</p>	<p>There is evidence that field crew competent persons, directed by the EH &amp; S Officer, perform project-specific hazard identification, analysis and provide documented notification of results to all project crews on a routine and as needed basis.</p>	<p><b>Rating (1, 2, 3)</b></p>	<p><b>Comments:</b></p>

32	<p>3.4.1c</p> <p>Accident Reporting</p>	<ul style="list-style-type: none"> <li>• Contractor has a written accident reporting procedure.</li> <li>• Accident reports address (what happened, to who, where, how it happened, root cause, and follow-up action to prevent recurrence)</li> <li>• There is evidence that supervisors assigned follow up actions complete necessary corrective action at the job site within a week after the accident, if feasible, to ensure hazard is removed or properly controlled.</li> <li>• Accidents are documented in accordance with federal/state/local regulations and contract requirements.</li> </ul>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>
33	<p>3.4.1d.</p> <p>Monitoring Safety and Loss Control</p>	<ul style="list-style-type: none"> <li>• Contractor can provide written evidence (i.e. documentation of management review) that executive management &amp; key personnel perform a comprehensive annual review of accidents, near misses, and safety procedures, etc., in an effort to improve safety performance or maintain good safety performance.</li> <li>• The required annual review of safety performance includes review of OSHA logs, Workers Compensation incident rates as well as actual losses.</li> </ul>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>
34	<p>3.4.1e.</p> <p>SOPs for Major Equipment</p> <p><b><u>CRITICAL ITEM 17</u></b></p>	<p>Copies of equipment manufacturer's standard operating and safety procedures, written so they are understood by the workers on the job site, are on the job site, on or in close proximity to the piece of operating equipment and available for reference by personnel operating the equipment and their field supervisors.</p>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>

<p>35</p>	<p>3.4.1f. Personal Protective Equipment and Respiratory Protection</p> <p><b><u>CRITICAL ITEM 18</u></b></p>	<ul style="list-style-type: none"> <li>• Contractor has an OSHA 1910.134 compliant (or equivalent regulatory compliant) respiratory protection program (documented annual fit testing and training).</li> <li>• Contractor also has written procedures for issuing and using other PPE such as (protective clothing for skin protection, eye protection, hearing protection, foot protection, head protection, and all other life saving equipment (e.g., skiffs, life jackets, fall protection, confined space rescue equipment, etc.).</li> <li>• Required respirators and protective equipment are available and there is evidence that workers use respirators and PPE at each job site per company safety plan or project-specific plan or PPE Assessment, and applicable MSDSs.</li> <li>• The Contractor has a process to ensure that any PPE used is in the appropriate condition for effective usage as defined by the PPE manufacturer and the contractor's safety program.</li> </ul>	<p><b>Rating (1, 2, 3)</b></p>	<p><b>Comments:</b></p>
<p>36</p>	<p>3.4.1g. First Aid Trained Employees</p>	<ul style="list-style-type: none"> <li>• An approved, functional, first aid kit is available on the jobsite and is accessible in case of an emergency.</li> <li>• At least one person is available on each job site that has had current first aid and CPR training certificates issued by the Red Cross or an equivalent organization. This is applicable to all projects that last 2 or more days. A crew of 6 or more will require a back up first aid and CPR trained person.</li> <li>• Check credentials on site.</li> <li>• Emergency telephone numbers (e.g. police, fire, ambulance, nearest hospital or clinic) are posted at each jobsite</li> </ul>	<p><b>Rating (1, 2, 3)</b></p>	<p><b>Comments:</b></p>
<p>37.</p>	<p>3.4.1h Enforcement of Safety Rules <b><u>CRITICAL ITEM NO. 19</u></b></p>	<p>There is tangible and documented evidence that contractor management and supervision enforces all safety rules, per its own compliance programs whether general or project-specific, and per customer requirements (e.g., plant, shipyard, military or governmental installation safety rules).</p>	<p><b>Rating (1, 2, 3)</b></p>	<p><b>Comments:</b></p>

38	<p>3.4.2</p> <p>Sources and Job Site Availability of Safety Information and Equipment</p>	<p>Contractor has corporate procedures to provide job site access to relevant EHS information (OSHA, EPA, etc.) and equipment.</p>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>
39	<p>3.4.3</p> <p>Environmental Compliance</p> <p><b>CRITICAL ITEM NO.</b> <b>20</b></p>	<ul style="list-style-type: none"> <li>• The contractor has a “general” environmental compliance program for proper handling and disposal of paint &amp; solvent waste, wastewater, spill waste.</li> <li>• There is evidence of implementation at the job site</li> </ul>	<p><b>Rating</b> <b>(1, 2, 3)</b></p>	<p><b>Comments:</b></p>

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

## QP1 Audit Checklist – Mandatory Appendix A

### A. GENERAL DESCRIPTION

In order to meet the requirements of QP1 (2012), section 3.2.1 the contractor must implement a written 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 and QP 1 CAS worker training/qualification requirements

\*A craft worker is one who performs surface preparation and/or applies 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 SSPC, ASTM, PDCA, the IUPAT or its affiliates, NCCER or materials developed by another reputable applicator training organization, that are acceptable to SSPC.

(2) Hands on Skill Evaluation - At minimum abrasive blasters shall be qualified using the SSPC C-7 hands-on skill assessment protocol for testing blasters or an equivalent hands-on evaluation, acceptable to SSPC. The hands-on evaluation can be done in a controlled qualification session in the shop or yard or in the field at an actual production site. The C-7 skills assessment form is available from SSPC.

(3) At a minimum, spray painters shall be qualified using the SSPC C-12, C-14, or equivalent hands on skills assessment protocols acceptable to SSPC.

(4) Specialty skill qualifications for such processes as UHP Water Jetting, Thermal Spray Metallizing, or Plural component spray shall be developed in house (or outsourced) based on material or equipment supplier best practices when industry standard training or training materials do not exist.

(5) 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 SSPC, 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 materials 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 materials and equipment.

**E. PROCESS CONTROL PROCEDURES OR WORK PLAN - QP 1 (2012) Section 3.2.3.e**

The contractor's job specific work plan or process procedures must state how the work is to be done by work crews in order to meet customer requirements and define the qualifications of the craft workers (those performing surface preparation and coating application) on the project.

**QP1 Audit Checklist / Appendix B**

**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
- Minimum Instructor qualifications (SSPC QCS or equivalent, 3 years experience in industrial/marine protective coatings QCS and inspection)

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

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

**For QC Inspector course equivalency consideration, please submit the following:**

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



## Scoring

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

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

Below are the ratings and what they mean.

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

**Important Note:** Typically, auditors will not issue major deficiencies for isolated breakdowns in a contractor's Quality System. However, there are exceptions: For example, auditors will issue a rating of "1" when they observe one or more safety violations or safety hazards that could result in an injury or serious incident. An obvious example would be a person working without appropriate fall protection as required by the contractor's safety and health plan and/or governing regulations. Auditors will also issue a rating of "1" if they discover one or more unauthorized deviations from contract requirements or deviations from good painting practices found in the paint shop, shipyard or field job site.

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

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

## Corrective Action Report

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

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

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

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