



AS-1 Audit Summary of Results

Company Name: _____

Address: _____

Auditor's Name: _____

Dates of Audit: _____

Date of Follow-up Audit: _____

Attribute Ratings: 1 = Unsatisfactory, 2 = Poor or Weakness, 3 = Satisfactory, 4 = Better than Average, 5 = Exceptional

Section	Comments	Section Score	Rated Value	Expected Value	Major Finding Recorded	Minor Finding Recorded	Observation Recorded
ADMINISTRATIVE PRACTICES							
Business Structure							
Quality Assurance Management							
Planning and Estimating							
Hazardous Material Management							
Hazardous Waste Management							
Interface with Customers, Inspectors, Vendors, and Sub-Contractors							
Cost and Schedule Management							
Discrepancy Identification, Reporting, and Resolution Practices							
Training and Skills Development							
Documentation Practices							
Use of In-House or Sub-Contracted Resources							
Administrative Practices Results	Average of all Administrative Practices sections. It must be 3.0 or greater.						
FIELD PRACTICES							
Execution of Field or Shop Work							
Surface Preparation Observations							
Coating/Lining Application Observations							
Field Practices Results	Average of all Field Practices sections. It must be 3.0 or greater.						



AS-1 Administrative Practices Audit Score Sheet

Attribute Ratings: 1 = Unsatisfactory, 2 = Poor or Weakness, 3 = Satisfactory, 4 = Better than Average, 5 = Outstanding

Business Structure (7.1)

Assessment of the business structure required to obtain contracts, schedule and estimate work, provide needed resources, track progress and ensure quality.

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
1	Statement of Quality Policy 7.1.1.1	Contractor must provide a written commitment to perform quality work and compliance with ESH regulations. Quality statement is readily available to employees in hard copy or electronic format. Expected: Contractor provides evidence of the quality statement. The statement is prominently posted, and available for employees, managers, and customers to see. Outstanding: Contractor must provide evidence of routinely reminding people of the quality commitment or emphasizing quality principles. Examples include banners, prominent posting, or inclusion in periodic meeting discussions.			3			
2	Effective accident or mishap prevention and investigation policy 7.1.1.2	Expected: Manual must provide for an effective mishap and accident investigation process. The process must use accepted investigation methods to determine root cause, corrective and preventive actions. Manual must provide for an effective mishap and accident investigation process. The process must emphasize objectivity and not be used as a basis for disciplinary actions. Outstanding: Electronic database with the ability to analyze data collected during the investigation to improve the process.			3			
3	Surveillance or Audit Report review 7.1.1.2.1	Expected: Contractor must provide evidence of routine review of in-house surveillances, audit reports, and inspection reports generated by the Competent Person for potential negative trends, possible improvements, and incorporation into instructions, manuals, and briefings. Outstanding: Evidence of a database and trend tracking resulting in changes in training, equipment, or procedures. Evidence may be meeting minutes, instruction changes, spread sheets.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
4	Prohibit the use of machinery or tools that are not in compliance or are broken 7.1.1.2.2	Expected: Contractor must provide evidence of a written policy regarding altering tools, removing guards, and using tools that are damaged. Policy must require damaged, altered, or broken tools to be removed from the worksite, tagged and/or locked if it is not reasonable to remove the tool from the worksite. Outstanding: Contractor provides evidence of a recall system that requires tools to be returned for cleaning and refurbishment on a scheduled basis.			3			
5	Requirement for personnel to be trained or qualified to operate equipment or machinery 7.1.1.2.3	Expected: Contractor must provide evidence of a policy or requirement that personnel are qualified either by training, experience, or certification prior to using tools. Outstanding: List of equipment and the required training or experience, and a requirement to verify employee qualification based on a qualification list on the jobsite prior to assignment.			3			
6	Effective in-house management team 7.1.1.3 and 7.1.1.3.1	Expected: Contractor must show evidence of an effective in-house management team including Project Manager, ESH Manager, Training Manager, and QA Manager. Contractor must provide evidence that there is enough depth in the organization to support all of the large jobs the contractor can perform simultaneously. Some positions may be combined; however, contractor must show evidence of the task assignments. Show evidence of experience, training, or other qualifying factors. Outstanding: Provide a list of qualified personnel for each of the positions to allow for expansion or replacement assignments as needed.			3			
7	Organizational Chart and Job Descriptions 7.1.1.3.2	Contractor must provide an organizational chart or contact list for significant personnel within the organization, down to the supervisor level. A large company may have more than one list at the supervisory level but should include all company principle officers. Expected: One or more organizational charts covering CEO or Company Executive down to the supervisor. Outstanding: Organizational charts would include photos and contact information for easy identification and access.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
8	Competent Person Authority 7.1.1.3.5	Expected: Contractor must provide evidence that the Competent Person has authority to direct corrective and preventive actions and stop work when necessary. Outstanding: Not possible for this element.			3			
9	Competent Person Adequate Time to Perform Functions 7.1.1.3.5	Expected: Competent Person responsibilities clearly state that the inspection, program management, data collection, and reporting responsibilities of the Competent Person program supersede other responsibilities. Outstanding: Statement that the Competent Person's responsibilities do not include production work such as abrasive blasting and painting that may affect the time spent managing the programs.			3			
10	Competent Person - Responsibilities 7.1.1.3.5	Expected: Assignment in the position description for the Competent Person to manage or perform the responsibilities listed in 7.1.1.3.5.1 through 7.1.1.3.5.11 of AS-1. Outstanding: Not possible for this element.			3			
11	Job Descriptions 7.1.1.3.3	Expected: Contractor must provide job descriptions for Project Manager, ESH Manager, Training Manager, QA Manager, Competent Person, Qualified Person, and supervisor or foreman, or contractor's equivalent titles. Outstanding: The position descriptions must include a list of core duties, as well as desired experience, training, and/or education.			3			
Business Structure (7.1)				Original Section Score:				

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
Quality Assurance Management (7.1.2)								

Assessment of in-house quality assurance and quality control structure including a manual and project support.

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
12	Formal Quality Assurance Program including Quality Assurance Manual 7.1.2.1	Contractor must provide access to the Quality Assurance Program Manual. Expected: Access to a hard copy or electronic manual meeting the standards below. Outstanding: Evidence that the manual (hard copy or electronic) is readily available to all personnel on all work sites. The manual shall cover all aspects of the Quality Assurance Program itemized below:			3			
13	Quality Assurance Manager responsibilities - Overall Program Management - 7.1.2.1.1	Expected: Position descriptions for the Quality Assurance Manager, or equivalent personnel. Assignment in the position description for the Quality Assurance Manager to manage overall Quality Assurance. The position descriptions must include a list of core duties, as well as desired experience, training, and/or education. Outstanding: Positive statement in the manual that the Quality Assurance Manager is not the same person responsible for job completion, such as the Foreman, Supervisor, or Project Manager.			3			
14	Quality Assurance Manager responsibilities - Supervision - 7.1.2.1.1.1	Expected: Assignment in the position description for the Quality Assurance Manager or equivalent personnel to supervise the Project Quality Assurance Manager and Quality Control Technician. Outstanding: Not possible for this element.			3			
15	Quality Assurance Manager responsibilities - Maintain Quality Assurance Manual - 7.1.2.1.1.4	Expected: Position descriptions for the above title, or equivalent personnel. Assignment in the position description for the Quality Assurance Manager to maintain the Quality Assurance Manual. Outstanding: Verification that the manual is reviewed and updated as needed at least annually.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
16	Quality Assurance Manager responsibilities - Review & Maintain all data generated - 7.1.2.1.1.5	Expected: Assignment in the position description for the Quality Assurance Manager or equivalent personnel to review and maintain all data generated to support the functions defined in the Quality Assurance Manual. Outstanding: Evidence of the reviews and corrective or preventive actions taken. Evidence may be spread sheets, notes, e-mails, or instruction changes.			3			
17	Project Quality Assurance Manager responsibilities - Project Level Program Management - 7.1.2.1.2	Expected: Assignment in the position description for the Project Quality Assurance Manager, or equivalent personnel to manage Quality Assurance Program at the Project level including typical Quality Control functions, data collection, recordkeeping, and reporting functions for each project managed. The position descriptions must include a list of core duties, as well as desired experience, training, and/or education. Outstanding: Positive statement in the manual that the Quality Assurance Manager is not the same person responsible for job completion, such as the Foreman, Supervisor, or Project Manager.			3			
18	Quality Control Inspector responsibilities 7.1.2.1.3	Expected: Assignment in the position description for the Quality Control Inspector, or equivalent personnel to perform Quality control functions including, check point inspections, data collection, recordkeeping, and reporting functions for each project being worked. The position descriptions must include Requirement to meet the training requirements of Appendix A of AS-1, and a list of core duties, as well as required experience, training, and/or education. Outstanding: Positive statement in the manual that the Quality Control Inspector is not the same person responsible for job completion, such as the Foreman, Supervisor, or Project Manager.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
19	Managing Measurement Tools 7.1.2.3.1 & Subparagraphs	Direction for managing measurement tools that are used to accept or reject work. Expected: Contractor must provide a documented method to track the status of equipment used for acceptance and rejection of work, including maintenance, storage, calibration, and segregation of damaged or expired calibration tools, and a recall system. Outstanding: Contractor must demonstrate effective recall of equipment due for calibration, must not have equipment overdue for calibration in the field or work environment, and must have a verifiable label or sticker on each piece of calibrated equipment indicating the calibration due date.			3			
20	Data Collection Training & Certification 7.1.2.3.2.1	Expected: Contractor must show either a lesson plan or continuous training of fundamental data collection methods and requirements, field validation of equipment calibration, and documentation practices. Outstanding: Contractor must show either a lesson plan for continuous training or show that the personnel taking readings have current qualifications use of precision measurement equipment. The training must include field validation of equipment accuracy, sampling method and frequency of applicable standards (SSPC-AB 2, SSPC-PA 2, ASTM D-4417, etc.) for the equipment, and CIP 1 or 2, or PCS, or trade skill training will suffice if field observations validate proficient use of the equipment.	Indicate date of documents reviewed:		3			
21	Tracking and analyzing discrepancies. 7.1.2.3.3	Expected: Contractor must provide evidence of process review related to contractor caused discrepancies. The process review must provide for (1) Tracking and analyzing process or execution caused discrepancies, and resolution for trends and process improvements. (2) Reporting of trends to Production Managers and Planners for potential implementation of improvements. Outstanding: Contractor must provide evidence of a formal program for discrepancy analysis, including proposed or implemented process improvements, and continuous validation of success for process changes that have been implemented.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
22	Receipt Inspection Requirements 7.1.2.3.3.1	Expected: Contractor must show direction for minimum inspection and acceptance of delivered material including checking shelf life, dents and leaks, compatibility of two part materials, Outstanding: Contractor must show evidence of receipt inspection documentation requirements (database, spreadsheet, container labeling, etc.), and any testing, or Certificate of Compliance documentation.			3			
23	Material Storage Requirements 7.1.2.3.3.2	Expected: Contractor must show direction to verify storage area readings and storage within requirements on the PDS. Documented storage requirements must include a temperature monitoring plan, frequency of readings, including recording and submitting the material storage area environmental readings. Outstanding: Automatic data collection equipment used for monitoring material storage areas and checked daily for compliance with PDS requirements.			3			
24	In process observation 7.1.2.3.3.3	Expected: QA manual identifies examples of specific tasks to be observed (such as blotter test to verify air cleanliness prior to blasting, paint mixing, etc.). QA manual must include a list of required check points and specific process tasks that will be observed, and must include the documentation required for the observations and check points. Outstanding: Not possible for this element.			3			
25	In-house surveillances and audits 7.1.2.3.3.4	Expected: Contractor must provide evidence of direction and data from in-house surveillance or audit practices including tracking findings, corrective actions, and follow up to verify effectiveness of the program. Contractor shows evidence of audits using NIICAP, SSPC, or in-house generated attributes, corrective actions and follow up audits to verify results. Outstanding: All of the above plus a database or spread sheet showing root cause analysis, and a reporting system to show workers and managers the progression of compliance and process improvement.			3			
Quality Assurance management 7.1.2				Original Section Score:				

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
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Planning and Estimating (7.1.3)

Assessment of prebid review process for process review, equipment review, material review, and skill set mix, as well as an assessment of planning and estimating process after the prebid review.

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
26	Read and understand the specification and references 7.1.3.1.1	Expected: Contractor must provide evidence of a process to ensure an effective specification review. Contractor must provide evidence of meetings, and communication verifying review and communication. Outstanding: Contractor must provide evidence of review notes, a spreadsheet detailing proposed processes, labor and material estimates and rates, process options for surface preparation and coating application.			3			
27	Jobsite Tour 7.1.3.1.2	Expected: Contractor must provide evidence of a jobsite tour or a policy to normally perform a jobsite tour. Evidence of a spread sheet or form used to quantify observations, or evidence of photos, notes, etc. indicating a jobsite tour occurred. Outstanding: Evidence must include attendees, discussions, detailed preservation schedule (surface prep & coating, not timeline), sketches, maps, etc. NOTE: It is understood that occasionally the size of the job and the distance of the job may preclude the practicality of performing a jobsite tour.			3			
28	Review proposed processes for feasibility 7.1.3.1.3	Expected: Contractor must provide evidence of a process review to ensure the proposed process addresses the various worksite constraints, such as schedule, expected weather, cost, containment and staging, available workforce mix, and available industrial equipment. Outstanding: Contractor must show process review and implementation of methods to control poor conditions such as "air tight" containment to prevent escape of fugitive dust, paint, and heavy metals, filtered exhaust ventilation and dehumidification to improve schedule adherence and compliance with environmental requirements.			3			
29	Review proposed materials for feasibility 7.1.3.2	Expected: Contractor must provide evidence of a review to determine if the materials specified are consistent with the intended service life and service environment. Outstanding not possible on this attribute.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
30	Planning and Estimating skill set 7.1.3.3	Expected: Contractor must provide evidence that during the planning process there is a process review to prevent rework due to poor sequencing, or previous similar discrepancies that have not been addressed. This review may be at the task level or at the overall scheduling level. Outstanding: Contractor must show evidence of a continuous review process influencing production process sequence to prevent rework. Evidence would be a note in a work document that specifies sequence, prerequisite, or a similar item.			3			
31	Planning and Estimating skill set 7.1.3.3	Expected: Sequencing review should include issues such as performing shop work when possible, access to normally inaccessible areas prior to closure, and purchasing parts with correct coating system applied when practical. Examples include evidence of equipment being purchased with the correct coating system specified, task direction for shop work when items are removed or received with an improper coating system. Outstanding: Contractor must show; (1) Evidence of direction in a manual, instruction, or work document that requires surface preparation and coating application for removed or newly purchased items prior to installation, (2) Surface preparation and coating application for areas that will be inaccessible prior to completion of manufacture or installation of equipment.			3			
32	Estimate of work including hazardous waste management 7.1.3.4	Expected: Contractor must provide evidence of estimating the costs for managing hazardous waste generation, removal, storage, and disposal in accordance with the specification and higher tier requirements, and that those costs were identified in the bid submission. Contractor shows where the hazardous waste management costs were captured, or to a statement in the bid indicating that hazardous waste removal and management costs are included. Outstanding: Not possible for this element.			3			
Planning and Estimating (7.1.3)				Original Section Score:				

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
Hazardous Material Management (7.1.4)								
Assessment of material management practices to reduce excess material, hazardous waste, and on-site inventory without affecting capability to perform work.								
Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
33	Material estimation and scheduling 7.1.4.2.2	Expected: Contractor must provide evidence of a review to determine what materials are needed at what point in the job to prevent work stoppage or waste due to excessive material. Contractor shows evidence of material ordering or delivery based on progress and material need. Outstanding: Contractor must show program that tracks usage, inventory, and provides for predetermined delivery dates, with the capability to adjust delivery dates based on schedules as needed.			3			
34	Solvent estimation and scheduling 7.1.4.2.3	Expected: Contractor must provide evidence of a review to determine what solvents are needed at what point in the job to prevent work stoppage or waste due to excessive material. There should be evidence of calculations for thinning material if thinning is allowed. Contractor shows evidence of solvent type review, and material ordering or delivery based on progress. Outstanding: Contractor must show requirements for physical isolation and marking for solvent types used for cleaning vs. solvent used for paint thinner.			3			
35	Thinning allowance and communication 7.1.4.2.4	Expected: Contractor must provide evidence of a process to communicate to the job site worker if there is a thinning allowance, and if so, the communication must include (1) the type of thinner, (2) the quantity in a format understood by the workers, and (3) a method to measure the amount of thinner. Communication must also include direction for any documentation that is required when thinning. Auditor: Review job site posting, Work Instruction, Manuals, and Product Data Sheet. Contractor also provides direction that the supervisor or foreman on the job is responsible to ensure thinning compliance. Outstanding: Contractor shows evidence of a chart or table for solvent used for thinning, quantities allowed, and tracking for material thinning.	NOTE: IF FIELD OBSERVATIONS DO NOT SUPPORT THIS STATEMENT, THIS ATTRIBUTE SHOULD BE MARKED AS A WEAKNESS.		3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
36	Material Tracking 7.1.4.2.5	Expected: Contractor must provide evidence of a program for tracking material delivery, segregation, use, and disposal. Auditor: Review instructions, or manuals for program. Review reports indicating review and communications. Direction for Foreman on the job to send the Planner or Accounts Payable a copy of delivery orders or similar report to verify receipt, spread sheet or list containing material received, used, and disposed of. Outstanding: Contractor must show program that tracks usage, inventory, and provides for predetermined delivery dates, with the capability to adjust schedules as needed.			3			
37	Right to Know Training 7.1.4.2.8.1	Expected: Contractor must provide evidence of employee briefing or training related to the "Right to Know" requirement of 29 CFR Part 1910.1200 for hazardous materials and hazardous waste encountered at the work site. Evidence includes briefing sheets, rosters, and a list of hazardous materials that should be expected on the work site. Outstanding: Not possible for this element.			3			
38	Written and accessible Safety and Health Program 7.1.4.2.8.3	Expected: Contractor must provide access to the Health and Safety Plan that provides for identification, evaluation, and implements controls for potential site safety and health hazards to aid in the selection of the most appropriate employee protection methods. Outstanding: Evidence of routine review of inspections, discrepancy reports, and audit reports to improve safety and health practices on the work site.			3			
39	Secondary Containment 7.1.5.3.3.6	Expected: Contractor must provide direction for secondary containment when required by specification or the Compliance Plan. Containment may be commercially built, constructed of boards, poly liner with abrasion protection such as plywood, or other durable methods. Containment must be adequate to contain 100% of the liquid contents. Outstanding: Commercial secondary containment unit adequate to contain 100% of the liquid contents and covered to prevent rain intrusion. NOTE: IF THERE IS NO SPECIFIC REQUIREMENT FOR SECONDARY CONTAINMENT THIS ELEMENT IS "N/A"			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
40	Segregation of Incompatible Materials 7.1.5.3.3.7	Expected: Contractor must provide direction for segregation of incompatible materials. Reactive materials, combustible materials, acid and alkali materials must be segregated by type and be within separate secondary containment described above. Direction for material segregation based on reactivity on the SDS and types of hazards labeled. Outstanding: Material segregated, types of hazards labeled and identified on a placard or sign with color coding or similar visual indicator.			3			
41	Explosion Proof Storage Facilities with Environmental Controls 7.1.5.3.3.9	Expected: Contractor must show the capability and direction to provide explosion proof storage facilities with environmental controls to maintain hazardous materials within the Product Data Sheet recommendations. Contractor has the capability to provide storage facilities with environmental controls or other methods for storage when temperatures are expected to remain within manufacturer's Product Data Sheet recommendations. Outstanding: Contractor always uses explosion proof storage facilities with environmental controls.			3			
42	Spill Prevention & Eyewash Station 7.1.5.3.3.10 & 7.1.5.3.3.11	Expected: Contractor must provide written direction requiring spill kits and eyewash stations on all work sites, and training or instructions for use of the equipment. Outstanding: Training program for spill prevention and recovery as well as use of eyewash stations. Direction for eyewash station testing frequency, and spill kit inspection frequency.			3			
Hazardous Material Management (7.1.4)				Original Section Score:				

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
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Hazardous Waste Management (7.1.5)

Assessment of hazardous material and hazardous waste management practices to address the additional requirements of material storage, hazardous waste removal, storage, and disposal, spill prevention and response, worker safety, and cost management.

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
43	Provision for testing existing coatings 7.1.5.3.2	Expected: Contractor provides evidence of a program to treat material being removed as hazardous waste or to sample and test prior to removal to characterize the waste in accordance with RCRA requirements. Program addresses clean up frequency, cleaning procedures, and requires personnel protection as if they are being exposed above the PEL. Outstanding: Contractor provides evidence of a program that meets the "Expected" requirements and requires filtered negative ventilation during coating removal, containment and ventilation inspections, a spill procedure, daily clean up, labeling, and containerization of hazardous waste, labeling and accumulation area management.			3			
44	Emergency Phone posting 7.1.5.3.3.2 & subparagraphs	Expected: Contractor must provide direction for posting the following information at the hazardous waste accumulation area. (1) Name and phone number of emergency coordinator; (2) Location of fire extinguisher, spill control materials, and fire alarm if there is one; (3) Telephone number for the Fire Department. Outstanding: All of the above plus location of eye wash station and emergency shower station.			3			
45	Secure Storage Protocol 7.1.5.3.3.3	Expected: Contractor must provide evidence of direction for maintaining a secure hazardous waste storage area. Requirements include: Secure storage facility, and secondary containment for incompatible wastes, adjoining a waterway, or when required by the specification. Outstanding: Policy for providing dedicated, secured hazardous waste storage facilities, secondary containment, Hazardous Waste Operator and emergency response training, local fire alarm and spill kit.			3			
46	National or Regional Accumulation Requirements Protocol 7.1.5.3.3.4	Expected: Contractor must provide evidence of a program for managing hazardous waste accumulation quantities within RCRA requirements. See Appendix C of AS-2 for accumulation requirements. Outstanding: Electronic inventory with reporting on waste stream number, age and quantity of waste, and disposal or shipment date.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
47	Waste other than Hazardous Waste 7.1.5.3.4.1	Expected: Contractor must provide evidence of direction for accumulating and disposing of waste paint containers or other non-hazardous waste as stated above. This attribute does not apply to spent hazardous material. Outstanding: Not possible for this element.			3			
48	Segregation of waste prior to characterization 7.1.5.3.4.3	Contractor must provide evidence of a program for managing waste that is not expected to be hazardous waste. Requirements include: labeling, characterization, and segregation. Auditor: Review instructions and manuals. Expected: Waste is segregated, characterized, and treated as appropriate when the determination is returned. Outstanding: All of the above plus electronic inventory or documentation of waste.			3			
Hazardous Waste Management (7.1.5)				Original Section Score:				

Interface with Customers, Inspectors, Vendors, and Sub-Contractors (7.2)

Assessment of contractor's communications with the customer, inspectors, vendors, and sub-contractors prior to and during the job. Effective communications improve understanding on the job, reduce conflict, and improve coordination and agreement on expectations.

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
49	Effective Communication 7.2.1 & 7.2.3	Expected: Contractor must provide evidence of effective communication during prebid, prejob, and daily meetings. Auditor: Review notes, minutes, e-mails, etc. documenting the communications. Meeting minutes, e-mails, work schedules, etc. Outstanding: Formal meeting minutes including problem descriptions, discussion and assigned action items, with follow up to track completion.			3			
50	Phone List 7.2.2	Contractor must provide a contact list for significant personnel within the organization, and on the jobsite being reviewed. The phone list should include the Project Manager, Supervisor, QA/QC Inspectors, Owner's Representative, and may include planning personnel. Expected: Contractor provides list as described above. Outstanding not possible on this attribute.			3			
Interface with Customers (7.2)				Original Section Score:				

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
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Cost and Schedule Management 7.3

Assessment of contractor's work breakdown structure, progress tracking, and cost and schedule tracking.

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
51	Work Breakdown Structure 7.3.1 & 7.3.2	Expected: Contractor must provide evidence of a work breakdown structure program that tracks work tasks at a discreet level supporting ongoing production schedule and cost assessment that rolls those values up for an overall percentage. Outstanding: Formal program detailing work breakdown practices, including a program or spread sheet that is used consistently, includes specific tasks, durations, prerequisites, and follow on tasks to ensure sequencing and schedule compliance awareness.			3			
52	Adjustment for Cost/Schedule discrepancies 7.3.3	Expected: Contractor must provide evidence of a work review program that analyzes cost and schedule progress. Contractor should show evidence of progress review and changes from the original plan when appropriate, such as changing the work skill mix, longer shifts, more people or less people, or changing the process. Evidence may include an instruction, spreadsheets, reports, meeting minutes, etc. supporting ongoing assessment. Outstanding: Formal ongoing program including formal analysis, recommended actions, and follow up to address process inefficiency and deficiencies. The documentation must include examples of process changes implemented based on data collection and the resulting analysis.			3			
53	Most efficient plan 7.3.4	Expected: Contractor must provide evidence of a review to determine what processes will most efficiently meet the specification requirements for surface cleanliness, surface preparation, coating/lining application, environmental controls, and logistical support. Evidence may include instructions, or spreadsheets showing discussion or review of methods and sequences. For repeated work a simple statement of the known contributing factors is adequate. Outstanding: Contractor provides a list or table describing the types of issues that influence the decisions regarding surface preparation and coating/lining application methods. Contractor provide evidence of a spread sheet or report based on review of the job site conditions and the potential methods to perform surface preparation and coating/lining application.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
Cost and Schedule Management (7.3)			Original Section Score:					

Discrepancy Identification, Reporting, and Resolution Practices (7.4)

Assessment of contractor's discrepancy management program. Assessment includes discrepancy identification and verification, reporting, technical resolution, second technical check and timely response to the worker. Normally the owner provides technical resolution; however, sometimes the contractor or a third party provides technical resolution. If the contractor provides technical resolution, rate the contractor on items 7.4.2.1, and 7.4.2.2 below. Otherwise, do not rate contractor on these attributes.

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
54	Method for processing discrepancies 7.4.1.1	Expected: Contractor must provide evidence of a program for identifying, tracking, and reporting contractor caused discrepancies. Evidence may include instruction or memo detailing discrepancy reporting process, Discrepancy Notification Form, notes, meeting minutes, e-mails, etc. indicating review and communications. Outstanding: Contractor provides evidence of a program that tracks the discrepancy, indicating who has action pending, and expected timeframes to ensure rapid turn around of a submitted discrepancy. NOTE: THIS ELEMENT DOES NOT APPLY TO CONDITION FOUND REPORTS OF EXISTING DISCREPANCIES.			3			
55	Review discrepancy for accuracy 7.4.1.2	Expected: Contractor must provide evidence of a review prior to submission to determine if the reported discrepancy is valid and if it is accurately defined. Auditor: Review discrepancy reports and instructions to verify direction for a review. Outstanding: Contractor provides evidence of an instruction or technical direction requiring a second review and initial or signature prior to submitting a discrepancy.			3			
56	Provide technically adequate response 7.4.2.1	Expected: Contractor must show evidence of a program that provides recovery actions based on technical rationale. Technical direction for recovery must be provided in a standard written format. Outstanding: Technical direction for recovery is supported by written technical rationale in the document directing the recovery actions. NOT APPLICABLE UNLESS THE CONTRACTOR PROVIDES TECHNICAL RESPONSE FOR THE DISCREPANCY.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
57	Provide second technical check 7.4.2.2	Expected: Contractor must provide evidence that there was a second technical review of the recovery actions to verify technical adequacy of the recovery. Evidence is an instruction or policy statement directing a second technical review prior to issuing technical direction. Outstanding: Technical response requires initials, signature, or comments by a second technical reviewer. NOT APPLICABLE UNLESS THE CONTRACTOR PROVIDES TECHNICAL RESPONSE FOR THE DISCREPANCY.			3			
58	Provide for owner's review 7.4.2.5	Expected: Contractor must provide evidence that the discrepancy review process includes review and acceptance by the owner's representative prior to directing the recovery actions. Review completed discrepancy reports and instructions. Instruction or policy statement should direct a review by the Owner's representative prior to issuing technical direction. Outstanding: Technical response requires initials, signature, or comments by the Owner's representative. NOT APPLICABLE UNLESS THE CONTRACTOR PROVIDES TECHNICAL RESPONSE FOR THE DISCREPANCY.			3			
59	Discrepancy and resolution tracking 7.4.3	Expected: Contractor must provide evidence of a program for tracking, and analyzing contractor caused discrepancies for root cause and potential changes to reduce recurrence. Contractor provides evidence of discrepancy review program or instruction, debriefing, Lessons Learned or similar actions to analyze and prevent repeat discrepancies. Outstanding: Contractor provides evidence of a formal program that develops trend analysis, root cause analysis, recommended changes, and progress tracking to analyze process improvement and discrepancy reduction.			3			
Discrepancy ID, Reporting & Resolution (7.4)				Original Section Score:				

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
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Training and Skills Development (7.5)

Assessment of contractor's surface preparation and application training program regarding the use of industry available certifications, in house training, recordkeeping, employee development and employee assessment. For in house training this assessment does not address compliance with Section 7 Certification Program Requirements of ANSI/NACE No. 13, ANSI/NACE/SSPC Standard Practice Industrial Coating and Lining Application Specialist Qualifications and Certification.

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
60	Formal, documented training program 7.5.1	Expected: Contractor must provide evidence of a formal documented program for employee training including definition of required skills and proficiencies in accordance with Appendix A. Review training program or instruction and training plans. Training plans must be consistent with the requirements in Appendix A and the type of work being performed. Lesson plans for any subjects using in house training. Outstanding: Specialized in house surface preparation and application training plan for common and skilled work tasks, on site mock up facilities.	Indicate Date for documents reviewed:		3			
61	Formal, documented tracking program 7.5.3.1	Expected: Contractor must provide evidence of a tracking system for employee development in accordance with Appendix A. Tracking system must include (1) Training programs completed by the employee, (2) Certifications held by the employee, (3) Skills testing completed by the employee. Review training rosters (current dates), test results (current dates). List of qualified personnel for specific tasks, Outstanding: In house formal program to match employee skills and certifications to skills required on a specific job or project to support work assignments and skill mix to ensure adequate skills for an assigned task.	Indicate Date Range for records reviewed:		3			
62	Employee development tracking 7.5.3.2	Expected: Contractor provides evidence that a Training Coordinator or Supervisor is assigned to manage a program for job experience tracking (current dates), periodic employee progress review, higher skilled employee tracking, and tracking employee development. Evidence should include (1) Written direction for periodic review, (2) Written supervisor comments contributing to employee appraisals, (3) Individual counseling sheets with values for employee skills sets signed by the employee and the Training Coordinator or Supervisor. Outstanding: Individual training plans and goals from employee assessment interviews, signed by the employee and Training Coordinator or Supervisor.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
63	Training Manager responsibilities Overall Program Management - 7.5.3.3.1	Expected: Position description for the Training Manager, or equivalent personnel must include assignment for overall management of the contractor's Training Program. The position descriptions must include a list of core duties, as well as desired experience, training, and/or education. Outstanding: Positive statement in the manual that the Training Manager is not the same person responsible for job completion, such as the Foreman, Supervisor, or Project Manager.			3			
64	Training Manager responsibilities Maintain Training Plans - 7.5.3.3.3 & 7.5.3.3.4	Expected: Assignment in the position description for the Training Manager or equivalent personnel to maintain Training Plans for all subjects, and Lesson Plans for subjects taught in house. Outstanding: Verification that the manual is reviewed and updated as needed at least annually.			3			
65	Training Manager responsibilities Review & Maintain all data generated, provide certifications - 7.5.3.3.6 & 7.5.3.3.7	Expected: Assignment in the position description for the Training Manager or equivalent personnel to review and maintain all data generated to support the functions defined in the Training Plan, and provide certification for employees based on successful completion of training and testing where appropriate. Outstanding: Evidence of Training Plan is updated based on jobsite surveillance results, and the quiz and test reviews. Evidence may be spread sheets, notes, e-mails, Training Plan, or instruction changes.			3			
66	Formal, documented hazardous material & hazardous waste training program 7.5.3.6	Expected: Contractor must provide evidence of a formal documented program for employee training related to health, safety, hazardous material handling, and hazardous waste handling. The program will include all applicable elements from Appendix A of AS-1, Instructor lead training, periodic progress review, and tracking employee certification. Training plan may use commercially available courses. Review training program or instruction, training plans, training rosters (current dates), test results (current dates), Right to Know briefings (current dates and covering materials being used), current training rosters, and individual certification tracking per employee. The training plan must be consistent with the type of work being performed. Outstanding: Specialized in house training plan and rosters for ESH training to support work assignments and crew make up to ensure adequate skills for an assigned task.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
67	ESH Instructor Certification requirements 7.5.3.7	Expected: Contractor must provide evidence that the ESH Instructor is qualified to deliver ESH training. The Instructor qualification includes (1) Complete a training program qualifying the Instructor to teach, or have academic credentials and instructional experience necessary to teach the subjects, (2) Instructor shall demonstrate competent instructional skills and knowledge of the applicable subject matter, (29 CFR 1910.120) 13)			3			
68	Higher skilled employee development 7.5.3.1.4	Expected: Contractor must provide evidence that the training program addresses training for higher skilled positions as appropriate for the type of work the contractor performs. Positions may include spray applicator, plural component pump operator, abrasive blaster, abrasive blast equipment operator, UHP equipment operator, and hazardous material and hazardous waste handler. Review training plans, training rosters (current dates), job experience tracking records (current dates), test results (current dates). Outstanding: Specialized in house training plan and rosters for common and skilled work tasks, on site mock up facilities, skills tracking to support work assignments and crew make up to ensure adequate skills for an assigned task.	Indicate Date Range for records reviewed:		3			
Training and Skills Development (7.5)				Original Section Score:				

Documentation Practices (7.6)

Assessment of contractor's documentation practices related to maintaining required documents for materials and processes, documenting QA/QC checkpoints, and procedures manuals.

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
69	Library of standards and documents 7.6.1	Expected: Contractor must provide evidence of a library of applicable standards, specifications, references, Product Data Sheets and SDSs for all materials coatings, solvents, and industrial materials on the job site or used by the contractor during the job. The library may be hard copy or electronic format. This requirement applies to the office or headquarters locations. Outstanding: All of the above plus manuals or instructions for maintenance and repair of major equipment, and an equipment maintenance schedule.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
70	Accessibility of documents 7.6.1	Expected: The contractor must be able to produce a hard copy of any SDS within 5 minutes to support emergency response to chemical exposure. Request a copy of a random SDS to determine capability. Remainder of the library must be accessible to workers, inspectors, managers and owner's representative within a reasonable timeframe. This requirement applies to the office or headquarters. Outstanding: Not possible for this attribute.			3			
71	Procedures Manual or Instructions 7.6.2 & Subparagraphs - Documentation interpretation and development	Expected: The Procedures Manual or compilation of instructions shall cover all significant aspects of the contractor's business practices. Planner should be able to show a spreadsheet or program defining the process covering: Bid review and proposal writing, Pre-bid and pre-job meeting practices, Conversion of contract to working documents. Determine compliance based on interviews and review of hard copy or electronic media. Outstanding: Written instructions supporting a spreadsheet or program to perform bid review, develop estimates, and work documents.			3			
72	Procedures Manual or Instructions 7.6.2.4 & Subparagraphs Definition of hold points	Expected: The Quality Assurance Program Manual and forms used for quality control must (1) Define hold points, (2) Direct 100% visual inspection of surfaces for cleanliness, (3) Require surface preparation and complete coating coverage. Review manual and QA forms. Outstanding: Electronic QA documentation that prevents entry errors and electronically downloads readings from equipment, identifying out of specification conditions for immediate reporting and resolution.			3			
73	Procedures Manual or Instructions 7.6.2.4 & Subparagraphs Environmental Data	Expected: The Quality Assurance Program Manual must provide direction for taking and analyzing environmental data prior to starting a task, check point acceptance/rejection, and reporting findings. Outstanding: Electronic QA documentation that prevents entry errors and electronically downloads readings from equipment, identifying out of specification conditions for immediate reporting and resolution.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
74	Procedures Manual or Instructions 7.6.2.4 & Subparagraphs Profile & DFT Readings	Expected: The Quality Assurance Program Manual must provide direction for taking and analyzing profile measurements, DFT readings, and check point acceptance/rejection based on the readings, and reporting findings. Outstanding: Requirement for electronic QA documentation that prevents entry errors and electronically downloads readings from equipment, identifying out of specification conditions for immediate reporting and resolution.			3			
75	Quality Assurance and Quality Control Documents 7.6.2.4 and subparagraphs - Visible & Non-visible Contaminants	Expected: The Quality Assurance Program Manual must provide direction for data collection and documentation practices for OQE development including visible and non-visible cleanliness, reporting check point acceptance/rejection based on visual or non-visual observations, and reporting findings. Outstanding: Not possible on this attribute.			3			
76	Ability to track and produce historical documents 7.6.2.4.10	Expected: Contractor must provide evidence of a program for collection, storage, and tracking, information developed during bid generation. Review instructions, notes, meeting minutes, e-mails, and data, etc. to support existence and functional capability of the system. This requirement applies to office or headquarters. Outstanding: Not possible on this attribute.			3			
77	Ability to track and produce historical documents 7.6.2.4.10	Expected: Contractor must provide evidence of a program for collection, storage, and tracking, inspection data and QA documentation developed while accomplishing a job or project. Request OQE for one of the jobs reported during the initial application process. Typically this will not be one of the jobs currently being worked and observed for the audit. This requirement applies to office or headquarters. Contractor must produce electronic or hard copy of requested QA record, including review, acceptance or reconciliation of discrepancies if the job has been completed. Outstanding: Not possible on this attribute.	Indicate date range for records reviewed:		3			
Documentation Practices (7.6)			Original Section Score:					

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
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Use of In House or Sub-Contracted Resources (7.7)

Assessment of contractor's decision-making and management practices related to the use of sub-contracted labor resources for surface preparation and coating/lining application vs. use of in-house labor resources. This section applies regardless of if a contractor sub-contracts a portion of the surface preparation and coating/lining application work or the entire job. This section does not apply if the contractor uses sub-contracted labor for such tasks as staging and containment, structural repairs, or initial cleaning of the surfaces to be prepared. If a contractor does not use sub-contracted resources in any manner this section does not apply.

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
78	Written policy on use of sub-contracted labor 7.7.1	Expected: Contractor must provide written evidence of a program or policy for determining when and how to use sub-contracted labor resources for surface preparation and coating/lining application. Outstanding: Contractor can provide a written policy covering the decision making process for when to sub-contract. NOTE: This element is N/A if the contractor does not sub-contract surface preparation or coating/lining application. This element does not apply to support activities, such as staging.			3			
79	Risk assessment and mitigation practices 7.7.1.1	Expected: Contractor must show that the program or policy objectively determines the type and significance of the risk related to using a sub-contractor, and includes mitigation practices. Contractor can describe the decision making process, and highlight the types of risk analysis performed when selecting a sub-contractor. Outstanding: Contractor can show a written policy, instruction, or program outlining the decision making process. The program should include specific input requirements, risk analysis, and mitigation practices for high risk jobs or frequent sub-contracting.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
80	Sub-contractor selection 7.7.1.3	Expected: Contractor must show that the program or policy for selecting a sub-contractor is based on a detailed proposal showing how the sub-contractor will accomplish the work, evidence of access to skilled workers and industrial equipment. Contractor must describe the risk analysis, decision making process and practices used to weigh the value of each factor. Contractor may routinely use the same subcontractors. Historical success is an acceptable response for the "Expected" score. Outstanding: Contractor requires the sub-contractor to submit an application including such things as industrial capability, access to a skilled workforce, access to capital equipment, detailed plan to accomplish the work, list of significant managers including experience or training/education, detail of costs, mitigation practices for cost or schedule overruns, and references or previous industrial projects the sub-contractor has worked.			3			
81	Contractor oversight of sub-contractor's work 7.7.1.4	Expected: Contractor must show that the program or policy for prime contractor oversight of a sub-contractor's work practices and finished product is in depth and effective to ensure quality work by the sub-contractor. Contractor describes the oversight practices performed either by the Project Manager, an assigned supervisor/manager or Contractor's QA personnel. Contractor maintains verbal and written communication with the Sub-contractor's representative and the owner's representative regarding cost, schedule, and quality adherence by the Sub-contractor. Outstanding: Contractor has a written agreement, Memorandum of Understanding, etc. covering the interface and oversight above. Contractor provides the auditor with periodic reports from either the Contractor's representative or the Sub-contractor's representative detailing cost, schedule, and quality adherence and mitigating actions taken if necessary.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
82	Verify certifications and licenses 7.7.1.5	Expected: Contractor must show that the program or policy ensures verification of a sub-contractor's certifications, licenses, and permits to perform work required by the specification. Review the specification requirements and verify the subcontractor's certifications and accreditations are consistent. Note that the sub-contractor performing the work must meet the same requirements for certification as the prime contractor managing the work. Outstanding: Contractor requires submission of copies of certifications, licenses, and permits as a prerequisite to consideration for the contract.			3			
83	Accomplishment of inspections and OQE development 7.7.1.6	Expected: Contractor must show the program or policy and method for verification of quality assurance and quality control checkpoint inspections, documentation of the data collected during inspections, the acceptance or rejection of a checkpoint and recovery actions if appropriate. The method must at a minimum meet the specification requirements for the specification being worked. Contractor must demonstrate that his representative with CIP Level 3 certification or equivalent provides oversight of Sub-contractor performed QC functions, or minimum tasks required by the specification. Outstanding: Contractor representative with CIP Level 3 or equivalent certification provides oversight, or performs the QC functions required by the specification, or coordinates with independent QC. Contractor has a copy (electronic or hard copy) of QA/QC documentation generated through the previous day. Contractor coordinates with the Sub-contractor and Owner's Representative to verify all check point requirements are met or reconciled prior to continuing with work.			3			
Use of In House or Contracted Resources (7.7)			Original Section Score:					



AS-1 Field Practices Audit Score Sheet

Attribute Ratings: 1 = Unsatisfactory, 2 = Poor or Weakness, 3 = Satisfactory, 4 = Better than Average, 5 = Outstanding

Execution of Field or Shop Work (7.8)

Assessment of contractor's work practices and adherence to the management program elements previously verified during this assessment. Jobsite assessment will include observation of work, observation of inspection check points, observation of equipment and operators, and review of documents and document availability on the work site. Regardless of scores on the other sections, the score for this section must average to 3.0 for a passing score.

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
84	Technical Requirements Document 7.8.1.1	Expected: Contractor provides a copy of the Technical Work Document describing prerequisites (if applicable), surface preparation standard, coating or lining to be applied, environmental conditions required for application, dry film thickness range, curing requirements between coats and prior to service, repair actions, & QC checkpoints. Technical Work Document may refer to other references such as Industry Standards or Product Data Sheets for the technical information. Outstanding: Not possible on this element.			3			
85	Work Authorization Document 7.8.1.2	Expected: Contractor must provide the work permits, work release or other forms that authorize the work to be performed if applicable. Review Specification to determine if work controls are required. If work controls are required the Contractor provides the required documentation. If work permits are not required enter "N/A" in the comments. Outstanding: If work permits are required, work permits are included in the work package or posted at the work site for easy reference, & there is written technical direction describing the work permit requirements. Outstanding is not possible on this attribute if work permits are not required.			3			
86	Library of standards and documents 7.6.1	Expected: Contractor must provide evidence of a library of applicable standards, specifications, references, Product Data Sheets and MSDSs (or SDSs) for all materials coatings, solvents, and industrial materials on the job site or used by the contractor during the job. The library may be hard copy or electronic format. This requirement applies to the work site locations. Outstanding: All of the above plus manuals or instructions for maintenance and repair of major equipment, and an equipment maintenance schedule.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
87	Accessibility of documents 7.6.1	Expected: The contractor must be able to produce a hard copy of any SDS (MSDS) within 5 minutes to support emergency response to chemical exposure. Request a copy of a random MSDS to determine capability. Remainder of the library must be accessible to workers, inspectors, managers and owner's representative within a reasonable timeframe. This requirement applies to the work site. Outstanding: Not possible for this attribute.			3			
88	Third Party inspection records documentation 7.8.1.3	Expected: Contractor must provide the QA/QC inspection recording document being used to collect the data and track the work being performed. Depending upon specification requirements this data may be generated and the documentation may be completed independently or by QC personnel on the contractor's crew. Verify that QC documentation being used is consistent with documentation described in the Quality Assurance Manual, or has been authorized in the specification or technical requirements document. Contractor can provide a hard copy or electronic copy of the QA/QC documentation up to the data collected the previous day. Outstanding: QC documentation is authorized by the specification, has ability to automatically download data collection from electronic instruments, updates the QA/QC records in real time, analyzes readings for compliance with specification requirements, and provides real time notification to the Contractor and Owner.			3			
89	Emergency Action Plan 7.8.1.3	Expected: Contractor must provide the Emergency Action Plan for the worksite. The plan must include procedures for: 1. Emergency escape routes, 2. Employees assigned to operate equipment prior to evacuation, 3. Account for all employees, 4. Rescue and medical duties, 5. Method to report emergencies, 6. POC for more info, 7. Types of evacuation, 8. Prior notification of local first responders. Outstanding: Not possible for this item.			3			
Execution of Shop or Field Work (7.8)			Original Section Score:					

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
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Surface Preparation Observations (7.8.2.1)

Assessment of contractor's surface preparation practices and adherence to the management program elements previously verified during this assessment. Jobsite assessment will include observation of prework cleanliness inspection, environmental requirements, observation of inspection check points, observation of equipment, and review of documents and document availability on the work site.

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
90	Environmental requirements 7.8.2.1.1	Expected: Verify the environmental requirements, normally found in the specification, Work Direction, or on the Product Data Sheet. Verify that the QA/QC data was collected at the required frequency, that all required data was collected, and that the environmental requirements were met during all working hours and for an adequate cure time based on the environmental requirements and the conditions recorded. If recorded environmental conditions fall outside the requirements there should be an entry indicating that work was stopped. If this occurs during cure time, the Contractor should have reported a discrepancy and followed the direction in the technical response. Outstanding: Contractor demonstrates that there are adequate environmental controls in place and functioning to prevent work stoppage due to changing environmental conditions.			3			
91	Equipment condition 7.8.2.1.2 & 7.8.2.1.3	Expected: Observe the quantity, variety, and apparent condition of the surface preparation and support equipment at the job site. Determine if the equipment mix is appropriate for the work tasks being performed. Identify obvious discrepancies to the contractor. Make note of discrepancies and contractor response or recovery actions on this sheet. NOTE: NII does not approve or inspect equipment for compliance to requirements. This attribute is to identify obvious discrepancies, not to approve equipment or installation. Equipment should be in good condition. There should be no significant leaks, exposed uninsulated wires, or worn belts. Whip checks and pins or wires should be in place, hoses should be sound. Outstanding: Evidence of daily equipment inspection, conditions noted and repairs made. Availability of common parts for repair and tools to perform the repair on the job site.			3			
92	Equipment condition for Heavy Metals or Hazardous Waste removal 7.8.2.1.2 & 7.8.2.1.3	Expected: Determine if the surface preparation includes removal of coatings with heavy metals or hazardous waste, based on specification review. If so, the shower and change room facility must (1) Be operable, (2) Have hot and cold running water. Outstanding: Evidence of daily shower facility inspection and cleaning.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
93	Equipment condition for Heavy Metals or Hazardous Waste removal 7.8.2.1.2 & 7.8.2.1.3	Expected: Determine if the surface preparation includes removal of coatings with heavy metals or hazardous waste, based on specification review. If so, negative pressure containment and filtered exhaust ventilation are required and must be operational at the time of the audit. Equipment should be in good condition. There should be no significant leaks where abrasive or waste has exited the containment. If there are any leaks recovery actions should have been initiated as soon as they were identified or as per specification. Outstanding: Evidence of daily equipment inspection, conditions noted and repairs made. Availability of common parts for repair and tools to perform the repair on the job site.			3			
94	Staging and Containment 7.8.2.1.2 & 7.8.2.1.3	Expected: Observe the apparent condition of the staging, and containment at the job site. Determine if the containment is appropriate for the work being performed. Identify obvious discrepancies to contractor. Make note of discrepancies and contractor response or recovery actions on this sheet. NOTE: NII does not approve or inspect equipment, staging and containment for compliance to requirements. This attribute is to identify obvious discrepancies, not to approve equipment or installation. Staging should be properly constructed with adequate clamps, planks, rails, and kick boards. Containment should be tight and not let air escape. This may require exhaust ventilation. Loose drapes, missing staging material, improperly constructed staging or containment must be reported to the supervisor immediately for corrective action. Outstanding: Well constructed staging and containment, well lit containment, exhaust ventilation, & dehumidification.			3			
95	Abrasive media 7.8.2.1.4	Expected: Compare abrasive media on the job site to the specification requirement. Note that for UHP preparation there may be no standard, or the standard may relate to water cleanliness. The media available for use must be consistent with the required media, or there must be a written authorization to deviate.			3			
96	Abrasive media testing IAW AB-1, AB-2, AB-3 or AB-4 7.8.2.1.5	Expected: Contractor must perform the field tests described in SSPC AB-1, AB-2, AB-3, or AB-4 as applicable to the type of abrasive being used. Field test include oil content (for all standards), 100 grit sieve test (for AB-2), Non-abrasive residue in work mix (for AB-2). Documentation in the QC records indicating testing daily unless otherwise stated in the specification. Outstanding: Not possible on this attribute.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
97	Surface cleanliness 7.8.2.1.6	Expected: Compare the surface cleanliness prior to surface preparation to the specification requirement (normally SSPC-SP 1). Determine if there is a requirement for a non-visible contaminant inspection prior to surface preparation. Note that surface cleanliness requirement may not be separately specified; however, most surface preparation standards start with a requirement to meet SSPC-SP 1. Verify there is a check point for SSPC-SP 1 cleanliness prior to surface preparation. Outstanding: Evidence of testing for non-visible surface contaminants, or pressure washing all surfaces prior to surface preparation.			3			
98	Surface cleanliness & Profile after preparation 7.8.2.1.7 & 7.8.2.1.8	Expected: Compare the surface cleanliness (Surface Preparation achieved) after surface preparation to the specification requirement. Inspector must perform 100% visual inspection emphasizing behind beams, in obscured areas, rat holes, difficult to access areas and plating, and performs profile testing IAW the specification. Surface cleanliness must meet specification requirement or there must be technical acceptance of the condition. Outstanding: Same as above including use of electronic profile gauge with the ability to transfer readings to a computer to prevent data reporting errors.			3			
99	Non-visible inspection and check points 7.8.2.1.7 & 7.8.2.1.10	Expected: Observe the check point inspection. Verify that all data collected is within specification, or has been reported for technical resolution. For out of specification data or visual inspection, note reporting, recovery actions directed, recovery actions taken, and any verification of satisfactory recovery completion. Verify the inspector performed non-visible contamination inspections checking for chlorides, sulfates, and/or nitrates depending upon the expected contaminants & specification requirements. Outstanding: Same as Expected plus: All data collected is analyzed prior to continuing work. Any discrepancies are reconciled prior to accepting the check point, and any required corrective actions are taken.			3			
Surface Preparation Observations (7.8.2.1)			Original Section Score:					

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
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Coating/Lining Application Observations (7.8.2.2)

Assessment of contractor's coating/lining application practices and adherence to the management program elements previously verified during this assessment. Jobsite assessment will include observation of prework cleanliness inspection, inspection check points, equipment, coating/lining application as practical, and review of documents and document availability on the work site.

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
100	Environmental requirements 7.8.2.2.1	Expected: Verify the environmental requirements, normally found in the specification, Work Direction, or on the Product Data Sheet. Verify that the QA/QC data was collected at the required frequency, that all required data was collected, and that the environmental requirements were met during all working hours and for an adequate cure time based on the environmental requirements and the conditions recorded. If recorded environmental conditions fall outside the requirements there should be an entry indicating that work was stopped. If this occurs during cure time, the Contractor should have reported a discrepancy and followed the direction in the technical response. Outstanding: Contractor demonstrates that there are adequate environmental controls in place and functioning to prevent work stoppage due to changing environmental conditions.			3			
101	Equipment condition 7.8.2.2.3	Expected: Observe the quantity, variety, and apparent condition of the coating application and support equipment at the job site. Determine if the equipment mix is appropriate for the work tasks being performed. Identify obvious discrepancies to the contractor. Make note of discrepancies and contractor response or recovery actions on this sheet. NOTE: NII does not approve or inspect equipment for compliance to requirements. This attribute is to identify obvious discrepancies, not to approve equipment or installation. There should be adequate type and quantity of equipment to support the ongoing work. Equipment should be in good condition. There should be no significant leaks, exposed uninsulated wires, or worn belts. Whip checks and pins or wires should be in place for air hoses, all hoses should be sound. Outstanding: Evidence of daily equipment inspection, conditions noted and repairs made. Availability of common parts for repair and tools to perform the repair on the job site.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
102	Staging condition 7.8.2.2.2 & 7.8.2.2.3	<p>Expected: Observe the apparent condition of the staging, and containment at the job site. Determine if the containment is appropriate for the work being performed. Identify obvious discrepancies to contractor. Make note of discrepancies and contractor response or recovery actions on this sheet. NOTE: NII does not approve or inspect equipment, staging and containment for compliance to requirements. This attribute is to identify obvious discrepancies, not to approve equipment or installation. Staging should be properly constructed with adequate clamps, planks, rails, and kick boards. Containment for heavy metals removal should be tight and not let air or fugitive dust escape. This may require exhaust ventilation. Loose drapes, missing staging material or improperly constructed staging or containment must be reported to the supervisor immediately for corrective action. Outstanding: Should have some or most of the following: Well constructed staging and containment, well lit, exhaust ventilation, dehumidification, are examples of things that indicate a well made containment.</p>			3			
103	Material storage conditions (Hazardous materials such as coatings and solvent) 7.8.2.2.4	<p>Expected: Observe the material storage condition at the job site. NOTE: NII does not approve or inspect equipment, storage areas or containment for compliance to requirements. This attribute is to identify obvious discrepancies, not approve material storage areas. Material storage area should be protected from the weather, not in direct sunlight, ventilated/heated to maintain temperature and humidity (if required) within specification or Product Data Sheet (PDS) requirements. There should be a spill kit available, eyewash station, and secondary containment if required by the specification. Consumables and flammable material should be stored and disposed of separately to prevent fire hazards. Outstanding: Material is stored in a dedicated Hazardous Material Locker incorporating all of the conditions stated above for "Expected".</p>			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
104	Material mixing, stand in time 7.8.2.2.5	Expected: Based on the PDS requirements determine the mixing procedure and stand in time for the material being used. Determine if the person mixing the material knows (1) The material being mixed, (2) Mix ratios, and mixing requirements (mix slow, or mix fast, clean the paddle when changing from one component to the other, etc.); (3) Uses a clean mixer paddle for each component, or cleans the mixer paddle with solvent between usages (cleaning the paddle prior to next use is not required once both components have been individually mixed and the paddle is being used to blend the two components); (4) Mixes complete kits or uses graduated containers, story stick, etc. to accurately measure partial kits when allowed. Determine if the requirements were met. Outstanding: Not possible for this element.			3			
105	Material thinning requirements 7.8.2.2.6	Expected: Based on the PDS requirements and the specification the person performing the thinning identifies the written direction for thinning the material, knows the appropriate thinner and amount authorized; can demonstrate how to measure the quantity of thinner either using a graduated container or other authorized method of measurement. Determine if the requirements were met. NOTE: VERIFY THINNING DIRECTION PROVIDED TO THE FIELD OPERATION. IF THINNING DIRECTION IS NOT CONSISTENT WITH ITEM 35 IN ADMINISTRATIVE PRACTICES, ITEM 35 SHOULD BE MARKED AS UNSATISFACTORY OR AS A WEAKNESS, AS APPROPRIATE. Outstanding: All of the above plus a thinning log indicating date, type and quantity of material thinned, thinner type and quantity used.			3			
106	Surface cleanliness prior to coating application 7.8.2.2.7	Expected: Contractor demonstrates that the surface is checked for contaminants such as dust, rust bloom, or debris prior to application. On subsequent applications the check should include an awareness of the possibility of amine bloom, entrapped debris, etc. This inspection can be performed concurrent with the surface preparation inspection or the previous coating application inspection so long as there is not an excessive amount of time between the inspection and the subsequent coating being applied. Outstanding: Coating inspection record has a required time, date, and signature or entry verifying the cleanliness inspection prior to coating application.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
107	Effectiveness of coating methods used 7.8.2.2.8 & 7.8.2.2.9	Expected: Coating application method and touch up methods used are consistent with direction in the PDS, and the specification, and are appropriate for the material and the substrate. Outstanding: If multiple coating application methods are approved, the Contractor uses the most efficient method expected to produce a consistent, continuous film.			3			
108	Adequate cure time 7.8.2.2.10	Expected: Contractor can show that the minimum cure times were met based on the PDS, specification, and review of the Temperature/Humidity/Dew Point log. Outstanding: Evidence that powered exhaust ventilation was in place and operable during the entire cure time.			3			
109	Dry Film Thickness measurement and visual inspection 7.8.2.2.11	Expected: Contractor: 1) Provides an estimate of the square footage; 2) Provides the number of readings to be taken (specify Measurement Area [15 Touches] or Spot Readings [3 Touches]) for the square footage identified based on SSPC-PA 2 or per the specification; properly verifies calibration on the DFT gauge, and provides a copy of the readings and calculations required. Outstanding: Contractor provides required readings as stated above using an electronic gauge with memory that transfers readings to an automated spreadsheet or program which calculates values and reports discrepancies. All discrepancies must be reconciled prior to continuation of work.			3			
110	Visual Inspection 7.8.2.2.12	Expected: Contractor performs a 100% visual inspection (or as specified) of all surfaces and complex geometry. Contractor reports or corrects all discrepancies per specification requirements. Outstanding: Contractor provides illumination during the inspection that meets the requirements of Guide 12, and has a light meter to verify illumination.			3			
111	Logistical support 7.8.2.3	Expected: Contractor must provide evidence that there is adequate logistical support to perform the job safely and in an economical manner. Logistical support may include any combination of forklifts, blasting and recovery equipment, UHP, DH, exhaust ventilation/dust collector, staging, containment, aerial work platforms, cranes, rigging personnel, helpers and support trades, hazardous material storage lockers, break room/restroom. Outstanding: Use of DH, heat and effective containment to control temperature/humidity/ dew point to maintain an efficient schedule when it would not otherwise be required on the job.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
112	Hazardous Material and consumables 7.8.2.4, & Sub Paragraphs	Expected: Hazardous Material storage area should be segregated, labeled, and stocked frequently. Verify secondary containment as appropriate, segregation of incompatible materials, and fire extinguisher. Outstanding: Contractor shows evidence of Kan-ban system, or similar method to ensure responsive, adequate replenishment and stocking of consumables without excess waste, and 5S organization of consumables.			3			
113	Material and consumables 7.8.2.4, & Sub Paragraphs	Expected: Material storage area should be segregated, labeled, and stocked frequently. Observe the material storage areas for consumables such as gloves, rags, tyvek coveralls, sock hoods, tape, and other common consumables. Outstanding: Contractor shows evidence of Kan-ban system, or similar method to ensure responsive, adequate replenishment and stocking of consumables without excess waste, and 5S organization of consumables.			3			
114	Hazardous Waste Management 7.8.2.5 & 7.8.2.7	Expected: Contractor must provide evidence that engineering controls, administrative controls, and work practices are in accordance with the Site Compliance Plan. The program will include the following elements: (1) Personnel training, (2) Segregation of incompatible wastes, (3) Secondary containment when required, (4) Verification that "empty" containers meet the definition of less than 1" or 25.4 millimeters of remaining material, completely dry or cured, and that the containers were not left open to dry, (5) Hazardous Waste labeling, and documentation, (6) Proper Hazardous Waste manifesting and shipping. Outstanding: Formal site inspection program verifying compliance, identifying discrepancies and corrective action taken.			3			
115	Awareness of specification requirements 7.8.2.7	Expected: Contractor provides technical work direction for hazardous waste removal, packaging, storage, and shipping. Contractor demonstrates compliance with the technical direction. Outstanding: Not possible on this element.			3			

Item	Attribute	Description	Comments	Rated Value	Expected Value	Major Finding	Minor Finding	Observation
116	Methods to meet the requirements for hazardous waste management 7.8.2.5 & 7.8.2.7	Expected: Contractor must provide inventory, daily or weekly inspection records for Accumulation Areas, and manifests for hazardous waste that has been removed from the site. Outstanding: Visual observation must verify that all containers are closed except when material is being deposited or removed from the container, facility must provide secondary containment equal to the maximum amount of liquid stored in the facility, that the hazardous waste in the facility is properly labelled, and that the maximum permitted quantity of hazardous waste is not exceeded.			3			
117	Job Related Health Issues - Personnel for Advice and Consultation - 7.1.4.2.8.7	Expected: Contractor provides readily available personnel for consultation and advice for job related health issues. Contact information must be available to workers at the jobsite. Outstanding: Not available for this element.			3			
118	Job Related Health Issues - Availability of First Aid - 7.1.4.2.8.8	Expected: There are two possible methods to meet this requirement. If there is readily available infirmary, clinic, or hospital in near proximity to the worksite, that is adequate. Otherwise the contractor must provide someone with First Aid training and the materials to perform First Aid. Contractor provides readily available method to render First Aid at the jobsite based on one of the two criteria described above. Outstanding: Not available for this element.			3			
Coating/Lining Application Observations (7.8.2.2)			Original Section Score:					