



NACE INTERNATIONAL INSTITUTE

CONTRACTOR ACCREDITATION PROGRAM

**Independent Training Organization
Accreditation Application**

(AS – 3 ITO Part 2)

- AS-3 Program for Accreditation of Coating Applicator
Independent Training Programs

Required Documents per Audit Standard***

*** If you do not have one or more of these documents, please contact us to discuss comparable alternatives that may apply.

AS-1 (Shop and/or Field)	AS-2	AS-3 In-House & ITO
Statement of Quality	In addition to AS-1 requirements also include manuals or instructions for:	Training Goals/ Mission Statement
QA/QC Manual	<ul style="list-style-type: none"> • Containment 	Trade Skills Training Manual or collection of instructions
Health, Safety, and Environmental Manual (often these are separate documents)	<ul style="list-style-type: none"> • Filtered exhaust ventilation 	Organizational Chart
Mishap Investigation Procedure	<ul style="list-style-type: none"> • Waste storage and labeling 	Position Description definitions including training certification for instructors and experience as appropriate: ESH Instructor requires additional training or academic credentials, and experience
Organizational Chart	<ul style="list-style-type: none"> • Hazardous Waste Accumulation Area management 	Process Instructions, written policies, or direction for: <ul style="list-style-type: none"> • Development, update, review, and delivery of lesson plans (the documents and presentations used to perform training)
QC data collection sheets, programs, or instructions for use for each process checkpoint/hold point		<ul style="list-style-type: none"> • Development, update, review, and delivery of training plans (the program and direction used to direct training)
Discrepancy Management Procedure		<ul style="list-style-type: none"> • In-house surveillances or in-house audits & review
Planning and Estimating manual, instructions, or practices		<ul style="list-style-type: none"> • Tracking OJT (when appropriate)
Hazardous Material/Hazardous Waste Management		<ul style="list-style-type: none"> • Assessing language skills (must be functional in reading, writing, and understanding language used on the worksite – may be more than one language used)
Material Tracking (HAZMAT & HAZWASTE)		<ul style="list-style-type: none"> • General Knowledge training
Training Plan for required skills training (may be in-house or commercially available) <ul style="list-style-type: none"> ❖ Trade skills – surface preparation, coating/lining application ❖ Health & Safety <ul style="list-style-type: none"> • Heavy metals/hazardous material/hazardous waste exposure • Confined Space training • SDS awareness 	<ul style="list-style-type: none"> • Surface Preparation training 	
Lesson Plan for any in-house training		<ul style="list-style-type: none"> • Coating Application training
Training Rosters		<ul style="list-style-type: none"> • Data Collection and hold point training
Written policy regarding the use of surface preparation or coating/lining subcontractors		<ul style="list-style-type: none"> • Testing Policies
Technical Requirements document or method of transferring specification language into technical direction for workers		
Any inspection forms, reminder sheets, or process checks used to verify compliance with requirements		

AS – 3 ITO Part 2 – For Independent Training Organizations of Coating Applicator Training Programs

1. ORGANIZATION INFORMATION

- 1.1. This information identifies the organization’s facility location and point of contact. This information is required on each document in the application to ensure organization’s required submissions are kept together, and to provide confidentiality for the organization.
- 1.2. Please provide the following information. Ensure that this information is consistent with the same requested information on other documents used to perform the audit.

2. FACILITY LOCATION

- 2.1. ITO Name: _____
- 2.2. Facility Address: _____
- 2.3. City: _____
- 2.4. State/Province: _____
- 2.5. Postal/Zip Code: _____

3. POINT OF CONTACT INFORMATION

- 3.1. Point of Contact Name: _____
- 3.2. Business Phone: _____
- 3.3. Cell Phone: _____
- 3.4. E-mail: _____

4. ACCREDITATIONS COVERED BY THIS APPLICATION

AS-3 ITO: Accreditation of Independent Training Organizations of Coating Applicator Training Program

5. COMPLETING THIS APPLICATION

- 5.1. Please refer to “NIICAP Overview and Instructions” document which identifies the required documentation to be submitted with NIICAP ITO Application Part 2, this document. When preparing the documents requested and listed in Appendix C, please include the entire document that is requested, not excerpts.
- 5.2. All audit elements in this application shall be completed the first time this application is used for each facility. For following years, the following allowances apply:
 - 5.2.1. For items that have been identified in a previous audit using this application, and are the same as during the previous audit, check the “No Change” checkbox.
 - 5.2.2. For items that have changed since the previous audit, the same submissions are required as for the initial audit.
 - 5.2.3. For documents that have new review dates but have not been changed otherwise, there is no need to submit the entire document. Simply enter the document title in Appendix C. Submit a copy of the changed page and enter the document number from Appendix C in the “Document” block in the application and identify the section or paragraph number where the requirement or change can be found.

5.2.4. For items that are not applicable, check the “N/A” check box. In Appendix D enter the paragraph number from this document and a brief explanation of why the element is not applicable. Appendix D can also be used for adding additional information about an audit element.

6. BUSINESS STRUCTURE

6.1. Statement of Training Goals. Provide the statement of training goals or mission statement, and evidence that the statement is readily accessible to students and students in hard copy or electronic format. Statement of Training Goals shall as a minimum address quality of educational products, worker safety, health and mishap prevention, hazardous materials, hazardous waste, and environmental compliance.

N/A: No Change: Document: _____ Section #: _____

6.2. Mishap Investigation Process. Mishap Investigation Process or manual should identify accepted investigation methods to determine root cause, corrective and preventive actions. Process must emphasize objectivity, not disciplinary actions.

N/A: No Change: Document: _____ Section #: _____

6.3. Surveillance or audit report review policy. Identify requirement to perform audits/surveillances and for audit report or surveillance report review by appropriate managers. Should include analysis for negative trends, and incorporation of process improvements into instructions or manuals.

N/A: No Change: Document: _____ Section #: _____

6.4. Effective Management Team. Provide a company organizational chart, or contact list identifying personnel by title and name. Organizational chart or list must include contact information such as phone and e-mail for all significant functions.

N/A: No Change: Document: _____ Section #: _____

6.5. Company Officers’ Information Sheet. Complete a copy of **Appendix F** for each Company Officer, Manager, or person assigned for the functions listed on Appendix F. The functions performed by an individual may be combined, or use different titles; however, each function must be covered.

7. ADMINISTRATIVE REQUIREMENTS

7.1. Technical Library. Ensure the following documentation is available in hard copy or electronic format at the training facility. Technical library will be verified by visual observation during the audit. Note that the Auditor will request an SDS for one of the materials either on site or indicated as having been used. A “Transportable Copy” of the SDS must be produced within 5 minutes. “Transportable Copy” may be a hard copy, or an electronic copy with a plan in place for someone other than the injured party to travel with the injured party and provide the information to hospital or clinic personnel. Examples of documents include:

7.1.1. Applicable industry standards, specifications, and references for training and testing being performed,

7.1.2. All student and manager training and experience evidence as defined in the applicable NIICAP Audit Standard,

7.1.3. SDS and PDS for all products currently in use on the jobsite (see note above for SDS requirements),

7.1.4. All manuals, compilations of instructions, memos, and directives necessary to verify the elements listed in this administrative review,

7.1.5. Manuals covering maintenance and repair of major equipment,

7.1.6. Provide evidence that training and exam data that is generated is retrievable. The auditor will ask for certification data for a student and the ITO shall provide access to the information in hard copy or electronic format.

7.1.7. Facility Emergency Action/Evacuation Plan.

N/A: No Change: Document: Section #:

7.1.8. Policy to ensure personnel and students have had the required training and briefings regarding hazardous materials/hazardous waste exposure required by the United Nations Globally Harmonized System (formerly “Right to Know”), or other locally applicable system prior to exposure.

N/A: No Change: Document: Section #:

7.1.9. Written and accessible Safety and Health Plan that provides for identification, evaluation, and implements controls for potential site safety and health hazards and directs the most appropriate employee and student actions.

N/A: No Change: Document: Section #:

7.1.10. Provide for explosion proof storage facilities, spill prevention, spill kits, and eyewash stations when required by Compliance Plan, Hazardous Waste Accumulation Area Plan, or higher tier documents. There may be no requirement for explosion proof storage if all containers are new and unopened.

N/A: No Change: Document: Section #:

7.1.11. Direction for First Aid Services and provisions for on site or local emergency support.

N/A: No Change: Document: Section #:

7.1.12. Provide evidence of written direction for employees and students to use proper PPE during work operations and follow suit up and unsuiting procedures.

N/A: No Change: Document: Section #:

7.2. Physical and Intellectual security of tests, quizzes, and answer keys.

7.2.1. Provide evidence of written direction to maintain physical and intellectual security of test materials, quizzes, test keys, and student records.

N/A: No Change: Document: Section #:

8. FACILITY REQUIREMENTS

8.1. Provide that the test panel is consistent with requirements of ASTM D4228. If test panel is not consistent with ASTM D4228 provide equivalency rationale in Appendix D and provide photos.

N/A: No Change: Document: Section #:

8.2. Provide evidence that ensures the ITO has adequate surface preparation and coating application equipment to perform testing and spare parts in case of equipment failure. Examples are:

8.2.1. Abrasive blast booth and paint application booth (indicate sizes).

8.2.2. Spare hoses, clips, nozzles, repair parts for the abrasive blast pot,

8.2.3. Hand and power tools, are hoses or extension cords to attach power tools,

N/A: No Change: Document: _____ Section #: _____

8.3. Provide evidence that the ITO has adequate Personal Protective Equipment (PPE) and Respiratory Protective Equipment (RPE) for the number of students that may require equipment at any given time. Amount of equipment may be mitigated by cleaning procedures that can be used between students.

N/A: No Change: Document: _____ Section #: _____

9. TRAINING AND SKILLS DEVELOPMENT

9.1. Training Manager Responsibilities

9.1.1. Provide evidence that the Training Manager is responsible for overall Training Program management including:

(a) Training Plan Development.

N/A: No Change: Document: _____ Section #: _____

(b) Lesson Plan Development for any classes taught in-house.

N/A: No Change: Document: _____ Section #: _____

(c) Review of audit findings, surveillance findings, Lessons Learned or discrepancy assessment reports to contribute to Training Plan and Lesson Plan development.

N/A: No Change: Document: _____ Section #: _____

(d) Provide certification for employees who have successfully completed training and testing. Review of support materials such as tests, quizzes, test results for compliance and potential improvements.

N/A: No Change: Document: _____ Section #: _____

9.2. Provide evidence of a formal documented training program (Training Manual or Instruction, Training Plan for all training required, Lesson Plan for any subjects taught in-house) for participant development. Program must include definition of required trade skills and proficiencies (position description) meeting the requirements of Appendix A of AS-1.

N/A: No Change: Document: _____ Section #: _____

9.3. Provide evidence of a tracking system to ensure student training and certifications are kept current prior to assignment requiring the training or certification. Tracking system must include:

9.3.1. Training programs completed by the student,

9.3.2. Certifications held by the student,

9.3.3. Skills testing completed by the student (examples include a class training roster or individual training record for each student).

9.3.4. List of personnel qualified through the ITO.

N/A: No Change: Document: _____ Section #: _____

9.4. Provide evidence that Training Manager, Supervisor, or equivalent personnel is assigned to manage a student development program that tracks job experience (as reported by student or employer) and includes periodic student progress review with individual counseling, supervisor comments, and student signature.

N/A: No Change: Document: _____ Section #: _____

9.5. Provide evidence that training is provided for student development into higher skilled positions as appropriate for the tasks performed by the contractor.

N/A: No Change: Document: _____ Section #: _____

9.6. Provide evidence of a formal, documented, program for student training related to safety, health, hazardous material handling, and hazardous waste handling. Training Program must include all of the applicable sections defined in Appendix A of AS-1 including requirements for the Globally Harmonized System or regional/local equivalent as well as locally applicable Hazardous Material and Hazardous Waste training requirements. Students must be trained and certified prior to exposure to the applicable hazard.

N/A: No Change: Document: _____ Section #: _____

9.7. Provide evidence that the ESH Instructor is qualified to deliver training based on OSHA or locally applicable requirements. ESH Instructor must be qualified in the courses s/he is providing instruction for, as well as additional training as defined by local requirements.

N/A: No Change: Document: _____ Section #: _____

9.8. Training Manager responsibilities.

9.8.1. Direct or indirect supervisory assignment for Instructors.

N/A: No Change: Document: _____ Section #: _____

9.8.2. Overall Training Program management.

N/A: No Change: Document: _____ Section #: _____

9.8.3. Maintain Training Program Manuals and instructions.

N/A: No Change: Document: _____ Section #: _____

9.8.4. Review all data generated to support the functions defined in the Training Manual and other manuals and instructions (test and exam data, training records, surveillance or audit reports, instruction changes, preventive and corrective actions).

N/A: No Change: Document: _____ Section #: _____

9.8.5. Perform audits/surveillances of training and exam sites and of documentation generated for each task.

N/A: No Change: Document: _____ Section #: _____

9.9. Trade Skills Training Instructor responsibilities.

9.9.1. Overall Training Program management at the classroom, test site, and student level including delivery of the curriculum in accordance with applicable lesson plans, data collection, recordkeeping, reporting functions for training and exams for each subject managed.

N/A: No Change: Document: _____ Section #: _____

9.9.2. Reports directly to the Training Manager.

N/A: No Change: Document: _____ Section #: _____

9.9.3. Review all data generated during training and exam practices to support the functions defined in the Training Manual (training data, surveillance or audit reports, instruction changes, preventive and corrective actions).

N/A: No Change: Document: Section #:

9.10. Formal Training Program.

9.10.1. Provide access to the Training Manual and support manuals, and evidence that the Training Program and Manual are readily available to managers and instructors in electronic or printed format.

9.10.2. Manual must address the subjects and provides program direction listed below. Evidence includes a PDF copy of the manual and in process forms, QC data collection forms, audit/surveillance/inspection forms, training records, and instruction change recommendations.

(a) Evidence that Training Manager and Instructors have current Instructor Certification from NACE, KTA Tator, SSPC, FROZIO or other recognized certification organizations.

N/A: No Change: Document: Section #:

(b) Evidence of material storage requirements such as technical direction for environmental controls and monitoring, segregation or secondary containment (as required), storage area inspections, and job site practices. Evidence would also include records and verification of corrective actions.

N/A: No Change: Document: Section #:

(c) Requirement for explosion proof material storage area when required by specification or higher tier requirements.

N/A: No Change: Document: Section #:

9.10.3. In Process Exam Observations.

(a) Define check points – hold points and directs that the applicator is required to perform them in accordance with project specification and applicable industry standards.

N/A: No Change: Document: Section #:

(b) Surface cleanliness standards prior to surface preparation.

N/A: No Change: Document: Section #:

(c) Surface profile.

N/A: No Change: Document: Section #:

(d) Chlorides/contaminants (as appropriate).

N/A: No Change: Document: Section #:

(e) Cleanliness including surface preparation meets specified standard immediately prior to coating application (each coat).

N/A: No Change: Document: Section #:

(f) Coating/lining application complete visual inspection (each coat).

N/A: No Change: Document: Section #:

(g) DFT readings (each coat).

N/A: No Change: Document: Section #:

(h) Environmental readings and analysis (prior to each task, and at specified frequency through curing).

N/A: No Change: Document: Section #:

(i) Surface preparation and coating/lining application repairs.

N/A: No Change: Document: Section #:

(j) Final acceptance.

N/A: No Change: Document: Section #:

(k) Requires 100% visual inspection.

N/A: No Change: Document: Section #:

(l) Required environmental data collection and analysis.

N/A: No Change: Document: Section #:

9.10.4. In-House Surveillance/Audit Program.

(a) Provide evidence of direction, and data from an in-house surveillance or audit program. Program must include tracking findings, contractor caused discrepancies, and root cause analysis, corrective and preventive actions.

N/A: No Change: Document: Section #:

This is the end of the AS-3 Accreditation for Independent Training Organization Programs Application. Ensure you attach:

- APPENDIX C – List of the Attached Documents
- APPENDIX D – Comment Sheet to explain any “N/A” entries or to add information on a specific element
- APPENDIX E –Independent Training Facility Information Sheet
- APPENDIX F – Company Officers’ Information Sheet for each title requested

NOTE: CCA Testing Facilities require a CCA application as well.

APPENDIX C

LIST OF ATTACHED DOCUMENTS

Organization Name: _____ Date: _____

Facility Address: _____

Enter the title of each document submitted. - Throughout this application enter the document number from Appendix C and the Paragraph or Section number within that document where the requirement is found in the manual/document in the provided boxes of the application.

Document Number	Document Title
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
11.	
12.	
13.	
14.	
15.	
16.	
17.	
18.	
19.	
20.	

APPENDIX D

Organization Name: _____ Date: _____

Facility Address: _____

Complete one entry on this Appendix for each paragraph that was checked “N/A” throughout the application(s). Enter the paragraph number and a brief description of why the paragraph is not applicable. If several consecutive paragraphs are not applicable for the same reason, you may enter the range of paragraph numbers and one comment covering all of them. Also, please use this Appendix for any comments you want to make about an entry.

Paragraph Number	Description

APPENDIX E

INDEPENDENT TRAINING FACILITY INFORMATION SHEET

Complete a copy of this form for each facility or office where AS-3 ITO accreditation is requested. The first time this appendix is completed for a facility “No Change” cannot be used. For subsequent submissions of this appendix for the same facility, if there have been no changes simply check the “No Change” box.

- A.1. Facility Name: _____
- A.2. Facility Address: _____
- A.3. City: _____ State: _____ Postal/Zip Code: _____ Country: _____
- A.4. EIN #: _____
- A.5. Website: _____ No change: N/A:
- A.6. Business Phone (at this facility): Country Code: _____ Area Code: _____ Number: _____
- A.7. Contractor Business Model:
- Publicly Held Corporation
 - Corporation: C-Corp, S-Corp, LLC
 - Sole Proprietorship
 - Partnership
 - Not-for-Profit Organization
 - Labor Organization
- A.8. Do student testing panels conform to ASTM D4228? Yes No No Change
 A.8.1. If not, provide description, dimensions, photos, and technical justification for equivalency.
-
- A.9. Number of ASTM D4228 panels (or equivalent) available: _____
- A.10. Surface preparation equipment and facilities available (answer “Yes” or “No”):
- A.10.1. Abrasive blast booth large enough to accommodate working with the ASTM D4228 panel:
- | | | | |
|--|------------------------------|-----------------------------|------------------------------------|
| | Yes <input type="checkbox"/> | No <input type="checkbox"/> | No Change <input type="checkbox"/> |
|--|------------------------------|-----------------------------|------------------------------------|
- A.10.2. Abrasive blast cabinet: Yes No No Change
- A.10.3. Vapor Blast equipment: Yes No No Change
- A.10.4. List Mechanical tools: Yes No No Change
- A.10.5. List Hand tools: Yes No No Change
- A.10.6. Environmental Controls used: Yes No No Change
- A.10.6.1. Describe environmental controls used during surface preparation, coating application, and curing:
-

- A.11. Coating Application equipment and facilities available (answer “Yes” or “No”):
- A.11.1. Spray booth large enough to accommodate working with the ASTM D4228 panel:
- Yes No No Change
- A.11.1.1. If not, describe spray booth: _____
- A.11.2. Airless spray: Yes No No Change
- A.11.3. Conventional spray: Yes No No Change
- A.11.4. HVLP spray: Yes No No Change
- A.11.5. Brush and roll: Yes No No Change
- A.12. Curing:
- A.12.1. Heat and ventilation capability. Can the HVAC system maintain the ambient temperature within the work and curing area between 50 and 100 degrees?
- Describe environmental controls: _____
- A.12.2. Type of enclosure: No Change
- Description: _____
- A.13. Are the following manuals the same as provided with this application? If not, provide PDF copy of any manuals that are different and enter the manuals in AS-3 ITO Appendix C.
- A.13.1. Surface Preparation Training Plan:
- Copy Provided Same
- A.13.2. Coating Application Training Plan:
- Copy Provided Same
- A.13.3. Environmental, Health and Safety Manual:
- Copy Provided Same
- A.13.4. Emergency Action Plan:
- Copy Provided Same
- A.13.5. Hazardous Materials/Hazardous Waste Management Plan:
- Copy Provided Same
- A.13.6. Standard Operating Procedures or Instructions:
- Copy Provided Same
- A.14. Classrooms and support equipment:
- A.14.1. How many classrooms are in the facility? _____
- A.14.2. How many students can each classroom accommodate? If there are different size classrooms describe each type and indicate the number of classrooms of each type.
- _____
- _____
- A.14.3. Describe classroom support equipment such as audio/visual equipment
- _____
- _____
- A.15. Provide any explanations needed on Appendix (D).

APPENDIX F

COMPANY OFFICERS' INFORMATION SHEET

AS-3 INDEPENDENT TRAINING ORGANIZATION (ITO)

Complete a copy of this appendix for **each** person identified in AS-3 ITO Part 2.

If responsibilities are combined, only one copy of this appendix is necessary for each person; however, all functions must be covered in one or another of the copies of this appendix that are submitted.

Company Name: _____ Date _____

B.1. Person's Name: _____

B.2. Position Title: _____

B.3. Business Phone: _____

B.4. Cell Phone: _____

B.5. E-Mail Address: _____

B.6. Work Address: _____

City: _____ State: _____ Postal/Zip Code: _____ Country: _____

B.7. Position Title(s) Check all that apply:

<input type="checkbox"/> Facility Manager	<input type="checkbox"/> QA/QC Skills Instructor (if applicable)	<input type="checkbox"/> Environmental Safety and Health Instructor (if applicable)
<input type="checkbox"/> Trade Skills Training Instructor	<input type="checkbox"/> Project QA Manager	<input type="checkbox"/> Other (Provide Description)

B.8. Certifications held related to the position (s). No Change
 Description: _____

B.9. Expected or required Training, Certification, or Experience: No Change
 Description: _____

B.10. List the core duties and responsibilities. Responsibilities must include specific assignment of responsibilities for the training programs as appropriate (QA/QC, Trade Skills, Environmental, Safety and Health, Hazardous Waste/Hazardous Material, Competent Person, etc.): No Change
 Description: (or attach job description)