Virginia Ship Repair Association
SUB-CONTRACTOR QUALITY MANAGEMENT SYSTEM AUDIT

GENERAL INFORMATION

AUDIT DATE: _____

Subcontractor: _____
Address: _____
Phone/Fax/E-Mail: _____
Contact Person: _____

Performed By Lead Auditor: _____

Nature Of Services Provided By Subcontractor: _____

AUDIT RESULTS

Type of Audit: Initial Qualification   ☐
                   Annual Conformity Assessment   ☐
                   Follow-up Compliance   ☐

** Quality System   Approved   ☐ (In Compliance)   ** ISO-9000 Certified   Yes   ☐
   and Facilities: Provisional   ☐ (CAR Pending)   No   ☐
                      Disapproved   ☐ (Major CAR Requiring Resolution)

NOTE: (ISO Certification Does Not Preclude the Need for Audit)

AUDITOR COMMENTS

Auditor's Comments/Evaluation of the Subcontractor's Quality System: _____

_____
_____

Written System Deficiencies Requiring Corrective Action (See Appendices): _____

_____
_____
_____

CONTENTS

QUALITY SYSTEM AUDIT

SECTION 1   GENERAL

1. Does the subcontractor have a documented Quality System? (Critical)

    YES   NO   N/A
    SAT   UNSAT
    ☐   ☐   ☐

2. Does the subcontractor's Quality System make direct reference to providing copies of purchase orders to prime contractor when a second tier subcontractor is utilized?

    YES   NO   N/A
    SAT   UNSAT
    ☐   ☐   ☐

3. Does subcontractor have access to NAVSEA Standard Items applicable to work they accomplish?
    (SSRAC Web Site: www.supship.navy.mil/SSRAC4/standard.htm)
    (If supplied by prime, make notes in remarks.)

    YES   NO   N/A
    ☐   ☐   ☐

4. Does the subcontractor maintain a current list of qualified inspectors who witness and sign for symbol I inspections and tests as per NAVSEA Standard Item 009-04?

    YES   NO   N/A
    ☐   ☐   ☐

5. Does the subcontractor maintain his/her own inspection/tests plan?
    (As per NAVSEA Standard Item 009-04) (If uses prime contractors make note in remarks.)

    YES   NO   N/A
    ☐   ☐   ☐

6. Does the subcontractor ensure that all inspection/tests are documented within 24 hours of accomplishment?
    (As per NAVSEA Standard Item 009-04)

    YES   NO   N/A
    ☐   ☐   ☐

7. Does the subcontractor maintain requirements and/or procedures for notifying the contractor prior to accomplishing a "G" Notification point?
    (As required by NAVSEA Standard Item 009-04)

    YES   NO   N/A
    ☐   ☐   ☐

8. Does the Quality System include the essential requirements of NAVSEA Standard Item 009-04? (Critical)

    YES   NO   N/A
    ☐   ☐   ☐

REMARKS: _____

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SECTION 2   QUALITY MANAGEMENT
                (5.0 of ISO-9000 Requirements)

1. Has a Quality Manual been developed? (Critical)

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

2. Have the Processes/Procedures needed for the Quality Management System been identified and included or referenced in the Quality Manual? (Critical)

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

3. Are procedures available to support operation and monitoring of these processes? (Critical)

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

4. Are there methods used to ensure effective operation and control of these processes? Explain methods used in remarks.

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

5. Has a Quality Policy been established by top management?

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

6. Have Quality Objectives been established by top management?

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

7. Are Management Reviews of the Quality System regularly performed? (Critical)

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

8. Is there a Process/Procedure for communicating to the employees the requirements of the Quality Manual and the importance of meeting customer as well as regulatory and legal requirements? (Critical)

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

9. Does management provide for and review the availability of necessary resources?

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

Remarks: _____

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QUALITY SYSTEM AUDIT

SECTION 3   QUALITY MANAGEMENT
            (6.0 of ISO-9000 Requirements)

1. Have competency needs been identified for personnel performing activities affecting quality? (Critical)

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

2. Has training been provided to satisfy these needs? (Critical)

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

3. Is the effectiveness of training evaluated?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

4. Are appropriate records of education, experience, training and qualifications maintained? (Critical)

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

5. Does the organization identify, provide and maintain the facilities needed to achieve quality conformance, such as workplace and associated facilities, equipment and materials and supporting services?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

Remarks: _____

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QUALITY SYSTEM AUDIT

SECTION 4   TRAINING
             (6.0 of ISO-9000 Requirements)

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
1. How are the training needs for personnel performing activities affecting quality identified? (Explain in remarks)	☐	☐	☐	☐	☐
2. Are there methods for providing training? (Explain in remarks)	☐	☐	☐	☐	☐
3. Are records of experience, education, training, skills and qualifications maintained? (Critical)	☐	☐	☐	☐	☐

Remarks: _____

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QUALITY SYSTEM AUDIT

SECTION 5   PURCHASING
            (7.0 of ISO-9000 Requirements)

1. Is there an established purchasing procedure for the purchase of products and services to ensure all contract requirements are met? (Critical)

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

2. Assess purchasing information (purchase orders). (Review several examples.)

    A) Are purchasing documents reviewed and approved for use?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

    B) Do purchasing documents clearly describe the product ordered?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

    C) Do purchasing documents identify applicable specifications, technical requirements, and process and/or inspection requirements?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

    D) Are quality terms and conditions included in purchase orders?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

3. Are there documented procedures defining how suppliers are evaluated and selected on their ability to meet contract requirements? (If no documented procedure exists, how are subs/vendors evaluated?) (Are purchase orders provided to subs?) (Explain in remarks) (Critical)

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

Remarks: _____

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QUALITY SYSTEM AUDIT

SECTION 6   PRODUCT REALIZATION
            (7.0 of ISO-9000 Requirements)

1. Does your company have a procedure used to identify planning of the processes needed for control of work to be performed?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

2. Does your company plan and develop special processes for each course of action delineating the work to be performed and defining the responsibilities for such work to assure that all work is performed under controlled condition?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

3. When new areas of service are identified, are appropriate actions taken by your company?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

4. Is in-process verification accomplished?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

5. Are there records to provide evidence of conformity provided and fulfilled to processes/procedures requirements?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

6. Is there a suitable handling and storage facility/procedure for protection of customer furnished property? (Critical)

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

Remarks: _____

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QUALITY SYSTEM AUDIT

SECTION 7   PRODUCT REALIZATION
             (7.0 of ISO-9000 Requirements)

1. Is there an established and documented system for identifying and determining the cause of all nonconformities? (Critical)

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

2. Is there an established and documented system for prevention of all nonconformities?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

3. Are there established records of corrective actions taken?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

4. Are there established records of preventative actions taken?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

Remarks: _____

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QUALITY SYSTEM AUDIT

SECTION 8   Control of Documents
             (5.5 of ISO-9000 Requirements)

1. Is there an established procedure to control all
    documents? (Critical)

    SAT   UNSAT   N/A   CAR MINOR   CAR MAJOR
    ☐   ☐   ☐   ☐   ☐

2. Is the Quality Manual controlled?

    SAT   UNSAT   N/A   CAR MINOR   CAR MAJOR
    ☐   ☐   ☐   ☐   ☐

3. Do procedures have approval signatures? Are revisions
    clearly defined and documented?

    SAT   UNSAT   N/A   CAR MINOR   CAR MAJOR
    ☐   ☐   ☐   ☐   ☐

4. How are obsolete documents prevented from
    unintended use? Are they properly marked? (Critical)

    SAT   UNSAT   N/A   CAR MINOR   CAR MAJOR
    ☐   ☐   ☐   ☐   ☐

5. Are quality records subjected to control?

    SAT   UNSAT   N/A   CAR MINOR   CAR MAJOR
    ☐   ☐   ☐   ☐   ☐

6. Has a documented procedure been established for the
    identification, storage, retrieval, protection, retention
    time and disposition of quality records?

    SAT   UNSAT   N/A   CAR MINOR   CAR MAJOR
    ☐   ☐   ☐   ☐   ☐

Remarks: _____

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PROCESS AUDIT FOR WELDING AND BRAZING PROGRAM
(All Critical)

1. Does the subcontractor have an approved fabrication/visual inspection procedure, including appropriate tests? Is this procedure reviewed and approved by a level III examiner at a minimum of every two years IAW S9074-AQ-GIB-010/248? (Examiner can either be an employee or subcontracted 2nd party)

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

2. Does the subcontractor have MARMC approved welding/brazing procedures? (Review a minimum of 2)

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

3. Does the subcontractor have the most current copy or a copy dated in concurrence with contract obligations of S9074-AQ-GIB-010/248?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

4. Do individual qualification records exist containing evidence of satisfactory completion of Visual Inspection and workmanship requirements, in the form of a written exam?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

5. Do welder/brazer performance records indicate proof of current eye exam, (Note whether it is corrected or uncorrected vision).

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

6. Do welder/brazer performance records include fabricator signature where qualifications are concerned?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

7. Do welder/brazer records include process update information, (a minimum of 2 quarters required)

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

Remarks: _____

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APPENDIX 2

PROCESS AUDIT FOR NDT AUDIT
(All Critical)

1. Does subcontractor have a designated qualified Level III Examiner? (Provide documented evidence)	SAT ☐	UNSAT ☐	N/A ☐	CAR MINOR ☐	CAR MAJOR ☐
2. Does subcontractor have the appropriate revision of the following documents: T9074-AS-GIB-010/271, ANST-TC-1A, MIL-STD-2035, MIL-STD-1689, 009-LP-001-7000 and S9074-AR-GIB-010/278?	SAT ☐	UNSAT ☐	N/A ☐	CAR MINOR ☐	CAR MAJOR ☐
3. Does subcontractor have an approved NDT Procedure for (MT), (PT), (VT), (UT), and (RT)? (Circle applicable)	SAT ☐	UNSAT ☐	N/A ☐	CAR MINOR ☐	CAR MAJOR ☐
4. Does subcontractor have written practices for the control of training, examinations and certification of NDT personnel IAW ASNT-TC-1A?	SAT ☐	UNSAT ☐	N/A ☐	CAR MINOR ☐	CAR MAJOR ☐
5. Are Level I and Level II NDT personnel recertified at a maximum of three year intervals IAW ASNT-TC-1A?	SAT ☐	UNSAT ☐	N/A ☐	CAR MINOR ☐	CAR MAJOR ☐
6. Do the individual qualification records of certified personnel contain the following information as required by ASNT-TC-1A: Name, Test Method, Education, Experience, Satisfactory completion of training IAW subcontractor's procedures?	SAT ☐	UNSAT ☐	N/A ☐	CAR MINOR ☐	CAR MAJOR ☐
7. Is the specified Level III Examiner responsible for grading examinations for Level I and Level II IAW ASNT-TC-1A?	SAT ☐	UNSAT ☐	N/A ☐	CAR MINOR ☐	CAR MAJOR ☐
8. Does subcontractor maintain records for individual personnel of actual NDT performed?	SAT ☐	UNSAT ☐	N/A ☐	CAR MINOR ☐	CAR MAJOR ☐

Remarks: _____

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APPENDIX 3

PROCESS AUDIT FOR CALIBRATION PROGRAMS
(All Critical)

1. Are there documented procedures to control, calibrate and maintain inspection, measuring and test equipment that is used to demonstrate conformance of the product to specified requirements?
Note: If contractor utilizes outside calibration sources go to question #8 and continue.

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

2. Is there documented evidence of third-party certification and accreditation?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

3. Are all measurement standards (instruments) calibrated or show evidence of current calibration status?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

4. Is there an established measuring equipment recall system? Is it current?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

5. Are records of previous measuring results established and recorded when equipment is found not to conform to requirements?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

6. Are environmental conditions suitable for the calibrations, inspections, measurements, and tests being carried out?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

7. Are training records established and available for review for calibration technicians working at this facility?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

13

8. Do calibration records include Equipment type?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

Identification/Serial #

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

Calibration Interval

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

Acceptance Criteria

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

Date of last calibration, by whom and next due date.

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

9. What is the name of the Outside Calibration Service used? Are they third-party certified/accredited?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

10. Is there an established instrument Recall System for all calibrated measuring equipment?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

11. Are calibrated instruments stored in such a way as to ensure continued accuracy and fitness for use?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

12. When equipment is found to be out of calibration tolerance, are previous inspections and test results available for review?

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

Remarks: _____

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PROCESS AUDIT FOR SAFETY & FIRE PREVENTION/PROTECTION PROGRAMS
(All Critical)

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
1. Does subcontractor have a documented Safety and Fire Prevention Program?	☐	☐	☐	☐	☐

A) As a minimum, does the program address the following?

	YES	NO
* Hazardous communication program personnel protective equipment	☐	☐
* General safety and health provisions	☐	☐
* Occupational health and environmental controls applicable to coating industry	☐	☐
* Housekeeping	☐	☐
* Ventilation requirements	☐	☐
* Personnel protective and lifesaving equipment	☐	☐
* Fire protection prevention	☐	☐
* Signs, signals & barricades	☐	☐

* Material handling, storage, use and disposal   YES   NO
☐   ☐

* Hand and power tools   YES   NO
☐   ☐

* Electrical   YES   NO
☐   ☐

* Scaffolds   YES   NO
☐   ☐

* Fall protection   YES   NO
☐   ☐

* Toxic and hazardous substances   YES   NO
☐   ☐

* Airless injection   YES   NO
☐   ☐

* HP and UHP waterjetting   YES   NO
☐   ☐

* Confined space entry   YES   NO
☐   ☐

2. Is there a training program or policy to provide training for competent persons?

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

A) Are certifications maintained?

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

B) Is a roster maintained?

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

C) Is there an established training program for respirator equipment use?

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

D) Are training records maintained?

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

3. Does subcontractor perform tank cleaning operations? If so, are personnel trained annually on safety practices?

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

A) Does subcontractor employ a Certified Marine Chemist?

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

B) Does subcontractor perform work in tanks or spaces adjacent to or within spaces containing tanks that are to be opened or otherwise breached or on piping that is disturbed, which may contain Mogas or sewage? If so, review Process Control Procedure (PCP) for NAVSEA Std-Items 009-88/009-09 requirements (step-by-step certification process, personnel req., grounding of equipment, removal of product, fire protection/prevention, protective clothing, de-inerting/control of other hazards such as benzene/carbon dioxide and lead).

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

4. Does subcontractor perform operations that are consider "Hot Work"?

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

    A) If so, is there a program to train firewatch personnel?

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

5. Are all required personnel trained in the safe practices for confined space entry?

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

6. Are safety activities routinely performed and documented (employee safety training sessions, job-site safety and health inspections, tailgate safety meetings, distribution of safety materials and literature)?

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

7. Does the contractor have approved first aid kits available on the job-site?

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

8. Is there at least one person who has received first aid and CPR training available on each job site?

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

9. Are relevant safety information and materials available to on-site personnel?

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

Remarks: _____

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PROCESS AUDIT FOR SURFACE PREPARATION & PROTECTIVE COATING PROGRAMS

I. ADMINISTRATIION AND MANAGEMENT

		SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
1.	Are there written job descriptions for key personnel which clearly state responsibilities and duties required experience, certifications, licenses and training (e.g., Management, QC, Safety and Environmental personnel)?	☐	☐	☐	☐	☐
2.	Is someone designated (in writing) to keep abreast of environmental, safety and health regulations affecting operations?	☐	☐	☐	☐	☐
3.	Demonstrate that current versions of regulations applicable to specific projects are available at job-site or accessible to jobsite? Provide examples.	☐	☐	☐	☐	☐

Remarks: _____

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II. TECHNICAL CAPABILITIES:

		SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
1.	Provide evidence (e.g., training records, certificates) that qualified surface preparation equipment operators, painters and inspectors have received training required to perform job functions.	☐	☐	☐	☐	☐
2.	Does the contractor have a written training program?	☐	☐	☐	☐	☐

3. Does the contractor have an approved PCP IAW Standard Item 009-32 for critical coating work?

SAT ☐   UNSAT ☐   N/A ☐   CAR MINOR ☐   CAR MAJOR ☐

4. Does the contractor have affiliation with industry groups that provide information on protective coatings technology?

SAT ☐   UNSAT ☐   N/A ☐   CAR MINOR ☐   CAR MAJOR ☐

5. Are current technical standards and references applicable to the job order in-house and made available to personnel (e.g., NAVSEA Std-Items, 009-32, 009-03, 009-04, 009-06, 009-07, 009-09, 009-23, 009-24, 009-59, 009-88, 009-93, 009-24, 009-97, SSPC-Stds, NACE Stds and ASTM STds)?

SAT ☐   UNSAT ☐   N/A ☐   CAR MINOR ☐   CAR MAJOR ☐

6. How does the contractor ensure that current contract and training requirements are communicated to supervisory personnel at the job-site?

SAT ☐   UNSAT ☐   N/A ☐   CAR MINOR ☐   CAR MAJOR ☐

Remarks: _____

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III. QUALITY CONTROL:

1. Does the subcontractor have a designated individual dedicated to and responsible for QC inspection duties?

SAT ☐   UNSAT ☐   N/A ☐   CAR MINOR ☐   CAR MAJOR ☐

2. Is the QC Inspector formally certified IAW NSTM Chap. 631 (e.g., STASR Basic Coating Inspector or NACE Section I)?

SAT ☐   UNSAT ☐   N/A ☐   CAR MINOR ☐   CAR MAJOR ☐

3. Is there written authority for the QC Inspector to report directly to management, to stop non-conforming work and inform the production supervisor of required corrective action?

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

4. Does the contractor maintain inspection reports and coating records as required by Standard Item 009-32?

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

5. How does the contractor ensure that proper surface preparation and coating application takes place (e.g., is there a procedure available).

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

6. How does the contractor ensure that inspections and tests conducted for each major operation (e.g., pre-cleaning, cover-up, surface preparation, primer, intermediate top coat, cure) are adhered to?

	SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
	☐	☐	☐	☐	☐

Remarks: _____

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APPENDIX 6
(All Critical)

PROCESS AUDIT FOR HAZARDOUS MATERIALS AND ENVIRONMENTAL CONTROL PROGRAM

1. Does the contractor have a written Hazard Communication Program IAW 29 CFR 1910.1200, dealing with MSDS sheets, labeling and employee training?

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

2. Does the contractor maintain a list of hazardous substances used in performance of work?

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

3. Are MSDS sheets readily available to employees for each hazardous substances?

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

4. Is there an Employee Training Program for hazardous substances?

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

5. Does the contractor have an identified person responsible for maintaining this program?

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

6. Does the contractor have a written plan/procedure for compliance with Federal, State and Local environmental requirements, compliance with NESHAP regulations?

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

7. Is this plan in compliance with 29 CFR 1910 and 29 CFR 1915 and as a minimum address the following:

A) Hazardous material and waste storage

YES	NO
☐	☐

B) Chemical hazards

YES	NO
☐	☐

C) Spill prevention

YES	NO
☐	☐

D) Hazardous material handling

YES	NO
☐	☐

E) Incident response reporting requirements?

YES	NO
☐	☐

8. Does the contractor have a written plan/procedure in compliance with the material standard for shipyard controls containing as a minimum:

A) Certification that each batch of coating is compliant as supplied

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

B) Certification that each batch of coating is compliant after thinning up to the limit of the MACT VOC standards

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

C) Labeling requirements for containers are in compliance with the MACT standards

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

9. Does the contractor have a written plan/procedure in compliance with the material standards of the MACT, containing as a minimum:

A) Handling and transfer operations involving VOC containing coatings, thinners and solvents are conducted to minimize spills and releases of VOCs.

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

B) Container integrity is in good condition and does not leak.

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

C) Containers of VOC containing coatings, thinners and solvents must remain closed, except when adding or removing material.

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

10. Does the contractor's written plan/procedure for material compliance address record keeping and reporting requirements and contain as a minimum:

A) Volumes and types of coatings and thinners (Solvent usage should be kept daily)

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

B) Monthly compliance determination records must be retained

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

C) Records necessary to demonstrate compliance contain, as a minimum:
  (1) Test results

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

  (2) VOC content certification

SAT	UNSAT	N/A	CAR MINOR	CAR MAJOR
☐	☐	☐	☐	☐

(3) Calculations of allowable thinner solvent usage

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

(4) Actual coating and thinner solvent usage by month

SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

Remarks: _____

_____

_____

_____

PROCESS CONTROL PROCEDURE FOR BLANKING AND TAGGING PROGRAMS

1. Is there an established employee training program for tagging-out equipment removed from US Navy ships IAW S0400-AD-URM-010/TUM?

   SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

2. Is there a current revision of S0400-AD-URM-010/TUM, Tag-out users' manual made available for review?

   SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

3. Is there evidence of satisfactory completion of the contractor's training plan for tagging-out equipment?

   SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

4. Is there an established procedure/work instruction to control blanking requirements IAW NAVSEA Std. Item 009-24?

   SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

5. Do identification tags utilized by the contractor contain the required information IAW NAVSEA Std. Item 009-24 (Location, system, ship name, hull number and work item number)

   SAT ☐ UNSAT ☐ N/A ☐ CAR MINOR ☐ CAR MAJOR ☐

Remarks: _____

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APPENDIX 8
(All Critical)

PROCESS AUDIT FOR ELECTRICAL/ELECTRONIC INSTALLATION & REPAIR PROGRAMS

1. Does the contractor have required documented written procedures for the work that they perform. i.e., cableway inspection, connectorization, etc.? Explain in remarks.

   YES ☐   NO ☐   N/A ☐

2. Does the contractor have access to current reference documents such as DOD-STD-2003 (Electrical Plant Installation Standard Methods for Surface Ships/Submarines), S9300-A6-GYO-010 (Electrical Workmanship Inspection Guide for Surface Ships/Submarines), SEOOO-OO-EIM-110 (Navy Installation and Maintenance Book Installation Standards)?

   SAT ☐   UNSAT ☐   N/A ☐   CAR MINOR ☐   CAR MAJOR ☐

3. Does the contractor have the basic equipment necessary to accomplish electrical/electronic work?

   YES ☐   NO ☐

4. Have personnel completed job related training courses and are there records of this training on file and available for review?

   SAT ☐   UNSAT ☐   N/A ☐   CAR MINOR ☐   CAR MAJOR ☐

5. Does the contractor have current NAVSEA Standard Items 009-17, 009-22, 009-24, 009-33 and 009-73 applicable to work which they perform?

   YES ☐   NO ☐

Remarks: _____

_____

_____

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_____

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