

AS-3 ITO; Independent Training Organization Applicator Trade Skills Training Audit Results Summary

Company Name: \_\_\_\_\_ Address: \_\_\_\_\_

Auditor's Name: \_\_\_\_\_ Dates of Audit: \_\_\_\_\_

Auditor(s) & Observer(s) Names: \_\_\_\_\_

Auditee(s) \_\_\_\_\_

Name(s): \_\_\_\_\_

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 |
|---|---|---------------|-------------|----------------|------------------------|------------------------|----------------------|
| <b>ADMINISTRATIVE PRACTICES</b>                   |   |               |             |                |                        |                        |                      |
| Business Structure                                |   |               |             |                |                        |                        |                      |
| Trade Skills Training Program Management          |   |               |             |                |                        |                        |                      |
| Position Descriptions and Responsibilities        |   |               |             |                |                        |                        |                      |
| General Knowledge Requirements                    |   |               |             |                |                        |                        |                      |
| Surface Preparation                               |   |               |             |                |                        |                        |                      |
| Coating/lining Application                        |   |               |             |                |                        |                        |                      |
| Data Collection & Documentation                   |   |               |             |                |                        |                        |                      |
| Testing Policies to Verify Trade Skills Knowledge |   |               |             |                |                        |                        |                      |
| Safety, Haz Mat, Haz Waste                        |   |               |             |                |                        |                        |                      |
| <b>Administrative Practices Results</b>           | This is an average of all Administrative Practices sections. It must be 3.0 or greater. |               |             |                |                        |                        |                      |
|   |   |               |             |                |                        |                        |                      |
| <b>Execution of Training or Shop Work</b>         |   |               |             |                |                        |                        |                      |
| <b>Field Practices Results</b>                    | This is an average of all Field Practices sections. It must be 3.0 or greater.          |               |             |                |                        |                        |                      |



**AS-3 Independent Training Organization (ITO) Trade Skills Training 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, 7.2, 7.3)**

Assessment of the business structure used by the contractor to manage, encourage, & deliver a trade skills training program to ensure the quality of the job being performed & availability of trained personnel.

| Item | Attribute   | Description  | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|---|--|----------|-------------|----------------|---------------|---------------|-------------|
| 1    | <b>Statement of Training Goals 7.3.1</b>                | ITO provides evidence of a Training Goals statement that is readily available to students in hard copy or electronic format. The statement is prominently posted, and available for students, instructors, visitors, and, managers to see. Outstanding: ITO shall provide evidence of routinely reminding people of the training goals commitment or emphasizing quality principles. |          |             | 3              |               |               |             |
| 2    | <b>Trade Skills Training Manual or Instructions 7.2</b> | ITO shall have a Training Program Manual, or collection of instructions providing direction for the various elements, tasks, and recording requirements defined in Section 7.3 of AS-3 ITO.  |          |             | 3              |               |               |             |
| 3    | <b>Effective in-house training management team 7.4</b>  | ITO provide names and evidence of experience, training, or other qualifying factors for the positions of Training Manager, Trade Skills Instructor(s), and any other Instructor(s). Outstanding: Not possible for this item.   |          |             | 3              |               |               |             |

| Item                      | Attribute   | Description   | Comments | Rated Value          | Expected Value | Major Finding | Minor Finding | Observation |
|---------------------------|---|---|----------|----------------------|----------------|---------------|---------------|-------------|
| 4                         | <b>Organizational Chart and Job Descriptions 7.3.3.</b>                                   | ITO shall have one or more organizational charts covering Training Manager, Trade Skills Instructor(s) and any other Instructor(s) including contact information. Outstanding: Organizational charts would include photos and contact information for easy identification and access.   |          |                      | 3              |               |               |             |
| 5                         | <b>Trade Skills Training &amp; Certification for Trade Skills Training Managers 7.3.2</b> | Documented requirement that the Training Manager, Trade Skills Instructor and Instructor maintain certification in accordance with Appendix 1 of AS-3 Auditing Standard. Outstanding not possible on this element.  |          |                      | 3              |               |               |             |
| 6                         | <b>ESH Instructor Certification Requirements Appendix 1</b>                               | ITO shall 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 or the applicable subject matter, (29 CFR 1910.120) 13) |          |                      | 3              |               |               |             |
| <b>Business Structure</b> |   |   |          | <b>Section Score</b> |                |               |               |             |

| Item | Attribute | Description | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|-----------|-------------|----------|-------------|----------------|---------------|---------------|-------------|
|------|-----------|-------------|----------|-------------|----------------|---------------|---------------|-------------|

**Trade Skills Training Program Management (7.3)**

Assessment of functions and management of the In House Trade Skills Training Program.

| Item | Attribute  | Description  | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|--|--|----------|-------------|----------------|---------------|---------------|-------------|
| 7    | <b>Direction for development, review, update, and delivery of a lesson plan 7.3.5.(b)</b>  | ITO shall provide evidence of a written standard or instruction describing how to manage and deliver lesson plans. Outstanding: A formal tracked instruction defining tasks related to development, review, update, and delivery of a lesson plan, including a template or sample, scheduled review frequency, signatures from the author and the Training Manager for approval and requirement to mention or reference higher tier references and requirements .  |          |             | 3              |               |               |             |
| 8    | <b>Training Plan &amp; Lesson Plan for delivering trade skills training 7.3.5.(a), (c)</b> | ITO provide access to training plans & lesson plans for each subject or group of subjects describing how the subjects will be delivered and tested. Outstanding: A formal tracked instruction defining tasks and methods related to delivery of a specific lesson plan, including testing, industry standards used to develop the training plan, scheduled review frequency, signatures from the author and the Training Manager for approval and require mention of higher tier references and requirements . |          |             | 3              |               |               |             |

| Item  | Attribute  | Description   | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|---|--|---|----------|-------------|----------------|---------------|---------------|-------------|
| 9   | <b>Managing written &amp; hands on quizzes and tests 7.3.5.(f)</b> | At the Program level a direction or protocol for administering and correcting hands on and written tests and quizzes, as well as direction for correcting or grading the tests and quizzes. Outstanding: Repeating the direction or referencing the direction from the Program level instruction in the subject matter Training Plans or the Lesson Plans.            |          |             | 3              |               |               |             |
| 10  | <b>Trade Skills Training Manual or Instructions 7.3.</b>           | ITO shall show evidence of an instruction or manual requiring compliance with the Trade Skills Training and Certification Table in Auditing Standard AS-3. Outstanding not possible on this element.  |          |             | 3              |               |               |             |
| 11  | <b>Perform In House surveillances 7.3.5.(i)</b>                    | ITO shall provide written standard or instruction requiring performance of surveillance or in-house audit. Outstanding: A formal program requiring review of surveillance reports and analysis produced by the Training Manager including proposals for training modifications.   |          |             | 3              |               |               |             |
| 12  | <b>Review In House surveillances 7.3.5.(i)</b>                     | ITO shall provide evidence of a written standard or instruction requiring review of audit reports performed by outside agencies, auditing bodies, or in house personnel for potential training changes. Outstanding: A formal program requiring review of audit reports and analysis produced by the Training Manager including proposals for training modifications. |          |             | 3              |               |               |             |
| <b>Trade Skills Training Program Management Section Score</b> |  |   |          |             |                |               |               |             |

| Item | Attribute | Description | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|-----------|-------------|----------|-------------|----------------|---------------|---------------|-------------|
|------|-----------|-------------|----------|-------------|----------------|---------------|---------------|-------------|

**Position Descriptions and Responsibilities (7.5)**

Assessment of Training Manager, Trade Skills Instructor, & Instructor position descriptions for thoroughness of responsibilities.

| Item | Attribute  | Description   | Comments   | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|--|---|--|-------------|----------------|---------------|---------------|-------------|
| 13   | <b>Position Descriptions 7.5.1.</b>  | ITO provide job descriptions for the Training Manager. Detail including responsibility for development & approval for applicable lesson plans, exams, quizzes, lecture material, & retention testing. N/A when commercial lesson plans are used. Outstanding: Not possible for this element.  |  |             | 3              |               |               |             |
| 14   | <b>Position Descriptions Manage tracking system, OJT tasks &amp; hours, training completed, test scores, etc. 7.5.4.</b> | ITO provide job descriptions for Training Manager. Detail including responsibility for managing the skills tracking system for each employee, including OJT tasks & hours (as reported by employer or student), training completed, training needed (as reported by employer), test scores, due dates (when applicable), progress review information to verify timely completion of tasks. Outstanding: Electronic system that tracks training & due dates, indicates training required for a specific assignment, triggers a reminder for the Training Manager, electronic tracking system for skills mix needs to match training to the employer's needs. | NOTE: Tracking of any details that require employer or student input are N/A unless specifically agreed to by ITO. |             | 3              |               |               |             |

| Item                         | Attribute  | Description  | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------------------------------|--|--|----------|-------------|----------------|---------------|---------------|-------------|
| 15                           | <b>Position Descriptions Manage function &amp; professional development of Instructors 7.5.1.(b)</b> | ITO provide evidence that the Training Manager manages the functions & professional development of the instructors. Outstanding: Electronic or visual system that tracks instructor training, certification & due dates & triggers a reminder for the Training Manager. Provide opportunities for instructors to attend conferences, & workshops, on-line or in person to keep their skills current. |          |             | 3              |               |               |             |
| 16                           | <b>Position Descriptions Trade Skills Instructor 7.5.2.</b>  | Job descriptions for Trade Skills Instructor includes responsibility for presenting material in accordance with the applicable lesson plan, answering technical questions posed by the students, counseling students on academic or trade skill strengths & weaknesses. Outstanding: Not possible on this element.   |          |             | 3              |               |               |             |
| 17                           | <b>Position Descriptions Trade Skills Instructor 7.5.2.</b>  | Job descriptions for Trade Skills Instructor includes responsibility to proctor exams & quizzes, maintain & provide to the Training Manager records of the students' progress, on academic or trade skill strengths & weaknesses. Outstanding: Electronic program that records scores, student records, & instructor input for use during periodic progress review.                                  |          |             | 3              |               |               |             |
| 18                           | <b>Position Descriptions Trade Skills Instructor 7.5.2.</b>  | Job descriptions for Trade Skills Instructor includes responsibility to report to the Training Manager recommendations for changes to the lesson plans. Outstanding: Not possible on this element.   |          |             | 3              |               |               |             |
| <b>Position Descriptions</b> |  | <b>Section Score</b>   |          |             |                |               |               |             |

| Item | Attribute | Description | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|-----------|-------------|----------|-------------|----------------|---------------|---------------|-------------|
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**General Knowledge Requirements (7.9)**

Assessment of the general knowledge requirements including the ability to read, write, and communicate in the language of the worksite, safety, health, and environmental training; the principles of corrosion and environmental control.

| Item | Attribute  | Description  | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|--|--|----------|-------------|----------------|---------------|---------------|-------------|
| 19   | <b>Lesson Plan, testing, or other method to verify language skills 7.7.1</b>                     | ITO demonstrates that the lesson plan, and testing require the employee to be proficient in the language of the worksite. NOTE: THERE MAY BE MORE THAN ONE LANGUAGE IN COMMON USE AT THE WORKSITE. PROFICIENCY IN ANY LANGUAGE IN COMMON USE AT THE WORKSITE IS ACCEPTABLE. Outstanding: Electronic system that tracks training & due dates, indicates training required for a specific assignment, triggers a reminder for the Training Manager, documentation and support materials to present training in multiple languages. |          |             | 3              |               |               |             |
| 20   | <b>Employees receive general safety training prior to exposure to the worksite hazards 7.7.2</b> | For students whose training is scheduled through the ITO provide evidence that general safety training is provided to students prior to exposure to hazards. Evidence may include training rosters, employment papers, & job assignments to show that employees received safety & health training immediately after being hired. Training must cover subjects outlined in Appendix 1 of AS-3 ITO. Outstanding: ITO lesson plan, testing, quizzes, and verbal instruction are available in more than one language.                |          |             | 3              |               |               |             |



| Item | Attribute   | Description   | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|---|---|----------|-------------|----------------|---------------|---------------|-------------|
| 21   | <b>Principles of Corrosion 7.7.3.</b>   | ITO shall provide evidence that students receive training covering the principles of corrosion, detrimental effects of corrosion, & principles of surface protection. Evidence may include training rosters, & lesson plans.  |          |             | 3              |               |               |             |
| 22   | <b>Principles of Environmental Conditions &amp; Data Collection 7.8.1.(a)</b> | ITO shall provide evidence that students receive training covering the principles of environmental conditions, detrimental effects of excessive humidity, surface & ambient temperature outside the acceptable range, & dewpoint. ITO may provide training rosters, & lesson plan to show that employees received training related to the principles of environmental conditions. Outstanding: ITO maintains a recall list to notify employers that student qualifications will expire soon. NOTE: TRAINING COURSES THAT QUALIFY AN EMPLOYEE TO PERFORM INDEPENDENT QA/QC FUNCTIONS ARE LISTED IN APPENDIX 1 OF AS-3. |          |             | 3              |               |               |             |

| Item  | Attribute   | Description   | Comments             | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|---|---|---|----------------------|-------------|----------------|---------------|---------------|-------------|
| 23  | <b>Principles of Environmental Controls 7.8.1.(b)</b> | ITO shall demonstrate that students receive training covering the principles of environmental controls to avoid detrimental effects of excessive humidity, surface & ambient temperature outside the acceptable range, & dewpoint concerns. Evidence may include training rosters, & lesson plan. Students assigned to install, monitor, & maintain containments or environmental controls shall receive training on the equipment being used. Other students only need awareness training. Outstanding: ITO has a specific, separate training module with hands on training, testing, & a qualification for personnel trained to install, monitor, & maintain environmental controls . |                      |             | 3              |               |               |             |
| <b>General Knowledge Requirements (7.9)</b> |   |   | <b>Section Score</b> |             |                |               |               |             |

**Surface Preparation (7.10)**

Assessment of surface preparation requirements including training to perform an initial assessment of the surface, clean the surface, inspect for imperfections or manufacturer defects, prepare the surface using various methods and tools, and test the surface to ensure compliance with the specification and applicable standards.

| Item | Attribute                                    | Description  | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|--|--|----------|-------------|----------------|---------------|---------------|-------------|
| 24   | <b>Existing surface assessment 7.8.2.(b)</b> | ITO shall demonstrate that students receive training covering the initial assessment of a surface to be prepared. Evidence may include training rosters, & lesson plan training employees about the use of VIS 1, VIS 3, & VIS 4, & assess a number of pieces of steel. Outstanding: Employees receive a description of the initial surface conditions to use at the job site. |          |             | 3              |               |               |             |

| Item | Attribute   | Description  | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|---|--|----------|-------------|----------------|---------------|---------------|-------------|
| 25   | <b>Existing coating assessment 7.8.2.(b)</b>              | ITO shall show evidence that students receive training covering the assessment of existing coatings on a surface to be prepared. Evidence may include training rosters, & lesson plan covering discussion of coating degradation, heavy metals testing principles, & coating incompatibility concerns. Outstanding: Students receive a description of the coating types, compatibility, & condition assessment to use at the job site. |          |             | 3              |               |               |             |
| 26   | <b>Cleanliness prior to surface preparation 7.8.2.(a)</b> | ITO provides training rosters, & lesson plan including discussion of surface contamination, solvent washing, types of solvents relative to the types of contaminants. Outstanding: Training covers dipping, & vapor degreasing, as well in addition to required subjects.  |          |             | 3              |               |               |             |
| 27   | <b>Surface preparation standards 7.8.2.(b)</b>            | ITO shall provide evidence that students receive training covering surface preparation standards from NACE/SSPC, SSPC, & ISO. Evidence may include training rosters, & lesson plan. Outstanding: Not possible on this element.   |          |             | 3              |               |               |             |
| 28   | <b>Common abrasives 7.8.2.(c)</b>                         | ITO provides training rosters, & lesson plan including discussion of common abrasives used in industry. A minimum of 5 abrasives must be included in the discussion. Outstanding: Same as above; however, a minimum of 8 abrasives must be included and there must be at least 3 questions in the final test related to abrasive selection.  |          |             | 3              |               |               |             |

| Item | Attribute   | Description  | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|---|--|----------|-------------|----------------|---------------|---------------|-------------|
| 29   | <b>Surface preparation of special substrates Zinc, Aluminum, &amp; Stainless steel, 7.8.2.(d)</b> | Contractor provides training rosters, & lesson plan including discussion of surface preparation for the special substrates listed in AS-3. Outstanding: Not possible on this element.  |          |             | 3              |               |               |             |
| 30   | <b>Surface preparation of special substrates Dissimilar metals 7.8.2.(d)</b>                      | ITO shall demonstrate that students receive training covering surface preparation of special substrates. Specifically, there must be discussion about the corrosive effects of dissimilar metals and preventive actions. Evidence may include training rosters, & lesson plan. Outstanding: Not possible on this element.        |          |             | 3              |               |               |             |
| 31   | <b>Surface preparation of complex geometry 7.8.2.(e)</b>  | ITO shall provide training rosters, & lesson plan including discussion of complex geometry & the practices to be taken to prepare surfaces to the maximum extent practical. Outstanding: All of the above & discussion of the value & hazards of ricochet blasting, & the use of mirrors to verify complete surface preparation. |          |             | 3              |               |               |             |
| 32   | <b>Surface defects 7.8.2.(f)</b>  | ITO shall provide training rosters, & lesson plan including discussion of surface defects & the practices to be taken to prepare surfaces properly when surface defects are encountered. Outstanding: Not possible on this element.  |          |             | 3              |               |               |             |

| Item | Attribute                                      | Description   | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|--|---|----------|-------------|----------------|---------------|---------------|-------------|
| 33   | <b>Surface preparation methods 7.8.2.(g)</b>   | ITO provide training rosters, & lesson plan including discussion of various methods of surface preparation & specific practices applicable to the types of surface preparation. Discussion should include surface preparation standards, compare surface cleanliness achieved, & cost relative to other methods. At least 5 of the methods listed in AS-2 shall be discussed in detail. Outstanding: Same as above with detailed discussion of all 8 methods listed in AS-2. NOTE: SURFACE PREPARATION METHODS AND EQUIPMENT MAY BE COMBINED IN THE LESSON PLAN AND PRESENTATION.   |          |             | 3              |               |               |             |
| 34   | <b>Surface preparation equipment 7.8.2.(h)</b> | ITO provide training rosters, & lesson plan including discussion of various equipment used for surface preparation & specific practices applicable to the types of surface preparation equipment. Discussion shall compare surface cleanliness achieved, & cost relative to other methods. At least 5 of the methods listed in AS-2 shall be discussed in detail. Final test shall include at least 3 questions about surface preparation equipment or methods. Outstanding: Same as above with detailed discussion of all 8 methods listed in AS-2. NOTE: SURFACE PREPARATION METHODS AND EQUIPMENT MAY BE COMBINED IN THE LESSON PLAN AND PRESENTATION. |          |             | 3              |               |               |             |

| Item                                     | Attribute  | Description   | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|--|--|---|----------|-------------|----------------|---------------|---------------|-------------|
| 35                                       | <b>Surface preparation acceptance elements 7.8.2.(i)</b>                                     | ITO provide training rosters, & lesson plan including discussion of surface preparation standards, surface profile, cleanliness achieved vs. cleanliness specified, non-visible contaminants & specific testing applicable to the acceptance standards. Outstanding: Same as above with students demonstrating proficiency performing the tests.  |          |             | 3              |               |               |             |
| 36                                       | <b>Testing, inspection, frequency, &amp; documentation for surface preparation 7.8.2.(j)</b> | ITO shall show evidence that students receive training covering how to perform & document various testing related to surface preparation for the elements listed in AS-3 paragraph 7.8.2.(j). Evidence may include training rosters, & lesson plan including discussion of surface preparation testing & inspections listed above. Outstanding: Same as above with students demonstrating proficiency performing the tests. |          |             | 3              |               |               |             |
| <b>Surface Preparation Section Score</b> |  |   |          |             |                |               |               |             |

| Item | Attribute | Description | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|-----------|-------------|----------|-------------|----------------|---------------|---------------|-------------|
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**Coating/lining Application (7.11)**

Assessment of contractor's training practices related to coating/lining process. Includes discussion of the physical properties of coatings, selection of coatings, use of the product data sheet, proper material storage, application methods and equipment, recognizing and addressing application errors.

| Item | Attribute   | Description  | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|---|--|----------|-------------|----------------|---------------|---------------|-------------|
| 37   | <b>Physical properties of coatings 7.8.3.(a)</b>                | ITO shall provide evidence that students receive training covering coatings used in industry. Evidence may include training rosters, & lesson plan including discussion of coatings, convertible vs. non-convertible, curing mechanisms, & properties of coatings used in industry. Outstanding: Same as above; however, there must be at least 2 questions in the final test related to coating selection or properties.  |          |             | 3              |               |               |             |
| 38   | <b>Appropriate coating selection based on service 7.8.3.(b)</b> | ITO shall provide evidence that students receive training covering the type of coatings appropriate for a specific service environment. Evidence may include training rosters, & lesson plan including discussion of coatings, properties of coatings, how they react to conditions such as UV or chemical exposure with examples of coating types used in industry. Outstanding: Same as above; however, there must be at least 2 questions in the final test related to coating selection or properties. |          |             | 3              |               |               |             |

| Item | Attribute                                       | Description   | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|---|---|----------|-------------|----------------|---------------|---------------|-------------|
| 39   | <b>Product data sheet 7.8.3.(c)</b>             | ITO shall provide evidence that students receive training covering the use of a Product Data Sheet. Emphasize the difference between the information on a PDS & an MSDS or SDS. Evidence may include training rosters, & lesson plan including discussion of the use of a PDS to learn the properties of coatings, how to prepare the surface, apply the coating, & cure the coating for service. Outstanding: Same as above; however, there must be at least 2 questions in the final test related to coating selection or properties. |          |             | 3              |               |               |             |
| 40   | <b>Material storage &amp; staging 7.8.3.(d)</b> | ITO shall provide evidence that students receive training covering required material storage and staging conditions based on the Product Data Sheet. Emphasize secondary containment, temperature control, exposure to sunlight, ventilation, & environmental monitoring & recordkeeping. Evidence may include training rosters, & lesson plan. Outstanding: Same as above; however, there must be at least 2 questions in the final test related to coating selection or properties.   |          |             | 3              |               |               |             |



| Item | Attribute  | Description   | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|--|---|----------|-------------|----------------|---------------|---------------|-------------|
| 41   | <b>Material mixing 7.8.3. (e)</b>                | ITO shall provide evidence that students receive training covering material mixing based on the Product Data Sheet. Emphasize visual inspection for condition of material in container, using clean mixer, ensure the proper Part A & Part B are being mixed, don't cross contaminate between Part A & Part B, induction time & temperature, mixing the entire batch, mixing for an adequate amount of time. Evidence may include training rosters, & lesson plan including discussion of the subjects mentioned above. Outstanding: Same as above; however, there must be at least 3 questions in the final test related to proper mixing of coatings.                                       |          |             | 3              |               |               |             |
| 42   | <b>Coating/lining application methods 7.8.4.</b> | ITO shall provide evidence that students receive training covering coating/lining application methods. Training shall include description of methods, pros & cons of each method. As a minimum training shall cover brush & roll, airless, plural component airless, conventional & HVLP. Evidence may include training rosters, & lesson plan including discussion of the subjects mentioned above. There shall be at least 2 questions in the final test related to proper coating/lining application. Outstanding: Same as above; however, training shall include air assisted airless, dip method, & flood & flow method. NOTE: TRAINING FOR APPLICATION METHODS & TOOLS MAY BE COMBINED. |          |             | 3              |               |               |             |

| Item | Attribute   | Description   | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|---|---|----------|-------------|----------------|---------------|---------------|-------------|
| 43   | <b>Coating/lining application tools 7.8.5.</b>                | ITO shall provide evidence that students receive training covering coating/lining application tools. Training shall include description of tools used for each method, pros & cons of each method. Training shall cover brush & roll, airless, plural component airless, conventional & HVLP & compressor. Evidence may include training rosters, & lesson plan including discussion of the subjects mentioned above. There shall be at least 2 questions in the final test related to coating/lining application tools. Outstanding: Same as above; however, training shall include air assisted airless, dip method, & flood & flow method. NOTE: TRAINING FOR APPLICATION METHODS & TOOLS MAY BE COMBINED. |          |             | 3              |               |               |             |
| 44   | <b>Recognizing &amp; addressing application errors 7.8.6.</b> | ITO shall provide evidence that students receive training covering recognizing coating/lining application errors. Training shall include description of errors such as improper spray pattern or overlap, fingering or tailing, improper thickness, holidays, complex geometry, & off ratio pump, & how to correct the errors. Evidence may include training rosters, & lesson plan including discussion of the subjects mentioned above. Outstanding: Same as above; however, there must be at least 3 questions in the final test related to recognizing & correcting application errors.   |          |             | 3              |               |               |             |

| Item                              | Attribute   | Description   | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|-----------------------------------|---|---|----------|-------------|----------------|---------------|---------------|-------------|
| 45                                | <b>Testing, inspection, frequency, &amp; documentation 7.8.7.</b> | ITO shall provide evidence that students receive training covering WFT, DFT, visual inspection, holiday detection, and adhesion testing for students involved with those activities. Training shall include description of the readings, hands on use of the tools, & proficiency testing with the tools. Evidence may include training rosters, & lesson plan including discussion of the subjects mentioned above. Contractor provides evidence of hands on practical testing & test results. Outstanding: Same as above; however, there must be at least 3 questions in the final test related to testing, inspection, frequency of tests, or documentation. |          |             | 3              |               |               |             |
| <b>Coating/lining Application</b> |   | <b>Section Score</b>  |          |             |                |               |               |             |

Data Collection & Documentation (7.12)

Assessment of contractor's training program for the collection and documentation of data. The contractor will define the training and certification required to perform data collection and quality control tasks within the company. Training may be provided by a third party such as NACE or SSPC, or training may be in house. However, in house training can only support data collection as a part of verifying the required parameters within the contractor's organization. In house training does not qualify or certify a worker to perform independent QA/QC functions.

| Item | Attribute | Description | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|-----------|-------------|----------|-------------|----------------|---------------|---------------|-------------|
|------|-----------|-------------|----------|-------------|----------------|---------------|---------------|-------------|

| Item | Attribute   | Description  | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|---|--|----------|-------------|----------------|---------------|---------------|-------------|
| 46   | <b>Data Collection &amp; Documentation precision measurement equipment 7.8.8.</b> | ITO shall provide evidence that employees receive training covering precision measurement equipment for employees involved with activities that require the use of precision measurement equipment. Training must include description of the equipment, how to operate the equipment, how to validate calibration of equipment & validation frequency, taking readings, hands on use of the tools, & proficiency testing with the tools. Expected: Contractor provides training rosters, & lesson plan including discussion of the subjects mentioned above. Contractor provides evidence of hands on practical testing & test results. Outstanding: Same as above; however, there must be at least 3 questions in the final test related to testing, validation of calibration, inspection tasks, frequency of tests, or documentation. |          |             | 3              |               |               |             |

| Item | Attribute   | Description   | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|---|---|----------|-------------|----------------|---------------|---------------|-------------|
| 47   | <b>Direction for actions to be taken if "Out of specification" data is collected 7.8.8.(d)(2)</b> | ITO shall provide evidence that students receive training describing actions to take if out of specification data is collected (data is considered accurate but is not within specification range). Training shall emphasize recording the data collected, include the use of reporting forms when practical, contact information, whether to continue work or wait for resolution. The answers to the above issues may change depending upon the type of data collected & the significance of the discrepancy. Training shall refer to the specification for clarification. Evidence may include training rosters, & lesson plan including discussion of the subjects mentioned above. Outstanding: ITO provides evidence of case studies or role playing regarding problem solving. |          |             | 3              |               |               |             |
| 48   | <b>Data Collection &amp; Documentation completing sample forms 7.8.8.(d)(4)</b>                   | ITO shall provide evidence that students receive training describing specific hold point test requirements, general observation requirements including proper use of applicable forms, & determining what data needs to be entered for a specific block or entry. Evidence may include training rosters, written test sheets, & lesson plan including discussion of the subjects mentioned above.   |          |             | 3              |               |               |             |

| Item   | Attribute  | Description  | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|--|--|--|----------|-------------|----------------|---------------|---------------|-------------|
| 49   | <b>Specific hold point tasks &amp; general observation tasks 7.8.8.(d)(5)</b>                      | ITO shall provide evidence that employees receive training describing specific hold point test requirements, & general observation requirements. Evidence may include training rosters, & lesson plan including discussion of the subjects mentioned above. Outstanding: Not possible on this element.   |          |             | 3              |               |               |             |
| 50   | <b>Importance of objectivity &amp; honesty in data collection &amp; documentation 7.8.8.(d)(6)</b> | ITO shall provide evidence that students receive training regarding objectivity & integrity when selecting random sample sites, collecting data, and recording data for test requirements & general observation requirements. Evidence may include training rosters, & lesson plan including discussion of the subjects mentioned above. Outstanding: ITO provides evidence of case studies or role playing regarding integrity problems & typical worksite production pressure. |          |             | 3              |               |               |             |
| <b>Data Collection &amp; Documentation Section Score</b> |  |  |          |             |                |               |               |             |

Testing Policies to Verify Trade Skills Knowledge (7.13)

An assessment of the Contractor's Training Manual or Training Program Instruction coverage of testing protocols used for quizzes, written tests, and hands on testing for demonstrating trade skill knowledge.

| Item | Attribute | Description | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|-----------|-------------|----------|-------------|----------------|---------------|---------------|-------------|
|------|-----------|-------------|----------|-------------|----------------|---------------|---------------|-------------|

| Item | Attribute  | Description  | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|--|--|----------|-------------|----------------|---------------|---------------|-------------|
| 51   | <b>Physical &amp; intellectual security of materials<br/>7.9.2.(a)</b> | ITO Shall provide evidence of a written policy requiring physical & intellectual security of test material, written test keys, hands on test guidelines, student records, & grades. Training Program Instruction or Manual contains direction regarding security of the above listed items. Outstanding: Not possible on this element. |          |             | 3              |               |               |             |
| 52   | <b>Policy on cheating<br/>7.9.2.(b)</b>                                | ITO shall provide evidence of a formal documented policy that any cheating during a written or hands on test will be cause for failing the test. Outstanding: Not possible on this element.  |          |             | 3              |               |               |             |
| 53   | <b>Separate but similar question banks<br/>7.9.2.(c)</b>               | ITO shall provide evidence that separate but similar question banks are used for quizzes and testing. Evidence may be written policy or access to question banks to verify separation between the quiz question bank & the test question bank. Outstanding: Not possible on this element.  |          |             | 3              |               |               |             |
| 54   | <b>Verify each question was covered<br/>7.9.2.(d)</b>                  | ITO shall provide evidence that each question used for quizzes and testing are covered in the documentation, lesson plan delivery, or assigned reading. Evidence may be access to question bank log showing reference to the location where the correct answer can be found. Outstanding: Not possible on this element.                |          |             | 3              |               |               |             |

| Item   | Attribute   | Description   | Comments      | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|--|---|---|---------------|-------------|----------------|---------------|---------------|-------------|
| 55   | <b>Hands on testing test panel 7.9.2.(e)(2)</b>             | ITO shall provide evidence that the test panel used for hands on testing of surface preparation and coating application meets the requirements of ASTM D 4228. Outstanding: Not possible on this element.   |               |             | 3              |               |               |             |
| 56   | <b>Hands on testing test panel equivalency 7.9.2.(e)(3)</b> | If the test panel or location used for hands on testing of surface preparation and coating application does not meet the description of ASTM D 4228, the ITO shall provide evidence that the test panel or location used for hands on testing is of equivalent difficulty. Evidence shall include written or photographic description of the deviation, & written description and technical justification of the equivalency of the deviation from this auditing standard. Outstanding: Not possible on this element. |               |             | 3              |               |               |             |
| 57   | <b>Written test key 7.9.2.(f)(1)</b>                        | ITO shall provide evidence of a test key used for correcting written tests & quizzes. Outstanding: Not possible on this element.  |               |             | 3              |               |               |             |
| 58   | <b>Hands on test guidelines 7.9.2.(f)(2)</b>                | ITO shall provide evidence of written test guidelines used for grading hands on tests. Guideline must provide definition of acceptable ranges for WFT, DFT & surface profile depth. Outstanding: Not possible on this element.  |               |             | 3              |               |               |             |
| <b>Testing Policies to Verify Trade Skills Knowledge</b> |   |   | Section Score |             |                |               |               |             |



| Item | Attribute | Description | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|-----------|-------------|----------|-------------|----------------|---------------|---------------|-------------|
|------|-----------|-------------|----------|-------------|----------------|---------------|---------------|-------------|

**Safety - Haz Mat - Haz Waste (7.1.2)**

An assessment of the ITO's safety requirements, Hazardous Material and Hazardous Waste practices.

| Item | Attribute   | Description   | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|---|---|----------|-------------|----------------|---------------|---------------|-------------|
| 59   | <b>Manage 7.1.2(a)(1)</b>   | ITO Shall provide evidence of HSE Manager assignment(s). Position responsibilities may be assigned among multiple personnel. Assignment shall include responsibility for maintenance of the HSE Manual or instructions. Outstanding: Not possible on this element.  |          |             | 3              |               |               |             |
| 60   | <b>Training Prior to Exposure 7.1.2(a)(2)</b>                           | ITO Shall provide evidence of a policy that students, instructors, or employees have adequate safety and health training prior to exposure to materials, processes, or waste that may pose a hazard to the life or health of the individual or others. Outstanding: Not possible on this element.                                   |          |             | 3              |               |               |             |
| 61   | <b>HazWaste/Haz Mat storage, Inspection, &amp; Disposal 7.1.2(a)(3)</b> | ITO Shall provide evidence of a hazardous material - hazardous waste program providing for storage, labeling, processes for waste management, inspection and disposal in accordance with applicable requirements. Outstanding: Not possible on this element.  |          |             | 3              |               |               |             |
| 62   | <b>Process Review for HSE issues; Update SOPs 7.1.2(a)(4)</b>           | ITO Shall provide evidence of a program or policy for review of potential environmental, safety, or health issues and that SOPs or instructions are modified as appropriate when improvements are identified. Outstanding: Electronic database tracking reviews, identified issues, followup actions and implementation of changes. |          |             | 3              |               |               |             |

| Item | Attribute   | Description   | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|---|---|----------|-------------|----------------|---------------|---------------|-------------|
| 63   | <b>Safety &amp; Respiratory equipment is maintained &amp; available as needed.</b><br>7.1.2(a)(5) | ITO Shall provide evidence of availability of all required PPE, including respirators, tyvek & abrasive blasting coveralls, gloves, hearing protection, eye protection (safety glasses & face shields), and direction for use of steel toed shoes (or equivalent protection), and all applicable PPE. Outstanding: Not possible on this element.  |          |             | 3              |               |               |             |
| 64   | <b>Material Handling Equipment training prior to use.</b><br>7.1.2(a)(6)                          | ITO Shall provide evidence of a program or policy for use of material handling equipment such as forklifts, manlifts, dollies, and cranes; and that personnel are adequately trained prior to use. Outstanding: Electronic database tracking qualifications, due dates, incident or mishap investigations, identified issues, followup actions and implementation of changes.   |          |             | 3              |               |               |             |
| 65   | <b>Material Handling Equipment training prior to use.</b><br>7.1.2(a)(7)                          | ITO shall provide evidence of an emergency plan including emergency escape routes, muster points, fire extinguishers, eye wash stations, first aid kits, and evacuation plans. All placards, signs and instructions shall be in place. All emergency equipment shall be in working order, inspected and replenished regularly. Ensure appropriate notification is included in the opening brief for all training, testing, and activities. Outstanding: Not possible on this element. |          |             | 3              |               |               |             |

| Item  | Attribute                                     | Description  | Comments      | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|---|---|--|---------------|-------------|----------------|---------------|---------------|-------------|
| 66  | <b>Mishap Prevention Program. 7.1.2(a)(8)</b> | ITO shall provide evidence of a Mishap Prevention Program that provides for investigation of mishaps or near misses to determine root causes, and implement corrective or preventive actions; require periodic surveillances or audits to identify hazards or potential improvements; track findings from investigations, surveillances, and audits to verify follow through on assigned actions. Outstanding: Not possible on this element. |               |             | 3              |               |               |             |
| <b>Safety - Haz Mat - Haz Waste (7.1.2)</b> |   |  | Section Score |             |                |               |               |             |



## AS-3 In House Applicator Trade Skills Training Practices Audit Score Sheet

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

### Observation of Testing Practices (5.4.10)

Assessment of contractor's training practices and adherence to the management program elements previously verified during the review portion of this assessment. Jobsite assessment will include observation of training & testing, verification of mock up facility or contractor's equivalency assessment, observation of written and hands on retention testing, & grading of tests.

| Item | Attribute                              | Description  | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|--|--|----------|-------------|----------------|---------------|---------------|-------------|
| 59   | <b>Proctor retention test 5.2.7(a)</b> | ITO shall arrange for a written test (scheduled or retention) of several students randomly selected by the auditor from the list of qualified employees for a given subject, or from students currently attending a class at the ITO. Auditor will select 10 names from a list of available students. The ITO may eliminate up to 5 names for cause, such as not currently attending class at the facility; however, any employees eliminated will be replaced by additional employees randomly selected by the auditor. If students are not readily available, the retention test may be performed the next day. The Instructor will be allowed a 30 minute verbal review session prior to the test. The Instructor will provide verbal review, require the tables to be cleared, then distribute the test used to originally qualify the students. Time allowed will be consistent with the Lesson Plan for the subject. The average of all retention test scores shall be at least 70%; at least 80% of the students shall pass with a 70% score. Outstanding: Average of all retention test scores is at least 90%, all students pass with at least a 70% score. |          |             | 3              |               |               |             |

| Item | Attribute   | Description   | Comments | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|------|---|---|----------|-------------|----------------|---------------|---------------|-------------|
| 60   | <b>Verify mock up facility or equivalency report 5.2.7(b)</b> | ITO shall provide access to the mock up facility & test panel. If the ITO uses a test panel or location determined to be of equivalent complexity, the auditor shall review the assessment & documentation required by Paragraph 5.2.7 (b) of AS-3. The mock up facility shall have the equipment & support services necessary to abrasive blast and apply coatings. The test panel complexity shall be equivalent to the complexity of the panel defined in ASTM D4228. Outstanding: Mock up location includes confined spaces, crawling, areas that require a mirror to verify blasting & coating application.  |          |             | 3              |               |               |             |
| 61   | <b>Hands on skills testing 5.2.7(c)</b>                       | ITO shall arrange for a hands on test (scheduled or retention) of several students randomly selected by the auditor from the list of qualified employees for a given subject. Auditor will select the names from those students available. The contractor may eliminate up to 1 name for cause; however, any student eliminated will be replaced by an additional student randomly selected by the auditor. If students are not immediately available, the test will be performed the next day. The Instructor will be allowed a 30 minute verbal review session prior to the test. Instructor will provide verbal review, then proctor the hands on test. Time allowed shall be consistent with the Lesson Plan for the subject. The average of all retention test scores shall be at least 70%; at least 70% of the students shall pass with a 70% score. Outstanding: Average of all test scores is at least 90%, all students pass with at least a 70% score. |          |             | 3              |               |               |             |

| Item   | Attribute  | Description   | Comments              | Rated Value | Expected Value | Major Finding | Minor Finding | Observation |
|--|--|---|-----------------------|-------------|----------------|---------------|---------------|-------------|
| 62   | <b>Grading or correcting of written tests based on a test key 5.2.7. (d) &amp; (e)</b> | ITO shall provide access to the written test key, and a number of graded written tests. Auditor will randomly select names for a list of qualified personnel for a given subject. The ITO shall provide the corrected test used as the basis for qualification. Auditor reviews a sample of the tests provided with the sample key to determine that the grading was consistent & objective. If there are any deviations from the results obtained with the test key they should be clearly explained on the test sheet. Outstanding: Evidence that the Instructor has identified discrepancies, such as test questions that require an incorrect answer or vague questions. The evidence shall show corrective actions such as changing the test or clarifying the direction in the lesson plan.   |                       |             | 3              |               |               |             |
| 63   | <b>Grading or correcting of hands on tests based on a written guideline 7.9.2.</b>     | ITO shall provide access to the written guideline & a number of graded hands on test results sheets. Auditor shall randomly select names for a list of qualified personnel for a given subject. The ITO shall provide the corrected test results used as the basis for qualification. Auditor reviews a sample of the tests provided with the written guidelines to determine that the grading was consistent & objective. If there are any deviations from the results obtained with the written guidelines they shall be clearly explained on the test results sheet. Outstanding: Evidence that the Instructor has identified testing discrepancies, such as too narrow a range for DFT readings or profile readings. The evidence shall show corrective actions such as changing the written guidelines or clarifying the direction in the lesson plan. |                       |             | 3              |               |               |             |
| <b>Observation of Testing Practices (5.4.10)</b> |  |   | <b>Section Score:</b> |             |                |               |               |             |