



**QN1 Internal Audit Checklist**

**11/12**

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

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

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

**Completed By:** \_\_\_\_\_

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

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Quality Procedure QN 1 Reference Number	Audit Criteria	Rating	Comments
3.1 Organization and Personnel	Verify that:  An individual or organization is responsible for defining the overall effectiveness of the QA Program.  Identification of individuals and job descriptions are explained in procedures.  Functional responsibility and authority is established and documented in the contractor's quality manual.  The relationship between the contractor's QA Manager and company president.	0 1 2 3	
3.1 Quality Assurance Manager	Verify that the QAM (Level III) meets minimum requirements based on experience and education requirements identified in ANSI N45.2.6.  Verify that QAM responsibilities include: <ul style="list-style-type: none"> <li>• Training and certification of inspection personnel, review / approval of procedures, also may have inspection duties.</li> <li>• Implementation of the contractor's M&amp;TE calibration program.</li> <li>• Assessing and evaluating the status and effectiveness of the corporate QA Program.</li> </ul> <p><b>NOTE: For nuclear work, the QA Manager should be identified instead of the QCS.</b></p>	0 1 2 3	

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<p>3.2 Quality Assurance Program</p>	<p>Verify that:  A Quality Assurance Program is implemented that complies with customer's specification and quality assurance requirements.</p>	<p>0 1 2 3</p>	
<p>3.3 Procurement Procedures</p>	<p>Verify that:  Purchase Order/Contract technical and quality requirements are accurately recorded on the contractor's control documents (i.e. order review form, traveler, work order, including item description or part number).  Final record packages including Certificates of Compliance meet contract or P.O. requirements. Verify the packages accurately describe the delivered product/service.</p>	<p>0 1 2 3</p>	
<p>3.3 Procurement Procedures</p>	<p>Verify that measures are in place and implemented for the control and release of procurement documents, including changes.  Ensure that the following are included:</p> <ul style="list-style-type: none"> <li>• Statement of the scope of work</li> <li>• Technical requirements by reference to specific drawings, codes or specifications.</li> <li>• Requirements for a documented quality assurance program, implemented, and meeting applicable code or regulatory requirements.</li> <li>• Requirement for right to access to facilities and records for source inspection or audit.</li> <li>• Identification of document submittals for approval.</li> <li>• Identification of deliverable records.</li> <li>• Requirement for reporting and approving disposition of nonconformances.</li> <li>• Requirement for record availability, retention and disposition.</li> <li>• Requirement for extending applicable technical and QA requirements to lower tier suppliers.</li> <li>• Applicability of 10CFR21.</li> </ul>	<p>0 1 2 3</p>	

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<p>3.3 Procurement Procedures</p>	<p>Verify that measures are in place and implemented for the evaluation, selection and assessment of suppliers, including suppliers, calibration and test labs.</p> <p>Verify the supplier's program addresses audits of Appendix B suppliers.</p> <ul style="list-style-type: none"> <li>• Verify evaluations are performed prior to award of contract (and at a specified frequency).</li> <li>• Verify that the scope of approval of the sub-supplier is commensurate with the requirements of the procurement documents.</li> <li>• Verify that only approved suppliers are used.</li> </ul>	<p>0 1 2 3</p>	
<p>3.3 Procurement Procedures</p>	<p>Verify that measures are established and implemented for the evaluation, selection and assessment of suppliers (including calibration and testing labs). Verify the supplier's program addresses audits of Appendix B suppliers (and surveys for commercial grade suppliers, if applicable).</p> <ul style="list-style-type: none"> <li>• Verify evaluations are performed prior to award of contract, and at the specified frequency.</li> <li>• Verify that the scope of approval of the sub-supplier is commensurate with the requirements of the procurement documents.</li> <li>• Verify that only approved suppliers are used.</li> </ul>	<p>0 1 2 3</p>	
<p>3.4 Document Control</p>	<p>Verify that measures are established and implemented to control the issuance of documents:</p> <ul style="list-style-type: none"> <li>• Personnel are identified as being responsible for the review and approval of transmittals.</li> <li>• Activities affecting quality are performed in accordance with documented procedures, instructions or drawings.</li> <li>• Verify that distribution and revision of documents is controlled in accordance with the QA Program.</li> <li>• Verify that obsolete documents are retrieved or controlled.</li> <li>• Verify that review and approval of document changes are performed by the same organization responsible for the original release.</li> </ul>	<p>0 1 2 3</p>	

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<p>3.4 Document Control</p>	<ul style="list-style-type: none"> <li>• Verify that record retention time meets or exceeds owner requirements.</li> <li>• Verify that procurement documents for materials and subcontracted services include requirements to assure their compliance to the program. (When contractor procures materials and service for Service Level I, II or III work).</li> <li>• Verify that changes and revisions to procurement documents are reviewed by the same system as the original release.</li> </ul>	<p>0 1 2 3</p>	
<p>3.5 Control of Purchased Material, Items and Services</p>	<p>Verify that measures are in place to assure that purchased safety-related materials, items and services conform to procurement requirements, including:</p> <ul style="list-style-type: none"> <li>• Receipt inspection</li> <li>• Identification/tagging</li> <li>• Storage requirements</li> </ul>	<p>0 1 2 3</p>	
<p>3.6 / 3.8 Technical Procedures</p>	<p>Verify that measures are in place and implemented for the control of work activities. Activities should be controlled by a work order or traveler which includes the following:</p> <ul style="list-style-type: none"> <li>• Identification of the work activities.</li> <li>• Identifies instructions, procedures and drawings to be used for each activity.</li> <li>• Identifies hold/witness points.</li> <li>• Identifies environmental requirements.</li> <li>• Identification of special handling requirements.</li> <li>• Verification of the use of correct materials.</li> </ul>	<p>0 1 2 3</p>	
<p>3.7 / 3.13 Craft Worker Assessment</p>	<p>Verify that personnel performing surface preparation and coating activities are qualified using approved procedures. Procedures shall identify:</p> <ul style="list-style-type: none"> <li>• Personnel responsible for instruction.</li> <li>• Person identified as the qualifying agent.</li> <li>• Implementation including identification of test area, pass/fail criteria, training required and identification of coating materials to be applied.</li> <li>• Person identified as the certifying agent.</li> </ul>	<p>0 1 2 3</p>	

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<p>3.9 Measurement and Test Equipment (M&amp;TE) Calibration and Accuracy Checks</p>	<p>Verify that procedures/standards are available to assure that instruments are checked and properly adjusted and that:</p> <ul style="list-style-type: none"> <li>• Frequency is established for recalibration of instruments.</li> <li>• Accuracy (tolerance) is established for instruments.</li> </ul> <p>M&amp;TE controls must be established and implemented for:</p> <ul style="list-style-type: none"> <li>• Labeling/identification</li> <li>• Calibration (including use of standards at prescribed intervals)</li> <li>• Adequacy of standards to assure accuracy</li> <li>• Use of reference and working standards traceable to NIST or other recognized standard.</li> <li>• As-found / as-left information documented</li> <li>• Calibration history</li> <li>• Control and disposition of M&amp;TE found to be out-of-tolerance, out-of-cal. or past due for calibration (use of NCRs to document)</li> </ul> <p>NOTE: Other requirements per P.O. or contract may be identified regarding the accuracy of standards used for calibration.</p> <p>Verification that:</p> <ul style="list-style-type: none"> <li>• Contractor is using an M&amp;TE verification log to track calibration status.</li> <li>• Verification that current calibration records are available at the site.</li> <li>• Verification that calibrations are performed using approved procedures or at an approved calibration lab.</li> <li>• Verify that a system is in place to evaluate and document measuring equipment deficiencies.</li> </ul> <p>Determine that a system is used to identify materials or work accepted by equipment found to be out of calibration.</p> <p>Verify use of accredited calibration lab, when applicable.</p>	<p><b>0 1 2 3</b></p> <p><b>0 1 2 3</b></p> <p><b>0 1 2 3</b></p>	



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<p>3.11 Documenting Non-Conforming Work and Authorized Deviations</p>	<p>Verify that dispositions are identified, documented justification is provided, procedures for repair/rework are available, 10CFR21 evaluation is completed, when required.</p> <p>Verify Owner acceptance of disposition</p>	<p>0 1 2 3</p>	
<p>3.11 Corrective Action Procedure</p>	<p>Verify that conditions adverse to quality are promptly identified and corrected, including:</p> <ul style="list-style-type: none"> <li>• Identification and description of condition</li> <li>• Determination of cause and actions taken to prevent recurrence</li> <li>• Review and approval of adequacy of the corrective action by responsible authority</li> <li>• 10CFR21 evaluation, if required</li> <li>• Follow-up actions to verify that corrective action has taken place or are scheduled</li> </ul>	<p>0 1 2 3</p>	
<p>3.12 Quality Assurance Records</p>	<p>Verify that the contractor has established procedures for the generation, collection, storage and maintenance of records determined to be quality assurance records.</p> <p>Verify that retention requirements have been established.</p> <p>Verify that the disposition of quality assurance records has been identified.</p>	<p>0 1 2 3</p>	
<p>3.13.1 Personnel Qualifications (Quality Control Inspectors)</p>	<p>Levels I and II inspectors must meet minimum education and experience requirements of ANSI N45.2.6 or ASTM D4537. Level II inspectors may have delegated responsibility in field for on-job training of in-training Levels I and II inspectors.</p> <p>Inspectors must recertify every 3 yrs. (contingent on continued inspection activity)</p> <p>Inspectors must be trained in applicable procedures. Inspectors must maintain training/experience log. Annual evaluation of QC Inspectors is performed.</p>	<p>0 1 2 3</p>	



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<p>3.13.2 Written Procedures and Inspection Plans / Hold or Check Point Inspections</p>	<p>The contractor shall have written procedures that specifically define quality control methods and criteria in accordance with 10CFR50 Appendix B.</p> <p>Verify that measures are established for Special Processes (painting) using qualified personnel and procedures.</p> <p>Verify use of traveler or other document to identify hold point inspections.</p>	<p>0 1 2 3</p>	
<p>3.14 Training</p>	<p>Verify that the contractor has implemented a method for the indoctrination and training of management and applicator personnel performing safety-related tasks.</p> <p>Verify that the contractor has identified personnel responsible for establishing and implementing the training program.</p>	<p>0 1 2 3</p>	
<p>3.15 Audit</p>	<p>Verify that the contractor has established and implemented procedures to perform audits, including:</p> <ul style="list-style-type: none"> <li>• Planning audits in accordance with established procedure requirements.</li> <li>• Audit plans and checklists are developed that identify areas to be audited and the assignment of qualified audit personnel.</li> <li>• A method for reporting deficiencies and recommendations has been established.</li> </ul> <p>Verify that audit personnel have no direct responsibility in the areas being audited.</p> <p>Verify that the contractor has established an audit schedule based on the length of the project.</p>	<p>0 1 2 3</p>	