|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Facility:** | | **Process(es) Covered:** | | | **HHS(s):** | |
| **Completion Score History** | | **Date** | **Part A Score** | | **Part B Score** | |
| xx/xx/xxxx | xx% | | xx% | |
|  |  | |  | |
| **A. PROCEDURE/POLICY REVIEW** | | | | | | |
| **Documents Reviewed** | | | | | | |
| **Date Reviewed** | **Title of Document** | | | **Rev. #** | **Date** | **# Pgs.** |
|  |  | | |  |  |  |
|  |  | | |  |  |  |
| **1) CONDUCTING THE AUDIT** | | | | | **NAC Ref.** | **Resp.**  **Code** |
| ***Item #1 Completion Score – Weighted 30% of Part A*** | | | | | **x / 2 = xx%** | |
| i. Does the program procedure require that the audit be conducted and the evaluation certified at least once every three years; and does the procedure define the responsible individual who certifies the evaluation? | | | | | 459.95427(1a)  459.95341 |  |
| ii. Does the program procedure define the review criteria, acceptance criteria, and responsible individual(s) who conduct the review of each of the following elements: | | | | | 459.95427(1a) 459.95341 |  |
| a. Process Safety Information | | | |  | 459.95427(1a)  459.95341 |  |
| b. Process Hazard Analysis | | | |  | 459.95427(1a)  459.95341 |  |
| c. Standard Operating Procedures | | | |  | 459.95427(1a)  459.95341 |  |
| d. Training | | | |  | 459.95427(1a)  459.95341 |  |
| e. Mechanical Integrity | | | |  | 459.95427(1a)  459.95341 |  |
| f. Management of Change | | | |  | 459.95427(1a)  459.95341 |  |
| g. Pre-Startup Safety Review | | | |  | 459.95427(1a)  459.95341 |  |
| h. Verification of Compliance Audit | | | |  | 459.95427(1a)  459.95341 |  |
| i. Incident Investigation | | | |  | 459.95427(1a)  459.95341 |  |
| j. Employee Participation | | | |  | 459.95427(1a)  459.95341 |  |
| k. Hot Work Permit | | | |  | 459.95427(1a)  459.95341 |  |
| l. Contractor Program | | | |  | 459.95427(1a)  459.95341 |  |
| m. Emergency Response Program | | | |  | 459.95427(1a)  459.95341 |  |
| **Notes/Comments Pertaining to Responses to Questions under Issue 1):** | | | | | | |
| **2) PERSON CONDUCTING THE AUDIT** | | | | | **NAC Ref.** | **Resp.**  **Code** |
| ***Item #2 Completion Score – Weighted 30% of Part A*** | | | | | **x / 1 = xx%** | |
| i. Does the program procedure require that the audit be conducted by at least one person that is knowledgeable in the process being audited; and does the procedure define the criteria for auditor selection? | | | | | 459.95427(2)  459.95341 |  |
| **Notes/Comments Pertaining to Responses to Questions under Issue 2):** | | | | | | |
| **3) REPORT AND RECOMMENDATION TRACKING** | | | | | **NAC Ref.** | **Resp.**  **Code** |
| ***Item #3 Completion Score – Weighted 30% of Part A*** | | | | | **x / 4 = xx%** | |
| i. Does the program procedure require that a report of the findings be generated; and does the procedure define the individual(s) responsible to generate the report? | | | | | 459.95427(1b)  459.95341 |  |
| ii. Does the program procedure require that appropriate responses to deficiencies be determined and documented; and does the procedure define how responses are generated and the individual(s) responsible? | | | | | 459.95427(1c)  459.95341 |  |
| iii. Does the program procedure require that actions taken to correct deficiencies be documented; and does the procedure define how actions are tracked and the individual(s) responsible? | | | | | 459.95427(1d)  459.95341 |  |
| iv. Does the program procedure require that the two most recent reports be retained? | | | | | 459.95427(1e) |  |
| **Notes/Comments Pertaining to Responses to Questions under Issue 3):** | | | | | | |
| **4) MANAGEMENT PLAN AND DOCUMENT CONTROL** | | | | | **NAC Ref.** | **Resp.**  **Code** |
| ***Item #4 Completion Score – Weighted 10% of Part A*** | | | | | **x / 2 = xx%** | |
| i. Is there a site-specific plan that addresses how the Verification of Compliance Audits Program requirements will be developed and maintained, including: | | | | | 459.95341 |  |
| a. Document the names of person(s) who are members of the team with overall responsibility for the development, implementation and integration of the Verification of Compliance Audits Program Requirements? | | | |  | 459.95341 |  |
| ii. Is there a site-specific policy or procedure that addresses how the Verification of Compliance Audits Program documentation is controlled to ensure that the most current information is in circulation and use? | | | | | 459.95341 |  |
| **Notes/Comments Pertaining to Responses to Questions under Issue 4):** | | | | | | |
| **General Procedure/Policy Review Notes/Comments:** | | | | | | |

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| **B. ON-SITE INSPECTION - RECORDS AUDIT** | | | | | | |
| **1) AUDIT DOCUMENTATION RETENTION**  *List the Last Two Reports in the Following Table:* | | | | | **NAC Ref.** | **Resp. Code** |
| ***Item #1 Completion Score – Weighted 50% of Part B*** | | | | | **x / 1 = xx%** | |
| **Subject Audit** | **Were there recommend-ations?** | **Are all the recommendations implemented?** | **Audit**  **Start Date** | | **Audit**  **End Date** | **Report Date** |
| Most Recent Report |  |  |  | |  |  |
| Previous Report |  |  |  | |  |  |
| 1. Have the two most recent reports been retained? | | | | | 459.95427 |  |
| **Notes/Comments Pertaining to Responses to Questions under Issue 1):** | | | | | | |
| **2) AUDIT THE MOST RECENT VERIFICATION OF COMPLIANCE AUDIT REPORT** | | | | | **NAC Ref.** | **Resp. Code** |
| ***Item #2 Completion Score – Weighted 50% of Part B*** | | | | | **x / 9 = xx%** | |
| 1. Does the most recent audit report indicate that a review was performed for the program elements pursuant to the procedure review criteria: | | | | | 459.95427(1a) |  |
| 1. Process Safety Information | | | |  | 459.95427(1a) |  |
| 1. Process Hazard Analysis | | | |  | 459.95427(1a) |  |
| 1. Standard Operating Procedures | | | |  | 459.95427(1a) |  |
| 1. Training | | | |  | 459.95427(1a) |  |
| 1. Mechanical Integrity | | | |  | 459.95427(1a) |  |
| 1. Management of Change | | | |  | 459.95427(1a) |  |
| 1. Pre-Startup Safety Review | | | |  | 459.95427(1a) |  |
| 1. Verification of Compliance Audit | | | |  | 459.95427(1a) |  |
| 1. Incident Investigation | | | |  | 459.95427(1a) |  |
| 1. Employee Participation | | | |  | 459.95427(1a) |  |
| 1. Hot Work Permit | | | |  | 459.95427(1a) |  |
| 1. Contractor Program | | | |  | 459.95427(1a) |  |
| 1. Emergency Response Program | | | |  | 459.95427(1a) |  |
| 1. Was the audit performed within 3 years of the initial startup or the previous audit? | | | | | 459.95427(1a) |  |
| 1. Was the audit certified? | | | | | 459.95427(1a) |  |
| 1. Does the report list deficiencies found during the audit? | | | | | 459.95427(1b) |  |
| 1. Are recommendations for correcting deficiencies documented? | | | | | 459.95427(1c) |  |
| 1. Are the recommendations tracked through completion? | | | | | 459.95427(1d) |  |
| 1. Are persons who performed the audit identified? | | | | | 459.95427(2) |  |
| 1. Is at least one person knowledgeable in the process being audited? | | | | | 459.95427(2) |  |
| 1. Based upon the response codes to complete items ‘a’ through ‘h’ above, is it possible to confirm that the verification of compliance audits program is being implemented in accordance with regulation? | | | | | 459.95427 |  |
| **Notes/Comments Pertaining to Responses to Questions under Issue 2):** | | | | | | |
| **General On-Site Inspection and Records Audit Notes/Comments:** | | | | | | |