**Operator and General Audit Information**

|  |  |
| --- | --- |
| **Company:** | **Name:** |
|  |
| **Mailing and Official Address (If different):** |
|  |
| **Doing Business as or Affiliation:** |
|  |
| **PHMSA Operator Identification (OPID) No.** |  |
| **LDENR Pipeline Number (PL Number)** |  |
| **Unit ID Number/ Unit Name inspected** |  |
| **Operator’s Local Address:** |  | **Inspector(s):** |  |
| **Date of Inspection:** |  |

**Operator Representatives Participating**

|  |  |
| --- | --- |
| **Key Persons** | **Name / Title / Mailing Address / Phone / Email** |
| **Primary Operator or Representative Interviewed** |  |
| **Others Interviewed, Providing Information or Present during the Inspection** |  |
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**Operator Qualifications Procedures**

**1. Operator Qualification Plan and Covered Tasks**

Is there an OQ plan that includes covered tasks, and the basis used for identifying covered tasks?

**192.805(a), 192.801(b)**

**195.505(a), 195.501(b)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**2. Evaluation Methods**

Are evaluation methods established and documented appropriate to each covered task?

**192.805(b), 192.803, 192.809(d), 192.809(e)**

**195.505(b), 195.503, 195.509(d), 195.509(e)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**3. Training Requirements (Initial, Retraining, and Reevaluation)**

Does the OQ program provide for initial qualification, retraining and reevaluation of individuals performing covered tasks?

**192.805(h)**

**195.505(h)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**4. Reevaluation Intervals for Covered Tasks**

Does the OQ plan establish and justify requirements for reevaluation intervals for each covered tasks?

**192.805(g)**

**195.505(g)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
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| **Notes** |
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**5. Abnormal Operating Conditions**

Does the OQ plan contain requirements to assure that individuals performing covered tasks are able to recognize and react to abnormal operating conditions (AOCs)?

**192.803**

**195.503**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
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| **Notes** |
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**6. Personnel Performance Monitoring**

Does the program include provisions to evaluate an individual if there is reason to believe that performance of a covered task contributed to an incident or accident as defined in Parts 192 and 195 or there is reason to believe an individual is no longer qualified to perform a covered task?

**192.805(d), 192.805(e)**

**195.505(d), 195.505(e)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**7. Covered Task Performance by Non-Qualified Individual**

Are there provisions for non-qualified individuals to perform covered tasks while being directed and observed by a qualified individual, and are there appropriate restrictions and limitations placed on such activities?

**192.805(c)**

**195.505(c)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
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| **Notes** |
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**8. Contactor Qualification Documentation Meets Operator Requirements**

Does the OQ plan document that the operator has assured that the procedures on which an OQ vendor has evaluated qualified personnel are the same or consistent with those used by the operator for employees and contractors in the field?

**192.805(h)**

**195.505(h)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
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| **Notes** |
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**9. Contractors Adhering to OQ Plan**

Does the OQ plan have a process to communicate the OQ plan requirements and ensure that contractors are following it?

**192.805(b), 192.805(f), 192.805(c)**

**195.505(b), 195.505(f), 195.505(c)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
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| **Notes** |
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**10. Management of Other Entities Performing Covered Tasks**

Does the OQ plan require other entities that perform covered tasks on behalf of the operator to be qualified?

**192.805(b), 192.805(c), 192.805(d), 192.805(e), 192.805(f)**

**195.505(b), 195.505(c), 195.505(d), 195.505(e), 195.505(f)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**11. Management of Changes**

Does the OQ program identify how changes to procedures, tool standards and other elements used by individuals in performing covered tasks are communicated to the individuals, including contractor individuals, and how these changes are implemented in the evaluation method(s)?

**192.805(f)**

**195.505(f)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
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| **Notes** |
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**12. Notification of Significant Plan Changes**

Does the process require significant OQ program changes to be identified and the Administrator or State agency notified?

**192.805(i)**

**195.505(i)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
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| **Notes** |
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**Operator Qualifications Records**

**1. Qualification Records for personnel Performing Covered Tasks**

Do records document the evaluation and qualifications of individuals performing covered tasks, and can the qualifications of individuals performing covered tasks be verified?

**192.807**

**195.507**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
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| **Notes** |
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**2. Training Requirements (Initial, Retraining, and Reevaluation)**

Does the operator have records for initial qualification, retraining and reevaluation of individuals performing covered tasks?

**192.807(a), 192.807(b)**

**195.507(a), 195.507(b)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**3. Abnormal Operating Conditions**

Do records document evaluation of qualified individuals for recognition and reaction to AOCs?

**192.807(a), 192.807(b), 192.803**

**195.507(a), 195.507(b), 195.503**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**4. Personnel Performance Monitoring**

If the operator had an incident/accident where there is a reason to believe that an individual contributed to the cause, do records indicate evaluation of the individual following the occurrence?

**192.805(d), 192.805(e)**

**195.505(d), 195.505(e)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**5. Contractor Qualification**

Are adequate records containing the required elements maintained for contractor personnel?

**192.807(a), 192.807(b)**

**195.507(a), 195.507(b)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**6. Management of Other Entities Performing Covered Tasks**

If the operator employs other entities to perform covered tasks, such as mutual assistance, are adequate records containing the required elements maintained?

**192.805(b), 192.805(c), 192.803**

**195.505(b), 195.505(c), 195.503**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**7. Records of OQ Program Changes**

Are records maintained for changes that affect covered tasks and significant OQ plan changes?

**192.805(i), 192.805(f)**

**195.505(i), 195.505(f)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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