**Operator and General Audit Information**

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

**Operator Representatives Participating**

|  |  |
| --- | --- |
| **Key Persons** | **Name / Title / Phone / Email** |
| **Primary Operator or Representative Interviewed** |  |
| **Others Interviewed, Providing Information or Present during the Inspection** |  |
|  |
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**1. Identify Threats – Outside Sources**

Has the operator identified information or data from external sources (e.g. trade associations, operator's consultants, government agencies, other operators, manufacturers, etc.) that may require re-evaluation of threats and risks?

**192.1007(b)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**2. System Knowledge – Gaps**

Is missing or incomplete system information and data needed to fill knowledge gaps to assess existing and potential threats being collected?

**192.1007(a)(3)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**3. System Knowledge – Information Needed (Systems)**

Is missing or incomplete system information and data using the procedures prescribed in the DIMP plan being collected?

**192.1007(a)(3)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**4. System Knowledge – Information Needed (O&M)**

Has any new or missing information identified or acquired during normal operations, maintenance, and inspection activities been incorporated into the DIMP plan?

**192.1007(a)(3)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**5. System Knowledge – New Pipe Data**

Have required data on any new pipeline installations since August 2, 2011 been captured (e.g., location, wall thickness/SDR, manufacturer, lot/production number)?

**192.1007(a)(5)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**6. System Knowledge – Data Collection Forms**

Are data collection forms used in conjunction with the operator's DIMP plan being fully and accurately completed?

**192.1007(a)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**7. System Knowledge – SME Input**

If Subject Matter Experts (SMEs), is their documented knowledge and experience being appropriately used in the DIMP Program?

**192.1007(a)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**8. System Knowledge – Understanding**

Do operator personnel in the field understand their responsibilities under the DIMP plan?

**192.1007(a)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**9. Identify Threats - Threats Considered (New Information)**

Has the operator acquired any new information relevant to system knowledge that may affect its threat identification?

**192.1007(b)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**10. Identify Threats - Information Considered (Changes)**

Have any changes occurred that require re-evaluation of threats and risks?

**192.1007(b)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**11. Identify Threats - Implementation (Update)**

Since the last DIMP plan review by the regulatory agency, has the threat identification and risk assessment been updated based on newly acquired information or data relevant to system knowledge?

**192.1007(c)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**12. Identify Threats - Implementation (DIMP Process)**

If the threat identification and risk evaluation and ranking have been modified, were the revisions made in accordance with the procedure in the DIMP plan?

**192.1007(c)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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| --- |
| **Previous Plan Year:**  |
|  | **Primary Threat Category** | **Threat Subcategory** | **Measure to Reduce Risk / Accelerated Action** | **Performance Measure** |
| **1.** |  |  |  |  |
| **2.** |  |  |  |  |
| **3.** |  |  |  |  |
| **4.** |  |  |  |  |
| **5.** |  |  |  |  |
| **Previous Plan Year:**  |
|  | **Primary Threat Category** | **Threat Subcategory** | **Measure to Reduce Risk / Accelerated Action** | **Performance Measure** |
| **1.** |  |  |  |  |
| **2.** |  |  |  |  |
| **3.** |  |  |  |  |
| **4.** |  |  |  |  |
| **5.** |  |  |  |  |
| **Previous Plan Year:**  |
|  | **Primary Threat Category** | **Threat Subcategory** | **Measure to Reduce Risk / Accelerated Action** | **Performance Measure** |
| **1.** |  |  |  |  |
| **2.** |  |  |  |  |
| **3.** |  |  |  |  |
| **4.** |  |  |  |  |
| **5.** |  |  |  |  |

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| --- |
| **Previous Plan Year:**  |
|  | **Primary Threat Category** | **Threat Subcategory** | **Measure to Reduce Risk / Accelerated Action** | **Performance Measure** |
| **1.** |  |  |  |  |
| **2.** |  |  |  |  |
| **3.** |  |  |  |  |
| **4.** |  |  |  |  |
| **5.** |  |  |  |  |
|  |  |  |  |  |
| **Current Plan Year:**  |
|  | **Primary Threat Category** | **Threat Subcategory** | **Measure to Reduce Risk / Accelerated Action** | **Performance Measure** |
| **1.** |  |  |  |  |
| **2.** |  |  |  |  |
| **3.** |  |  |  |  |
| **4.** |  |  |  |  |
| **5.** |  |  |  |  |

**13. Rank Risk - System Subdivision (Adequacy)**

Does the current subdivision process (grouping of materials, geographic areas, etc.) adequately meet the need to properly evaluate and rank the existing and potential threats to the integrity of the system?

**192.1007(c)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**14. Rank Risk - System Subdivision (Update)**

Have the system subdivisions within the risk evaluation and ranking been added to or modified since the last plan review by the regulatory agency?

**192.1007(c)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**15. Rank Risk - System Subdivision (DIMP)**

If system subdivisions have been added or modified, did the new system subdivision result in modifications to the risk evaluation and ranking?

**192.1007(c)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**16. Rank Risk - System Subdivision (Result)**

If system subdivisions have been added or modified, did the new system subdivision result in modifications to the risk evaluation and ranking?

**192.1007(c)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**17. Measures to Reduce Risk - Implementation (Update)**

Does documentation reviewed demonstrate that measures to reduce risks per the DIMP plan are being implemented?

**192.1007(d)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**18. Measures to Reduce Risk - Implementation (Completion)**

Have any measures to reduce risks resulting in the elimination/mitigation of the associated identified threat been completed (e.g., pipe replacement program completed, etc.)?

**192.1007(d)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**19. Measures to Reduce Risk - Implementation (Re-Evaluate)**

Have risks been re-evaluated and re-ranked because of the elimination/mitigation of an identified threat?

**192.1007(d)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**20. Measures to Reduce Risk - Implementation (Specific Risk)**

Does each implemented risk reduction measure identified in the DIMP plan address a specific risk or group of risks?

**192.1007(d)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**21. Measures to Reduce Risk - Leak Management**

Can the operator provide documentation to demonstrate that an effective leak management program is being implemented (answer "N/A" if all leaks are repaired when found)?

**192.1007(d)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
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| **Notes** |
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**22. Measure Performance - Implementation (Data)**

Is data being collected for the required performance measures in 192.1007(e)?

**192.1007(e)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**23. Measure Performance - Implementation (DIMP)**

Based on field observations and/or record reviews, is the data used to measure performance being accurately collected in accordance with the procedures in its DIMP plan?

**192.1007(e)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**24. Measure Performance - Implementation (Baseline)**

Is each performance measure being monitored from an established baseline?

**192.1007(e)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**25. Measure Performance - Implementation (Specific Risk)**

Is each performance measure added since the DIMP plan was last updated tied to a specific risk reduction measure or group of measures?

**192.1007(e)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**26. Periodic Evaluation - Implementation (Frequency)**

Have periodic evaluations of the DIMP plan been performed on the frequency specified in the plan? [If a periodic evaluation has not been required since plan implementation or the last inspection, mark questions 26-31 as "N/A".]

**192.1007(f)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
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| **Notes** |
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**27. Periodic Evaluation - Implementation (Requirements)**

Did the periodic evaluation include all required elements?

**192.1007(e), 192.1007(f)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**28. Periodic Evaluation - Implementation (High Risk)**

If any established performance measures indicated an increase in risk beyond an acceptable level (as established in the DIMP plan), were new risk reduction measures implemented along with their associated performance measures?

**192.1007(e), 192.1007(f)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**29. Periodic Evaluation - Implementation (Risk Reduction Measures)**

If the periodic evaluation indicates that implemented measures to reduce risks are NOT effective, were risk reduction measures modified, deleted or added?

**192.1007(f)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**30. Periodic Evaluation - Implementation (Performance Measures)**

Did the periodic evaluation indicate that the selected performance measures are assessing the effectiveness of risk reduction measures, and, if not, were performance measures modified, deleted or added?

**192.1007(f)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**31. Periodic Evaluation - Implementation (DIMP Plan)**

Were procedures followed in conducting periodic evaluations and program improvements?

**192.1007(f)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**32. Report Results – Submittal**

Were Parts C and D of the PHMSA Distribution Annual Report (Form 7100.1-1) completed in the submission to PHMSA and the state regulatory authority having jurisdiction, if required, for each year since the last inspection?

**192.1007(g)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**33. Records – Implementation**

Are records retained demonstrating compliance with Subpart P, as specified in its DIMP plan, for 10 years (or since 08/02/2011)?

**192.1011**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**34. Records - Implementation (Plan Retention)**

Were copies of superseded DIMP plans retained for 10 years (or since 08/02/2011)?

**192.1011**

|  |  |  |  |
| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**35. Records - Implementation (DIMP)**

Were DIMP procedures followed as applicable to records retention?

**192.1011**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**36. Deviation from Periodic Inspections – Approval**

Has approval been requested or received from PHMSA or the appropriate State Regulatory Authority for alternate (less strict than code) periodic inspection intervals? [If no, mark Subgroup GDIM.IMPL questions 40-44 "N/A".]

**192.1013(c)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**37. Deviation from Periodic Inspections – Implementation**

Have the periodic inspections been implemented and have they been conducted at the specified (approved) alternate intervals?

**192.1013(c)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**38. Deviation from Periodic Inspections - Requirements or Conditions**

Have all conditions been complied with that were required as part of the alternate inspection interval approval?

**192.1013(c)**

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| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**39. Deviation from Periodic Inspections - Performance Measures**

Do performance measure records indicate that deviation inspection resources were assigned to higher risk threat(s) and/or that that decreased inspection intervals contributed to an equal or greater overall level of safety has been achieved since the alternate inspection frequency was implemented?

**192.1013(c)**

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| --- | --- | --- | --- |
| No Issue | Potential Issue | Not Applicable | Not Checked |
|[ ] [ ] [ ] [ ]
| **Notes** |
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**40. Deviation from Periodic Inspections - Corrective Action**

If that an equal or greater overall level of safety has not been achieved, has corrective action been taken?

**192.1013(c)**

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