ATTCP ATE/ATT Quality Control Process

Audit Frequency and Triggers

Paper Audit of Acceptance Test Employer (ATE)

Required: 1% of ATE's projects per calendar year.

The ESCO Group Non-Residential Mechanical Registry (escodocreg.com) uses "Trip Wires" and certain algorithms within each form to analyze every form for anomalies. The Registry notifies the California State Pipe Trades Council (CSPTC), of those forms that have been earmarked as anomalous so that they may be reviewed. This process reviews 100% of the completed forms and exceeds the 1% review requirement.

Complaint Generated Audit of an ATE

A complaint must be initiated by a party with standing. E.g. the project's property owner, commissioning agent, installing contractor, etc. CSPTC, upon investigation, may choose to perform an onsite audit of the project in question.

Onsite Audit of ATE

Required Minimum: 1% of ATE's Projects per calendar year

CSPTC has contracted the ESCO Group to provide independent onsite audit services. ESCO Group shall perform on-site audits of no less than 1 percent of each Acceptance Testing Employer's (ATE) calendar projects. When and where it is feasible, the audit shall occur across multiple projects at various building-sites and include multiple Acceptance Test Technicians (ATT) employed by or assigned to the audited ATE.

Onsite audits shall be performed on or before each ATE's 50th project within a calendar year. *

*Some ATEs, due to the infrequency of their projects may require audits after as few as 10 projects.

Onsite audits shall be conducted in a "job shadow" method by trained and credentialed Quality Assurance Inspectors (QAI).

QAI Credentialing Process

Candidates may qualify as a QAI by successfully completing both classroom and performance training for each mechanical acceptance test in which they will be credentialed.

Candidate experience and training of the QAI will closely mirror that of the ATT, with an additional focus on observational skills relative to performing the Acceptance test.

Training will be supplied by the ESCO Group and Brownson Technical School and other designees that are approved by the ESCO Group.

ATE Requirements

All ATEs are required to register and maintain their projects in the online Non-Residential mechanical document registry at www.escodocreg.com .

All ATEs are required to provide to their Independent QA Provider (IQAP) a list of Acceptance Testing Projects (jobs) a **minimum** of 2 weeks in advance of the scheduled Acceptance Test and notify the IQAP of all date changes. This is accomplished via the Non-Residential mechanical document registry.

1. General Procedural Outline

   Acceptance forms are purchased by the ATE through the Document Registry.

   At the time of purchase from the Document Registry, the use of each document requires the assignment of an ATT and the date that the acceptance test will be performed. The ATT cannot be assigned to an acceptance form without also assigning the date the test is to be performed. In case of a schedule change, the date must be changed by the ATE.

   CSPTC has access to the audit schedule report, which is filtered by date range. The report includes (by ATE, by ATT) the Project name, forms, and quantity of each form scheduled within the specified date range. Furthermore, the report may be filtered by ATE and / or ATT.

2. The IQAP shall assign and schedule a QA Inspector (QAI) to audit an ATT, or ATTs, on a specific project. Neither the ATE or ATT shall be notified of any pending audit. The California Energy Commission requires that audits be to be conducted randomly and without advanced notice.

3. Prior to beginning an audit, the QAI will present their credentials to the ATT and the ATT shall provide proof of identity to the QAI.

4. The QAI shall conduct the audit and submit their completed audit forms and notes to the IQAP.

5. The IQAP shall enter all completed audit forms and notes into the Document Registry.

6. Upon completion of an audit day, the QAI will enter into the registry the completed audit forms, along with all recommendations relative to any suggested additional training. The report may include commendations for excellence. The IQAP shall notify by email CSPTC, ATE, and the ATT of the audit results.

7. The QAI may indicate that the ATT could not competently complete a specific Acceptance Test. Upon Failing the audit, the IQAP shall notify by email the ATTCP, ATE, and the ATT of the audit results.

8. Based on the audit results, CSPTC shall determine what if any, remedial actions are required and notify by email the ATE, and the ATT, of any required remedial actions.

9. The California Energy Commission's recommended action upon receipt of a notice of a failure notification:

   a) First Failure; Retraining
   b) Second Failure; Decertification

   CSPTC shall use its discretion as to the level of action relative to a failure notice.