



ADCI MEMORANDUM

SUBJECT: ADCI AUDIT PROCESS

DATE: 03/03/06

ADCI POLICY MEMORANDUM 3000.8 [REV 03_06]

Purpose: The integrity and reputation of the Association of Diving Contractors International is highly dependent upon the dedication of its' member companies to conduct commercial diving and underwater operations in accordance with the regulations of the country in which they operate, or the ADCI Consensus Standards for Commercial Diving and Underwater Operations; whichever establishes the higher level of safety.

Process: This Audit Process is intended to furnish ADCI with information upon which to partially determine whether an applicant for general membership, a commercial diving school applicant, or an existing member is in compliance with their agreement to abide by the ADCI Consensus Standards.

A. Exhibit (1) [ADCI Member Audit Protocol] will be attached to the General Membership application to permit an applicant company to evaluate their compliance with the ADCI Consensus Standards. This form must be submitted before consideration of membership will be entertained. If membership is approved by the Board of Directors it shall be one of a probationary period for the first year.

Note: it is necessary that any General member or commercial diving school applicant will have on-hand a copy of the ADCI Consensus Standards for Commercial Diving and Underwater Operations as a part of their application process.

B. Approximately nine (9) months after membership approval an additional formal audit will be scheduled. Whenever possible that audit process will be conducted at the member company location by an auditor appointed from ADCI. This audit is intended to evaluate the progress of the member company to correct any weaknesses or deficiencies that may have been noted in the application self-audit and to assist the member in any area wherein a difficulty may be evident.

C. General Member companies and Commercial Diving School Associate Members of this Association may request an audit at any time by contacting the ADCI office. In the case of a requested formal audit ADCI shall be fully reimbursed for direct expenses associated therewith.

D. ADCI may advise a Member company that due to special circumstances that it is considered necessary that a formal audit be conducted. Such instances may be, but are not limited to wherein a Membership Review is conducted in accordance with the Bylaws of the Association.

Notes:

1. It is not intended that the conduct of the above noted audit will interfere with the normal business operations of the member nor, is it intended that the audit process require disclosure of confidential or proprietary information relating to the business activities of the member. In all cases the audit process will be scheduled for a date mutually convenient and agreeable to the company and the auditor.
 2. Costs related to the conduct of an on-site audit will be minimized to cover only actual direct expenses (if any) and will be discussed and agreed in advance between company and auditor.
 3. Audits will be maintained in a confidential manner in the ADCI office. The content of audits performed shall not be disclosed to any party unless required in connection with a formal and confidential Membership Review process. Companies that have completed successful audit procedures may be identified in an appropriate manner in ADCI communication.
 4. Audits completed during the one-year probationary period may be used as necessary to determine whether the company shall be granted permanent status. In the event that the failure of an audit would lead to membership termination in accordance with Article 1, Section 3.H of the ADCI Bylaws, the company shall have the right to request a hearing.
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ADCI does not assume or accept any degree of liability or responsibility for the failure of a member company to conduct its' operations in compliance with national regulations; the contents and provisions of the ADCI Consensus Standards for Commercial Diving and Underwater Operations, or any other established procedure agreed as a contractual commitment.

The conduct of an audit as required by this Policy Memorandum is not intended to "certify" or "guarantee" that the audited company will, intends to, or is fully capable of conducting a specific operation.

The audit process is strictly intended to develop a general appreciation for the ability of a member company at the time of the audit to meet the requirements of the ADCI Consensus Standards for Commercial Diving and Underwater Operations. At all times it remains the responsibility of the company audited to conduct its' operations in a safe manner and ADCI assumes no liability or responsibility for that requirement.



ADCI Member Audit Protocol

This protocol has been developed to 1) assist an applicant for General membership or as Commercial Diving School to conduct a self-audit to determine its' ability to comply with the ADCI Consensus Standards for Commercial Diving and Underwater Operations, and 2) to facilitate the conduct of an audit conducted by a designated ADCI representative of a company within the first year of probationary membership or 3) to provide a vehicle for a Member company to request that an audit by ADCI be conducted.

General Instructions for Completion

1. The following document includes references to the ADCI Consensus Standards for Commercial Diving and Underwater Operations with referenced sections noted in bold numeric typeface.
2. Companies completing this audit form should furnish brief statements where appropriate. Where entries are required (such as where multiple personnel or items of equipment are noted) these can be satisfied by a separate attachment.
3. It is recognized that not all sections of this audit form may apply. As examples; where a company does not have an ISO procedure in effect merely note that or, where a health certificate or diver insurance, etc. is not required etc., an insertion "not applicable" is satisfactory.
4. Companies performing self-audits may furnish attachments, as they consider necessary and appropriate. ADCI will make contact with the submitter for any additional information or clarification considered necessary. On-site audits can be conducted in a manner to permit the auditor to view documents retained in keeping with the company administrative procedures.
5. **IT IS NOT ACCEPTABLE TO MERELY REFER TO THE COMPANY SAFE PRACTICES/OPERATIONS MANUAL ON THE FOLLOWING AUDIT FORM. EACH QUESTION SHOULD BE ANSWERED IN A MANNER TO ASSURE THE AUDITING EVALUATOR THAT THE SUBMITTING COMPANY IS IN COMPLIANCE WITH THE REQUIREMENTS.**

Member Audit Report

CONFIDENTIAL

Member Candidate or Member Company	
Company Representative	
ADCI or Company Designated Auditor or; Self-Audit	
Address	
Date	
Report Number	

This audit protocol sets out a list of questions, which the auditor will address with a view to determining compliance with the ADCI Consensus Standards for Commercial Diving and Underwater Operations. These questions are structured to cover the following areas in a methodical manner with reference data to the ADCI Consensus Standard items [as indicated] addressing same:

- Section 1: General Information
- Section 2: Personnel Requirements
- Section 3: Certification
- Section 4: Operations Procedures
- Section 5: Equipment and Systems
- Section 9: Injury Illness Reporting Guidelines
- Health, Safety and Environment System Management
- QA / QC Management

The auditor may, if he feels it appropriate, amplify answers to questions in areas of concern identified during the application documentation review or during the course of the audit.

Applicant Company shall be furnished an advance copy of these Audit Procedures for review and preliminary completion prior to arrival of the ADCI Representative(s) on site. These audit procedures will be made available at www.adc-int.org.

Audit Sheet

1. General Information

Company Name	
Address	
Telephone	
Facsimile	
E-Mail	
Website	
Business Scope	
President, Managing Director	
Safety Manager	
QA/QC Manager	
Operations or Diving Manager	

2. Personnel Requirements

- 2.1 Personnel Qualifications [Must be on-file at the company location for each Diver]
- 2.2 Existing members are **NOT** required to submit complete information on these personnel but are required to have complete records on each diver employed or used during the conduct of commercial diving operations. Identify personnel by ADCI Commercial Diver or ROV Certification Card Number.

Name of Diver	
Divers' Training Course(s) 2.1, 2.2, 2.3	
Other Training Course(s)	
Divers' Certification 3.0, 4.25.3	
Divers' Log Book 2.4	
Diving Supervisor(s) 2.6., 4.25.1	
Life Support Technician(s) 4.25.9	

- 2.3 **Medical Requirements** [Must be on-file at the company location for each Diver]. Note: it is not intended that disclosure of doctor to patient information is required but rather that a valid medical examination has been conducted and that examinee as been judged "fit to dive."

Medical Examination 2.8	
Examining Physician Organization 2.8	
Examination Standard 2.9	
Medical Records 2.8.8	Note: no confidential information is desired.

3. Operations Procedures

3.1 General Operations Procedures

Safe Practices/Operations Manual 4.1	
Diving Safety Manual 4.1	
Does the Diving Safety Manual contain copies of Recognized Tables for Decompression and Treatment (including altitude corrections)?	YES _____ NO _____ What tables does your company use? _____
Emergency Aid 4.2	
First Aid 4.3	
Planning and Assessment 4.4	
Job Safety Analysis Procedure 4.24	
Dive Team Briefing 4.5	
Minimum Dive Team Numbers 4.28.4	
Inspection of Systems, Equipment, and Tools 4.22	
Decompression Chamber 4.13	
Stand by Diver 4.16	
Warning Display	

4.17	
Reserve Breathing Supply 4.18	
Communications 4.19	
Company Record of Dives 4.20	
Personal Protective Equipment 4.23	

3.2 Assignments and Responsibilities [Are your procedures consistent with the requirements set forth in the Consensus Standards?]

Diving Supervisor 4.25.1	
Diver 4.25.3	
Stand by Diver 4.25.6	
Entry-Level Tender/Diver 4.25.7	
Life Support (Saturation) Technician 4.25.9	

3.3 Safety Procedure Checklist - 4.26

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3.4 Equipment Procedure Checklist - 4.27

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3.5 Specific Operations Procedures [Hand-held power tools; welding & burning equipment; explosives] - 4.30, 4.31, 4.32

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- 3.6 Emergency Procedures [Fire; Equipment Failure; Adverse Environmental Conditions; Medical Illness; Treatment of Injuries]
 - 4.33

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4. Equipment and Systems

- 4.1 Does the Company have established Check-Off Lists for inspection of equipment and systems intended to be used for commercial diving and underwater operations to ensure functional and operational readiness and Safety for intended use? _____

Note: to assist ADCI in developing comprehensive Check-Off Lists for possible inclusion into the Consensus Standards please furnish these types of lists together with this audit report.

- 4.2 Identify personnel who perform the initial and periodic examination, testing & Certification of Diving Equipment and system - 5.1.2: _____

4.3 Diver's Dress - 5.2

Item	Description	Numbers	Last inspection or testing date	Comments
1	Dry suits			
2	Hot water suits			
3	Harnesses			
4	Bailout systems			
6				

4.4 Helmets and Masks - 5.3

Item	Description	Numbers	Last inspection or testing date	Comments
1	Heavyweight Helmet			
2	Lightweight Helmet			
3	Masks			
4				

4.5 Hoses & Manifolds - 5.4

Item	Description	Numbers	Last inspection or testing date	Comments
1	Umbilical & Breathing Hoses			Are these properly Marked?
2	Oxygen Hoses			

3	Air Supply Manifold			
4	Mixed Gas Manifold			
5	Other Manifolds [Breathing Gas Control Systems			

4.6 Compressors - 5.5

Item	Description	Numbers	Last inspection or testing date(s)	Comments
1	Compressors a. Low Pressure b. High Pressure			
2	Volume Tanks			
3	Filters			
4	Air Purity Tests			
5				

4.7 Diver Entry and Egress Systems - 5.6

Item	Description	Numbers	Last inspection or testing date(s)	Comments
1	Ladder and Stage			
2	Man-rated Lifts			
3	Open Bell (Class 1)			

4.8 Pressure Vessels for Human Occupancy -5.7

Item	Description	Numbers	Last inspection or testing date(s)	Comments
1	DDC			
2	Systems			
3				
4				

4.9 Gauges -5.8

Item	Description	Numbers	Last calibration date(s)	Comments
1				
2				
3				

4.10 Relief Valves - as appropriate to system in which installed.

Item	Description	Numbers	Last inspection or testing date(s)	Comments
1				

4.11 Timekeeping Devices - 5.9

Item	Description	Numbers	Last Comparison Against Known Standard	Comments
1				
2				
3				

5. Accident Reporting

5.1 What Accident Recording Procedure (**Section 9**) does your company use?

5.2 Record the Number of Lost Time Incidents, Fatalities, or near miss reporting figures for past three(3)years as recorded in company records/insurance information

6. Health, Safety and Environment System Management [Company process]

6.1 Is a Health, safety and environmental management system in place and how often is this communicated to employees? _____

6.2 The method for dealing with diving medical emergencies

6.3 Last emergency response drill conducted: _____

6.4 Last safety meeting conducted: _____

6.5 Last safety audit conducted: _____

7. QA / QC Management [Company process]

7.1 Does the Company have an established QA/QC manual: _____

7.2 ISO registered certifications achieved (if applicable): _____

7.3 Last QA/QC in house audit date: _____

Diving Personnel Information Form

This form should be used by new member applicants and may be used by existing members as an internal record to maintain pertinent information of employees or other personnel used in the conduct of commercial diving or other underwater operations.

Existing members are **NOT** required to submit complete information on these personnel but are required to have complete records on each diver employed or used during the conduct of commercial diving operations. Identify personnel by ADCI Commercial Diver or ROV Certification Card Number.

Name of Diver	
Divers' Training Course(s)	
Other Training Course(s)	
Diver Certification #	
Is a Commercial Divers' Log Book Properly Maintained and periodically checked by the Employer?	
Supervisor Designation [if applicable]	
Medical Examination	
Examining Physician or Organization	
Examination Standard	
Medical Records See 2.8	No confidential information is desired.