

## USCG Office of Commercial Vessel Compliance (CG-CVC) Mission Management System (MMS) Form (FM)



Category	Domestic Vessel Inspections					
Title	Vertical Contract Audit Job Aid					
Serial	CVC-FM-007(1)	Orig. Date	22JUL19	Rev. Date	N/A	

Date	
Recognized Org (RO) or Third Party Org (TPO):	
Name of RO or TPO Representative:	
Date of Last Internal Monitoring by RO or TPO:	
Associated Vessel or Company:	
Associated Vessel or Company IMO #:	
Statutory Certification, Service, or Delegated	
Function subject to VCA:	
Audit Location:	
USCG Lead Auditor:	
MISLE Activity #:	

Preparation					
Was the statutory certification, service, or other delegated function scheduled in accordance with the QMS process?	$\Box$ Yes $\Box$ No $\Box$ N/A				
Is the assigned surveyor or auditor competent and qualified to perform the type of service being carried out?	□ Yes □No □N/A				
Is the assigned surveyor or auditor free from any conflict of interests as it relates to the services being carried out?	□ Yes □No □N/A				
Was the Coast Guard notified of the survey or audit in a timely fashion?	□ Yes □No □N/A				
Did the surveyor or auditor review relevant supporting documentation, vessel and company files, survey status, SMS or TSMS history, relevant drawings, as applicable?	□ Yes □No □N/A				
Will the surveyor or auditor use a checklist to complete the service being carried out?	□ Yes □No □N/A				
Was the surveyor or auditor provided any special instructions either by the flag Administration or the relevant head or regional office related to the service being carried out?	□ Yes □No □N/A				
Is the surveyor or auditor aware of any flag State policies related to the service being carried out (NVICs, Policy Letters, CVC-MMS-WIs, TPO Guidebook, etc.).	□ Yes □No □N/A				

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Products and S	ervice Delivery	
Did the surveyor or auditor complete the service in accordance with their checklist or process map?	$\Box$ Yes $\Box$ No $\Box$ N/A	
Was the surveyor or auditor familiar with reporting procedures for unsafe working conditions?	$\Box$ Yes $\Box$ No $\Box$ N/A	
Did the surveyor or auditor reference or review any related sub-processes necessary to "credit" the survey or audit? For example, previous parts of same survey, or services completed by third party vendor (radio servicing, fire system service, thickness measurements, radio servicing, etc.)	□ Yes □No □N/A	
Was the surveyor or auditor able to locate, understand, and apply all the applicable Rules, Flag Requirements, Statutory Requirements, Standards, and IACS Requirements applicable to the survey(s) or audits being carried out, as applicable?	□ Yes □No □N/A	
Was there good communication between the surveyor or auditors and the shipowners or Company?	□ Yes □No □N/A	
Was there a survey or audit planning or opening meeting carried out between the surveyor or auditor and the owner prior to commencement of the survey or audit to discuss the events to be carried out?	□ Yes □No □N/A	
Were deficiencies, observations, or non- conformities identified by the surveyor or auditor? If so, were they properly documented in accordance with applicable QMS procedures?	□ Yes □No □N/A	
Were deficiencies, observations, or non- conformities clearly communicated to the client?	□ Yes □No □N/A	
Is the surveyor or auditor recommended for continued service delivery of U.S. flag vessels or Companies?	□ Yes □No □N/A	

Findings				
No.	Description: (applicable requirement, objective evidence, nature of finding)	NC	OBS	