

NAVFACINST 11200.33D
Code 13
22 January 1997

NAVFAC INSTRUCTION 11200.33D

From: Commander, Naval Facilities Engineering Command

Subj: WEIGHT HANDLING EQUIPMENT AUDITS, VALIDATIONS, AND THIRD PARTY CERTIFICATIONS: PROCEDURES FOR CONDUCTING

Ref: (a) NAVFACINST 11450.1A, Acquisition and Management of Weight Handling Equipment
(b) NAVFAC P-307, Management of Weight Handling Equipment
(c) NAVSEA 07 Crane Quality Manual
(d) NAVSEA 0989-030-7000, Lifting Standard
(e) OPNAVINST 5100.23, Navy Occupational Safety and Health Program Manual
(f) 29 CFR 1915, Safety and Health Regulations for Shipbuilding
(g) 29 CFR 1917, Safety and Health Regulations for Marine Terminals
(h) 29 CFR 1918, Safety and Health Regulations for Longshoring
(i) 29 CFR 1919, Safety and Health Regulations for Gear Certification

Encl: (1) Procedures for Conducting Audits of Weight Handling Equipment Programs at Naval Shore Activities
(2) Procedures for Validating Certifications of Cranes for Special Purpose Service
(3) Procedures for Conducting Third Party Certifications of Cranes and Derricks Used in Longshoring Operations; and Floating Cranes and Floating Derricks Used in Shipbuilding, Ship Repair, and Shipbreaking

1. Purpose. To provide procedures for auditing for compliance and evaluating the effectiveness of weight handling equipment (WHE) programs at naval shore activities; for validating activity certifications of WHE designated for special purpose service (SPS); and for third party certification of WHE used in longshoring operations, and floating cranes and floating derricks used in shipbuilding, ship repair, and shipbreaking.

2. Cancellation. NAVFACINST 11200.33C of 8 August 1983.

3. Applicability. This instruction is applicable to WHE programs at naval shore installations.

Subj: WEIGHT HANDLING EQUIPMENT AUDITS, VALIDATIONS, AND THIRD PARTY CERTIFICATIONS: PROCEDURES FOR CONDUCTING

4. Background. Reference (a) assigns the Navy Crane Center (NCC) responsibility for conducting on-site audits of weight handling programs at naval shore activities; for validating each activity's certification of its WHE designated for SPS; and for providing third party certifications of cranes and derricks used in longshoring operations, and floating cranes and floating derricks used in shipbuilding, ship repair, and shipbreaking.

5. Action.

a. Currently, naval shipyards are audited annually and public works centers are audited biennially. By 31 March 1997, NCC shall develop a consolidated plan for auditing naval shore activity weight handling programs with a goal of completing an initial round of audits within five years.

b. NCC shall conduct, prepare, and submit audit reports per enclosure (1) as applicable.

c. Validations shall be performed in accordance with enclosure (2).

d. Third party certifications shall be performed in accordance with enclosure (3).

/s/
R.L. MOELLER
Vice Commander

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PROCEDURES FOR CONDUCTING AUDITS OF
WEIGHT HANDLING EQUIPMENT PROGRAMS AT
NAVAL SHORE ACTIVITIES

Attachments:

- (A) Detailed Inspection and Load Test Results
- (B) Crane Sampling Summary
- (C) Summary of Crane Accidents
- (D) Crane Data Sheets

1. Purpose of Audit. To evaluate the effectiveness of the activity's weight handling program.
2. Scheduling. NCC shall develop schedules in conjunction with the activities and their major claimants. Prior to the site visit, NCC shall make necessary arrangements with the activity including logistics support for the audit team.
3. Audit Plan. Approximately 30 days prior to the date of the audit, NCC shall send an audit plan to the activity. The plan shall request a listing of documentation to be sent to NCC in advance or made available at the start of the audit. The plan shall include a list of questions and points of contact for the on-site interviews. It is intended to represent the primary focus areas of the team members and shall be used as a checklist during the audit.
4. In-Brief. Upon arrival at the activity, the team shall conduct a conference with the Certifying Official and WHE managers to explain the audit process and introduce team personnel. Early in the audit, the team leader shall meet with the Naval Reactors Representative (NRR) to discuss areas of particular interest to the NRR, where applicable.
5. NCC OSR Report. Prior to the start of audits, NCC on-site representative (OSR) shall provide to the audit team a brief of the activity's crane program status, where applicable. The brief shall include a summary of such items as:
 - a. Activity crane organization and key personnel.
 - b. Assessment of crane work quality (e.g., problems/causes that preclude certification/validation of cranes when presented).
 - c. Crane program maintenance management practices unique to the activity.
 - d. List of problem areas along with specific on-site concerns.
 - e. Unresolved program deficiencies from previous NCC audit.

Enclosure (1)

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6. Performance. The primary focus of the audit is to determine the activity's compliance with WHE management actions directed by references (b), (c) and (d) where applicable; and (e); and other applicable criteria related to WHE management. Auditors may review any area relating to effective program execution. This may include, but is not limited to, program management, crane condition, certification, maintenance, operation, documentation, training, accidents and accident reporting, overhaul programs, handling of repair parts, engineering support, compliance with crane alteration requirements, inspection, load testing, lubrication, servicing, licensing, organization, staffing, personnel, and the activity rigging program.

7. Crane Sampling. A representative sample of the total active general purpose service (GPS) and special purpose service (SPS), where applicable, WHE inventory shall be selected for inspection. At least one crane from each category shall also be given a load test. The cranes to be sampled for inspection and load test shall be selected without prior knowledge of the activity and provided at the arrival conference. The GPS sample should be approximately 10 percent of category 1 and 2 cranes, and 5 percent of category 3 cranes. Additionally, approximately 30 percent of the SPS crane inventory shall be selected, where applicable. The sample should include various types of cranes within each category. If the crane selected is out of service, it may still be included in the sample for inspection. If the crane selected is required for production and arrangements cannot be made to inspect and load test the unit during the audit, another sample crane shall be selected. The team has the option to increase the sample to verify trends in findings.

8. Documentation Review. The audit sample equipment history files shall be reviewed to the extent necessary to adequately evaluate the crane documentation. Additionally, the audit team shall review the status of the action items from the previous audit and verify that all unsatisfactory cranes have been corrected.

9. Detailed Inspection and Load Test. Auditors shall conduct condition inspections of all sample cranes per reference (b), and monitor activity performed load tests of selected sample cranes. Inspection records shall be retained with the audit working papers for future reference. The final report shall include a Detailed Inspection and Load Test Results form for each crane found with deficiencies. See attachment (A). Major deficiencies, as defined in reference (b), shall be listed, including those which preclude starting or completing the load test. Minor deficiencies which do not affect load bearing, load controlling, or operational safety capability of the crane shall be listed separately. Each listing of deficiencies shall be clearly titled major or minor.

10. Unsatisfactory Cranes. A crane shall be considered unsatisfactory if:

- a. During the condition inspection, unsatisfactory conditions are found to load bearing/load controlling/operational safety device components that must be corrected prior to load testing or continuing the crane in productive service.

- b. During load test, unsatisfactory conditions are found to load bearing/load controlling/operational safety device components that have to be corrected prior to continuing with the load test.
- c. During review of documentation, it is determined that adjustments, repairs, or alterations have been made to load bearing/load controlling/operational safety device components without an appropriate proof test and recertification, where required.
- d. During the condition inspection of an audit crane that is out-of-service due to repairs, overhaul, PM's, etc., major deficiencies are found that have not been previously addressed (documented).
- e. During operational or load testing, the crane can not perform all its designated functions due to deficiencies.

Notes: (1) When determining the satisfactory/unsatisfactory status of the crane, the auditor will put himself/herself in the Certifying Official's place. If, as a Certifying Official, the auditor determines that no major deficiencies, or unsafe or questionable conditions exist, the crane shall be considered satisfactory. (2) A crane is still unsatisfactory for record purposes even if the major deficiency is corrected during the audit.

11. Notification of Unsatisfactory Cranes. When a crane is found unsatisfactory, the activity inspection or test branch shall be advised to remove the crane from service and void the certification. For unsatisfactory SPS cranes, the Certifying Official shall be notified that the current validation is revoked.

12. Progress Meetings. The team leader shall conduct daily progress meetings with the Director of Cranes or the designated activity representative to apprise the activity of the previous day's findings/observations and results of the NCC crane sample inspections/tests.

13. Out-Brief. A departure conference shall be held with the activity Commanding Officer, the Certifying Official, and key management personnel to summarize the results of the audit. The out-brief report shall contain an executive summary, all findings and observations, and listings of unsatisfactory SPS and GPS cranes. Findings shall not be changed after the out-brief without major claimant concurrence.

14. Audit Report. NCC shall prepare and distribute a report within 21 calendar days of the audit departure conference in accordance with the following guidelines:

- a. Report Format. Each report shall be organized as follows:

- (1) Table of Contents. Description and location of the items covered.

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(2) Executive Summary. A brief and concise summary consisting of the highlights found during the audit. Each item in the Executive Summary shall be fully detailed elsewhere in the report. The summary shall be brief and, where possible, limited to one page. The main body of the report shall be used to elaborate on the necessary detail.

(3) Out-Brief Summary of Findings and Observations. Include the findings and observations as presented at the out-brief.

(4) Main Body. The main body of the report shall consist of all findings, observations, background, discussion, conclusions, and recommendations. Findings, observations, discussions, and recommendations shall be complete and in detail. Findings and observations which deal with SPS cranes or reference (d) requirements shall be specifically identified. (For record purposes, all objective evidence supporting findings and observations shall be retained with the audit working papers.)

(5) Crane Summaries. Each report shall contain a GPS Crane Sampling Summary and an SPS Crane Sampling Summary, where applicable. See attachment (B).

(6) Detailed Inspection And Load Test Results. A Detailed Inspection and Load Test Results form shall be provided for each crane found with major or minor deficiencies or any other comments or remarks involving the sampled crane. See attachment (A).

(7) Summary of Activity Crane Accidents. Provide a summary of crane accidents since the previous audit. For first time audits, include the activity's accident records for the previous 2 years. Report any significant trends or issues in the main body of the report. See attachment (C).

(8) Crane Data Sheets. Provide the number of active cranes by category and the number certified for both SPS and GPS cranes. See attachment (D).

(9) Personnel Support. Provide a summary of the number of personnel supporting the activity crane program. List by function and/or activity code.

(10) Personnel Contacted. Provide a list of key activity personnel contacted during course of the audit.

(11) Audit Team Members. Provide a list of audit team members.

b. Distribution of Audit Reports. Reports shall be distributed to the activity Commanding Officer, the Certifying Official, and the major claimant. Additionally, provide report to NAVSEA 08G for naval shipyards and NAVICP Mechanicsburg.

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DETAILED INSPECTION AND LOAD TEST RESULTS

Detailed Inspection No.____ Crane No.____ Type Service____

Type Crane_____ MFR_____ Hook Capacity (LBS.)
Main _____
Aux _____
Whip _____

DOCUMENTATION INSPECTION RESULTS: SAT___ UNSAT___
Deficiencies: (List)

INSPECTION AND SERVICING FREQUENCY: SAT___ UNSAT___
Deficiencies: (List)

ACTIVITY CERTIFICATION: SAT___ UNSAT___
Date:

NCC CONDITION INSPECTION RESULTS: SAT___ UNSAT___
Major Deficiencies: (List)

Minor Deficiencies: (List)

LOAD TEST RESULTS: SAT___ UNSAT___
Major Deficiencies: (List)

Minor Deficiencies: (List)

REMARKS/CONTINUATION:

AUDITOR:_____
DATE:_____

INSTRUCTIONS FOR COMPLETING DETAILED
INSPECTION AND LOAD TEST RESULTS

CRANE SAMPLED

- a. Enter local crane identification number.
- b. Enter type of service, GPS or SPS.
- c. Enter type of crane, i.e., portal, floater, truck, etc.
- d. Enter crane manufacturer's name.
- e. Enter manufacturer's rated capacity in pounds for each hook.

DOCUMENTATION INSPECTION RESULTS

- a. Enter results of documentation inspection.
- b. List and identify all documentation discrepancies.

INSPECTION FREQUENCY

- a. Enter results of a review of the activity's inspection frequency.
- b. List and identify all inspection frequency discrepancies.

ACTIVITY CERTIFICATION

- a. Enter the auditor's evaluation of the validity of the activity's current certification.
- b. Enter date of latest certification.
- c. List and identify all certification discrepancies.

NCC CONDITION INSPECTION RESULTS

- a. Enter result of condition inspection.
- b. Classify and title all deficiencies as either major or minor.
- c. List, identify, and fully describe all major deficiencies
- d. List, identify, and fully describe all minor deficiencies.

LOAD TEST RESULTS

- a. Enter result of load test.
- b. List, identify, and fully describe all deficiencies
- c. Each listing of deficiencies shall be grouped by importance and clearly titled as major or minor.

REMARKS

Provide any pertinent remarks.

CRANE SAMPLING SUMMARY INSTRUCTIONS

Enter the activity name at the top of each page and number each page (e.g., page 1 of 4).

Col 1--CRANE NUMBER. Enter local crane identification number.

Col 2--TYPE. Enter alphabetic letter(s) to indicate crane type: C(Cruiser); CR(Crawler); D(Derrick); F(Floating); G(Gantry); H(Hammerhead); J(Jib); L(Locomotive); M(Monorail); OT(Overhead traveling); P(Portal); PR(Pillar); T(Truck); TW(Tower); or W(Wall).

Col 3--CATEGORY. Enter 1, 2, or 3, as designated in reference (b).

Col 4--DOCUMENTATION. Determine from a review of the crane history jacket that the documentation prescribed in references (b), (c), and (d) is complete and correct. If it is determined that adjustments, repairs, or modifications have been made to load bearing or load controlling components or operational safety devices without an appropriate proof test and certification, where required, the crane shall be considered unsatisfactory. Enter "SAT" or "UNSAT" as appropriate.

Col 5--INSPECTION FREQUENCY. Determine if inspections and services are being performed at the frequencies required by references (b) and (d) and local instructions. Enter "SAT" or "UNSAT" as appropriate.

Col 6--NCC CONDITION INSPECTION. Enter results of audit inspection, either "SAT" or "UNSAT." Criteria for determining satisfactory or unsatisfactory inspection shall be from the standpoint of the auditor assuming the role of a certifying official. If the crane could be certified by the auditor, the inspection is satisfactory. If not, the inspection is unsatisfactory. If the inspection is not performed for any reason, then the column should be marked "N/I" (Not Inspected) for that crane with any necessary explanation provided.

Col 7--LOAD TEST. Enter results of the load test. Use the same criteria as for the inspection. If, as a certifying official, the auditor determines the crane could be certified, the load test is satisfactory. Enter "SAT" or "UNSAT" as appropriate, or if the load test is not performed, enter "N/L" (Not Load Tested).

Col 8--CERTIFICATION. Enter the auditor's evaluation of the validity of the activity's current certification. "SAT" or "UNSAT."

Col 9--SEE INSPECTION SHEET. For any items marked "UNSAT" for a particular crane or for any further comments required, such as minor deficiencies, why a crane was not inspected, validation problems, etc., provide a detailed inspection sheet and reference in column 9.

SUMMARY OF CRANE ACCIDENTS
(ENTER REPORT PERIOD)

CAT 1 CAT2 CAT 3 TOTAL

NUMBER OF ACCIDENTS *
PREVIOUS AUDIT
CURRENT AUDIT

TYPE ACCIDENT **
Personnel Injury
Collision
Overload
Two-block
Derailment
Dropped Load
Damaged Equipment
Other

CAUSE **
Improper Operation
Track/Switch Condition
Equipment Failure
Improper Rigging
Operator Error
Rigger Error
Communication Error
Other

CHARGEABLE TO
Operator
Rigger
Shop Personnel
Other

NOTE:

* Define current and previous audit periods in footnote.

** Can be more than one type or cause for accident occurrence.

GPS Crane Data Sheet							
	Total Inv. (1)	Total Deact (2)	Total Active (3)				Total Cert (5)
			Total OOS(a)	Total In-Service		Sub-Tot (a)+(b)	
				Cranes(b)	Hooks OOS(4)		
Category 1							
Portals							
Floater							
Hammerheads							
Stiff Leg Derrick							
Mobile							
Locomotive							
Category 2							
Bridge							
Gantry							
Category 3							
Bridge							
Wall							
Jib							
Monorail							
Other							

- NOTE:**
- (1) Total Inventory - Includes all cranes in the activities' inventory (Deactivated and Active).
 - (2) Total Deactive - All cranes that are deactivated (mothballed).
 - (3) Total Active - The sum of all cranes either in or out of service.
 - (4) Hooks out of Service - For cranes "In-Service" List the Total number of hooks (main, aux, whip) which are tagged out of service.
 - (5) Total Certified - The total number of cranes with a valid certification.

SPS Crane Data Sheet							
	Total Inv. (1)	Total Deact (2)	Total Active (3)				Total Cert (5)
			Total OOS(a)	Total In-Service		Sub-Tot (a)+(b)	
				Cranes(b)	Hooks OOS(4)		
Category 1							
Portals							
Floater							
Hammerheads							
Stiff Leg Derrick							
Mobile							
Locomotive							
Category 2							
Bridge							
Gantry							
Category 3							
Bridge							
Wall							
Jib							
Monorail							
Other							

- NOTE:**
- (1) Total Inventory - Includes all cranes in the activities' inventory (Deactivated and Active).
 - (2) Total Deactive - All cranes that are deactivated (mothballed).
 - (3) Total Active - The sum of all cranes either in or out of service.
 - (4) Hooks out of Service - For cranes "In-Service" List the Total number of hooks (main, aux, whip) which are tagged out of service.
 - (5) Total Certified - The total number of cranes with a valid certification.

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PROCEDURES FOR VALIDATING CERTIFICATIONS OF CRANES
FOR SPECIAL PURPOSE SERVICE

1. Purpose of Validation. To ensure that the activity certification is in compliance with the requirements of references (b), (c), and (d), and that the cranes are in safe and reliable condition.

2. Validation Inspector Designation. NCC shall designate, by letter, each inspector who has validation signature authority. A copy of this letter shall be provided to each designated inspector. Inspectors are authorized to validate and sign, as indicated below, and withdraw validations of any SPS crane, regardless of location.

3. Procedure. All annual certifications of weight handling equipment for SPS as well as all interim recertifications requiring a load test, shall be validated by an authorized validation inspector. The validation of the certification for SPS is granted to the using activity upon successful completion of the following:

a. Documentation Review. The validation inspector shall ensure that documentation prescribed by references (b), (c), and (d) covering servicing, crane alterations, maintenance inspections, and condition inspections since the last validation are complete, current, and correct.

b. Condition Inspection and Load Test. Prior to granting a validation, the validation inspector, in conjunction with the using activity, shall conduct a condition inspection and witness the load test of the crane in accordance with the procedures and requirements prescribed in references (b) and (d).

4. Validation Documents. In those cases where the crane meets the requirements of references (b), (c), and (d), the validation inspector shall validate the activity certification of the crane for the NCC. The validation inspector shall also provide the activity with a list of any minor deficiencies observed. Minor deficiencies are those deficiencies which would not result in withholding the validation. The validation inspector shall annotate the certification document with the statement below prior to leaving the activity:

"CERTIFICATION VALIDATED BY THE NAVY CRANE CENTER
Signature _____ Date _____ "

In those cases where the inspector finds that the crane does not meet the requirements of references (b), (c), or (d) with respect to load bearing and load controlling parts and operational safety devices, and the crane is, in fact, unsafe or unreliable, the inspector shall withhold validation. The inspector shall provide to the Director of Cranes a copy of the Crane Condition Inspection Record (CCIR), per reference (b), listing all major deficiencies which must be corrected prior to validation. In cases of disagreement between the validator and the activity, the matter shall be referred to NCC for resolution.

Enclosure (2)

PROCEDURES FOR CONDUCTING THIRD PARTY CERTIFICATIONS OF CRANES
AND DERRICKS USED IN LONGSHORING OPERATIONS: AND FLOATING
CRANES AND DERRICKS USED IN SHIPBUILDING, SHIP REPAIRS,
AND SHIPBREAKING

1. Purpose of Third Party Certification. To certify applicable Navy owned cranes at naval shore activities for compliance with reference (b), which is an alternate standard to the OSHA certification requirements of references (f) through (i).

2. Definitions

a. Longshoring Operations - The loading, unloading, moving, or handling of cargo, ship's stores, gear, etc., into, in, on, or out of any vessel on the navigable waters of the United States (including U.S. territories).

b. Third Party Certification - Inspection, testing, and certification process performed by a NCC representative for WHE used in longshoring operations and floating cranes and floating derricks used in shipbuilding, ship repair, and shipbreaking.

c. Certifying Official - Individual appointed, in writing, by the activity Commanding Officer, responsible for activity WHE certification.

d. Signatory Authority - An NCC accredited person authorized to issue third party certifications

3. Signatory Authority Designation. NCC shall designate, by letter, each inspector who has authority to perform third party certification. A copy of this letter shall be provided to each designated inspector.

4. Procedures

a. The NCC signatory authority shall schedule with individual activities the date, time, and place to perform the third party certification.

b. Prior to issuance of a certificate, successful completion of the following shall be required:

(1) Documentation Review. The signatory authority shall ensure the documentation prescribed by reference (b) is complete, current, and correct.

(2) Condition Inspection. The signatory authority shall perform a condition inspection and complete the applicable portions of the Crane Condition Inspection Record per reference (b).

Enclosure (3)

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(3) Load Test. The signatory authority shall witness the activity's load test. Upon successful completion, a Certificate of Unit Test and/or Examination of Crane, Derrick, or Other Material Handling Device, NCC Form 94-001 R, per reference (b) shall be issued. This certificate will be valid for 1 year from the date of signature, or until rectification (which requires a load test) is required due to adjustment, repair, disassembly, replacement or alteration of a load bearing or load controlling part or operational safety device as defined by reference (b).

c. During inspection and testing of the WHE, if any deficiency is noted that would preclude issuance of a certificate, a Notice to Owner of Deficiencies Found on Certification Survey, NCC Form 94-002, per reference (b), shall be issued. Upon correction of the deficiency, the third party certification process will continue.

d. Distribution of NCC Forms 94-001 R and 94-002, by the signatory authority, shall be as follows:

(1) NCC Form 94-001R: original to owner (to be posted in operator cab), copy to owner (to be placed in WHE history file), copy to NCC signatory authority, copy to OSHA area office, and copy to NCC 09W54.

(2) NCC Form 94-002: original to owner (to be posted in operator cab), copy to NCC signatory authority, copy to OSHA area office, and copy to NCC 09W54.

e. NCC Code 09W54 shall maintain a master list of all Navy owned cranes requiring third party certification along with a status of certification.