



# PRECAST/PRESTRESSED CONCRETE INSTITUTE POLICY STATEMENT

**SUBJECT: PLANT CERTIFICATION PROGRAM**

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## SECTION 20 PLANT CERTIFICATION PROGRAM

### 20.1 SCOPE

**20.1.1** The PCI Plant Certification Program is also known as the PCI Precast Concrete Manufacturing Plant Quality Management System Certification Program. The applicable standards and procedures for the Program have been developed in accordance with ISO 10005, *Quality Management Systems – Guidelines for Quality Plans* and ISO/IEC 17021, *Conformity Assessment – Requirements for Bodies Providing Audit and Certification of Management Systems*.

**20.1.2** The Precast/Prestressed Concrete Institute is accredited by the American National Standards Institute as an Accredited Standards Developer. The nature and scope of PCI’s standards development activities are to develop and maintain voluntary consensus standards for the design, detailing, fabrication, transportation and erection of precast/prestressed concrete products. Therefore, the PCI Plant Certification Program should be accepted as an equivalent of an approved National Standard.

**20.1.3** The PCI Plant Certification Program evaluates plants of precast and/or prestressed concrete manufacturing companies against published standards. Unannounced audits are conducted by Auditing Organizations (AOs) approved by PCI (Section 20.4.2.1). Plants are evaluated on their quality system, documentation, production procedures, management, engineering, personnel and equipment. PCI Plant Certification ensures a project specifier and owner of approved uniform production methods and an acceptable in-house quality assurance program. Certification confirms the plant’s capability to produce quality products. A plant that meets the requirements set forth in the PCI Plant Certification Program shall be deemed a PCI Certified Plant.

**20.1.4** PCI shall maintain lists of PCI Certified Plants on the PCI web site.

**20.1.5** PCI shall promote PCI Plant Certification to the general construction community, including owners and specifiers.

### 20.2 ELIGIBILITY

**20.2.1** Any qualified plant that produces precast and/or prestressed concrete products is eligible for participation in the PCI Plant Certification Program. It is not necessary to be a PCI Producer Member to participate in the PCI Plant Certification Program.

**20.2.1.1** All new Certification Client manufacturing locations shall be treated as new locations for the first three years of continuous active participation as a PCI-Certified Plant, after which time they shall be considered an Established Certification Client.

**20.2.1.2** A new Certification Client with a location having less than 3-months of planned production shall not be considered for the PCI Certification Program due to time constraints associated with completing the certification process. This does not apply to Established Certification Clients.

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**20.2.2** The applicant must apply for and have each of its commonly owned manufacturing facilities (but only those facilities involved in the production of products applicable to the specific activity of PCI) in the U.S., certified or be applying for Certification in the PCI Plant Certification Program in order to be eligible for Certification. Failure to maintain a certified plant status for all eligible locations will result in termination of Certification at all locations.

**20.2.2.1** All U.S. manufacturing facilities that have common ownership of 51 percent or more, furnishing precast and/or prestressed concrete products, must be identified under the main certification group or hold separate Producer Certifications.

However, a facility need not be identified and included under the main Certification group or hold a separate Producer Certification if it meets all of the following criteria:

- 20.2.2.1.1** Is majority owned by a firm, group or individual that is not primarily engaged in the production of precast and/or prestressed concrete as encompassed by PCI's activities.
- 20.2.2.1.2** Has a completely different corporate name than the other commonly owned facilities.
- 20.2.2.1.3** Has a separate corporate identity with management which is independent from the other commonly owned facilities.
- 20.2.2.1.4** Does not market the same products and/or services in the same geographic areas as the other commonly owned facilities.
- 20.2.2.1.5** Does not ship products from a non-PCI Certified Plant to projects which require PCI Plant Certification.
- 20.2.2.1.6** Other criteria as set forth and further defined in the Producer Certification Application form and Statement of Fees.

## 20.3 APPLICATION AND ACCEPTANCE

**20.3.1** An eligible plant applying for participation shall complete and submit a Plant Certification Program Application Form.

**20.3.1.1** PCI will notify an applicant of determination of acceptance within 30 calendar days of the date of PCI's receipt of the application.

**20.3.2** A Client that is accepted shall enter into an agreement with PCI acknowledging acceptance of all PCI Policies and procedures and commit to a term of participation through the end of the PCI fiscal year (July 1 through June 30). The client shall enter into additional 12-month agreements in subsequent PCI Fiscal Years.

**20.3.3** A Client applying for certification must complete the certification process (i.e. be certified under this Program) within 15 months from the date the application was initially accepted by PCI. The application of any Client not meeting this timeframe will be withdrawn. If the Client wishes to re-apply, the Client will need to submit a new application and restart the program as a new applicant.

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## 20.4 OPERATION AND ADMINISTRATION

**20.4.1** The PCI Plant Certification Committee is responsible to the PCI Quality Activities Council and plans, formulates and administers the Plant Certification Program. Further, the Committee shall:

- establish auditing criteria and grading standards,
- provide administrative management to ensure that policies and procedures are administered uniformly and are followed by all Clients,
- develop, review and approve all literature related to the Plant Certification Program,
- initiate and oversee revisions to PCI Quality Manuals MNL-116,117, and 130,
- direct the promotion of the Program
- maintain a commission in accordance with the Group Operations Manual that sets forth committee membership rules.

**20.4.2** The management of the Certification Program shall be by the PCI Director of Quality Programs, who shall be responsible to conduct the Plant Certification Program in a fair and objective manner with impartial treatment for all Clients.

**20.4.2.1** Plant Quality Audits shall be conducted by an accredited Auditing Organization selected and approved by PCI. An auditor auditing plants in North America shall be a graduate of an architectural engineering, civil engineering, structural engineering, or construction engineering program that is accredited by ABET. An auditor auditing plants outside North America shall be a graduate of an architectural engineering, civil engineering, structural engineering, or construction engineering program. All auditors shall be knowledgeable in structural design and shall be trained in the evaluation of precast concrete manufacturing plants and procedures. All Plant Quality Audits shall be performed under the supervision of, or reviewed by, a licensed professional engineer.

**20.4.3** Clients shall be made aware of the Plant Auditor's tasks:

- a) The Plant Auditor shall examine the Plant's Quality System Manual (QSM) to determine that it meets all the requirements relevant to the intended scope of certification, consistent with the Client's intended categorical certification and in compliance with the applicable PCI Quality Manual (MNL-116, MNL-117 &/or MNL-130). The Auditor's examination of the Client's QSM will help determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the Client's quality management system.
- b) The Plant Auditor shall communicate to the Client, for its action, any nonconformances from the QSM and applicable PCI Quality Manual(s) (MNL-116, MNL-117 &/or MNL-130).
- c) When requested, PCI will provide the name of and background information on the Plant Auditor or audit team, with sufficient time for the Client organization to object to the appointment of any particular auditor or technical expert. The PCI Director of Quality Programs shall review the objection and associated rationale, and if he determines it is persuasive, shall direct the AO to assign an alternate Plant Auditor. The Audit date will remain unannounced.
- d) The Plant Auditor communicates the audit plan during the Opening Meeting of all Plant Audits.

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## 20.5 CLIENT REQUIREMENTS

- 20.5.1 The Client shall establish, document and apply an internal Quality System in conformance with PCI standards and this policy.
- 20.5.2 Clients located in the United States of America shall employ a registered professional engineer (or shall engage the services of a registered professional engineering consultant, verifiable by company records) to be responsible for product design and variances to design that may occur during manufacture; or be able to demonstrate that products have otherwise been designed and verified by a professional engineer. Clients outside the USA shall employ a qualified engineer to be responsible for product design and variances to design that may occur during manufacture; or be able to demonstrate that products have otherwise been designed and verified by a qualified engineer.
- 20.5.3 The Client shall cooperate fully with PCI Auditing Organization(s), PCI Plant Quality Auditors, IAS Auditors, PCI Subcontractors, and PCI Staff, as applicable.
- 20.5.4 Further, the Client shall:
  - establish and maintain the industry standard of integrity, skill and practice in the design and fabrication of its products,
  - undertake the performance of only those services and the production of only those products for which they are qualified,
  - not knowingly associate with, or permit the use of their name or PCI's name in any business venture by any person or firm which they know, or have reason to believe is engaged in questionable or unprofessional practices,
  - be in compliance with current governing codes and regulations, and
  - sell PCI applicable precast concrete products from a plant that is certified by the PCI Plant Certification Program only.
- 20.5.5 Upon permanent closure of a plant or anticipated temporary closure, the Client shall notify the PCI Director of Quality Programs in writing.
- 20.5.6 Plant production may be too complex to effectively audit in the allotted one or two days. This determination shall be made by the Plant Certification Committee Chairperson, the PCI Director of Quality Programs and the Auditing Organization. This plant shall be termed an "Extra-Day Plant" and shall be audited with the inclusion of one additional day. See Section 20.8 for Audits and Section 20.17 for Fees.
- 20.5.7 If a Client is acquired by a company owning a non-certified plant(s) producing PCI-relevant products, the non-certified plant(s) shall apply for PCI Certification and shall undergo a Precertification Evaluation (Section 20.8.4) or Initial Audit within six (6) months of the date of purchase in order for the Client to retain certification, subject to the provisions of section 20.2.2. Additionally, the non-certified plants(s) must complete the certification process within 15 months.
- 20.5.8 If a Client acquires a company owning a non-certified plant(s) producing PCI-relevant products or if a Client opens a new plant that will produce PCI-relevant products, the non-certified plant(s) shall apply for PCI Certification and shall undergo a Precertification Evaluation (Section 20.8.4) or Initial Audit within six (6) months of the date of purchase or beginning of production, respectively, in order for the Client to retain certification, subject to the provisions of section 20.2.2. Additionally, the non-certified plant(s) must complete the certification process within 15 months.

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- 20.5.9** The Client shall maintain a plant-specific Quality Management System Manual, referred to herein as a Quality System Manual (QSM), as required by provisions from the applicable PCI Quality Manual (MNL-116, MNL-117, and/or MNL-130). The QSM shall meet the following requirements:
- a) It must be accepted by PCI.
  - b) It will be reviewed by the PCI Plant Auditor during each plant audit.
  - c) For a newly participating plant, the Precertification Evaluation will not be performed until the Plant QSM is submitted to PCI.
  - d) For an Established Client enrolling a new participating plant when the Client elects not to undergo a Precertification Evaluation, a QSM shall be submitted to and accepted by PCI prior to the first unannounced audit.

**20.5.10** PCI will not release a Client's initial or renewed certificate if a Plant does not submit their signed agreement and completed Fee Declaration. A separate signed agreement is required for each certified plant.

**20.5.11** With the exception of the Precertification Evaluation, Client shall respond to PCI, in writing, within 30 days of receiving an audit report, by submitting a corrective action response in accordance with PCI procedures for all non-conformances contained in the audit report, unless superseded by 20.8.16 or 20.10.4.

**20.5.12** In non-English speaking areas, the Client must agree to provide an English-speaking interpreter to accompany the auditor for the duration of the audit.

## 20.6 PROGRAM STANDARDS

- 20.6.1** The Standards (requirements) used for evaluation of a plant are as follows:
- MNL-116, *Manual for Quality Control for Plants and Production of Precast and Prestressed Concrete Products*,
  - MNL-117, *Manual for Quality Control for Plants and Production of Architectural Precast Concrete Products*,
  - MNL-130, *Manual for Quality Control for Plants and Production of Glass Fiber Reinforced Concrete Products*,
  - MNL-135, *Tolerance Manual for Precast and Prestressed Concrete Construction*, and
  - ISO 9001:2015, *Quality management systems – Requirements*
  - The specific provisions of the Client's Quality System Manual

**20.6.1.1** The latest revised editions of applicable publications shall be procured by the client and be readily available at the plant.

**20.6.1.2** The Plant Auditor(s) shall use a standard grade sheet, referenced to the specific Divisions and Sections of the applicable Quality Manual, to evaluate each Section during the audit.

- 20.6.2** The Standards used for development of the Plant Certification Program include:
- Criteria developed by the Plant Certification Committee
  - ISO/IEC 17021-1: 2015, *Conformity Assessment - Requirements for bodies providing audit and certification of management systems - Requirements*
  - ISO/IEC 17021-3: 2017, *Conformity Assessment - Requirements for bodies providing audit and certification of management systems – Competence requirements for auditing and certification of quality management systems*

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## 20.7 CERTIFICATION ACCORDING TO PRODUCT GROUPS AND CATEGORIES

**20.7.1** Plants may be certified in up to four (4) Product Group classifications: All of the products listed below may not be included in routine plant audits. See Section 20.7.8 for possible exclusions.

**20.7.1.1** Group A, Architectural Products: This Group includes products which may be decorative and may establish the aesthetic character of the structure and include such products as precast concrete building elements, such as exterior cladding, load bearing and non-load bearing wall panels, spandrels, beams, mullions, columns, column covers, and other miscellaneous shapes. They may be conventionally reinforced and/or pretensioned or post-tensioned. Additional production, erection, and certification program requirements for these categories are described in the PCI Architectural Certification Program Supplemental Requirements.

**Product Group A is divided into five categories:**

- Category AT, Architectural trim products such as coping and lintels with plant applied finishes. The quality requirements of MNL-117 are applicable.
- Category AD, Structural product with an architectural finish such as wall panels and beams with plant applied finishes, including structural products with brick veneers and form liners or extruded profiles. The quality requirements of MNL-116 are applicable.
- Category AC, Architectural products with architectural finishes such as cladding and wall panels with plant applied finishes including brick veneers and form liners. The quality requirements of MNL-117 are applicable. The products in category AC also include the products in categories AD and AT.
- Category AB, Architectural products with multiple mixes and textures, 3D projections, radiused mold surfaces, and sequential returns. The quality requirements of MNL-117 are applicable. The products in category AB also include the products in categories AC, AD and AT.
- Category AA, Architectural products with multiple mixes and textures, 3D projections, radiused mold surfaces, and sequential returns. The quality requirements of MNL-117 are applicable. The products in category AA also include the products in categories AB, AC, AD and AT.

**20.7.1.2** Group G, Glass Fiber Reinforced Concrete Products: These products are produced in accordance with the requirements of PCI Manual MNL-130. They include any of a range of products made by spraying concrete reinforced with glass fibers onto forms or molds.

**20.7.1.3** Group B, Bridge Products. Group B products are produced in accordance with the standard requirements of PCI Manual MNL-116 and any federal, state, or local government agency specifications that apply.

**Product Group B is divided into four categories:**

- B1, (No Prestressed Reinforcement) Precast Bridge Products: Mild-steel-reinforced precast concrete elements, including some types of bridge beams or slabs, products such as piling, sheet piling, pile caps, retaining-wall elements, parapet walls, and sound barriers.
- B2, Prestressed Miscellaneous Bridge Products: Any precast, prestressed elements except for superstructure beams. This includes piling, sheet piling, retaining-wall elements, stay-in-place bridge deck panels, full-depth deck panels, and all products covered in B1.

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- B3, Prestressed Straight-Strand Bridge Components (Superstructure): All precast, prestressed superstructure elements using straight, pretensioning, or post-tensioning strands such as box beams, I-girders, bulb-tee beams, stemmed components, solid slabs, segmental box beams, and all products covered in B1 and B2.
- B4, Prestressed Deflected-Strand Bridge Components (Superstructure): Precast concrete bridge components that are reinforced with deflected pretensioning or post-tensioning strand. Included are box beams, I-girders, bulb-tee beams, stemmed components, solid slabs, and all products in B1, B2, and B3.

**20.7.1.4** Group C, Commercial (Structural) Products. Group C products are produced in accordance with the standard requirements of PCI Manual MNL-116. This Group includes structural and non-structural elements of buildings and other structures, excluding bridges.

**Product Group C is divided into four categories:**

- C1, Precast Concrete Products (No Prestressed Reinforcement): Mild steel reinforced precast concrete elements, including piling, sheet piling, pile caps, retaining wall elements, slabs, joists, stairs, seating components, columns, spandrels, beams, walls, or other similar products.
- C2, Prestressed Hollow-core and Repetitively Produced Products: Precast concrete products that are prestressed with straight, pretensioning, or post-tensioning strands. Included are hollow-core slabs for floor, roof, and wall construction that maybe wet cast, machine cast, extruded, or slip formed. Other products include railroad ties, flat slabs, wall panels, utility poles, and all products in C1.
- C3, Prestressed Straight-Strand Structural Components: Precast concrete structural components that are prestressed with straight, pretensioning, or post-tensioning strands. Included are stemmed components for roofs, floors, and walls, as well as beams, columns, spandrels, joists, seating components, and all products in C1 and C2.
- C4, Prestressed Deflected-Strand Structural Components: Includes the same class of products as C3 and which are pretensioned or post-tensioned with deflected strands. This category includes categories C1, C2 and C3.

**20.7.2** A plant must be Certified in all Product Groups and in applicable Categories in which the plant intends to produce and for which the Plant Auditor(s) determines they are eligible.

**20.7.3** The Plant Auditor(s) shall determine the applicability of products observed during an audit to product groups and/or categories. The approved PCI staff representative shall determine the Client's scope of certification based on the compiled audit findings and recommendations, which are reported to PCI, and make the decision to grant the Client certification for any new group and/or category.

**20.7.3.1** The Plant Auditor(s) shall audit representative products from within all product groups in production or otherwise in evidence during each audit. The Auditor(s) shall attempt to audit, observe or gather objective-based evidence for each representative product group during each audit, such as design, production, or products in storage.

**20.7.3.2** For initial certification in a product group or category, the full production cycle in that group or category (or the equivalent) must be audited.

**20.7.3.3** Substantial evidence (active production or products in storage with production and quality control records) of a product group and category must be witnessed during at least one audit

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during a two (2) year period. Each product group or categorical-scope of certification, up to four groups or scopes, can be renewed upon observing products or records during any audit within a two (2) year cycle.

- 20.7.3.4** Special Add-to-Scope of Certification Audits – Upon acceptance of an applicable QSM, the Client may request a Special Audit for review of a full production cycle and all applicable records pertaining to a new product group and category that the Client wishes to add to their scope of certification. The Plant Auditor(s) must obtain objective-based evidence in order to recommend to PCI the addition of the new category. PCI will review all audit findings and the Client’s compliance to the program requirements, to make a certification decision to grant the Client the requested added scope of certification in the applicable product group and category. The Client shall pay for any Special Audit which has been requested by the Client for the intent of adding a new product group and category.
- 20.7.4** During an audit, each product group shall be evaluated separately. At least one product group and categorical-scope of certification shall be audited in the Plant’s Initial Certification, Stage 2: First Unannounced Audit (Section 20.8.6).
- 20.7.5** In order to obtain or retain Certification, each product group audit shall result in a passing grade as described in Section 20.9.1.
- 20.7.6** Product Groups may be added or deleted and categories changed by PCI upon the recommendation of the Plant Auditor(s) in accordance with the following criteria.
  - 20.7.6.1** Physical Evidence — Production observed during the audit, products in storage or functional equipment on the premises (forms, batching facilities, etc.).
  - 20.7.6.2** Personnel — management and labor of sufficient numbers and capabilities to direct operations and produce the products in the group/category under consideration.
  - 20.7.6.3** Two Year Limitation — Providing that a product has been successfully produced within two years of an audit, certification in that group/category may be granted after a successful audit. Evidence of the necessary equipment, facilities and capable personnel as noted in Sections 20.7.6.1 and 20.7.6.2 is required. After two years of non-production in a specific group/category, the Client may request continued certification, or recertification. Certification shall be granted if, in the judgment of the Plant Auditor(s)’ recommendation to PCI, there is sufficient evidence of production capability as outlined in Section 20.7.6. The approved PCI staff representative shall make the final certification decision, which includes a review of audit findings and the Client’s compliance with the requirements of the certification program.
  - 20.7.6.4** Five Year Limitation – Continued certification or recertification in a product group and category will not be granted if the appropriate product has not been produced within five years of the current audit.
  - 20.7.6.5** For a plant certified in more than one group, loss of certification in a group or change of category within a group in accordance with the provisions of Section 20.7.6 does not result in Withdrawal of certified status of the plant.
- 20.7.7** Prior to beginning production of products in a new product group, the Client shall notify PCI as early as possible to permit an audit during the next regular audit sequence, or the Client shall notify PCI and request a Special Audit: Add-to-Scope of Certification.

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**20.7.8** Certain products listed below are not included in all routine plant audits. These may be included upon request of either the Client or the project specifier.

**20.7.8.1** In Category B1, median barriers, parapet walls, box culverts and 3-sided arch-type sections are not included unless requested.

**20.7.8.2** In Category C1, burial vaults are not included unless requested.

## 20.8 QUALITY AUDITS

**20.8.1** All new plants, whether operated by New Clients or Established Clients, shall submit their QSM for PCI review at the time of application.

**20.8.2** All newly-certified plants, whether operated by New Clients or Established Clients shall also submit quarterly, for the first four (4) quarters, plant-specific information regarding key aspects of their operation in addition to the normal QSM requirements referenced in MNL-116, MNL-117, and MNL-130, to specifically address the following, commonly referred to as the “3P’s” on the provided PCI forms.

**20.8.2.1** P1 (Personnel) – The plant must submit plans for select key personnel, based on job function, and experience in the industry (not just the name/position). Plant management must demonstrate that they are Substantially-in-Charge of the manufacturing operation.

**20.8.2.2** P2 (Plant) – The plant must submit plans for production and handling equipment, including forms, and (concrete batching/delivery, concrete curing, and shipping/handling, QC testing) equipment.

**20.8.2.3** P3 (Product) – The plant must submit their plans for complying with PCI QC requirements, and the current project or specifier requirements, as well as a summary of any critical nonconformances that would result in rejection of product.

**20.8.3** PCI Staff will review the quarterly submittals for the first four (4) quarters of any new plant opened by a new Client or established Client to ensure:

**20.8.3.1** Appropriate separation of Production and Quality Control

**20.8.3.2** QC personnel have appropriate knowledge and authority to reject materials, test fresh concrete and inspect products

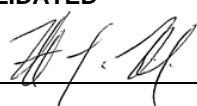
**20.8.3.3** Plant management is Substantially-in-Charge of the operation

**20.8.3.4** Auditors must interview key QC personnel during audits to verify the above

**20.8.4** New Clients entering the program will undergo a Stage 1: Initial Certification Audit which is comprised of two parts, the QSM Review and the Precertification Evaluation. The Plant QSM requirements are shown in Section 20.5.9.

**20.8.5** The Precertification Evaluation (also known as Stage 1: Initial Certification: Precertification Evaluations) is a two (2) Day ungraded Audit that does not result in certification. During the Precertification Evaluation, the Plant Auditor(s) shall determine the number of effective production personnel.

**20.8.5.1** The Precertification Evaluation shall be conducted for all new certification Client plants. The Precertification Evaluation may be waived by the Client for new plants operated by an existing Client.

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- 20.8.5.2 The Precertification Evaluation is announced and arranged in advance for the mutual convenience of the Client and the Auditor(s).
- 20.8.5.3 The purpose of the Precertification Evaluation is to:
  - assess the plant’s readiness for an unannounced Regular Audit
  - review with plant management any preliminary findings and non-conformances
  - review the plant’s Quality System Manual (see Section 20.5.9)
- 20.8.5.4 The Client shall respond in writing, addressing all nonconformances contained in the written report of the findings from the Precertification Evaluation. The response shall also state the plant’s readiness to undergo the first unannounced Regular Audit. The Client’s response shall be received by PCI within one hundred-twenty (120) calendar days of the Client’s receipt of the findings. If the response is not received within 120 calendar days or the response is not accepted within 150 calendar days, the plant shall undergo an additional Precertification Evaluation with costs borne by the client.
- 20.8.6 A Stage 2: Initial Certification – First Unannounced Audit or Initial Certification Audit is no less than two (2) days in duration. Table 20.8.6 summarizes the requirements for new plants based on anticipated production duration.
  - 20.8.6.1 A plant’s first unannounced audit shall be conducted no sooner than thirty (30) calendar days from the conclusion of the Precertification Evaluation and no later than forty-five (45) calendar days from receipt by PCI of the Client’s written corrective action responses and final resolution of the responses. The exact audit duration is determined based on the Client’s Sales Volume and number of effective production personnel. In the event that the plant’s production schedule does not permit the performance of the first unannounced audit within the prescribed interval, the interval may be extended at the discretion of the Director of Quality Programs. The extension of this interval shall not affect the timeframes in sections 20.3.3, 20.5.7 and 20.5.8.
  - 20.8.6.2 A Special Audit may be required if the auditor is not able to review all applicable aspects of the operation (e.g., a full production cycle) during the first unannounced audit. In these cases, the audit is inconclusive since the auditor is unable to score the audit and make a certification recommendation. The fee for the Special Audit will be at the Client’s expense and must be paid for in advance of the audit.
  - 20.8.6.3 If PCI is not able to verify the implementation of corrections and corrective actions of any Major Nonconformance within 6 months of the last day of the stage 2 audit, another stage 2 audit must be conducted prior to a certification decision. The cost of the additional audit must be paid by the Client.

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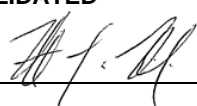
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**Table 20.8.6 Summary of New Plant Requirements**

New Client	Anticipated Operating Duration at Specific Location		
	*3 to 6 months * (No certification offered for New Certification Client with less than 3 months)	More than 6 months, but less than 12 months	More than 12 months
<b>Special Audit Fees</b>	None	Special Audit fee to be paid by plant	Special Audit fee to be paid by plant
<b>Audit Sequence</b>	One unannounced audit at beginning of production operations, not including Precertification Evaluation audit	One unannounced audit at beginning plus one additional unannounced audit every four months = up to three audits in 12 months (not including PE)	One unannounced audit at beginning plus two additional unannounced audits = three audits in 12 months (not including PE). Regular audit cycle after 12 months.
<b>Management Review</b>	Quarterly report to PCI on 3P's	Quarterly report to PCI on 3P's	Quarterly report to PCI on 3P's (first 4 quarters only)
<b>Pre-certification Evaluation</b>	Mandatory (but streamlined process), fee included in Certification Application Fee	Mandatory, fee included in Certification Application Fee above	Mandatory, fee included in Certification Application Fee

**20.8.7** Continuing Certified Clients shall undergo two (2) Regular unannounced audits in each full PCI Fiscal year (July 1 through June 30), one (1) Surveillance Audit and one (1) Recertification Audit.

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**20.8.8** Table 20.8.8 shows the type and number of audits for New Certification Clients. This Table shows the duration of each individual audit which is based on the plant's annual net dollar sales volume. Newly Certified Clients must pass their first three (3) Audits to enter into the Continuing Certified Clients Audit Cycle

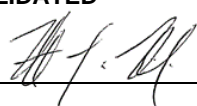
**Table 20.8.8 Audit Schedule for New Certification Clients – PCI Fiscal Year**

Individual Plant Annual Net Sales Volume	Audit Schedule Based on the Date of Initial Certification						
	May 1 – October 31		Nov 1 – Feb 28		Mar 1 – Apr 30		Following Fiscal Year
	First Year	Second Year	First Year	Second Year	First Year	Second Year	
Less than \$6 million	1, Two-day Audit 2, One-day Audits	2, One-day Audits	1, Two-day Audit 1, One-day Audit	3, One-day Audits	1, Two-day Audit	3, One-day Audits	2, One-day Audits
\$6 - \$13 million	2, Two-day Audits 1, One-day Audit	1, One-day Audit 1, Two-day Audit	1, Two-day Audit 1, One-day Audit	2, Two-day Audits	1, Two-day Audit	1, One-day Audit 2, Two-day Audits	1, One-day Audit 1, Two-day Audit
More than \$13 million	2, Two-day Audits 1, One-day Audit	2, Two-day Audits	2, Two-day Audits	2, Two-day Audits	1, Two-day Audit	1, One-day Audit 2, Two-day Audits	2, Two-day Audits

**20.8.9** Table 20.8.9 shows the type and number of audits for Established Certification Clients. This Table also shows the duration of each individual audit, which is based on the plant's annual net dollar sales volume.

**Table 20.8.9 Audit Schedule for Established Certification Clients – PCI Fiscal Year**

Individual Plant Annual Net Sales Volume	Audit Schedule Based on the Date of Initial Certification		
	May 1 – Nov 30	Dec 1 – Apr 30	In Successive Fiscal Years
Less than \$6 million	1, One-day and 1, Two-day Audits	1, Two-day Audit	2, One-day Audits
\$6 - \$13 million	2, Two-day Audits	1, Two-day Audit	1, One-day and 1, Two-day Audits
More than \$13 million	2, Two-day Audits	1, Two-day Audit	2, Two-day Audits

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- 20.8.10** AC157 accreditation is a recognition provided by IAS (International Accreditation Service) separate from PCI plant certification. PCI has a bilateral agreement with IAS that allows a PCI-certified plant to leverage their certification to meet many of the requirements of AC157 accreditation; however, the fees for this accreditation are not covered by the PCI plant certification fees. The details of this program are maintained on the PCI website (pci.org).
- 20.8.11** For Clients that receive two (2) annual Regular Audits, one audit shall be conducted in each half of the fiscal year. Audits shall be conducted not less than four (4) nor more than eight (8) months apart, unless the conditions in Section 20.9.5 apply.
- 20.8.12** For Clients that receive three (3) annual Regular Audits, audits shall be conducted not less than three (3) nor more than six (6) months apart, unless the conditions in Section 20.9.5 apply.
- 20.8.13** The number of days for each audit is shown in Tables 20.8.8 and 20.8.9 for the level of individual plant Annual Net Dollar Sales Volume for the plant's last fiscal year, as defined by PCI's Board for the annual sales declaration process.
- 20.8.14** A Client may request a Special Audit of any duration at any time. The fees for the Special Audit must be paid in advance of the Audit.
- 20.8.15** A Client may be given a Special Audit at any time, with costs to be borne by PCI, if sufficient concerns exist regarding the Client's product quality and/or the effectiveness of their quality management system.
  - 20.8.15.1** Such concerns include, but are not limited to:
    - Documented owner/specifier complaints
    - other substantial documented evidence or concerns about the plant's overall quality.
  - 20.8.15.2** The necessity for this Special Audit shall be determined by the PCI Plant Certification Committee Chairperson, the PCI President, and the PCI Director of Quality Programs.
  - 20.8.15.3** This audit may be announced with specific criteria and a specific production cycle to be observed. If there is no production to observe, no finished product inventory to evaluate, or no records available to review, that mitigate the concerns that necessitated this Special Audit, then the audit is recorded as a failed audit.
- 20.8.16** A Client who receives a failing grade on a Regular Audit shall receive an additional two-day, unannounced, Special Immediate Audit except as superseded by Section 20.9. (Grading is defined in Section 20.9.1.) A one-day audit may be substituted at the discretion of the Director of Quality Programs, with the concurrence of the chairs of the Plant Certification Committee and the Quality Activities Council if the purpose of the Special Immediate Audit can be accomplished in one day.
  - 20.8.16.1** The Client shall submit written details of the action(s) taken to correct reported nonconformances in accordance with standard PCI corrective action response procedures and state the readiness of the plant to undergo the additional audit.
  - 20.8.16.2** The Client shall submit the written corrective action response to the PCI Director of Quality Programs within two weeks of receipt of the written audit report.
  - 20.8.16.3** The fee for the Special Immediate Audit shall be paid by the Client and enclosed with the response to the failed audit.
  - 20.8.16.4** Failure to provide corrective action responses within two weeks, to respond to requests for supplemental information (if required), or to pay the Special Immediate Audit invoice

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within two weeks, may result in suspension of certification, following review by the PCI Plant Certification Committee Chairperson, the PCI President, and the PCI Director of Quality Programs. If the certification is suspended, the conditions causing the suspension must be resolved within 30 calendar days or certification will be withdrawn.

**20.8.16.5** The Special Immediate Audit shall be conducted not sooner than 30 nor more than 60 calendar days from the date of confirmed receipt by the Client of the written audit report.

**20.8.16.6** In lieu of above requirements, an appeal may be filed according to the provisions of Section 20.11. If denial of the appeal in Section 20.11.2.3 is accepted by the Client, or if the appeal is denied in Section 20.11.3.3, the requirements of Section 20.8.16 will be enforced. In this case, the time limit requirements of Sections 20.8.16.2 and 20.8.16.4 will be measured from confirmed receipt by the Client of the written appeal findings.

**20.8.16.7** Clients receiving a failing grade on two of three consecutive audits shall have their certification withdrawn.

**20.8.17** An Extra-Day Plant defined in Section 20.5.6 will be audited by adding one (1) day to each of its Regular or Special Audits.

## 20.9 CERTIFICATION REQUIREMENTS

**20.9.1** An appropriate grade sheet will be compiled to arrive at a total numerical grade and a numerical grade for each Division of the relevant PCI Manual for each Product Group in a Plant Quality Audit.

**20.9.1.1** A passing grade for Certification in each Product Group is a minimum total grade of 80.0 and a minimum grade of 70.0 for each Division. Grades less than either of these or both, are failing grades.

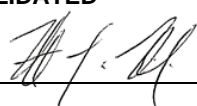
**20.9.2** In addition to the grading requirements, any audit finding of a Major Nonconformance or Defect Alert may result in a failed audit unless timely (20.8.16.2) corrective action response is received and approved by PCI.

**20.9.3** Failure of a Regular Audit requires a Special Immediate Audit. See Section 20.8.16.

**20.9.4** Withdrawal of Certification: A failing grade in the Special Immediate Audit, or the Regular Audit following the Special Immediate Audit, shall result in withdrawal of Certification.

**20.9.5** Client shall submit to PCI, in writing, a detailed list of corrective actions taken or to be implemented by the Client for each Nonconformance or Defect Alert. See Section 20.10.4. The corrective action responses shall include a statement as to the root cause for the Nonconformance or Defect Alert.

**20.9.5.1** Corrective Actions shall be reviewed by PCI for acceptance and will be observed at the following audit. The Client shall also submit Objective Evidence supporting their Preventative Actions. This will also be reviewed by PCI and observed at the following audit. If Objective Evidence does not adequately address Major Nonconformances, a Special Immediate Audit may be initiated by PCI, with the expenses borne by PCI, in order to verify the Corrective Action.

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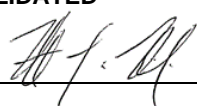
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- 20.9.6** PCI shall make the decision to grant Certification on the basis of an evaluation of the audit findings and conclusions, and any other relevant information or responses to the audit report from the Client.
- 20.9.6.1** The decision to grant Certification shall be made by the PCI Director of Quality Programs as necessary. The PCI Director of Quality Programs shall conduct an application review, audit review, and all certification decision activities. If the PCI Director of Quality Programs has a Conflict of Interest, a Secondary PCI staff Director may be used to fulfill such certification activities.
- 20.9.7** A new Client shall be granted Certification for each and every applicable product group upon passing the first unannounced Regular Audit.
- 20.9.7.1** A new Client who has been granted initial certification, or a Client who has re-entered the Certification Program must pass three consecutive audits during their newly certified Client audit cycle, or the Client's Certification shall be withdrawn and the Client must submit a new application to participate in the program.
- 20.9.8** Any Client that will not have active production operations to be audited over a period greater than one (1) month must provide advance written notice to the PCI Director of Quality Programs using the PCI "Temporary Plant Shutdown Notice" form. Any Client that will not have active production over a period greater than nine (9) months may request their PCI-Certified Status be maintained as "Inactive". This request must be submitted in writing in advance with the PCI Director of Quality Programs using the PCI "Temporary Plant Shutdown Notice" form. Inactive Certification status is applied only to plants that are temporarily shut down but are listed by PCI as certified for a limited amount of time. For plants that receive two (2) annual Regular Audits, advance notice to PCI of Inactive status must be within three (3) months of the plant's previous audit. For plants that receive three (3) annual Regular Audits, advance notice to PCI must be within two (2) months of the plant's previous audit. Unannounced Audits will not be performed while a Client is on Inactive status; however, a Client may be charged for an unannounced audit that takes place at a time when there is no production to be observed if that Client did not put forth a good-faith effort to notify PCI. A Client's inactive production status will not be communicated publicly.
- 20.9.8.1** When production operations are restarted at an Inactive plant after more than nine (9) months, but less than 18 months after the last audit, the Client shall notify PCI using the PCI "Plant Production Start-Up Notice" form. The Client shall undergo a Special Immediate Audit prior to regaining normal certified status. The cost of this Special Immediate Audit shall be borne by PCI.
- 20.9.8.1.1** If the Client fails this Special Immediate Audit, the Client shall be allowed to undergo an additional Special Immediate Audit and must pass this audit; otherwise, Client's PCI Certification will be withdrawn. The cost of this second Special Immediate Audit must be paid by the Client.
- 20.9.8.2** Plants on temporary shutdown/inactive status when their certification expires can renew their certification for the following fiscal year if they have been audited within the prior 12 months and have met all other requirements for renewal. If the plant has not been audited within the prior 12 months at the expiration of their certification, the plant will be listed in an "inactive/expired" status.
- 20.9.8.3** Withdrawal of Certification: If no production can be audited after a period of 18 months, and as long as all Client financial obligations have been satisfied, the plant will be withdrawn

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from the Plant Certification Program in good standing and no additional fees will be collected from the Client for that plant.

**20.9.8.3.1** A Client whose certification has been withdrawn shall discontinue promotion of its certification.

**20.9.8.3.2** A Client whose certification has been withdrawn must re-apply to rejoin the program.

**20.9.9** A Client whose Plant Certification account is in arrears thirty (30) days is subject to a late fee of 1.5% for every 30 days in arrears.

**20.9.10** A Client whose Plant Certification account is in arrears more than sixty (60) days from the date of the invoice shall receive a written notification letter from PCI that finance charges are accruing and that their certification is at risk if they do not bring their account current.

**20.9.11** A Client whose Plant Certification account is in arrears more than ninety (90) days from the date of the invoice shall have their Certification suspended and shall be assessed an audit rescheduling fee. The Client shall receive written notification of these actions, and this letter shall serve as the 30-day notice of certification withdrawal required by 20.9.15.

**20.9.11.1** Before the Client's account is more than one hundred twenty (120) days in arrears from the date of the invoice, the Client may pay their account current and must also pay an Audit rescheduling fee to avert withdrawal of PCI Plant Certification.

**20.9.12** A Client whose Plant Certification account is more than one hundred twenty (120) days in arrears from the date of the invoice shall have certification withdrawn by PCI and must wait two (2) years to reapply for the PCI Plant Certification Program. All past due accounts must be paid in full and kept current in order to reapply.

**20.9.13** Except for financial obligations, failure to comply with other provisions of the agreement and these policies shall result in review by the Plant Certification Committee and, if noncompliances are confirmed, shall result in withdrawal of PCI Plant Certification.

**20.9.14** After the initial period of program participation, the agreement may be terminated prior to the end of the term by mutual agreement, upon thirty (30) calendar days written notice, or the Client may choose not to enter into a subsequent 12-month agreement.

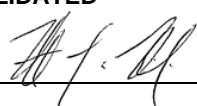
**20.9.14.1** The Client shall be obligated for payment of the regular invoice amount until date of agreement cancellation.

**20.9.14.2** A Client in good standing shall be listed as Certified through date of agreement cancellation.

**20.9.15** A Client whose certification is to be withdrawn shall receive written notice from PCI. The effective date of withdrawal is thirty (30) days after the date of the notification. Any Client who falls into any one of the provisions below must re-apply to the program.

**20.9.15.1** When a Client's Certification is withdrawn according to Sections 20.9.12, the former Client shall be ineligible to participate in the Plant Certification Program for a period of two (2) years from the date of cancellation.

**20.9.15.2** Payment of all prior financial obligations including chapter dues, if applicable, must be made before making application to renew participation.

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**20.9.15.3** Client shall be obligated for payment of the regular invoice amount until date of agreement cancellation.

**20.9.16** Certification is transferable to new plant ownership providing these Policies and Procedures and requisite standards are met and Certification account is current at time of transfer of ownership.

**20.9.17** The PCI Certification logo is a graphic representation of the PCI brand. When the logo is displayed, it is associated with what the PCI brand represents: technical excellence, integrity, and longevity. A Client whose certification has been Suspended or Withdrawn must discontinue use of all advertising material that references PCI Certified status and must discontinue use of any PCI logo or mark.

**20.10 AUDIT REPORTS AND NOTIFICATION PROCEDURES**

**20.10.1** At the conclusion of each audit, the auditor(s) shall conduct an audit closing meeting to describe the audit observations to plant personnel.

**20.10.1.1** Plant management shall be given the opportunity to question the auditor(s) and provide additional information which may be used in preparing the Quality Audit Report.

**20.10.2** A Quality Audit Report will be compiled by the auditor(s) for each product group for each audit.

**20.10.2.1** The audit report shall reach the Client within forty-five (45) calendar days of the audit.

**20.10.2.2** Audit Reports containing failing grades shall be forwarded by the Auditing Organization, to the PCI Director of Quality Programs, within twenty-one (21) calendar days of the audit. Additional time may be necessary in cases where a Defect Alert has been issued. In such cases, the Defect Alert must be resolved before the Audit Report can be generated. The Director of Quality Programs shall forward the report of a failed audit, registered or express mail, return receipt requested, to the Client within seven (7) calendar days along with instructions regarding the options of Appeal and Special Immediate Audit.

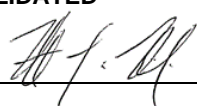
**20.10.3** Individual grades and the contents of audit reports shall be kept in strict confidence between the Client, the PCI Director of Quality Programs, the Plant Certification Committee Chairperson, and if required, members of the Certification Appeal Board,

**20.10.3.1** The Client shall not release grades or the audit report. If requested to do so, the Client shall direct the inquiry to the PCI Director of Quality Programs.

**20.10.3.2** If the release of audit report information is unavoidable, and is agreed upon by PCI and the Client, the PCI Director of Quality Programs will include a description of the auditing process, the nature of the audit report and a warning about evaluating the report observations out-of-context. In addition, a written confidentiality agreement shall be obtained from the party requesting the information.

**20.10.4** If an auditor discovers a suspected defect in design, procedures, or production that might lead to the manufacture of structurally deficient products, the auditor shall initiate the Defect Alert Procedure.

**20.10.4.1** The auditor shall, as soon as practicable during the Audit, bring the suspected defect to the attention of plant management. Defect Alerts are issued for a structural defect within a product or a design process. Any suspected defects shall be verified by the Client through confirmation with the precast engineer or the design engineer. This finding may lead to a Major Nonconformance in the Audit Report and may require a follow-up Special Immediate Audit for review that corrective actions have been implemented. The defect

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may also be listed as a Minor Nonconformance and be eligible for review at the next Regular Audit.

**20.10.4.2** The auditor shall prepare a Defect Alert Form, deliver one copy to plant management and obtain a signature of receipt. One copy shall also be forwarded to the PCI Director of Quality Programs within seven (7) calendar days.

**20.10.4.3** The PCI Director of Quality Programs shall direct a letter to the Client via registered or express mail, return receipt requested, within seven (7) calendar days requiring an engineering review be performed under the direction of and at the expense of the Client.

**20.10.4.4** The Client shall respond to the PCI Director of Quality Programs within fifteen (15) calendar days. The response must be signed and sealed by the "Product Engineer" (the engineer on record as having designed the precast element). It shall include a statement as to the resolution of the defect and the disposition of all affected product.

**20.10.4.5** The Client's response shall be reviewed by PCI and the appropriate technical expert appointed by PCI prior to final grading and dissemination of the Audit Report.

**20.10.5** If a Client fails to comply with PCI Policies and procedures, the Client's Certification may be withdrawn or suspended.

## 20.11 APPEAL PROCESS

**20.11.1** The Client has the right to appeal audit findings, corrective action response evaluations, grades and all decisions relating to granting, renewal, suspension, or cancellation of certification by PCI under this program.

**20.11.2** The Client must submit an appeal to an Audit Report in writing to the PCI Director of Quality Programs within thirty (30) calendar days of receipt of the audit report or certification decision. If the appeal relates to a failed audit, the appeal must be submitted within two weeks of receipt of the audit report.

**20.11.2.1** The appeal shall include substantiating information.

**20.11.2.2** The PCI Director of Quality Programs shall forward the appeal to the Auditing Organization or the Architectural Certification Review Board (ACRB), as appropriate, for their written response and seek advice from the PCI staff Technical Director and/or Architectural Director.

**20.11.2.3** The Director of Quality Programs will issue a written report of findings within fifteen (15) working days of receipt of the appeal.

**20.11.3** If the Client does not agree with the findings in the response from PCI, the Client may request a hearing by the Certification Appeal Board.

**20.11.3.1** The request shall be made in writing within fifteen (15) working days of receipt of the written report of findings in Section 20.11.2.3 above.

**20.11.3.2** The Certification Appeal Board shall consist of three (3) members:

- Chairperson, Plant Certification Committee, who shall also chair the appeal hearing
- Either the PCI Director of Quality Programs, the Technical Director or the Architectural Director as appointed by the PCI President

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- Producer Member representative of the Plant Certification Committee to be chosen by the Plant Certification Committee Chairperson and approved by the appellant, having background in the question under consideration, and in the employ of a PCI Certified Plant located outside the normal market area of the appellant.

**20.11.3.3** The Plant Certification Appeal Board shall hear the appeal within thirty (30) calendar days of receipt of the Client's request for Board hearing and the hearing shall be conducted at PCI Headquarters, whenever possible. If there is agreement with all parties, a remote/virtual format for the hearing using appropriate remote meeting software may be substituted for the in-person hearing.

**20.11.3.4** The results of the Plant Certification Appeal Board hearing shall be forwarded to the appellant within fifteen (15) calendar days of the conclusion of the hearing.

**20.11.3.5** The findings of the Certification Appeal Board shall be final.

**20.11.3.6** PCI and the appellant shall equally share the costs for travel and lodging for Plant Certification Appeal Board Members.

## 20.12 COMPLAINTS

**20.12.1** Any industry stakeholder may submit a written Complaint regarding a Certified Plant. Written Complaints may be received by any PCI staff member, who must forward the Complaint to the Director of Quality Programs.

**20.12.2** Upon receipt of the written Complaint, the Director of Quality Programs shall send a letter or email as confirmation of receipt to the complaining party.

**20.12.3** The Director of Quality Programs shall contact the Client to discuss the contents of the complaint. The Client shall be given the opportunity to provide documentation to address the complaint. The Director of Quality Programs shall contact the Auditing Organization to discuss the complaint and the Client's response.

**20.12.4** Within four (4) weeks after confirmation of receipt, the Director of Quality Programs shall respond to the complaining party with information regarding any actions taken by PCI.

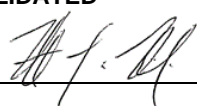
**20.12.5** A Special Immediate Audit may be required to follow up on a complaint. In such a case, the fee for the Special Immediate Audit shall be paid by PCI.

## 20.13 PROMOTION OF CERTIFICATION AND LOGO USAGE

**20.13.1** Upon attaining Certification, the Client will be provided a wall plaque or certificate for display and copies of reproduction proofs of the PCI Plant Certification logo for use in promotion.

**20.13.1.1** The plaque and proofs shall remain the property of PCI and shall be surrendered promptly by the Client in the event of cancellation of the Certification Agreement by either party.

**20.13.1.2** In the event the Client's Certification is withdrawn, the Client shall cease using any materials bearing the Certification logo and any promotional material making claims or statements relating to current PCI Plant Certification.

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- 20.13.2** Client usage of logo and reference to certification shall meet the following:
- a) conform to the requirements of PCI when making reference to its certification status in communication media such as web sites, social media, brochures, advertising, or other promotional documents
  - b) not make or permit any misleading statement regarding its certification status
  - c) not use or permit the use of a certification document or any part thereof in a misleading manner
  - d) upon suspension or withdrawal of its certification, discontinue use of all advertising material containing reference to PCI Plant Certification
  - e) amend all advertising material, as appropriate, when the scope of certification has been reduced
  - f) not allow reference to its certification to be used in such a way as to imply that PCI certifies product(s), services, or processes
  - g) not imply that the certification applies to activities that are outside the scope of certification
  - h) not use its certification in such a manner that would bring PCI and/or certification programs into disrepute and lose public trust
  - i) comply with all provisions of the PCI logo usage policy

**20.13.3** The Client shall not apply the PCI logo to products. The PCI-certified plant logo shall not be used on items such as laboratory test, calibration or inspection reports, calculations, production drawings, bid proposal documents, or in any other manner that may create the impression that PCI is in any way connected to or endorses any element of the organization's business operations.

**20.13.4** PCI shall exercise proper control of ownership and shall take action to correct misleading or incorrect references to certification status or misleading use of certification documents, logos or audit reports. Such action shall include requests for correction and corrective action, suspension, withdrawal of certification, publication of the transgression and, if necessary, legal action.

## **20.14 FRAUDULENT ACTIVITY REPORTING**

**20.14.1** Written complaints or reports of concerns involving suspected fraudulent activities related to a Client or an employee of a Client are to be reported to the PCI Director of Quality Programs. Whistle-blower identities will be protected, as required by law.

**20.14.2** The Director of Quality Programs shall review and validate all complaints and reports of fraudulent activities received. Any valid issue shall be communicated to the Client and any other appropriate parties involved to discuss the contents of the reported fraudulent activity. The Client and the appropriate parties involved shall be given the opportunity to provide documentation to address the reported fraudulent activity. Fraudulent activities already proven as a matter of public record will not require further investigation prior to determining the necessity for further action.

**20.14.3** If appropriate, the Director of Quality Programs shall respond to the reporting party with information regarding any actions taken by PCI.

**20.14.4** Depending upon the nature and/or severity of the infraction, engaging in or supporting fraudulent activities may result in:

- a) withdrawal of certification,
- b) withdrawal of a certification application,

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- c) a requirement for re-examination
- d) a requirement for a special immediate audit,
- e) public notice,
- f) legal action,
- g) notification to other conformity assessment bodies,
- h) barring of participation in the PCI plant certification program, or
- i) other appropriate measures.

## 20.15 PUBLICLY ACCESSIBLE INFORMATION

**20.15.1** PCI shall maintain information, available upon request, describing its audit processes and certification processes for granting, maintaining, extending, renewing, suspending or withdrawing certification, and about the certification activities, types of management systems and geographical areas in which it operates.

**20.15.2** PCI shall maintain accurate Certification related information regarding all Clients.

**20.15.3** PCI shall make information publicly available regarding certifications granted or withdrawn.

**20.15.4** PCI shall verify or confirm the certification status of any Client upon request from any party.

**20.15.5** PCI shall provide certification documents to the certified Client by any means it chooses, such as a special certificate stock paper with watermark and PCI logo, or an electronic, protected certificate with PCI logo.

**20.15.6** PCI maintains a directory of valid certifications, which is the sole property of PCI. The PCI website shall be the primary location for the listing of PCI Certified Plants.

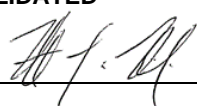
## 20.16 SAFEGUARDING CONFIDENTIALITY

**20.16.1** PCI shall arrange ongoing processes to safeguard the confidentiality of the information obtained or created during the performance of certification activities at all levels of its structure, including committees and external bodies or individuals acting on its behalf.

**20.16.2** PCI shall inform the Client, in advance, of the information it intends to place in the public domain. All other information, except for information that is made publicly accessible by the Client, shall be considered confidential. Information about a particular Client or individual shall not be disclosed to a third party without the written consent of the Client or individual concerned. Where PCI is required by law to release confidential information to a third party, the Client or individual concerned shall, unless regulated by law, be notified in advance of the information being disclosed.

**20.16.3** Information about a Client from sources other than the Client (e.g. complainant, regulator) shall be treated as confidential, consistent within this policy.

**20.16.4** PCI's committee members, contractors, staff members, and auditors, or personnel of external bodies or individuals acting on PCI's behalf, shall keep confidential all information obtained or created during the performance of the certification body's activities.

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**20.16.5** PCI shall utilize equipment and facilities designed to ensure the secure handling of confidential information.

**20.16.6** When confidential information is made available by PCI to other bodies (e.g. accreditation body, agreement group of a peer assessment scheme), PCI shall inform the affected Clients of this action.

**20.17 PLANT CERTIFICATION FEES**

**20.17.1** The fee structure shall be established by the PCI Board of Directors in accordance with Section 6.0 of the Policies and Procedures Manual and printed in the Schedule of Fees.

**20.17.2** Certification Fees are determined by a Client's Fee Declaration. Certification Fees are due upon granting the Client initial certification, based on a monthly percentage proration.

**20.17.2.1** Fee Declarations shall be submitted to PCI by every Client.

**20.17.2.2** Multi-plant Clients shall submit one Fee Declaration for all of their certified plants, which shall list the sales for each individual plant.

**20.17.2.3** Clients that acquire other PCI certified plants shall include the prior sales for the acquired plants on their annual sales declaration.

**20.17.2.4** In the initial year of participation, the amount due shall be prorated for the balance of the fiscal year, based on a monthly percentage proration.

**20.17.2.5** Other than annual plant certification fees, which are approved by the PCI Board of Directors, program fees shall be established by PCI staff.

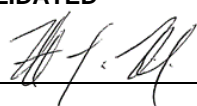
**20.17.2.6** Invoices shall be issued monthly, quarterly, semi-annually or annually as selected by the Client. Payments are due the fifteenth (15th) of the following month.

**20.17.2.7** Invoices can be issued to the Client's corporate office or to each individual Client facility (proportioned to Net Sales) as selected by the Client.

**20.17.3** Upon initial application, the Client shall pay an initial deposit or the application fee in the amount established for the Stage 1: Precertification Evaluation (PE), Stage 1: QSM Review, and Stage 2: 1<sup>st</sup> Unannounced Audit. This fee or deposit is non-refundable. If the Client is eligible, the Client is permitted to bypass or waive the PE. In such a case, no portion of the initial deposit or application fee shall be refunded to the Client.

**20.17.3.1** The initial deposit or application fee shall be refunded in the event the applicant is not eligible for participation in the PCI Plant Certification Program.

**20.17.3.2** If an established Client chooses to bypass or waive the PE and fails the Stage 2: 1<sup>st</sup> Unannounced Audit, the Client shall be required to submit payment for a subsequent Special Immediate Audit (SIA).

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**20.17.3.2.1** Clients may be assessed additional fees to cover excess Plant Auditor travel expenses when audit requests are made with less than two (2) weeks' notice.

**20.17.4** A Client with a plant or plants located beyond the forty-eight (48) contiguous United States of America, shall pay an additional fee for auditor travel time and travel expenses in addition to those stated in the Schedule of Fees.

**20.17.5** Fees different from those stated in the Schedule of Fees shall be established or estimated and agreed to in writing by the Client and PCI.

**20.17.6** The annual fee for an Extra-Day Plant shall be determined by adding double the fee for one extra audit day (see Schedule of Fees) to the plant base fees.

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**Attachment 1, Non-Mandatory**

**PCI PLANT CERTIFICATION PROGRAM  
ABBREVIATIONS, DEFINITIONS AND TERMINOLOGY**

**ABBREVIATIONS:**

The following is a list of abbreviations used in the Plant Certification Program. Refer to the definitions for a complete description.

**AO** – Auditing Organization

**PE** – Precertification Evaluation

**MS** – Management System

**QSM** – Quality Systems Manual

**SIA** – Special Immediate Audit

**DEFINITIONS:**

This list of definitions/terminology has been assembled from common usage during more than thirty years of operation of the PCI Plant Certification Program, and from several references highly regarded on the national quality scene. These references include: Quality Systems Terminology, ANSI/ISO/ASQC A3-1987; Guidelines for Auditing Quality Systems, ANSI/ISO/ASQC Q10011-1,2&3-1994; Terms, Symbols and Definitions for Acceptance Sampling, ANSI/ASQC A2-1987.

**Accreditation** — Certification by a duly recognized body of the facilities, capability, objectivity, competence, and integrity of an agency, service or operational group or individual to provide the specific service(s) or operation(s) needed.

**Agreement** — The formal understanding between the PCI Plant Certification Program and its Client of the fees, services to be provided and the conditions of certification.

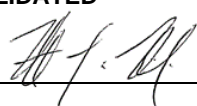
**Agreement Group of Peer Assessment Scheme** – Bodies that are signatories to the agreement on which the arrangement is based.

**Appeal Process** — The right by the Client to appeal inspection findings.

**Architectural Certification Review Board (ACRB)** – The body established in the Architectural Certification Program Supplemental Requirements that supports the architectural certification program and provides recommendations to PCI regarding certification for plants in specific architectural certification categories.

**Audit** — (see Quality Audit)

**Stage 1 Audit** – For a New Client, the review of the Quality System Manual and the Precertification Evaluation. For an Established Client, the review of the Quality System Manual and the Precertification Evaluation, if the Precertification Evaluation has not been waived.

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**Stage 2 Audit** – A regular, unannounced audit.

**Surveillance (Follow-up) Audit** – First Unannounced Audit after the Stage 2 Audit and typically the first Unannounced Audit performed each calendar year.

**Recertification Audit** – Unannounced Audit(s) performed during the year after the Surveillance Audit, typically the first audit following certification renewal for the fiscal year.

**Audit Program** – An effective, predetermined audit scheme that follows necessary steps such as Stage 1 & Stage 2 initial certification audit, surveillance audit, re-certification audit, and internal audit and review activities, processes, and functions.

**Audit Review Meeting** — A meeting conducted at the end of a plant audit that reviews observations by the auditor(s) with plant production, quality and management personnel.

**Auditing Organization (AO)** — An independent third party that carries out audits through its employees.

**Auditor (Quality)** — A person who has the qualification to perform quality audits.

NOTES: 1. To perform a plant quality audit, the auditor must be authorized by PCI for that particular audit.

**Certificate**— A document signed by PCI affirming that the Client has met the requirements of the PCI Plant Certification Program.

**Certification** — The procedure and action by a duly authorized body of determining, verifying, and attesting in writing to the qualifications of personnel, processes, procedures, or items in accordance with applicable requirements.

In PCI, the term “a duly authorized body” reflects a formal designation of a third-party body (e.g., an independent agency or individuals selected by the second party - PCI - see Auditing Organization) in compliance with a contract or regulation.

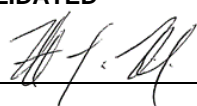
**Certified Plant** — A Client listed by PCI as meeting the criteria for “Certified Plant.” Includes a plant whose inspections have been suspended because certification payments are overdue by 90 days but less than 120 calendar days.

**Client** — The organization or facility requesting certification of a plant. In PCI, an individual plant whether or not enrolled as part of a multi-plant company. The term Client is used in reference to participation in the Plant Certification Program.

**New Certification Client** – A corporate entity during the first three years of continuous active participation as a PCI-Certified Plant.

**Established Certification Client** - A corporate entity in the PCI Certification Program for a minimum of three continuous years.

**Compliance** — An affirmative indication or judgment that the Client of a product or service has met the requirements of the relevant specifications, contract or regulation; also the state of meeting the requirements.

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**Conformance** — An affirmative indication or judgment that processes are in place to meet the requirements of the relevant PCI Plant Certification Program; also the state of meeting the requirements.

**Conformity** — The fulfilling by an item or service of specification requirements.

**Defect Alert** — The procedure to be followed by the Audit Organization and PCI upon the discovery of a defect in design, procedures, or production that might lead to the manufacture of a structurally deficient product.

**Defect** — A departure of a quality characteristic from its intended level or state that occurs with a severity sufficient to cause a product or service not to satisfy intended usage requirements.

**Defective (Defective Unit)** — A unit of product or service containing at least one defect, or having several imperfections that in combination cause the unit to fail to satisfy intended usage requirements.

**Effective Production Personnel** – Full time, non-permanent and part time personnel involved in the scope of PCI Plant Certification working on each shift during the time of an Audit. Part time personnel may be reduced and converted to an equivalent number of permanent personnel.

**Extra-Day Plant** — A plant that, because of its size or complexity, requires an extra audit day to complete each certification audit.

**Grade** — A numerical score resulting from a plant audit and determined from weighted calculations of the scores from evaluation of all inspected items. There are two categories of Grades:

**Grade, Division** — The numerical “weighted” grade, resulting from a PCI Plant Quality Audit, calculated for each Division of a PCI Quality Manual from the grades in each Sub-division.

**Grade, Total** — The overall numerical “weighted” grade, resulting from a Plant Quality Audit, calculated from the Division Grades.

**Grade sheet (Weighted Grade sheet)** — A form used to record numerical scores and to calculate “weighted” Division and Total Grades resulting from observations during a plant Quality Audit.

1. There are three forms of the Grade sheet, one relating to each of the PCI Quality Manuals, MNL-116, 117 or 130.
2. Each grade sheet lists all of the measurable items or standards contained in the appropriate companion PCI Quality Manual.
3. Each grade sheet shows the “weight” (percentage of total grade) applied to each sub-division to arrive at a Division grade, and the weight of each Division to arrive at a Total Grade.

**Inspection** — Activities, such as measuring, examining, testing, gauging one or more characteristics of a product and comparing these with specified requirements to determine conformity.

**Item** — An object or quantity of material on which a set of observations can be made.

**Major Nonconformance** – The absence of addressing, or the failure to implement or maintain one or more of the requirements.

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**Management System** – An organization’s policies, procedures, processes, and document retention. Also known in the Plant Certification Program as the (QSM) Quality System Manual.

**Minor Nonconformance** – A minor lapse in the compliance of the management system against the requirements.

**Multi-Plant Company** — A company that has majority (51% or more) ownership in more than one precast concrete manufacturing plant. Also, a corporation that has majority (51% or more) ownership of more than one company that in turn has majority ownership of one or more precast concrete manufacturing plants.

**New Certification Client** – a company that has continuously owned or operated a PCI-Certified Plant for less than three years.

**Noncertified Plant** — A plant that is enrolled as a Client in the Certification Program but has not attained or retained certification. Such a plant is not qualified for PCI Producer Membership. There are two categories of noncertified plants:

- a. Certification Pending — A newly enrolled Client in the Plant Certification Program prior to passing the first unannounced Regular Audit.
- b. Certification Withdrawn — The status of a Client that results from having relinquished certification for any of these conditions:
  - 1. Receiving a Failing Grade for two of three consecutive audits.
  - 2. Receiving a Failing Grade in any one of the prescribed number of audits that follow the first unannounced audit.
  - 3. Certification payments overdue by 120 days.
  - 4. Failure to comply with the Agreement/Policies and Procedures.

**Nonconformance** —The nonfulfillment of specific requirements. NOTE: The definition covers the departure or absence of one or more quality characteristics or quality system elements from specified requirements

**Objective Evidence** — Qualitative or quantitative information, records, or statements of fact pertaining to the quality of an item or service or to the existence and implementation of a quality system element, which is based on observation, measurement, or test and which can be verified.

**Observation** — Any finding not classified as a nonconformance but as a recommendation, an observed event during the audit, or a potential risk that could be a nonconformance and/or an opportunity for improvement.

**Plant** — A manufacturing facility regularly engaged in the business of fabricating precast concrete products. (see Client).

**Policies and Procedures Manual** — The operating rules of the Precast/Prestressed Concrete Institute supplemental to the Institute’s Bylaws. Section 20.0 contains policies and procedures governing PCI Plant Certification Program and Section 28.0 contains policies and procedures governing the Quality Personnel Certification Program.

**Precast Concrete Products (Products)** — A term used for any of the products produced by PCI Members and applicable to the interests of the Precast/Prestressed Concrete Institute. These include precast concrete, prestressed structural concrete, precast architectural concrete, and glass fiber reinforced concrete products.

**Precertification Evaluation**— An evaluation of a plant, announced in advance, that determines a plant’s readiness to undergo its first unannounced certification audit. In addition to newly participating plants, a Precertification Evaluation may follow a period of loss of certification.

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**Producer Member (PCI)** – A company or individual that meets the requirements for PCI Membership and is accepted by the PCI Board of Directors for Membership.

**Product Category** — Any one of five categories into which Product Group A (Architectural Products) is divided and any one of four categories into which Product Group B (Bridge Products) and Product Group C (Commercial/Structural Products) are further divided. Categories increasing from AT to AA (AT, AD, AC, AB, AA) and from B1 or C1 through B4 or C4 indicate an increasing degree of sophistication in the planning, manufacturing and quality control functions.

**Product Group** — Any one of four major groupings of industry products defined by one or more of the three PCI Quality Manuals and differentiated by production techniques, tolerances and quality control.

**Production Personnel** – all individuals involved within the scope of the PCI Plant Certification Program, including welders, form workers, crane operators, equipment operators, plant drivers, QC techs/inspectors, and other individuals directly involved in the fabrication of the precast components.

**Quality** — The totality of features and characteristics of a product or service that bear on its ability to satisfy stated or implied needs.

**Quality Assurance** — All those planned or systematic actions necessary to provide adequate confidence that a product or service will satisfy given requirements for quality. Within an organization, quality assurance serves as a management tool. In contractual situations, quality assurance also serves to provide confidence to the contractor/design team/owner.

**Quality Audit** — A systematic and independent examination to determine whether quality activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.

- In PCI Plant Certification, the following audit types are defined:
  1. Regular Audit — a one-day or two-day unannounced audit.
  2. Special Audit — there are two types of special audits.
    - A. An extra one-day or two-day audit requested by the Client or imposed on the Client by PCI under special conditions.
    - B. Special Immediate Audit — an additional one-day or two-day unannounced audit occurring not less than 30 nor more than 60 calendar days from the date of a previous audit. This Audit occurs for a Client that fails any audit (Section 20.8.16).
  3. Extra Day Audit — a full-day audit added to a one-day or two-day audit under the provisions of the “Extra-Day Plant” when a plant is too large to adequately audit in the audit of normal duration.

**Quality Audit Report** — A written review of a plant quality audit containing the following sections:

- observations made from within each product group to confirm compliance with the Client’s Management System and PCI requirements
- listings of nonconformances and the associated numerical grade
- completed grade sheets for each product group

**Quality Control** — The operational techniques (or people) and the activities used to fulfill requirements of the Client’s quality system.

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**Quality Improvement** — Those actions taken throughout the organization to increase the effectiveness and the efficiency of activities and processes in order to provide added benefits to both the plant and its customers.

**Quality Management** — (QSM) All those activities of the overall management function that determine the quality policy, objectives, and responsibilities, and implement them by means such as quality planning, quality control, quality assurance, and quality improvement within the quality system.

**Quality Management System** – An organization’s documented MS according to set requirements, guidelines, and standards.

**Quality Measure** — A quantitative measure of the features and characteristics of a product.

**Quality Plan** —A document setting out the specific quality practices, resources, and activities relevant to a particular product, process, contract, or project.

**Quality Planning** — Those activities that establish the objectives and requirements for quality and for the application of quality system elements.

**Quality Policy** — The overall intentions and direction of an organization as regards quality as formally expressed by top management.

**Quality System** — The organizational structure, responsibilities, procedures, processes, and resources for implementing quality management.

**Quality System Audit** — A documented activity performed to verify, by examination and evaluations of objective evidence, that applicable elements of the quality system are appropriate and have been developed, documented, and effectively implemented in accordance and in conjunction with specified requirements.

**Quality System Manual (QSM)** – A document stating the quality policy, quality plan and quality system of an organization.

**Quality System Review** — A formal evaluation by management of the status and adequacy of a quality system in relation to quality policy and/or new objectives resulting from changing circumstances.

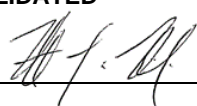
**Recertification Audit** (See Audit)

**Sample** — One or more units of product (or a quantity of material) drawn from a specific lot or process for purposes of inspection to provide information that may be used as a basis for making a decision concerning acceptance of that lot or process.

**Specification** — The document that prescribes the requirements with which the product or service has to conform.

**Surveillance Audit** (See Audit)

**Temporary Plant** — A manufacturing facility established and constructed for the purpose of providing precast concrete products for a construction project with the intention of closure or removal of the facility at the conclusion of the project. A Temporary Plant may or may not be eligible as a Client in the PCI Plant Certification Program. (See the applicable part of Section 20).

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**Testing** — A means of determining the capability of an item to meet specified requirements by subjecting the item to a set of physical, chemical, environmental, or operating actions and conditions.

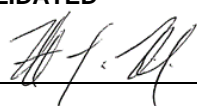
**Tolerance** — The allowable variation.

**Tolerance Limits (Specification Limits)** — Limits that define the conformance boundaries for an individual unit of a manufacturing or service operation.

**Traceability** — The ability to trace the history, application, or location of an item or activity and like items or activities by means of recorded identification.

**Verification** — The act of reviewing, inspecting, testing, checking, auditing, or otherwise establishing and documenting whether items, processes, services, or documents conform to specified requirements.

**Waiver** — Written authorization to use or release a quantity of material, components, or stores. Waivers should be for limited amounts or periods and for identified usage.

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