

PCI CERTIFICATION REGULATIONS

PCI's Audit Schemes and Certification Programs, which includes PCI's QMS and Audit Policies and Procedures, are all in compliance with ISO 19011; ISO 10005; ISO 17021; and IAS AC 477. PCI Standards Manuals: MNL-116, MNL-117, and/or MNL-130; MNL-127 and MNL-132; which are the criteria per the applicable Audit Scheme(s), are all national standards. PCI is accredited by ANSI as a National Standards Organization. PCI's Audit Schemes and Certification Programs are the National Standards for Quality Management Systems of Plants and Erectors within the Precast/Prestressed Concrete Industry.

PCI controls all of its certification activities through rigorous policies and procedures. PCI certification activities cover all competencies and training of its personnel engaged in its certification activities. This includes the respective Staff Members, Auditors, and Committee Members. PCI certification activities also include the Client Application Review Process, the Audit Process and the Certification Decision Process. All of these certification activities and elements are performed and handled impartially and confidentially per PCI Policy within PCI's Regulations.

PCI's personnel, which are involved with the Audit Schemes and Certification Programs, who are performing and/or handling certification activities, which includes PCI Staff, PCI Auditors, and PCI Committee Members, all sign a Impartiality and Confidentiality Agreement; this is a documented process and PCI maintains controlled forms for this process in regards to PCI's records-keeping. PCI also has an abundance of procedures and policies in place to ensure that its personnel involved in the certification activities are in compliance with PCI regulations.

The training and evaluation of competencies of PCI Staff and PCI Auditors who are performing Application Review, Audits, Audit Review, and Certification Decision are all documented and kept up-to-date for tracking purposes. PCI documents and tracks all Application Reviews, Audit Reviews, and Certification Decisions to verify compliance with PCI's regulations in regards to accuracy and conformance to the requirements set forth through PCI's regulations, and done with confidentiality and impartiality.

PCI personnel, particularly PCI Staff, who have demonstrated the highest standards in respect to PCI's regulations and have verified the required competence to undertake PCI's internal certification activities' process and procedures with regards to performing them confidentially and impartially, are appointed as Certification Officers. The PCI Auditors cannot be appointed Certification Officers as it presents a well-known conflict of interest.

To ensure PCI maintains its Impartiality within its certification activities, PCI assigns the Audit Team to its Clients and Certification Officers make Certification Decisions solely based on the sampled, objective evidence from the audit findings. If a Certification Officer or an assigned Auditor has a known Conflict-of-Interest with a Client, then a different Certification Officer or Auditor is selected to perform this particular certification activity with its Client.

PCI Audits are performed to PCI Regulations, with emphasis on the Audit Plan and Audit Procedure. The PCI Auditor maintains a Checklist during the audit to confirm they performed the audit to the PCI regulations and it was done impartially and confidentially. This checklist is reviewed by the Certification Officer to verify the Audit was handled and performed to PCI's regulations and standards.

PCI also has openness to its Audit Schemes, Certification Programs, and Quality Management System. PCI Clients are made aware of the Audit Plan in an opening meeting before each audit is performed. Clients are also notified of all NonConformances found during their audit at the audit exit meeting.

After an audit is performed the Auditor finalizes the Audit Report and the Grading Sheets. The Audit Report is then submitted from the Auditor to the PCI Certification Officer for Review. After review and approval of the Audit Report, the PCI Certification Officer forwards the Audit Report to the Client. The Client then submits their Response to NonConformances Letter and all associated objective-based evidence to support their responses to the PCI Certification Officer. The PCI Certification Officer reviews this Letter and the associated objective-based evidence, then forwards it to the Auditor for their recommendations based on their review of this response letter and the associated objective-based evidence.

If the Client's Response to NonConformances Letter and associated objective-based evidence is determined to be adequate by the PCI Certification Officer, and there are No Major Non-Conformities which haven't been addressed by the Client, as listed in the Audit Report, then there is no need to for a Special Immediate Audit to gather additional findings unless a sub-sequential audit is determined to be the only way to confirm such corrective/preventative actions have been taken by the Client, regardless if the Client received a Passing Audit Grade .

Though, if a Client receives a Failing Audit Grade, then the same process applies to the Client for the submittal of their Response to NonConformances and associated objective-based evidence, and in addition to this a Special Immediate Audit will be required.

Once the required steps for closing audit findings has been completed then the PCI Certification Officer can move forward and make a certification decision as to whether or not to grant the Client certification, continued certification, or grant recertification. The Certification Officer makes a Certification Decision based on this objective evidence of audit findings and the Client's preventative/corrective action plans or implementations. The certification decision is also documented and tracked per PCI's regulations, and this applies to all audit types (Initial, Surveillance, ReCertification, and Special Audits). The PCI Certification Officer uses this documented form to verify that a review has been done to competently decide as to whether or not to grant certification, allow for continuing certification, or deny a Client certification. The PCI Certification Officer notifies the Client of this decision.