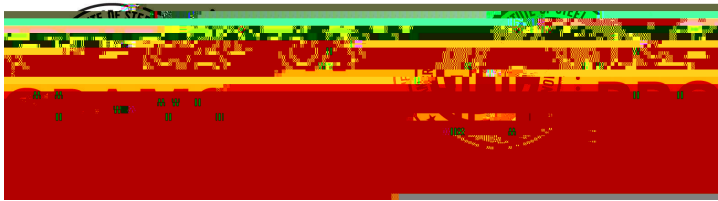


Purpose

The $\tilde{O}[\zeta^!;] \tilde{q}^* \tilde{U}^{\sim} \tilde{a}^{\wedge} \wedge \} \circ \tilde{A} \{ \tilde{O}^{\wedge} \tilde{c} \tilde{a} \tilde{a} \} \tilde{U} \{ * \} \tilde{a} \bullet (\tilde{O} \tilde{U} \bullet)$ are provided for identifying the activities required to demonstrate that the participating company's management system fulfills



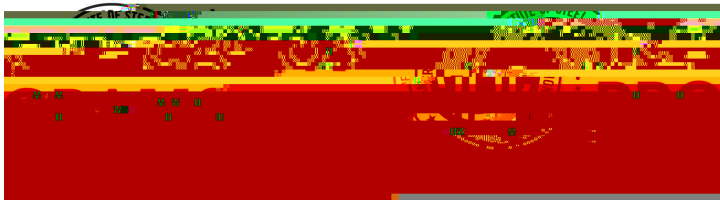
Preface

The 2021 revision is not a complete revision of the *International Standards on Auditing* but does include important changes and updates including, such as terminology defined in the glossary below. The following changes included in this revision are listed below.

Section and Requirement Revisions

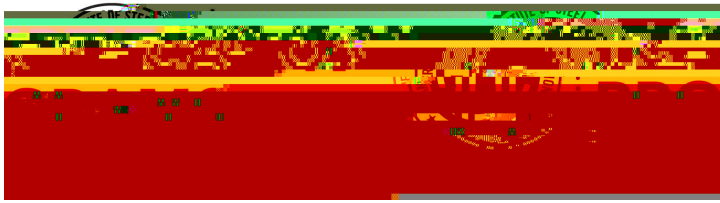
Preface - Revision	3.5 - New Requirement
Glossary - New	3.6 - New Requirement
Table of Contents - Revision	Section 4 Planning for Your Audit
Scope - Editorial	4.1 - Revision
Intent of Use - Editorial	4.3 - Editorial
Certification Programs - Editorial	4.4 - Revision
Section 1 General Requirements	4.5 - Revision
1.1 - Editorial	4.6 - Editorial
1.3 - Revision	4.7 - Revision
1.4 - Editorial	4.9 - New Requirement
1.5 - Revision	4.10 - Editorial
1.6 - Revision	4.13 - Revision
1.11 - Revision	Section 5 During Your Audit
1.12 - Revision	5.2 - Not used (Moved to
1.13 - Revision	5.3 - Not used (Moved to
1.14 - Revision	5.4 - Not used (Moved to
1.15 - Revision	5.5 - Editorial
Section 1.1 Communications	5.5.2 - Editorial
1.1.2 - Revision	5.6 - Editorial
1.1.3 - Formerly 1.12 (Editorial)	5.8 - Revision
Section 2 Applying for Certification	5.9 - Revision
2.1 - Revision	Section 6 Corrective Action Request
2.2 - Revision	Process
2.3 - Editorial	6.1 - Editorial
2.4 - Editorial	6.3 - Editorial
2.5 - Revision	Section 7 Certification Decisions
2.6 - Revision	7.1.1 - Revision (Moved from 7.3.1)
2.7 - Formerly 4.2 (Editorial)	7.1.2 - New Requirement
Section 3 Stage 1 Audit	7.2 - Editorial
3.1 - Revision	7.3 - Editorial (Moved from 7.2)
3.3 - Editorial	7.4 - Revision
3.4 - Editorial	7.5 -New Requirement

June 1, 2021



- 7.5.1 - New Requirement
- 7.7 - Revision
- 7.8 - Editorial
- 7.10 - Revision
- 7.11 - New Requirement
- Section 8 Making changes to the Certification Scope
 - 8.1 - Editorial
 - 8.2 - Editorial
 - 8.3 - Editorial

- Section 9 Appeals Process
 - 9.2 - Revision
- Section 10 Complaints Process
 - New Section Added
- Supplemental Requirements
 - See each Supplement for a list of revisions.



Glossary

Follow-up Audit This is an audit used as a follow-up to a renewal, initial, appeal, or complaint audit, and it may be required for the participant or applicant's certification to continue or be granted.

Evaluation The act of evaluating quality, or ability of someone or something. The act of performing the audit.

Evidence Independent and documented process for obtaining objective evidence and evaluating it to determine the extent to which the criteria/requirements are fulfilled.

Remote or Site Assessment These audits are a continuation for a remote or site assessment.

Conditional Certification A conditional certification may be granted when conditions do not provide for the Stage 2 audit to be performed as a site assessment and it is to be conducted as and a remote assessment is performed. This may occur for initial applications and scope change applications.

Representative Work This is representative work that is of equal or greater complexity, follows the QMS, and can be used to demonstrate capability for a certification program or endorsement as required in the GRs and/or Supplements.

Documentation Assessment This is a review of a Participant or Applicant's quality manual and procedures during the Recertification Audit (RF) to assess their ongoing compliance. A Documentation Assessment may also be performed at the auditor's discretion during a renewal audit if they deem it necessary to assess the Participant' or Applicant's compliance with the GRs.

International Any participant or applicant is considered international, if they are located outside the 50 states and the District of Columbia of the United States of America.

Approved Exercise This is a demonstration of capability that uses an approved exercise provided by AISC Certification, not actual work, to demonstrate capability for a certification program or endorsement as required in the GRs and/or Supplements.

Observers They can be a participant or applicant's members outside of the facility being certified, consultants, regulators or justified personnel. They cannot influence or interfere in the audit process or audit outcome. Observers are to be agreed upon by the participant or applicant, along with the audit team.

Remote Audit This is an audit conducted remotely using technologies such as Zoom Meetings.

In-person Audit This is an audit conducted in-person at a fabrication facility or erector's jobsite and main office.

Documentation Assessment This a documentation assessment to determine the readiness of a quality management

system for certification. It includes a review of the quality manual, associated procedures required by the certification program and sample records that show compliance with the requirements.

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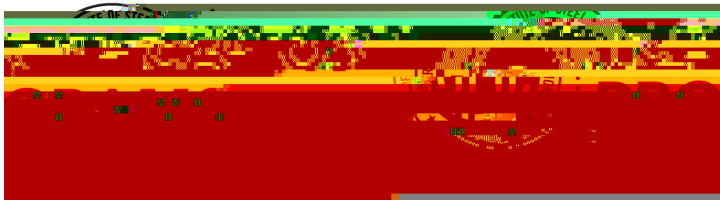


TABLE OF CONTENTS

(For Applicants; Participants should refer to Section 8, Scope Changes)

(Required for Applicants, may be required for Scope Change Applications, or as directed by Certification Review Group)

(for Participants changing a current certificate)

Scope

This document (hereinafter referred to as the *Code of Practice*) governs the AISC certification programs. All Applicants and continuing Participants are required to have available and comply with these *Code of Practice*. An *Applicant* is a company that is requesting certification for a fabrication/manufacturing facility or erection company that does not hold a current AISC certification. A

joints; bearings; ballast plates; and mechanical movable bridge equipment. Participants and Applicants of this program are required to adhere to the QMS and to the ASCE 10.1.5

- 1.3 applies to Bridge Fabricators who fabricate and supply steel highway and railroad bridges. Participants and Applicants of this program are required to adhere to the QMS and to the ASCE 10.1.5. The categories for types of bridge fabrication all require the same level of QMS but differ in fabrication capability. Three categories are available:
- SBR: Certified Bridge Fabricator – Simple
 - IBR: Certified Bridge Fabricator – Intermediate
 - ABR: Certified Bridge Fabricator – Advanced

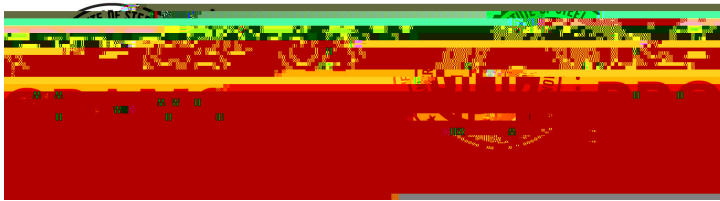
- 1.4 applies to Erectors who erect, via bolting and/or welding, structural steel framing for buildings, highway, or railroad bridge construction. See Section 2.1.1 of the AISC 303 QMS and ASCE 10.1.5 for the definition of QMS. Participants and Applicants of this program are required to adhere to the QMS and to the ASCE 10.1.5.

- 1.10 The Fee Schedules are provided at www.aisc.org/certification and are subject to change.
- Applicants: Refer to GR 2.1 concerning payment of fees.
 - Renewing Participants: Invoices will be delivered by email prior to the renewal audit.
- If an audit is cancelled for failure to pay, the Participant must reapply for certification. The Participant may not pay for the audit at a later date and resume certification or reschedule the audit.
- For audits canceled less than 30 days before the audit date, the Participant will be eligible for a 50% refund of their ~~z~~ed of



Fee.

- 3.2 If revised SNRs are issued, they must be responded to within 15 days of receipt, or the Stage 1/Scope Change process will be terminated and the certification fee refunded less the Initial Application and the Stage 1 Fee.
 - 3.3 The resolution process for the SNR may continue for up to 90 days after the date of the initial SNR. If Stage 1 is not completed within 90 days, then the process will be terminated and the certification fee refunded, less the Initial Application and the Stage 1 Fee. If Stage 1 is terminated, the Applicant must wait at three months from the date of the Stage 1 termination before reapplying.
 - 3.4 All documents required for Stage 1 shall be submitted in English.
 - 3.5 The requirements for a “documented procedure” stated in the ~~Üæ åæå~~ section 1.5.2 are to be applied to all required documented procedures in the ~~Üæ åæå~~.
 - 3.6 For Participants applying for a Scope Change, please see ~~ÖÜ~~ Section 8.
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- 4.1 Participants: The audit date will be on the invoice emailed to the accounts payable contact, principal officer and certification contact
Your



- 4.4 Rescheduling requests must be approved by AISC before rescheduling can occur. Absent personnel, vacation conflicts, small company size/limited staff availability, busy production schedules, hunting season, or other similar circumstances are reasons for rescheduling and will not be approved.

Requests from Participants wishing to reschedule due to absence of specific staff wishing to participate in the audit

Approved rescheduled requests will be subject to a rescheduling fee based of the criteria shown below:

Approved request form received within two weeks from the date your renewal invoice was emailed to you, will not result in any fee being assessed.

Approved request form received 15 days after invoice issue date and 45 days before the scheduled audit date, will result in a rescheduling fee being assessed in the amount of 25% of the total amount shown on the renewal invoice.

Approved request form received less than 45 days before the scheduled audit date, will result in a rescheduling fee being assessed in the amount of 50% of the total amount shown on the renewal invoice.

If a Participant or Applicant cancels one business day or less before the audit begins, the CRG will conduct a review of the request, and their certification or application may be terminated. If the CRG allows their audit to be rescheduled:

A fee of 50% of the total amount shown on the renewal or initial invoice will be assessed.

A participant will not be granted a certification extension.

- 4.5 When a Participant's rescheduling request is approved, the audit must be completed a minimum of 45 days before the certificate expires, so that an extended certificate may be granted to ensure the review process is completed. If the audit does not occur 45 days beforehand, an extended certificate will not be granted until the audit review process is completed.

- 4.6 AISC reserves the right to reschedule an audit due to circumstances beyond its control (i.e., weather, flight cancellations, political environment changes, unexpected auditor unavailability, internet loss, power outages, etc.). If this occurs, no rescheduling fees will be assessed, and every attempt will be made to reschedule the audit as soon as possible.

- 4.7 AISC Certification conducts periodic audits. A typical three-year Certification Cycle consists of the following, at a minimum:

Initial Certification (RFN) or a Recertification (RF)

First Renewal (R1)

Second Renewal (R2)

These characters of the audit scope indicate the certification cycle, not the processes to be assessed during the audit. The scope of the audit, which are the activities and processes to be assessed, is indicated in the audit plan sent to the Participant or Applicant from the assigned auditor.

AISC reserves the right to conduct any audit in the Certification Cycle as a Remote Assessment. See GR4.9 for Applicants.

- 4.7.1 Audit durations will be either one or two days based on the size of your company and the complexity of your certifications and endorsements. Audit durations will be confirmed on the invoice or audit date notification. Below are additional clarifications for audit durations, and AISC reserves the right to modify these durations based on a case-by-case basis.
 - Fabricator Participants with 50 or fewer employees will have a one-day audit.
 - Participants who will have a two-day audit:
 - Fabricator Participants with 50 or fewer employees who hold the Sophisticated Paint Endorsement (SPE) and/or the Fracture Critical Endorsement (FCE)
 - Fabricator Participants with more than 50 employees Erectors
 - Applicants within North America
 - Applicants outside of North America will have a minimum two-day audit.
- 4.8 A quality manual, documented procedures, and records shall be available upon request by AISC and provided in English.
- 4.9 Audits are performed as a Remote Assessment, Site Assessment , or a combination of both. Remote assessments are conducted using technologies such as Zoom Meetings. At a minimum, one audit is required for each Participant annually.
- 4.10 Applicants must submit records of their internal audit and management review as required by the Application Document Submittal process. Records of the internal audit and management review must include evidence of the audit results, when these activities took place, the person(s) performing the audit/review, and evidence that all applicable certification programs and endorsements were audited.
- 4.11 For Participants seeking renewal of certification, the internal audit must include all required certification programs and applicable endorsements. The internal audit and management review must be completed annually. Records of the internal audit and management review must include evidence of the audit results, when these activities took place, the person(s) performing the audit/review, and evidence that all applicable certification programs and endorsements were audited. Participants may perform a single audit for on pr

4.13 International Travel Advisory. If the Participant or Applicant company is located in a country for which the U.S. Department of State has issued a Travel Advisory Level 3 or 4 advising U.S. citizens against travel, the certification renewal audit will be planned as a Remote Assessment. A Remote Assessment can only be used for renewal of your certification for two concurrent renewals.

Alaska, Hawaii, and US Territories. If travel bans are issued by US or local governments, the certification renewal audit will be planned as a Remote Assessment. A Remote Assessment can only be used for renewal of your certification for two concurrent renewals.

5.1 To ensure that the audit maintains impartiality and avoids any conflicts of interest, Participants and Applicants cannot have used the auditor assigned to them as a consultant in the two years prior to the audit date, nor can the auditor have been an employee of or contracted by the Participant or Applicant within the previous five years. If either conflict of interest exists with the assigned auditor, the Participant or Applicant is obligated to notify AISC Certification within five business days of receiving the auditor assignment, and the audit will be reassigned to a different auditor at no expense to the Participant or Applicant. If notification is not received within this time frame, the audit reassignment will be at the Participant's/Applicant's expense.

5.2 All references in Section 1.3 of the *Úcæ áæá* the quality manual procedures, and forms required in Section 1.5, etc. of the *Úcæ áæá* must be available in English.

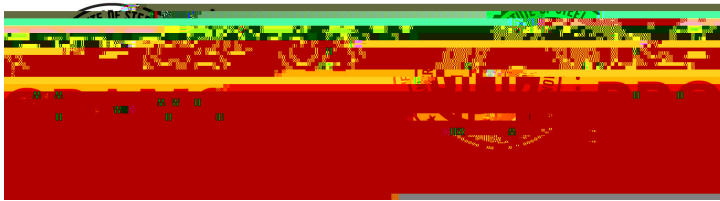
5.3 Participants and Applicants are required to have the 2019 version of *Ú^|^&^ÁÉVT Úcæ áæá Á / Úd^ &c^ / Úc^ / Úcæ áæá*, as published for AISC, or equivalent content to satisfy Section 1.3.c of the Standard.

5.4 Quality goals, as referred to d.2

management review meeting, and no further action is required.

7.2 Certification decisions for participants or applicants receiving no CARs:
Upon completion of the audit, QMC will perform a quality review of the results.
Results are then forwarded to the CRG for a certification determination.

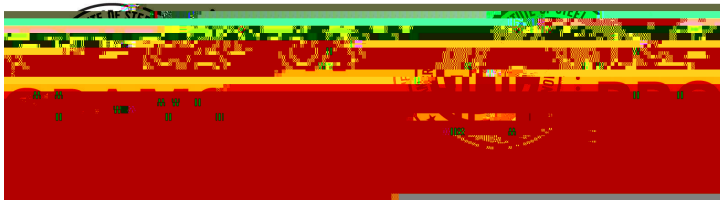
Certification decisions for participants or applicants receiving CARs
Upon completion of the Audit and review is complete of all ~~use~~



- 7.5.1 All Applicants and Participants have the right to issue a complaint to AISC about any portion of the certification process. For complaints made to AISC concerning a certified company by parties involved in the contract, please see Section 10.
 - 7.6 AISC will make information concerning certification status publically available on its website. The information disclosed includes company name, location, contact name, email and phone number, and certifications held.
 - 7.7 Participants who hold a current valid certificate or conditional certification letter are eligible to use and display the Certified Fabricator or Certified Erector logo, as applicable.
 - 7.8 Multiple fabricator/manufacturer certifications and endorsements for the same facility location are included on a single certificate. Erector certification and endorsements are included on a single certificate.
 - 7.9 For Participants and Applicants of the erector certification program, the certificate will cover their regional office(s) or operation(s) only if all of the following conditions are met:
 - A. The regional office(s) or operation(s) is doing business under the same company name.
 - B. The Executive Management is the same as for the main office.
 - C. The same Quality and Safety Management Systems were audited for the main office and project site.
 - 7.10 The Certificate contains the following information:
 - Name of the company holding the certification
 - Address of the certified facility, which is the address where the audit occurs (for Erectors, this is the address of the office)
 - Listing of the certification(s) and endorsement(s) held
 - Date certificate was issued
 - Date certificate expires
 - Signature of the AISC officer
 - Certification Number
- Certificates are non-transferable, and only
- 7.11 The duration of certification is typically 12-months, and its expiration date is noted on the participant's certificate or conditional certification letter. Exceptions to this will be communicated to the Participant or Applicant by AISC.

_____ (for Participants changing a current certificate)

8.1 AP



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- 10.1 Any applicant/participant (referred to as the complainant) in the AISC Certification program may file a complaint concerning the certification including applications, audits, reviews, CAR(s) response or other actions under direct control of AISC Certification taken during the certification process.
 - 10.2 Complaints may be received during scheduling and invoicing, after the audit, the post-audit survey, or at any time in the process. Any complaints received that are confirmed to be related to the certification activities shall be dealt with by Certification. Complaints that are found to be outside of these activities will be referred to the AISC Complaint and Allegation Policy. Any complaints received that are valid against a certified company will be referred to the AISC Complaint and Allegation Policy.
 - 10.3 Each complaint will be acknowledged, reviewed, and validated. Valid complaints will be investigated and actions taken to resolve the complaint. Complaints and the context of the complaint shall be maintained confidential.
 - 10.4 Results of the complaint, including any actions taken, will be communicated to the complainant.
 - 10.5 Submission, investigation and decisions on complaints shall not result in any discriminatory actions against the complainant.