

PTI Quality Management System Manual for Certification Programs

PTI CRT-140 G2 (online appendices)

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5.4.3 Administrative Procedures Including Document Control	Error! Bookmark not defined.
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Appendix A PTI ORGANIZATIONAL CHARTS

Please visit <https://www.post-tensioning.org/committees/committeedirectory.aspx> for the official rosters of committees named in Appendix A.

Please visit <https://www.post-tensioning.org/QualityManagementProgram> for staff assignments and other details relating to PTI Certification Programs

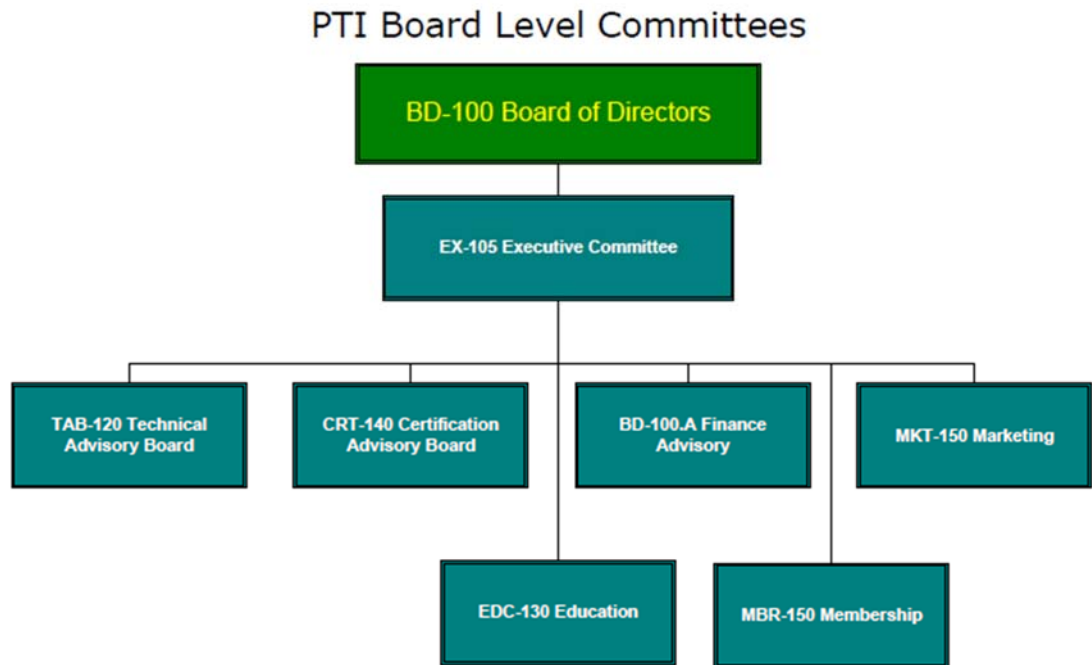


Fig. A.1—Committee organizational chart.

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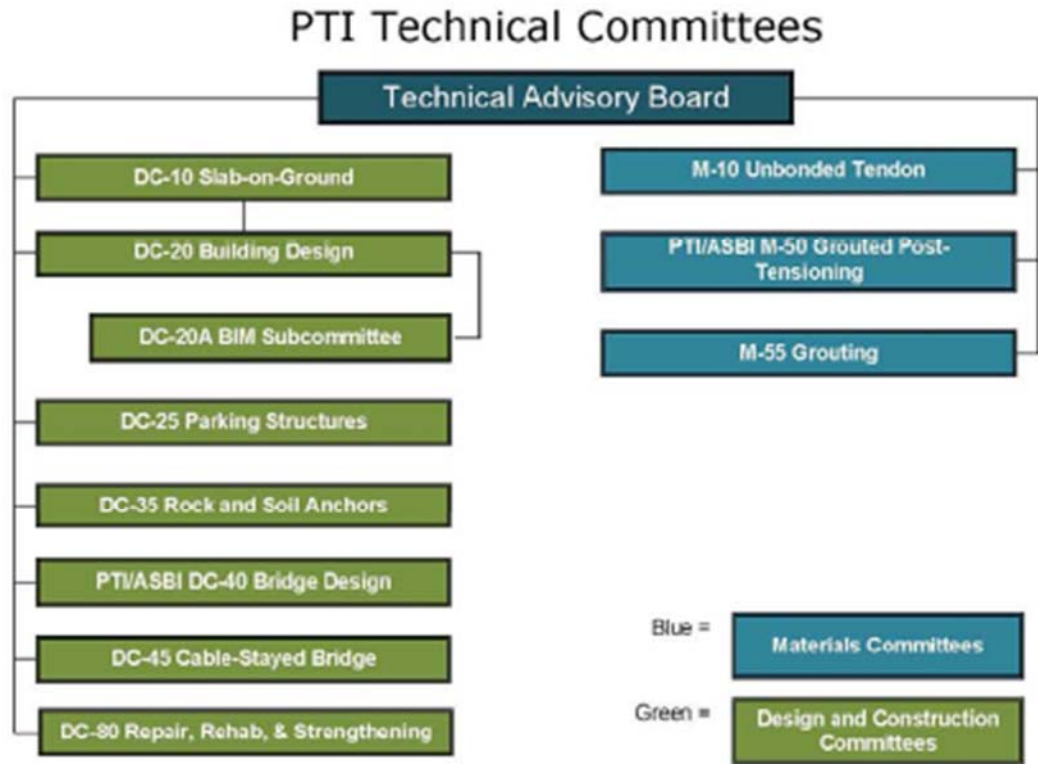


Fig. A.2—PTI Technical Committees.

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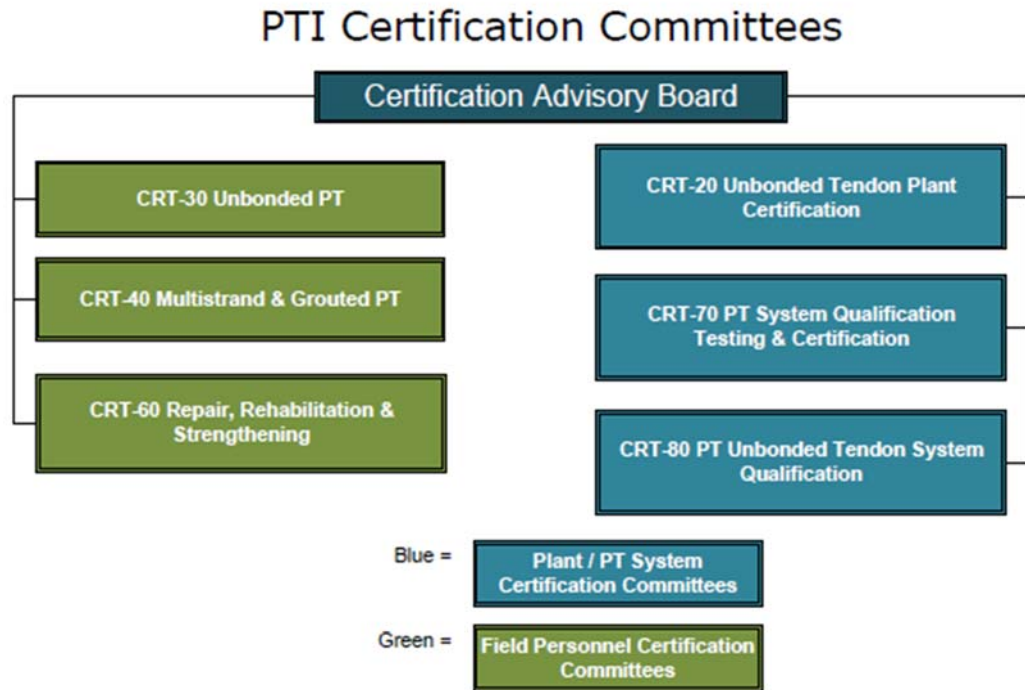


Fig. A.3—PTI Certification Committees

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CRT-20 Unbonded Tendon Plant Certification Committee

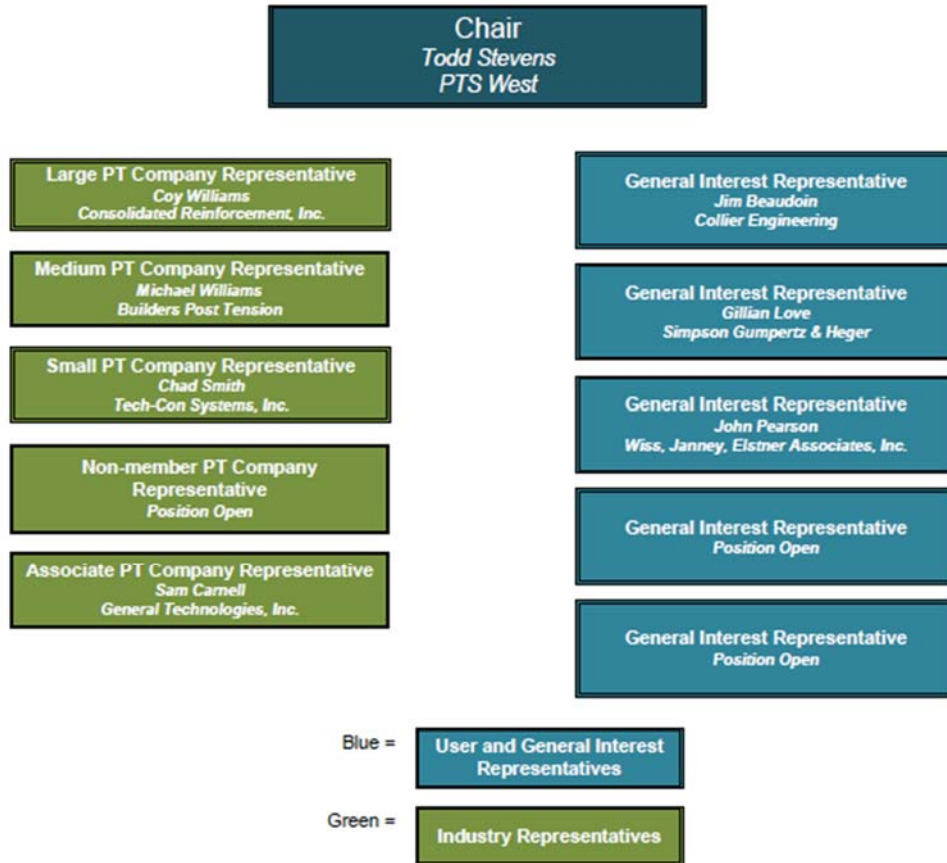


Fig. A.4—CRT-20 Unbonded Tendon Plant Certification Committee.

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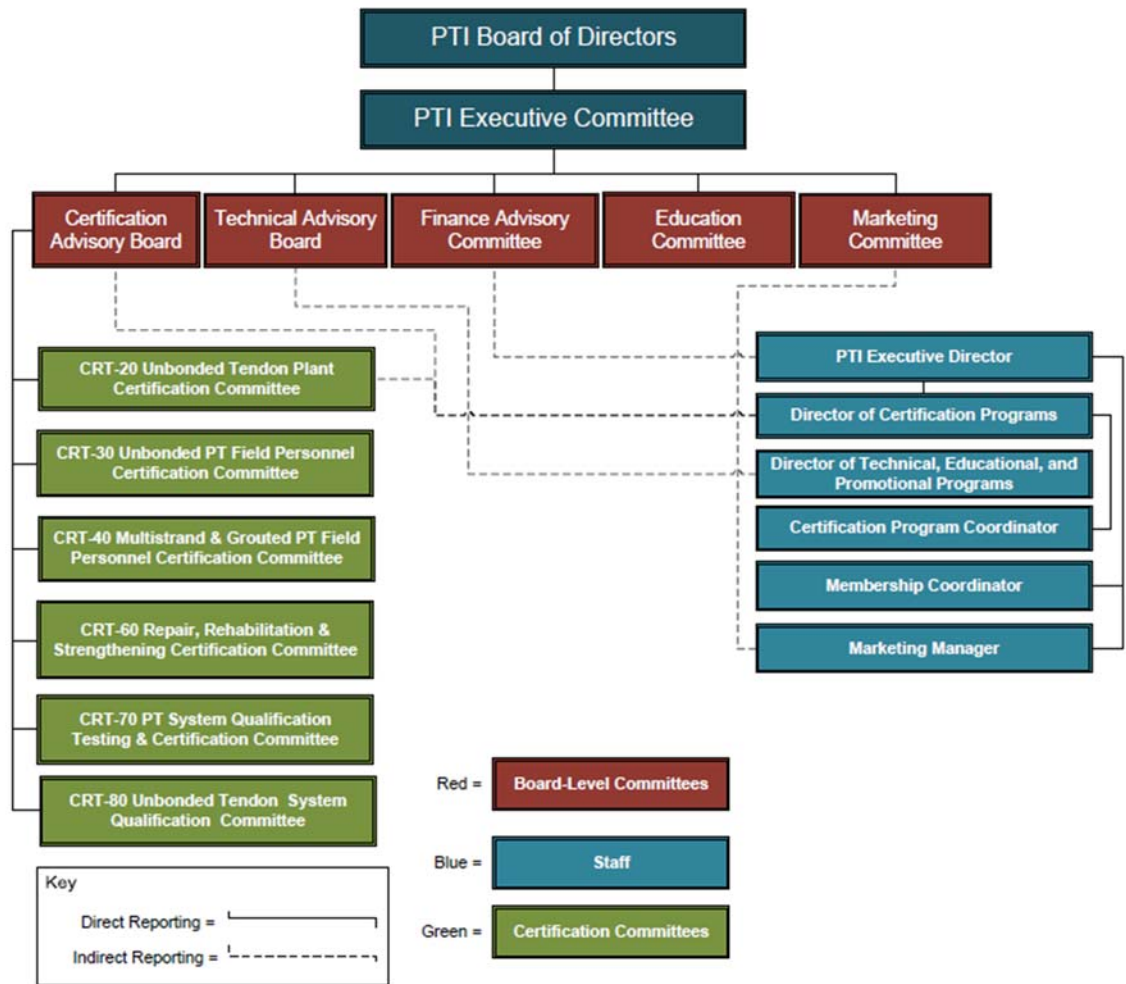


Fig. A.5—Lines of Authority and Certification Committees

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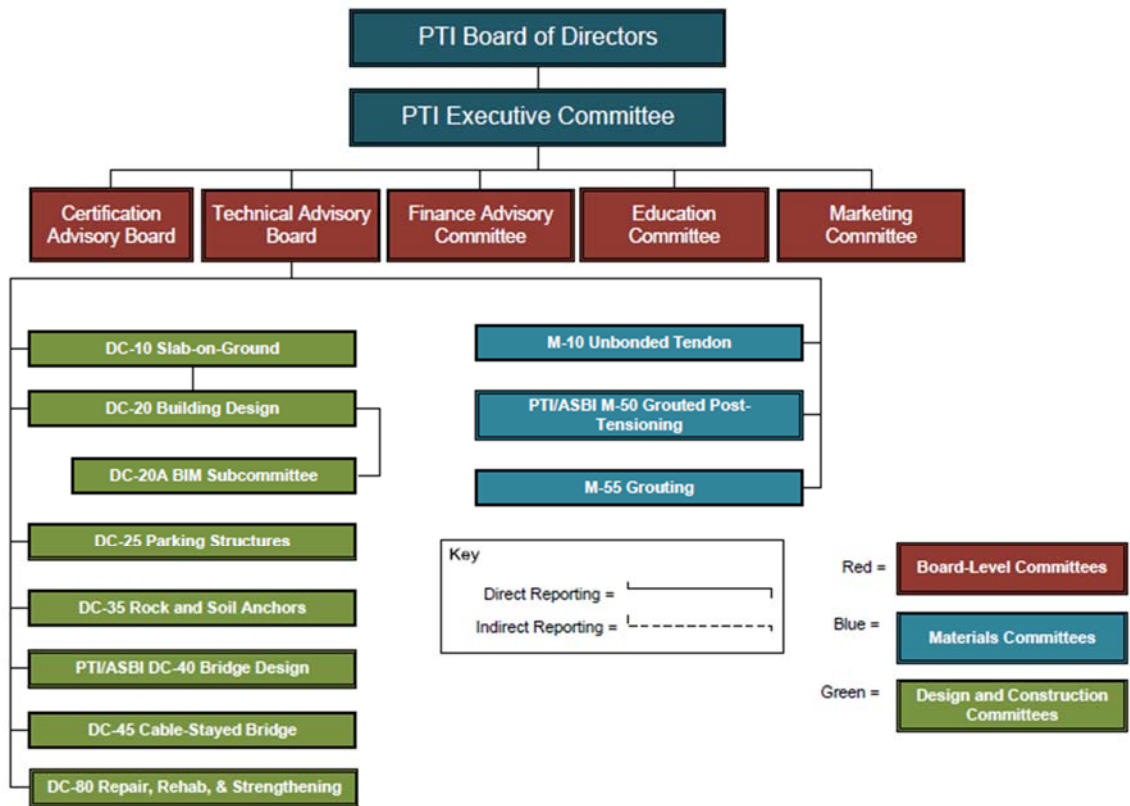


Fig. A.6—Lines of Authority Board-Level and Technical Committees

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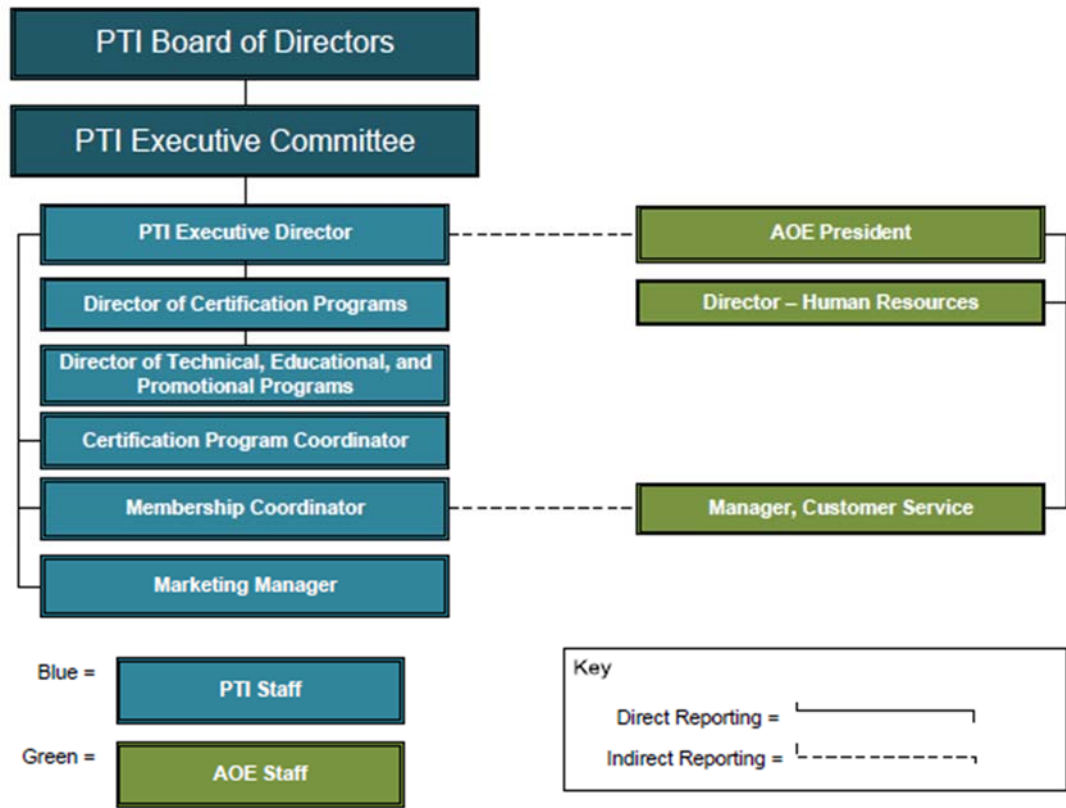


Fig. A.7—Lines of Authority, PTI and AOE Staff

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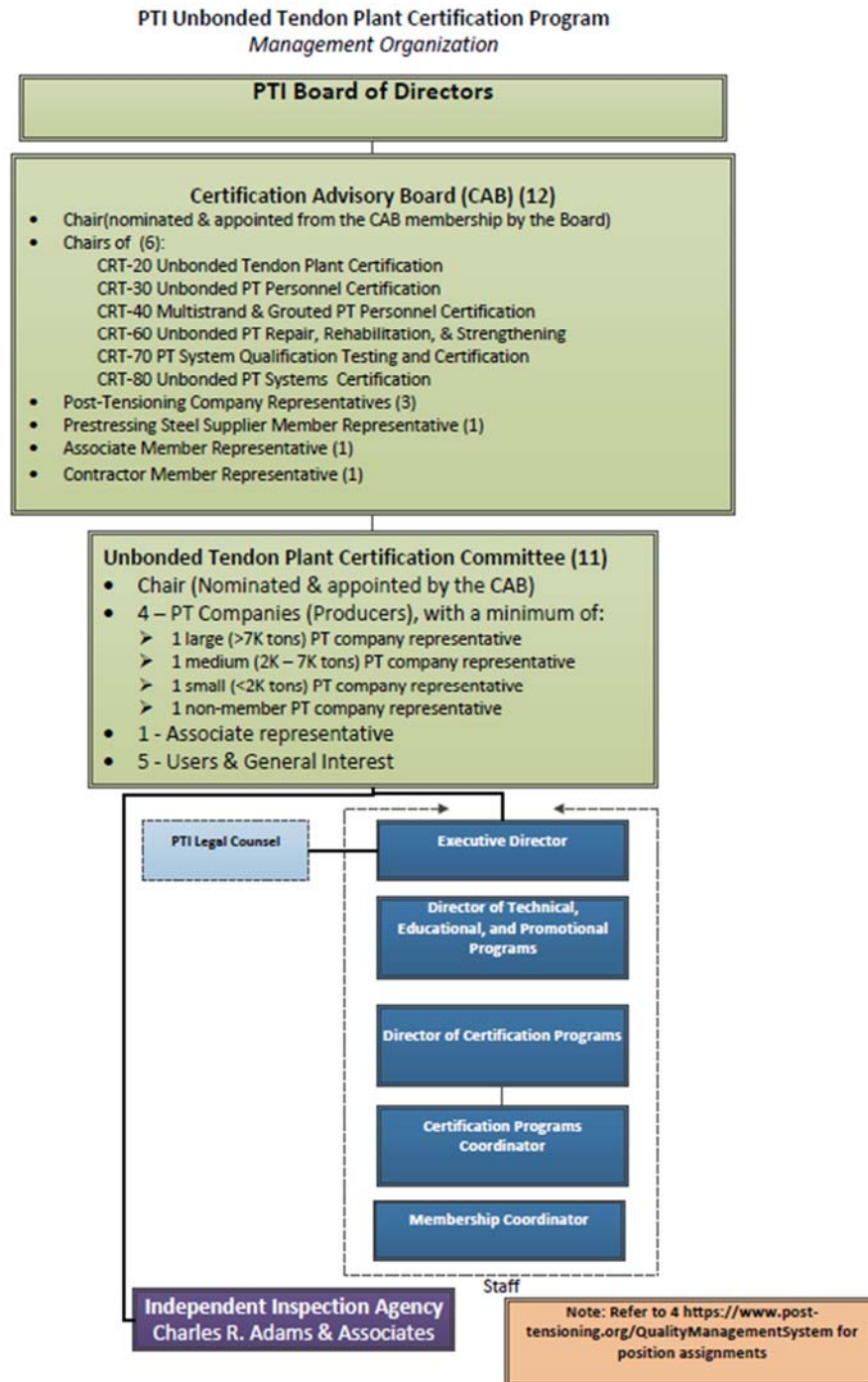
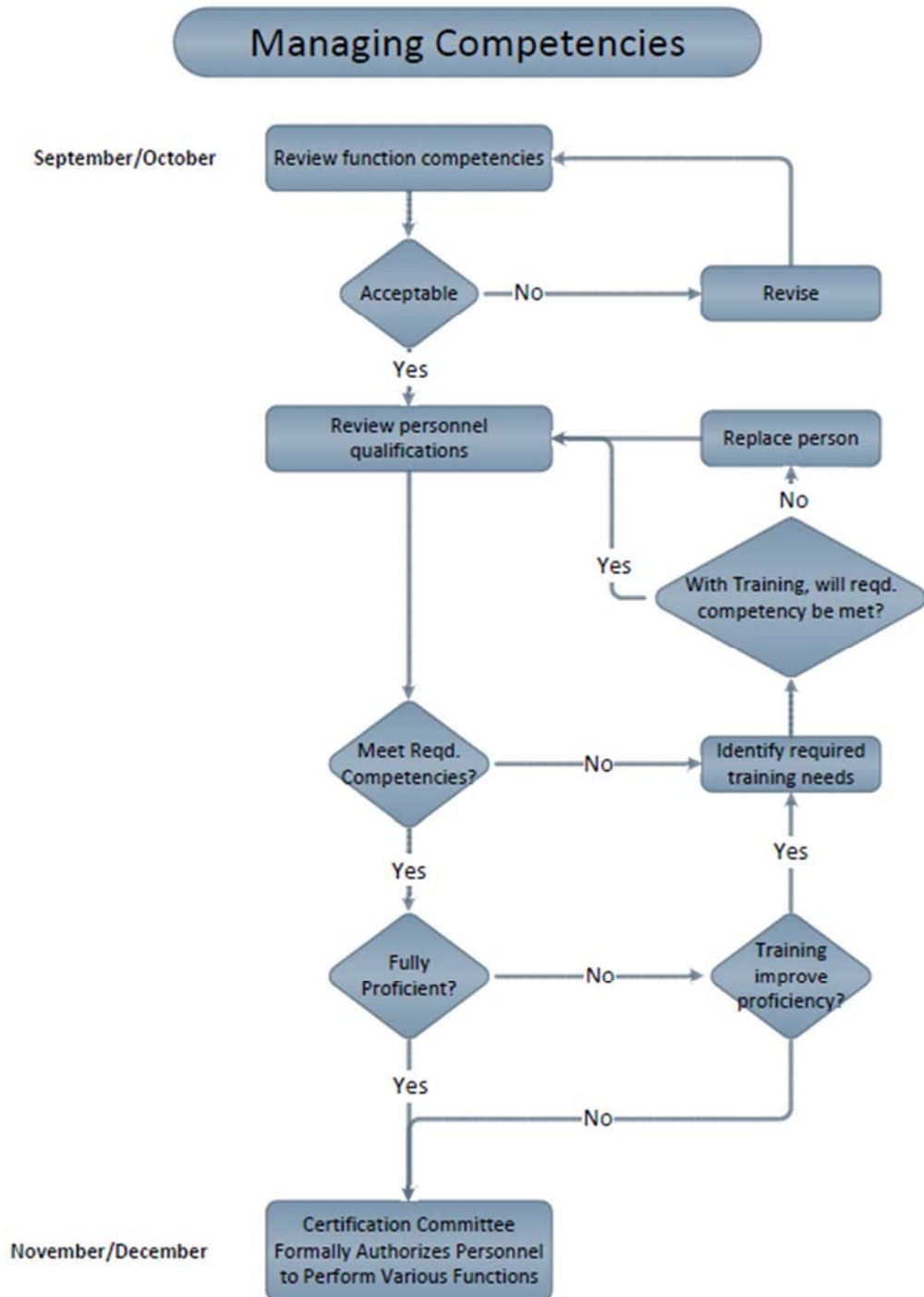


Fig. A.8—Certification Management Organization.

Appendix B Managing PTI Staff Competencies



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Appendix C

Section 5.2.5

PTI Certification Staff Assignments and Key Responsibilities

Tony Johnson is the current PTI Executive Director, and has held this position since 2019. He is a licensed professional engineer previously worked for the Concrete Reinforcing Steel Institute where he was responsible for providing technical assistance, outreach, and education to engineers, architects, owners, contractors, as well as student groups.

Additional information regarding Mr. Johnson's experience and training are on file in PTI's Human Resource department.

Executive Director – Position currently filled by interim ED not directly involved in this program. Program updates will be realigned upon start of permanent ED.

Amy Dowell is the current Director, Certification, and has been at PTI since 2013. She is a licensed professional engineer, and has Bachelors and Masters of Science in Civil Engineering. Ms. Dowell has experience in field investigation of structures and condition assessment. In her prior work, she was a project manager responsible for construction observation and quality control. As a student, she did cooperative work with concrete technicians to conduct standardized concrete and masonry testing protocols and conducted concrete material testing research.

Additional information regarding Ms. Dowell's experience and training are on file in PTI's Human Resource department.

Tim Christle is the current Director of Technical, Education & Promotion Programs, and has been at PTI since 2018. He is a licensed professional engineer, and has a Bachelors in Civil Engineering. Mr. Christle has experience in PT construction administration and sales/marketing.

Additional information regarding Mr. Christle's experience and training are on file in PTI's Human Resource department.

Miguel Zuniga is the current Certification Engineer and has been at PTI since 2021. He has a Bachelors in Civil engineering and experience in PT detailing. Additional information regarding Mr. Zuniga's experience and training are on file in PTI's Human Resource department.

Certification Engineer – Position currently vacant

Kim Curtis is the current PTI Certification Programs Coordinator, and has held this position since 2018.

She has experience in administrative support and her training includes numerous courses in the use of computers and administrative software.

Additional information regarding Ms. Curtis' experience and training are on file in PTI's Human Resource department.

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Michelle Stern is the current PTI Member Services Coordinator and has held this position since 2009.

Her training includes numerous courses in the use of computers and administrative software, and in membership administration.

Additional information regarding Ms. Stern's experience and training are on file in PTI's Human Resource department.

View Individual Task Assignments and Key Responsibilities

Appendix D

Section 5.2.6

Independent
Inspection
Agency

Minimum Qualifications for PTI Unbonded Tendon Plant Inspectors

I. Experience

Unless otherwise approved by the PTI Unbonded Tendon Plant Certification Committee, an inspector shall possess the following minimum experience:

- a. One year of working in or managing an unbonded post-tensioning fabrication facility, or
- b. Three years working as a quality assurance inspector of manufacturing processes, preferably in a related field.

II. Conflict of Interest

The inspector shall not be affiliated in any manner with any company or individual who has an ownership stake in a facility that participates in, or is eligible to participate in, the Plant Certification Program. The inspector shall not be employed by any company or individual who has an ownership stake in a facility that is eligible to participate in the Certification Program.

An inspector must disclose all past affiliations and relationships with any company or individual who has an ownership stake in a facility that participates in, or is eligible to participate in, the Plant Certification Program. For example, if an inspector was previously employed by a company participating in the program, this information must be disclosed to PTI.

III. Licensing/Certifications

Unless otherwise approved by the Unbonded Tendon Plant Certification Committee, a PTI Plant inspector shall possess one or more of the following professional licenses or certifications

- Licensed Professional Engineer, or
- Quality Inspector Certification - CQI or equivalent

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In addition the inspector shall have field experience and/ or knowledge of unbonded post-tensioning construction. Either of the following would satisfy this requirement:

- PTI Certification as a Level 2 Unbonded PT Inspector, or
- PTI Certification as a Level 2 Unbonded Tendon Field Specialist, or
- 500 hours documented experience working on post-tensioned construction. For this option, submission of an Affidavit of Work Experience is required.

IV. Examination

All proposed inspectors shall take and pass the PTI Unbonded Tendon Plant Certification Inspector Qualification examination as established by the PTI Unbonded Tendon Plant Certification Committee. This examination will be closed-book test with 50 questions designed to test the inspector's knowledge of the unbonded tendon fabrication process of applicable industry standards, and of the PTI Unbonded Tendon Plant Certification Program. A grade score of 80% or greater is required to pass the examination.

V. Trial Inspections

If the proposed inspector has had no previous experience as an inspector in PTI's Unbonded Tendon Plant Certification Program, he/she shall fulfill one of the following prior to conducting an actual plant inspection:

- a. Accompany a currently approved inspector on a minimum of 2 plant inspections, or
- b. If no current inspector is available, accompany PTI staff on two "mock" inspections.

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Appendix E
Section
5.2.6.5
Current
Independent
Agency/Personnel

Current UTPC Independent Inspection Agency/Personnel

CHARLES R. ADAMS, P.E. Key Qualifications:

- - Consulting Structural Engineer specializing in post-tensioned construction - licensed in the states of California, Florida, New Jersey, Maryland and Massachusetts
- - Over 40 years experience in post-tensioning industry
- - Worked as southeast regional manager for Atlas Prestressing from 1969 – 1977
- - Past owner of a post-tensioning fabrication company (PTSI) 1977 – 1993
- - Has provided engineering oversight of PTI Unbonded Tendon Program inspections since 2005.

CHARLES SKARBREVIK Key Qualifications:

- - Over 30 years experience in the post-tensioning industry
- - Previously worked for Post Tensioning Systems, Inc. --a post-tensioning fabrication company. In this capacity, he trained and managed personnel for unbonded tendon fabrication at four fabrication facilities.
- - Has served as a PTI Unbonded Tendon Program inspector since 2001.

RICK D. COOLER Key Qualifications:

- - Over 20 years experience in the construction industry
- - In his previous positions, worked as a quality control manager, and as a consultant responsible for ensuring ISO 9000 and ITIL certification compliance.
- - Has served as a PTI Unbonded Tendon Program inspector since 2006.

JOE C. HARRISON Key Qualifications

- - Consulting engineer specializing in Post-tensioning projects and Construction Management. Licensed in the state of Washington.
- - Over 40 years experience in the post-tensioning industry
- - Worked at J.C. Harrison & Associates, Ltd, General Technologies, Inc. and Tamm Tacy & Associates, Ltd.

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Appendix F Step by Step Administrative Procedures for the PTI Unbonded Tendon Plant Certification Program

- Appendix F includes flowcharts that outline the step-by-step procedures for the following key administrative processes of the program:
- Applications
- Initial Evaluation of Plants
- Unannounced Inspections
- Certification of Plants
- De-Certification
- Appeals, Disputes, and Complaints
- Evaluation of Non-conformity Corrective Action
- Notice of Program Changes

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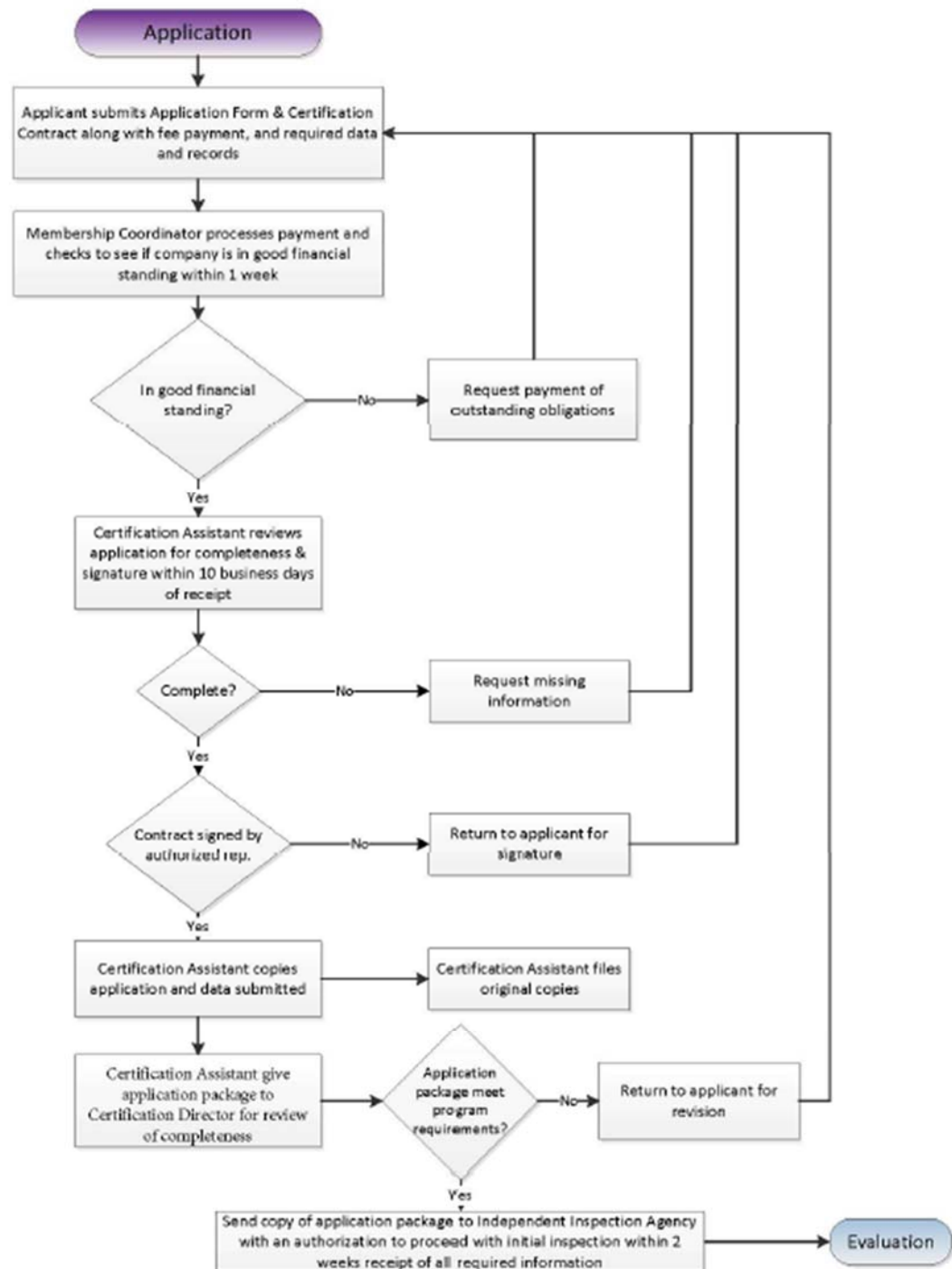


Fig. F-1—PTI Administrative procedure for processing certification applications.

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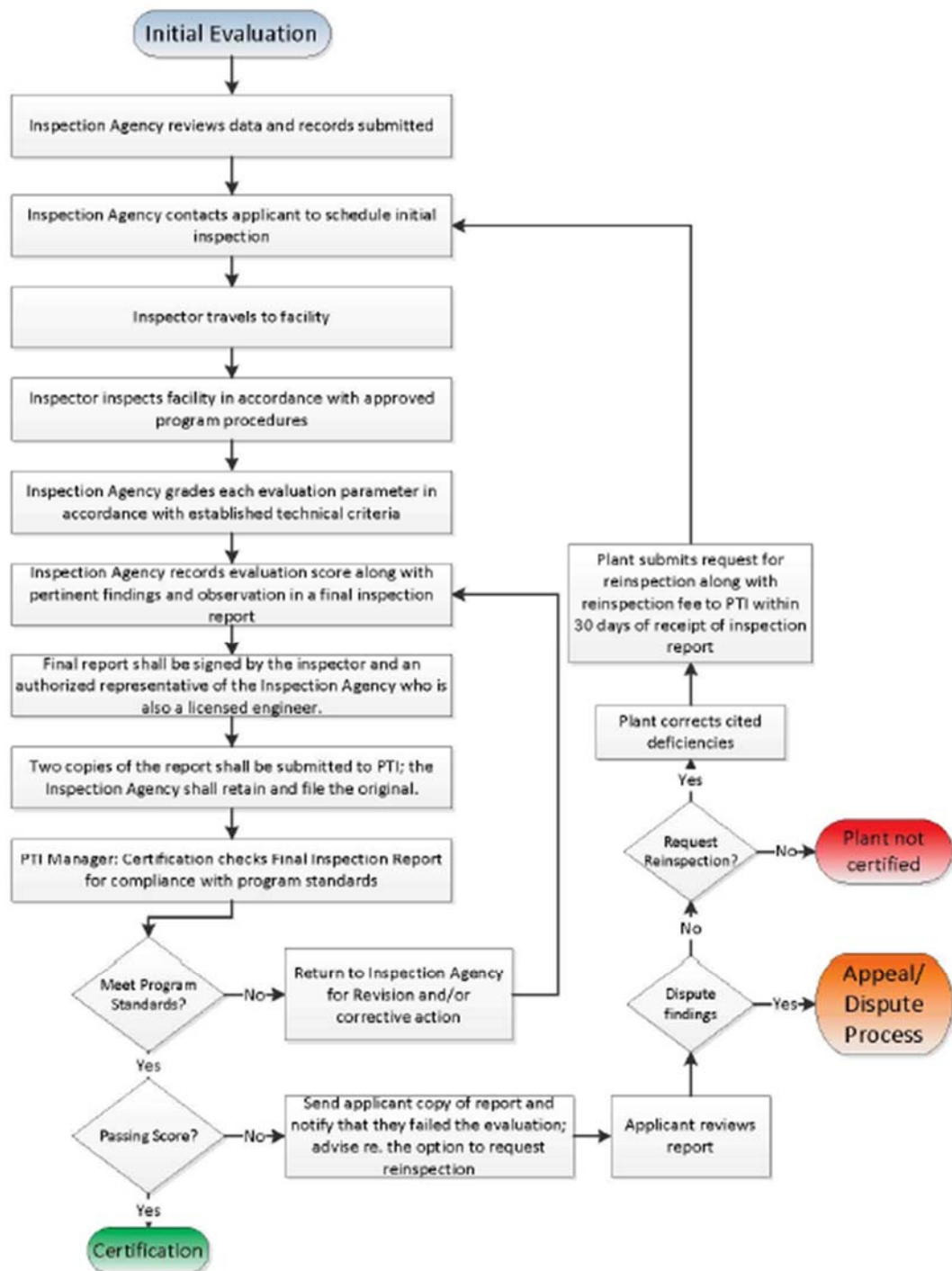


Fig. F-2—PTI Administrative procedure for initial plant inspections.

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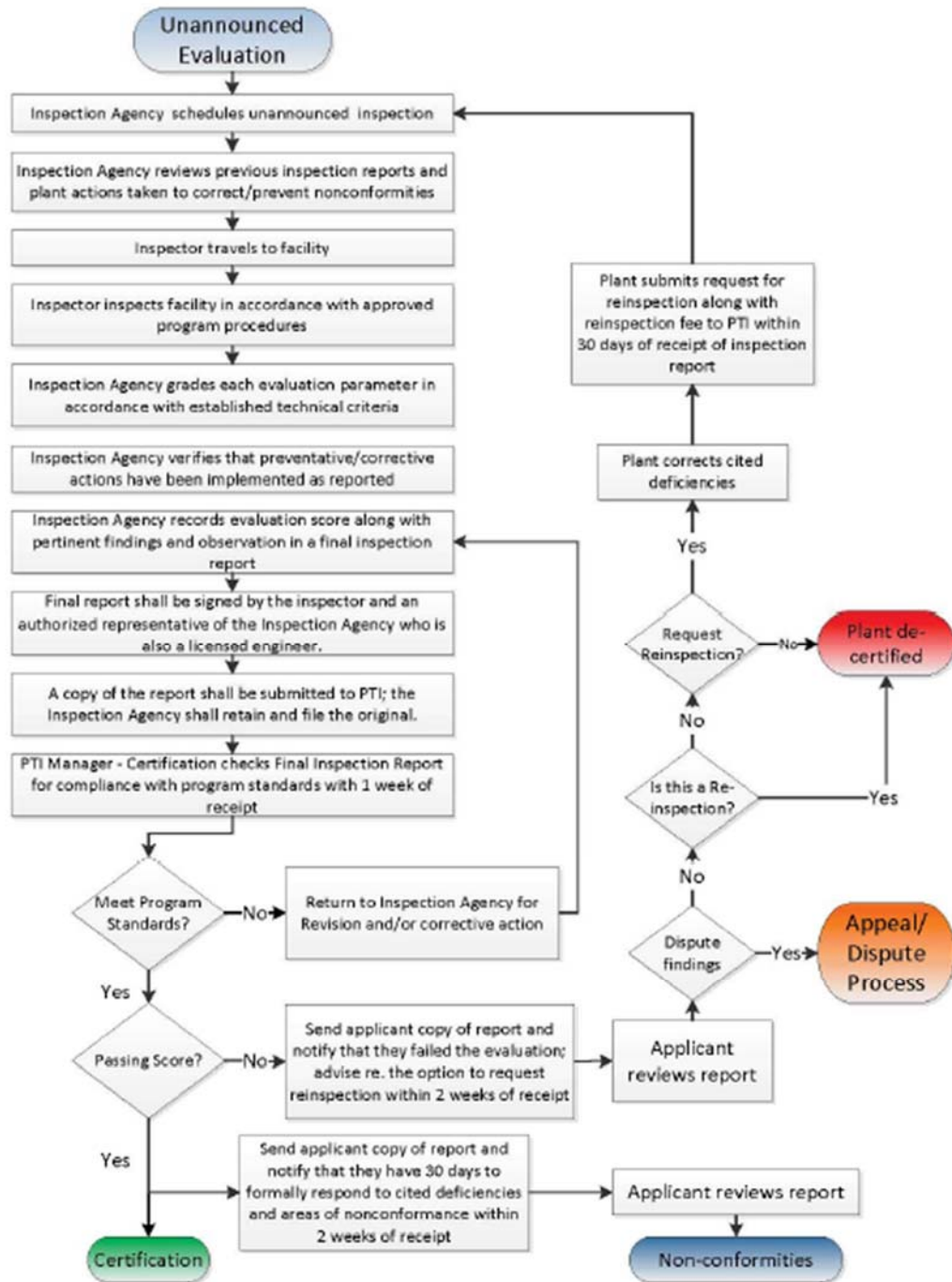


Fig. F-3—PTI Administrative procedure for unannounced plant inspections.

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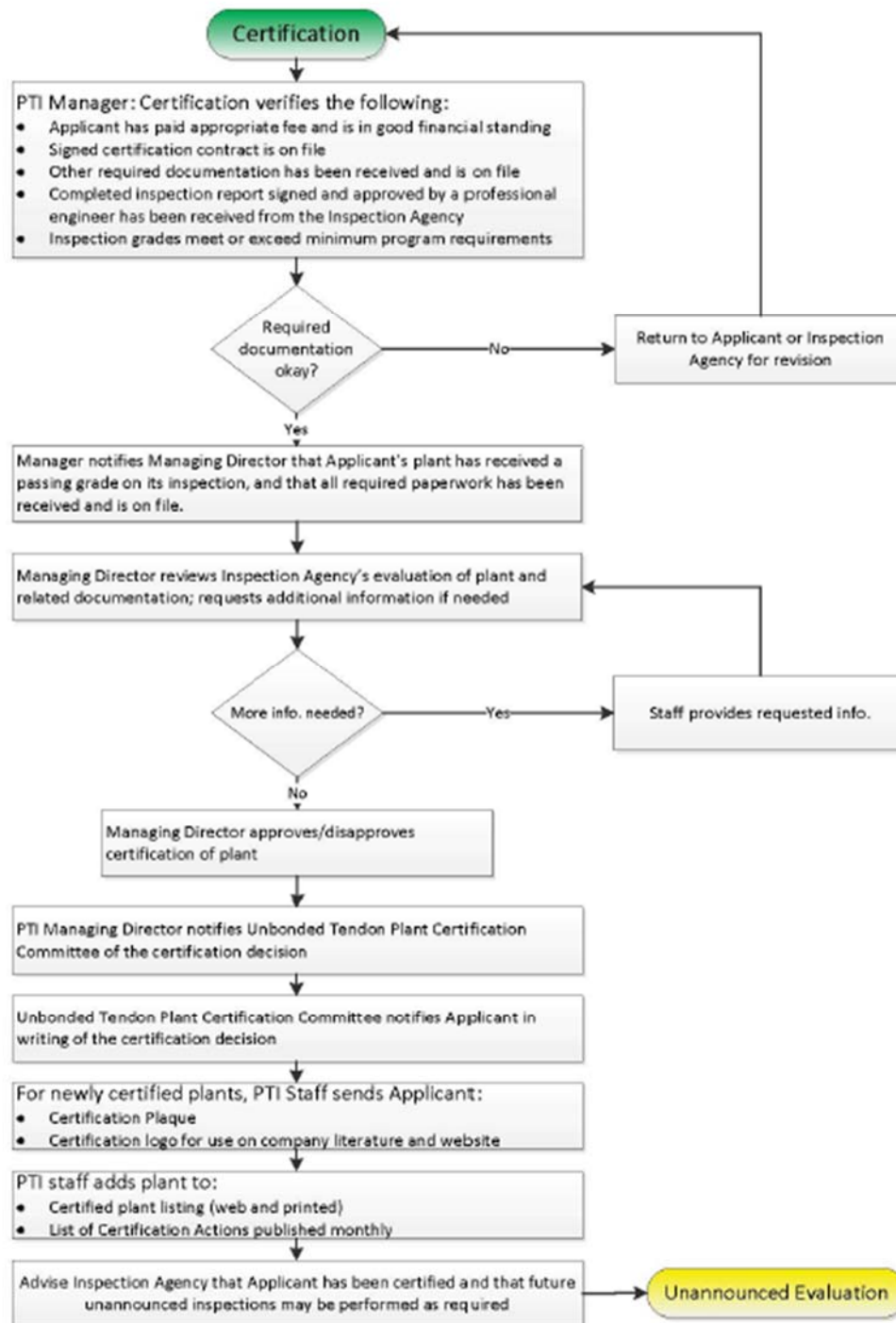


Fig. F-4—PTI Administrative procedure for certifying plants.

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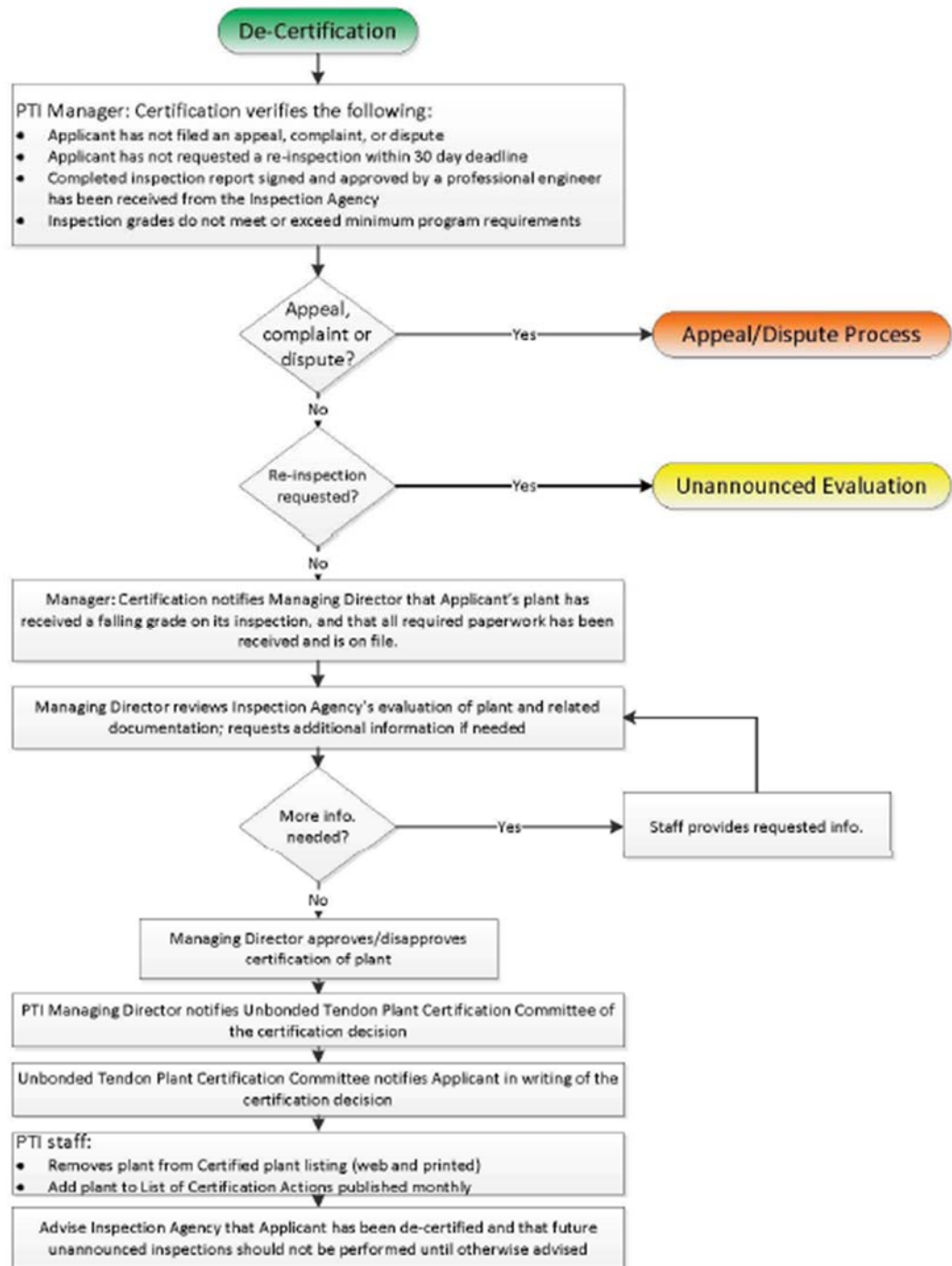


Fig. F-5—PTI de-certification process.

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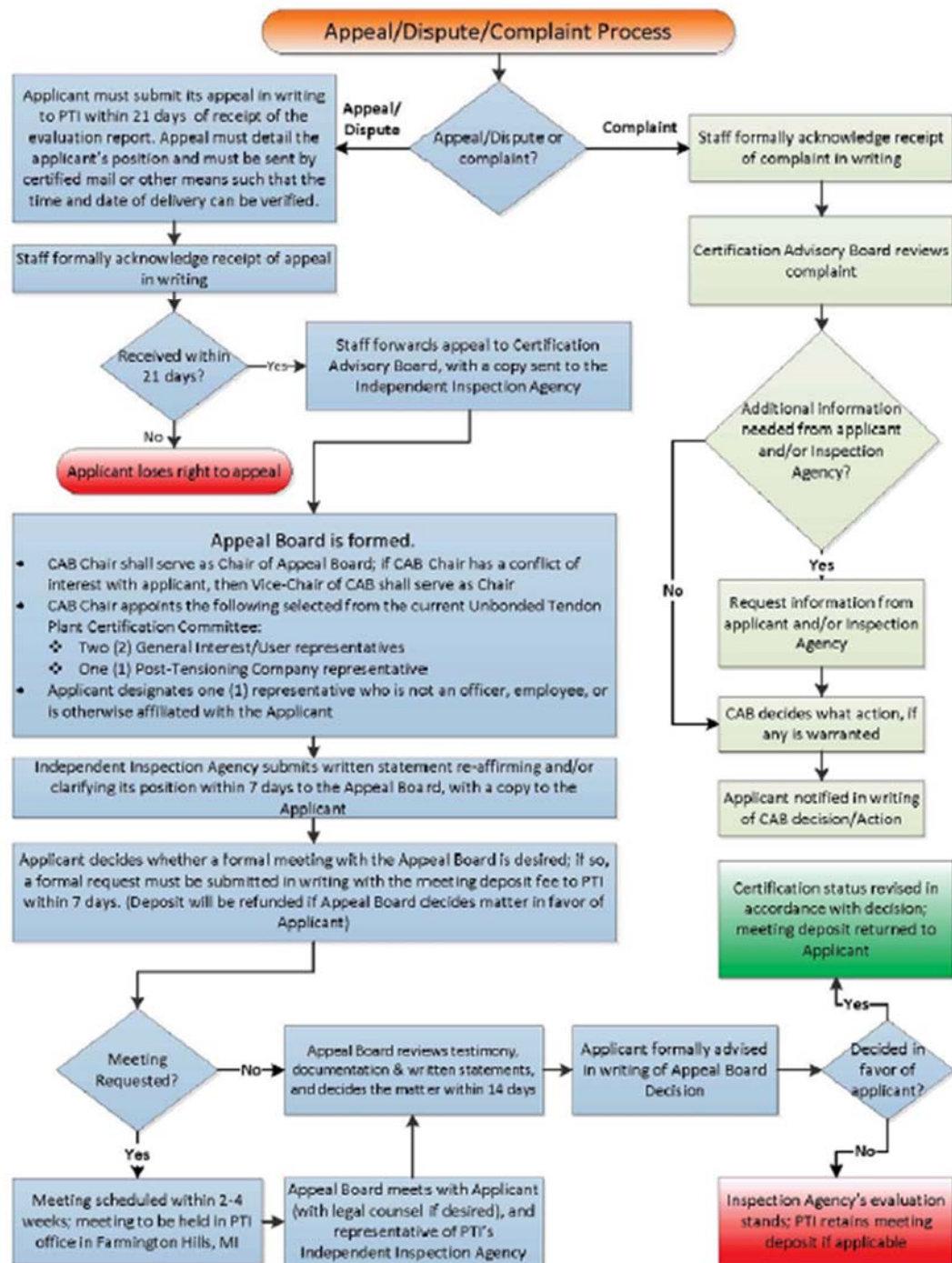


Fig. F-6—PTI administrative procedure for the appeal, dispute, and complaint process.

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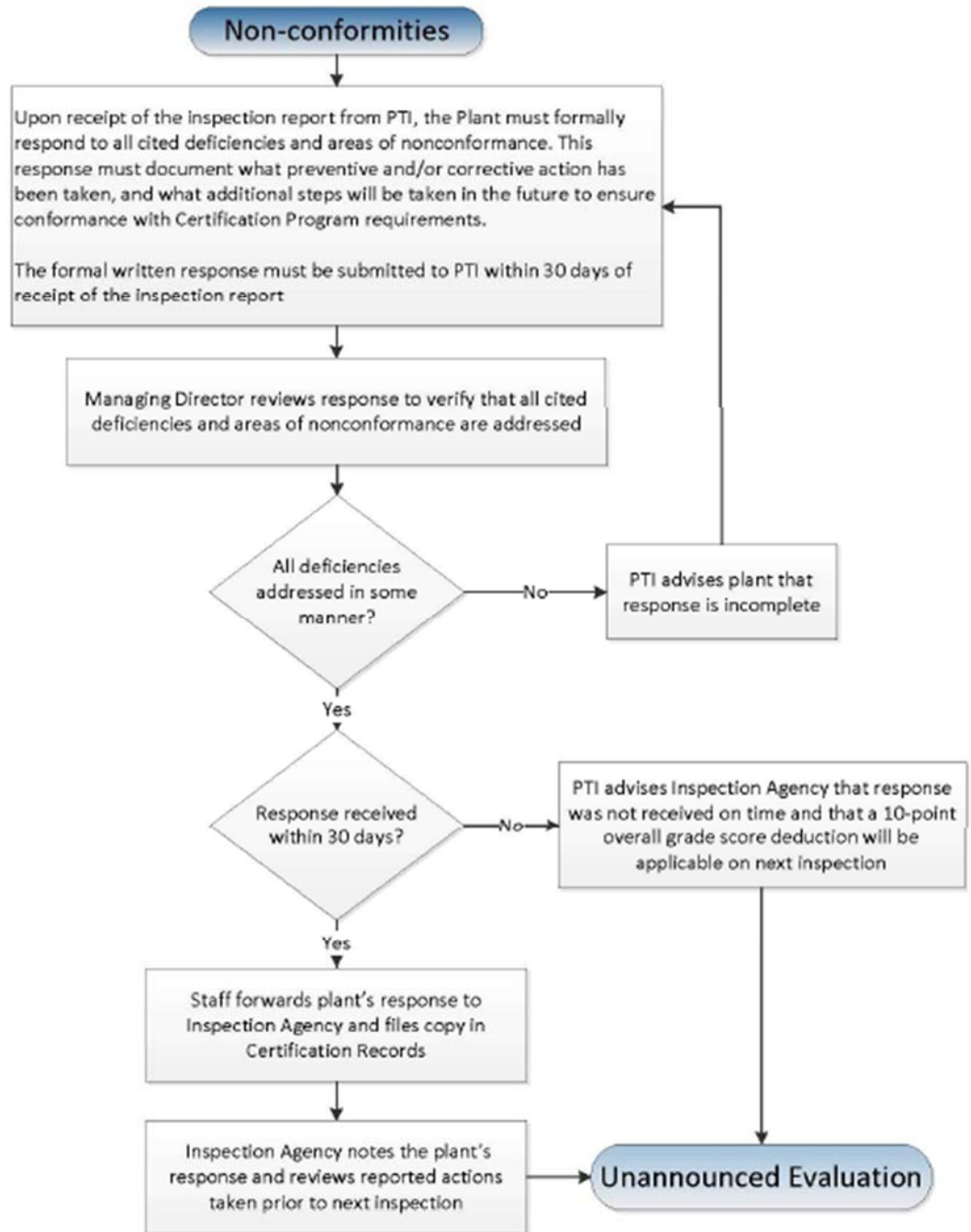


Fig. F-7—PTI procedure for evaluating actions taken to prevent/correct non-conformities.

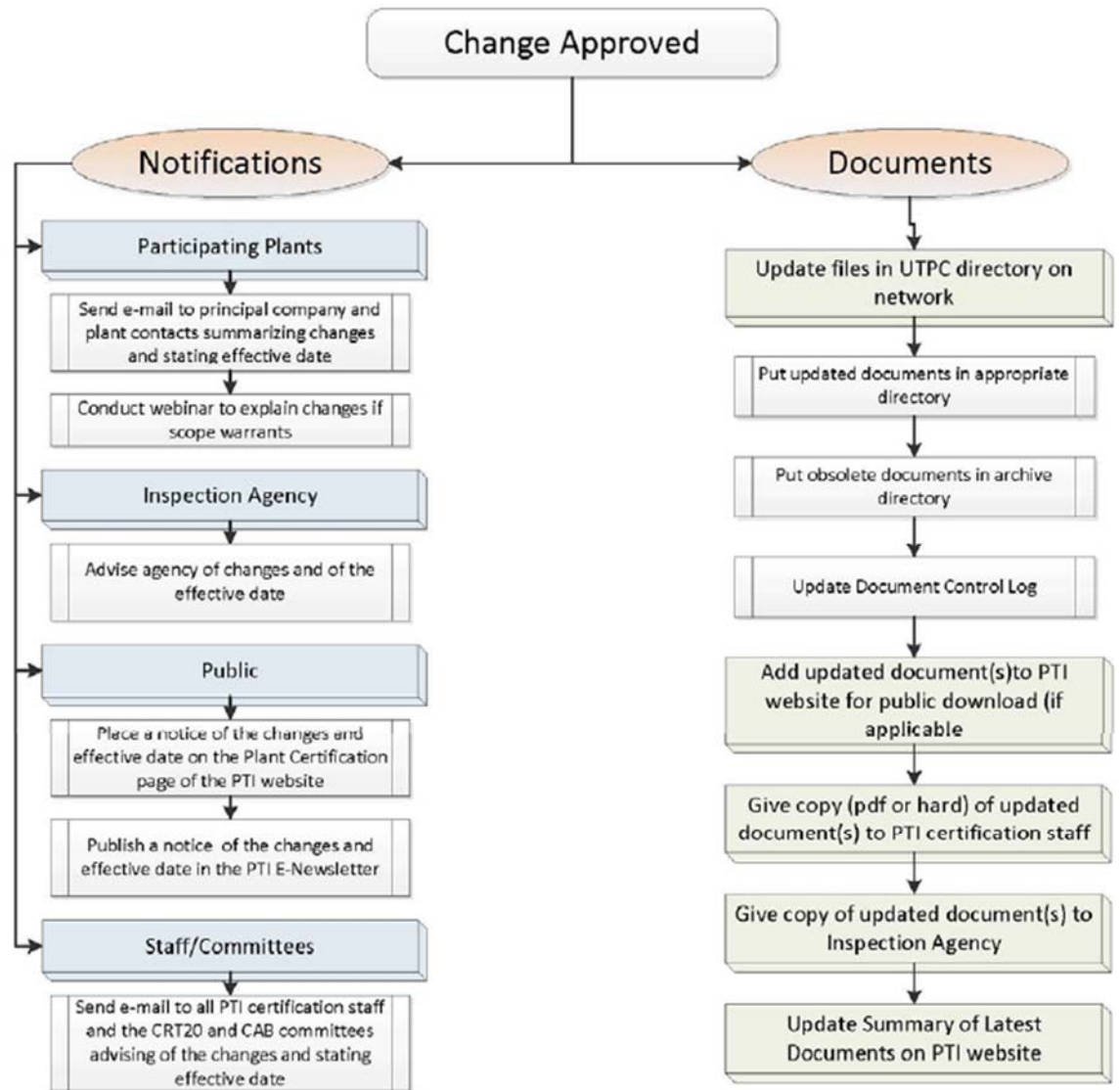


Fig. F-8—Procedure for notifying stakeholders of approved program changes.

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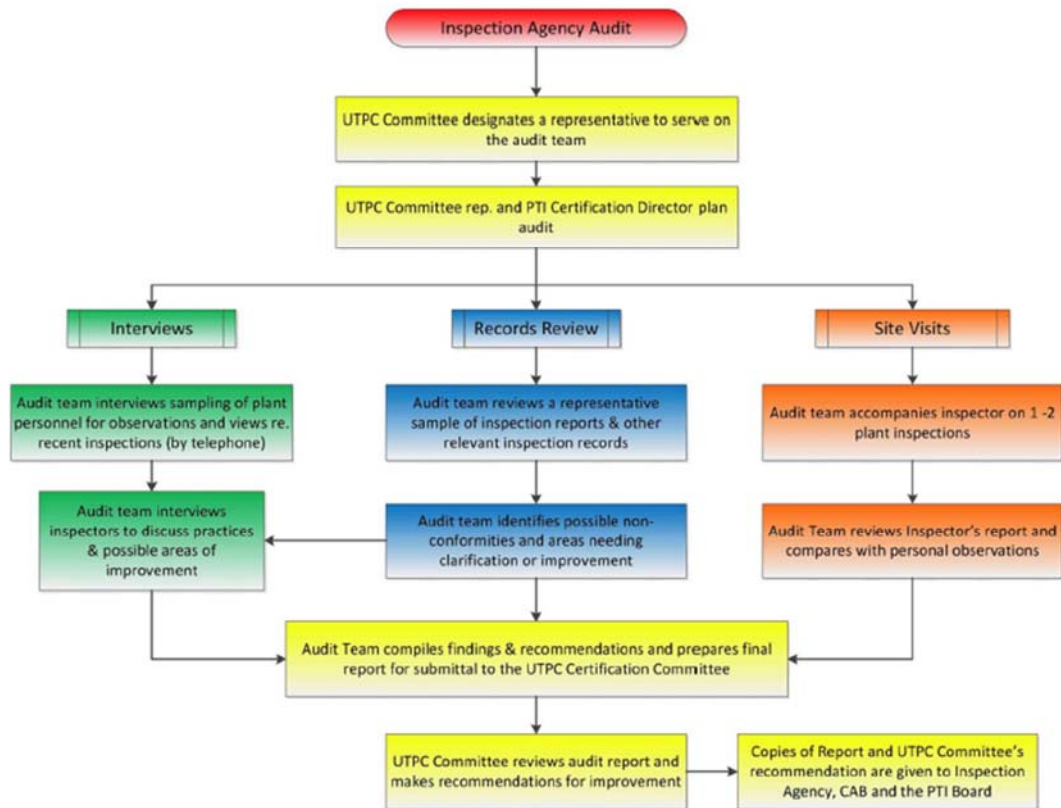


Fig. F-9—Internal audit procedures.

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Appendix G PTI Unbonded Tendon Plant Certification Program Recordkeeping Organization & Structure

The following is the general organization of files for the UTPC program. As noted below, various portions of the records and files are maintained by different departments within PTI. With the exception of personnel and financial records maintained by the Human Resources and Finance departments respectively, all certification records are to be maintained in digital format on PTI's network. Only current versions of certification documents are to be stored in the active certification directory; obsolete historical documents will be stored in a separate archive directory and retained in accordance with Appendix H, PTI Certification Document Retention and Destruction Policy.

1. General
 - 1.1. Program Requirements
 - 1.1.1. Plant Certification Manual
 - 1.1.2. Related References
 - 1.2. Certified Plant Listing
 - 1.3. Monthly Summary of Certification Action
 - 1.4. ANSI Accreditation
 - 1.4.1. Application
 - 1.4.2. Supporting Documentation
 - 1.4.3. ANSI Reviews & Audits
 - 1.4.4. ANSI Communication & Correspondence
 - 1.5. Committees
 - 1.5.1. Certification Advisory Board
 - 1.5.1.1. Roster
 - 1.5.1.2. Committee member bios
 - 1.5.1.3. Meetings
 - 1.5.1.3.1. Agendas
 - 1.5.1.3.2. Minutes
 - 1.5.1.4. Ballots
 - 1.5.1.4.1. Item Description
 - 1.5.1.4.2. Vote Summary
 - 1.5.1.4.3. Resolution of Negatives
 - 1.5.1.5. Reports
 - 1.5.2. Unbonded Tendon Plant Certification Committee
 - 1.5.2.1. Roster
 - 1.5.2.2. Committee member bios
 - 1.5.2.3. Meetings
 - 1.5.2.3.1. Agendas
 - 1.5.2.3.2. Minutes
 - 1.5.2.4. Ballots
 - 1.5.2.4.1. Item description
 - 1.5.2.4.2. Vote summary
 - 1.5.2.4.3. Resolution of negatives

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- 1.5.2.5. Reports
- 1.5.3. Plant
 - 1.5.3.1. Companies
 - 1.5.3.1.1. Year
 - 1.5.3.1.2. Application – Renewal Forms
 - 1.5.3.1.3. Supporting documentation
 - 1.5.3.1.4. Contract
 - 1.5.3.1.5. Correspondence
 - 1.5.3.1.6. Evaluations & Inspections
 - 1.5.3.1.7. Certificates
 - 1.5.3.1.8. Misc. (e.g. company literature, etc.)
- 1.5.4. Inspection Agency
 - 1.5.4.1. Contracts / FRPs
 - 1.5.4.2. Inspectors
 - 1.5.4.2.1. Qualifications / bios
 - 1.5.4.2.2. Exams
- 1.5.5. PTI Staff*
 - 1.5.5.1. Job Descriptions*
 - 1.5.5.2. Work History & Qualifications*
 - 1.5.5.3. Performance Reviews*
- 1.5.6. Public Comments
 - 1.5.6.1. Notices
 - 1.5.6.2. Comments Received
 - 1.5.6.3. Resolution & Follow-up action
- 1.5.7. Appeals, Complaints & Disputes
- 1.5.8. Quality Management System
 - 1.5.8.1. Quality Management Manual
 - 1.5.8.2. Internal Audits
 - 1.5.8.2.1. Committee
 - 1.5.8.2.2. Staff
 - 1.5.8.2.3. Inspection Agency
- 1.5.9. Annual Budget
 - 1.5.9.1. Analysis of PTI Fee Contribution
 - 1.5.9.2. Plant Invoices^
 - 1.5.9.3. Payment Records^

Responsible Department Code

Certification Department

Human Resources Department*

Finance Department^

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Appendix H PTI Certification Document Retention and Destruction Policy

This Certification Document Retention and Destruction Policy of the Post-Tensioning Institute identifies the record retention responsibilities of staff, volunteers, members of the Board of Directors, and outsiders for maintaining and documenting the storage and destruction of the PTI's certification documents and records.

- 1) **Rules.** The Executive Director's staff, volunteers, members of the Board of Directors and outsiders (i.e., independent contractors via agreements with them) are required to honor these rules: (a) paper or electronic documents indicated under the terms for retention below will be transferred and maintained by the Human Resources, Legal or Administrative staffs/departments or their equivalents; (b) all other paper documents will be destroyed after three years; (c) all other electronic documents will be deleted from all individual computers, data bases, networks, and back-up storage after three years; and (d) **no paper or electronic documents will be destroyed or deleted if pertinent to any ongoing or anticipated government investigation or proceeding or private litigation.**
- 2) **Terms for retention.**
 - a. Retain permanently:
 - *Governance records* – Charter and amendments, Bylaws, other organizational documents, governing board and board committee minutes.
 - *Tax records* – Filed state and federal tax returns/reports and supporting records, tax exemption determination letter and related correspondence, files related to tax audits.
 - *Intellectual property records* – Copyright and trademark registrations and samples of protected works.
 - *Financial records* – Audited financial statements, attorney contingent liability letters.
 - b. Retain for ten years:
 - *Pension and benefit records* -- Pension (ERISA) plan participant/beneficiary records, actuarial reports, related correspondence with government agencies, and supporting records.
 - *Government relations records* – State and federal lobbying and political contribution reports and supporting records.
 - *Certification applications and agreements*—contracts and other formal agreements with certification applicants, inspection agencies, internal auditors, etc.
 - *Quality management audits* – final internal audit reports
 - *Certification actions* – documentation related to a certification, re-certification or de-certification decision
 - *Certification Committee records* – minutes, rosters and other records of official committee actions
 - *Accreditation records* – supporting documentation related to accreditation by ANSI or other accreditation organization

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- *Certification inspection reports* –final evaluation reports prepared by the Independent Inspection Agency
 - *Appeals, complaints and disputes* – records pertaining to appeals, complaints and/or disputes filed with PTI with respect to certification.
- c. Retain for five years:
- *Employee/employment records* – Employee names, addresses, social security numbers, dates of birth, INS Form I-9, resume/application materials, job descriptions, dates of hire and termination/separation, evaluations, compensation information, promotions, transfers, disciplinary matters, time/payroll records, leave/comp time/FMLA, engagement and discharge correspondence, documentation of basis for independent contractor status (retain for all current employees and independent contractors and for three years after departure of each individual).
 - *Certification inspection reports* –final evaluation reports prepared by the Independent Inspection Agency
 - *Certification Examinations* – results of certification and inspector examinations
 - *Appeals, complaints and disputes* – records pertaining to appeals, complaints and/or disputes filed with PTI with respect to certification.
- d. Retain for three years:
- All other electronic records, documents and files – Correspondence files, past budgets, bank statements, publications, employee manuals/policies and procedures, survey information.
- 3) **Exceptions.** Exceptions to these rules and terms for retention may be granted only by the Executive Director or the President of the Board

Appendix I Quality Review Process and Procedure

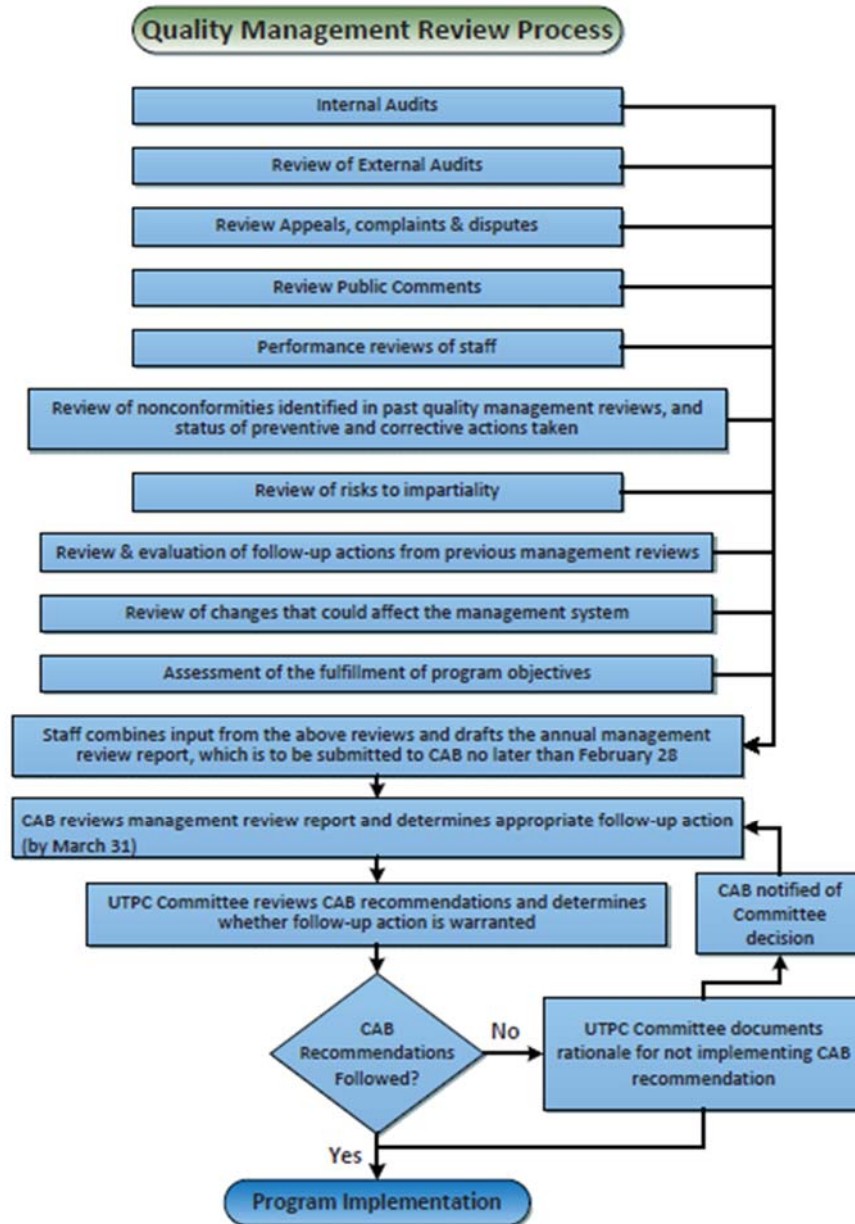


Fig. I.1—Quality Management Review Process

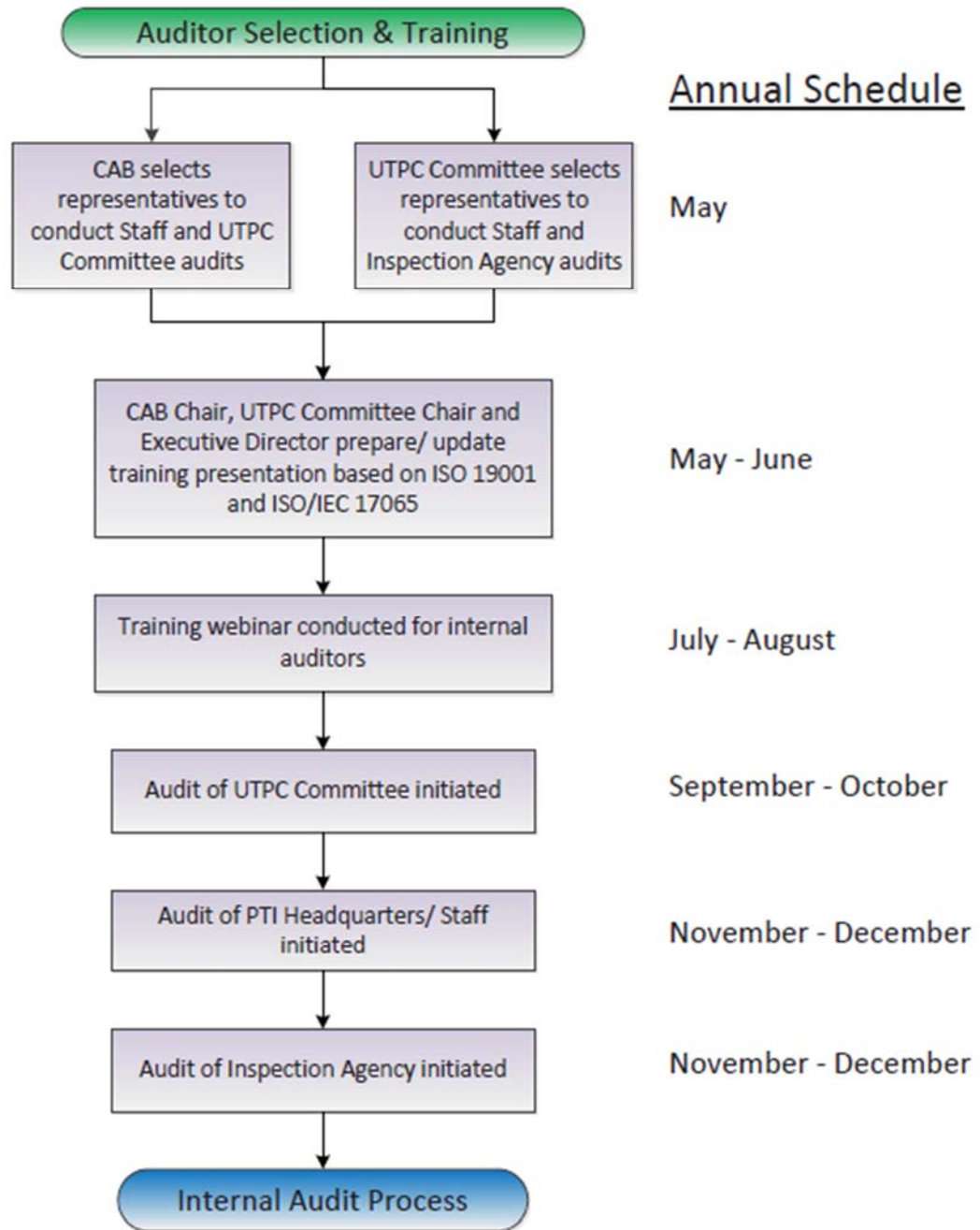


Fig. I.2—Auditor Selection and Training Process

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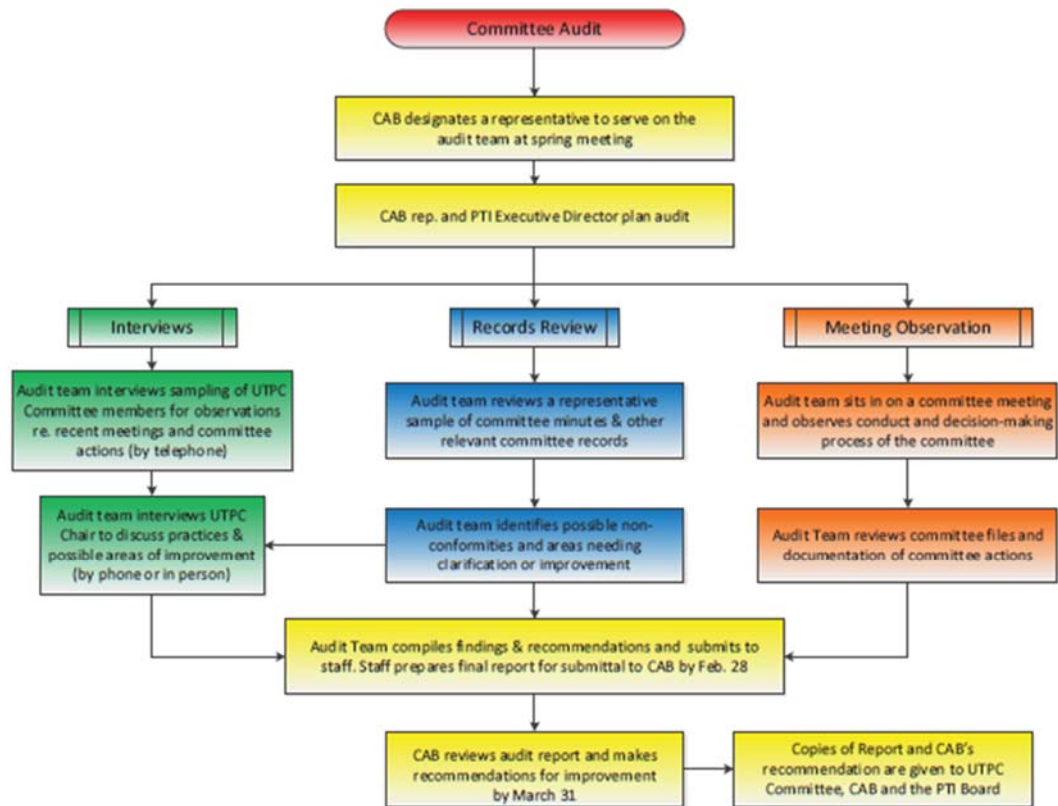


Fig. I.3—Committee Audit Procedure

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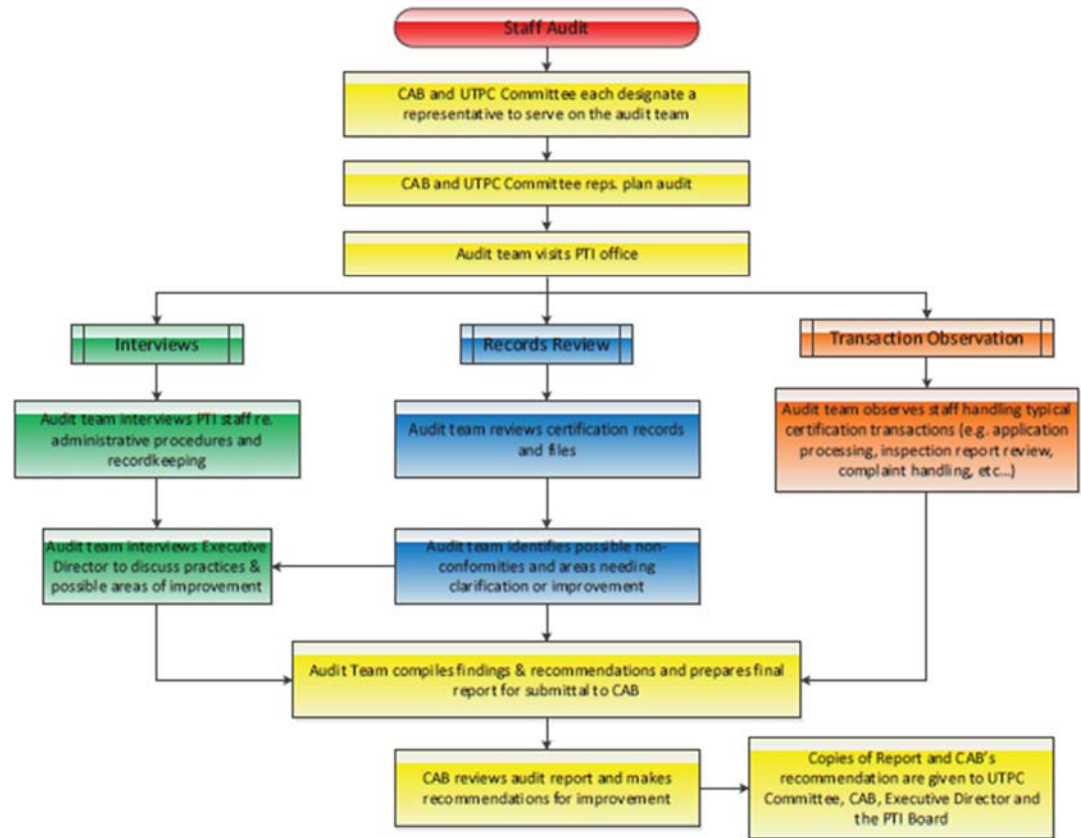


Fig. I.4—Staff Audit Procedure.

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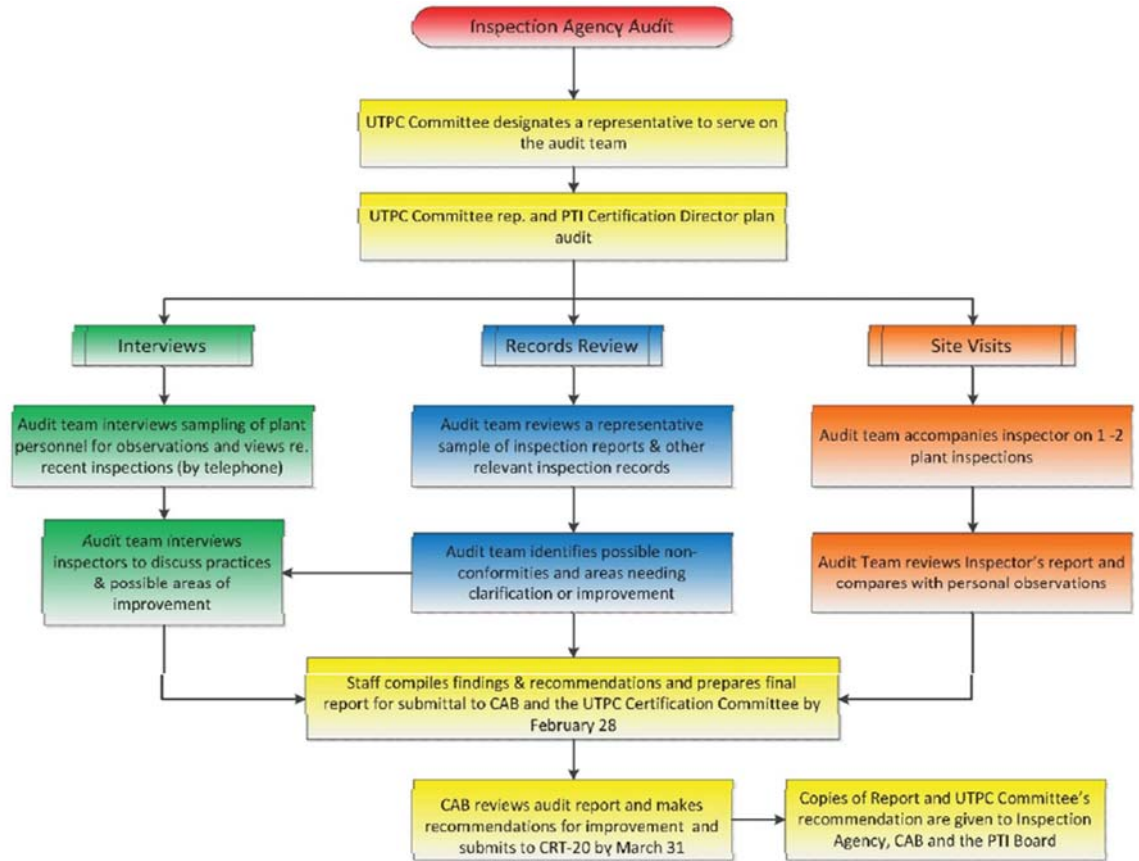


Fig. I.5—Independent Inspection Agency Audit Procedure

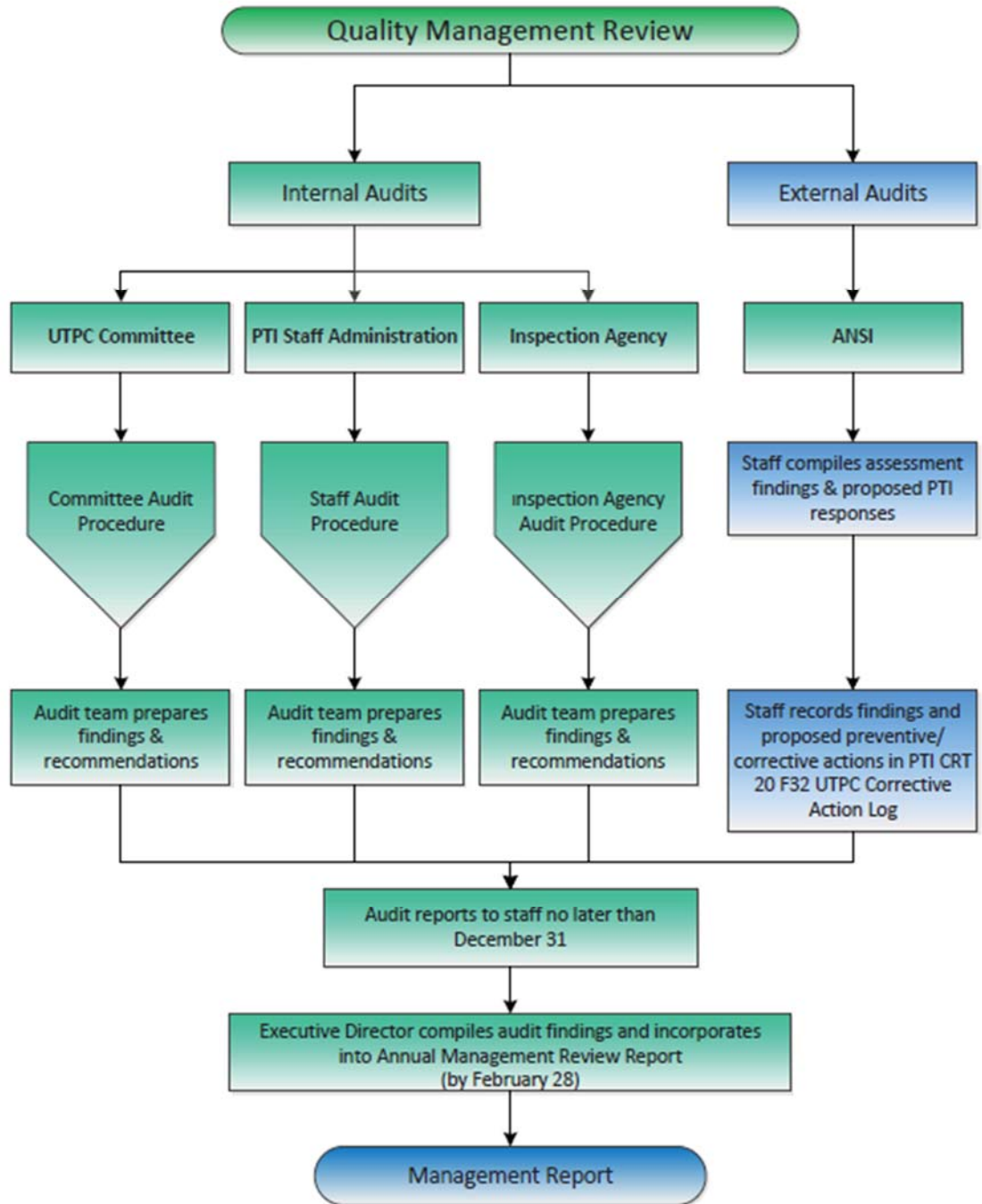


Fig. I.6—Audit Process.

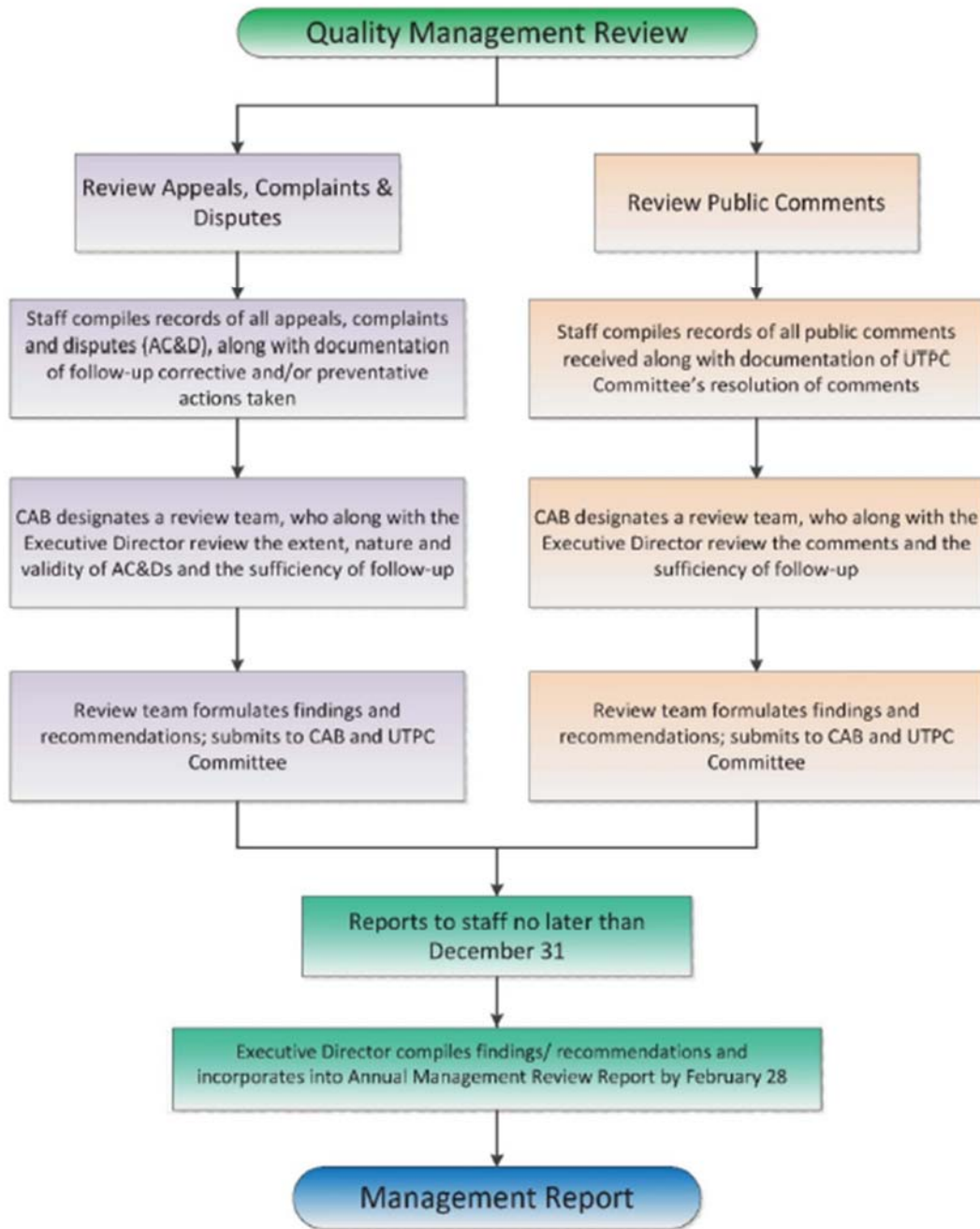


Fig. I.7—Process for Review of Appeals, Disputes, Complaints, and Public Comments.

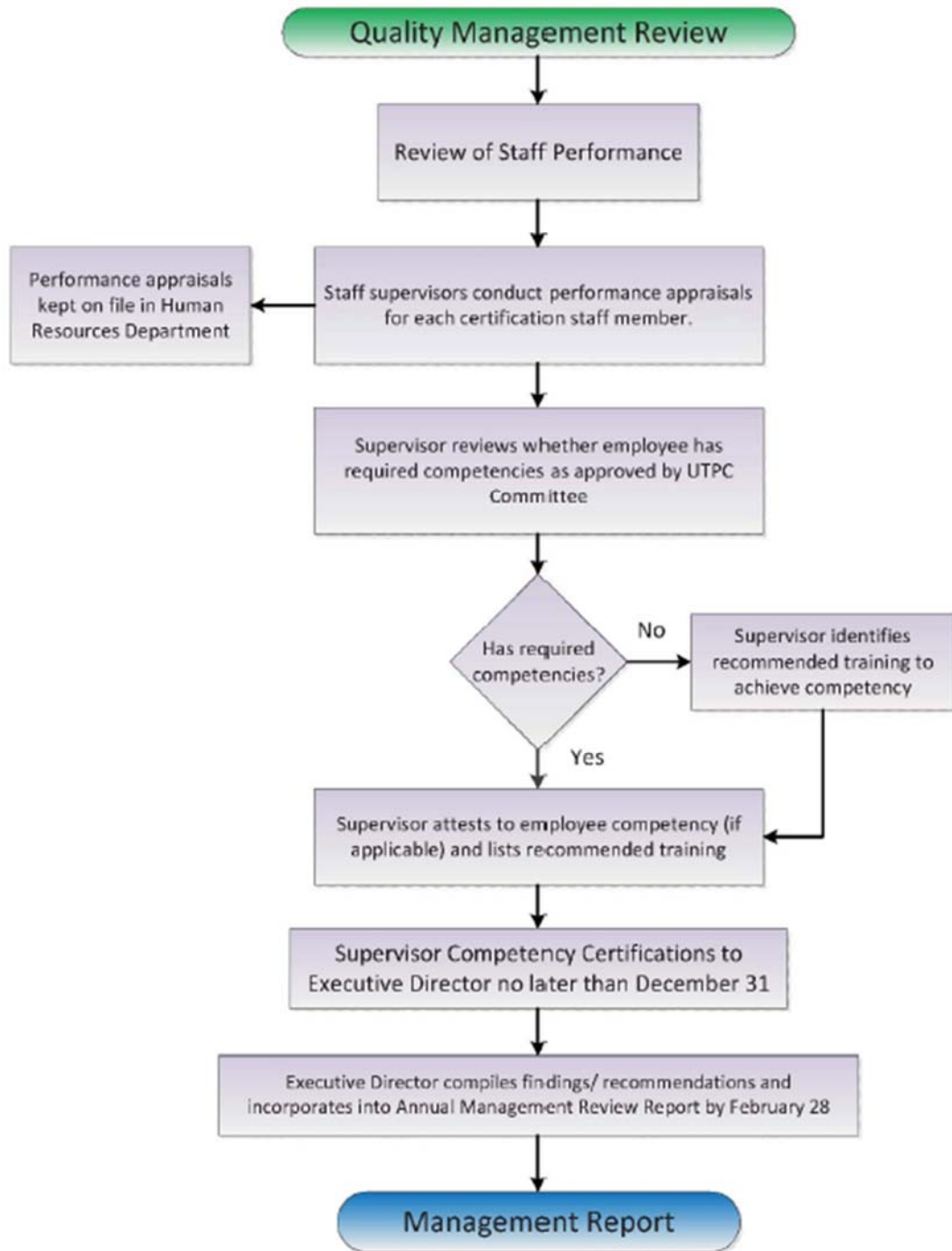


Fig. I.8—Staff Review Process.

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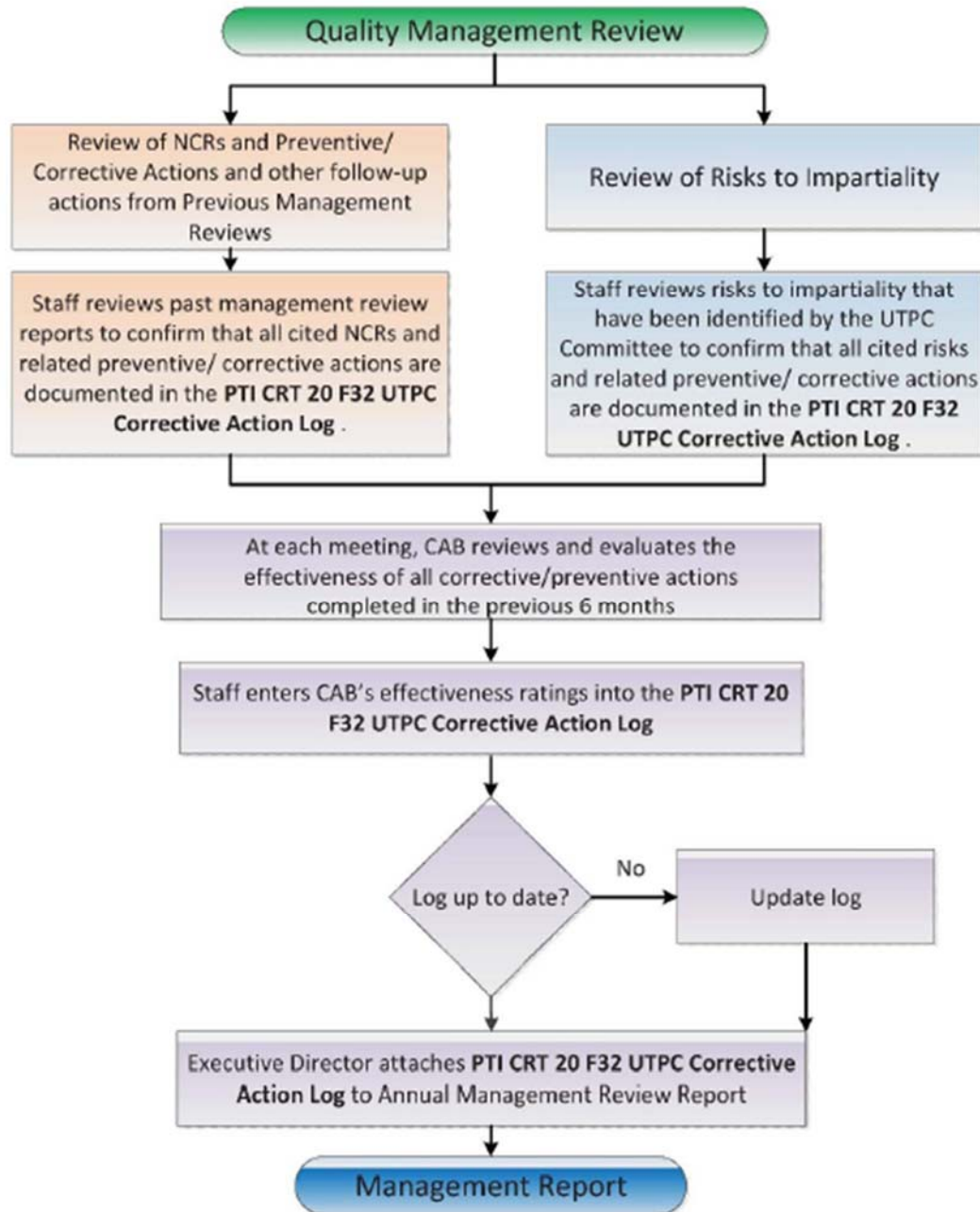


Fig. I.9—Process for Review of Nonconformities, Risks for Impartiality, and Related Preventive and Corrective Actions.

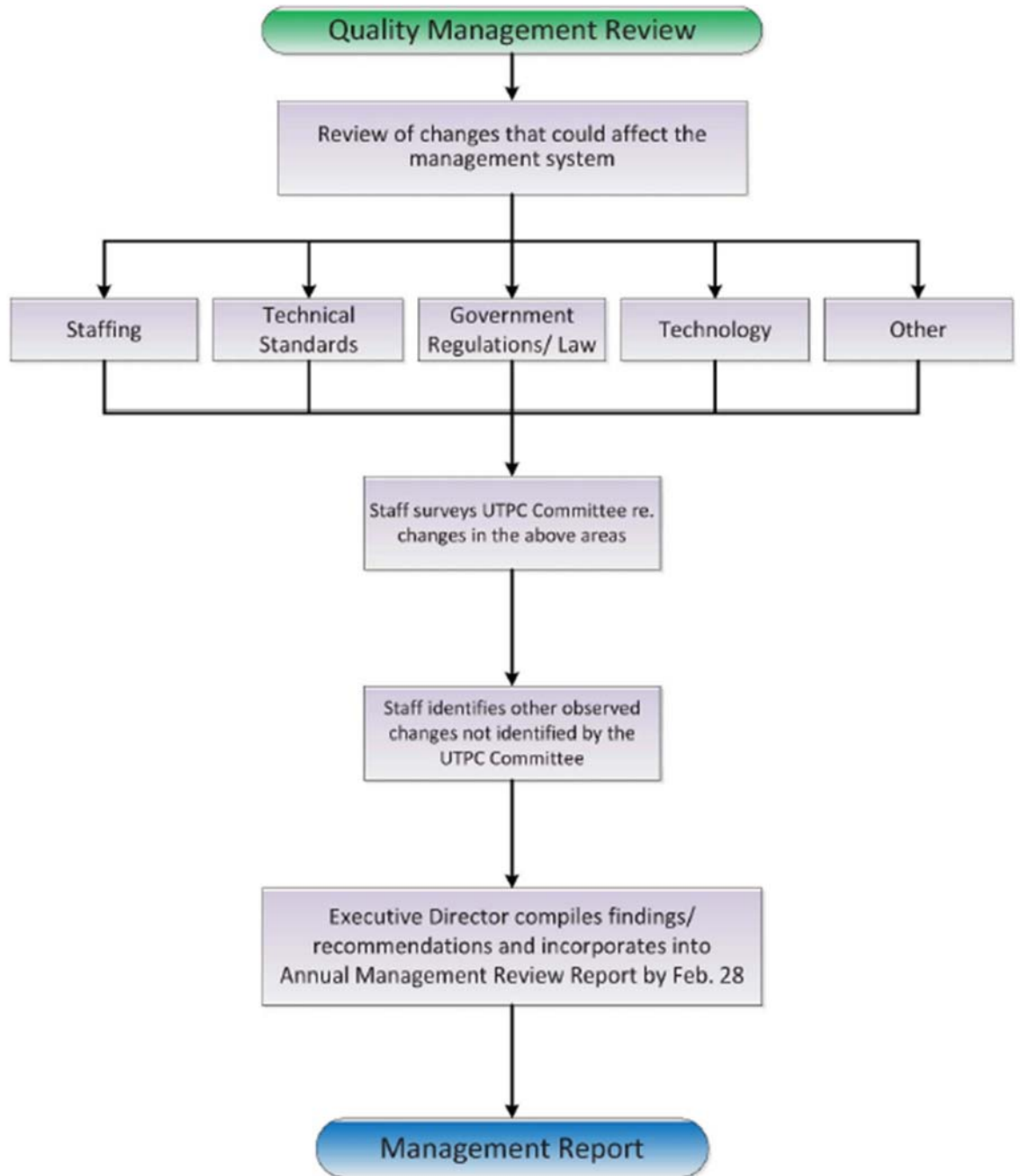


Fig. I.10—Process for Review of Changes that could Affect the Management System.

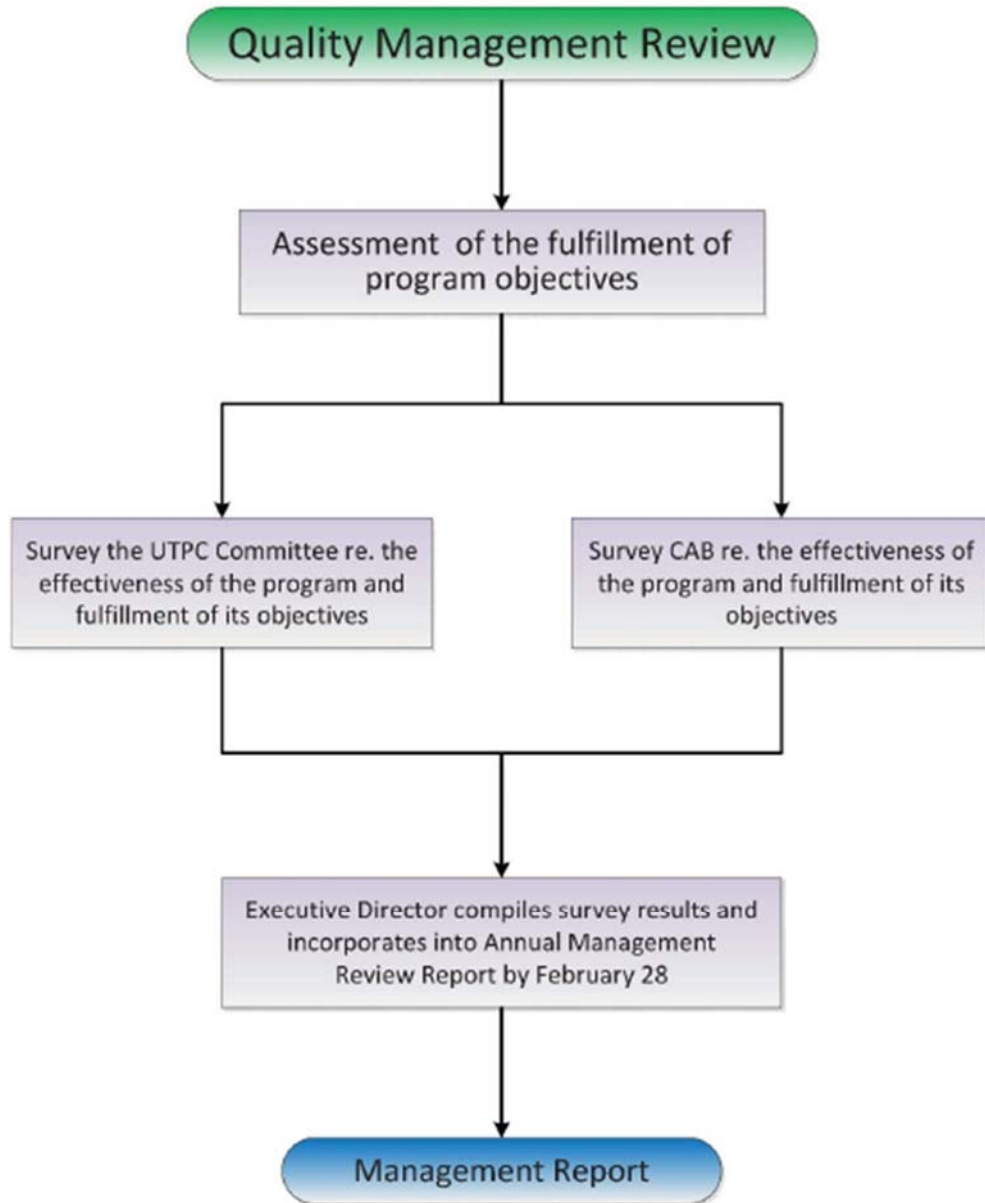


Fig. I.11—Process for Assessment of the Fulfillment of Program Objectives.

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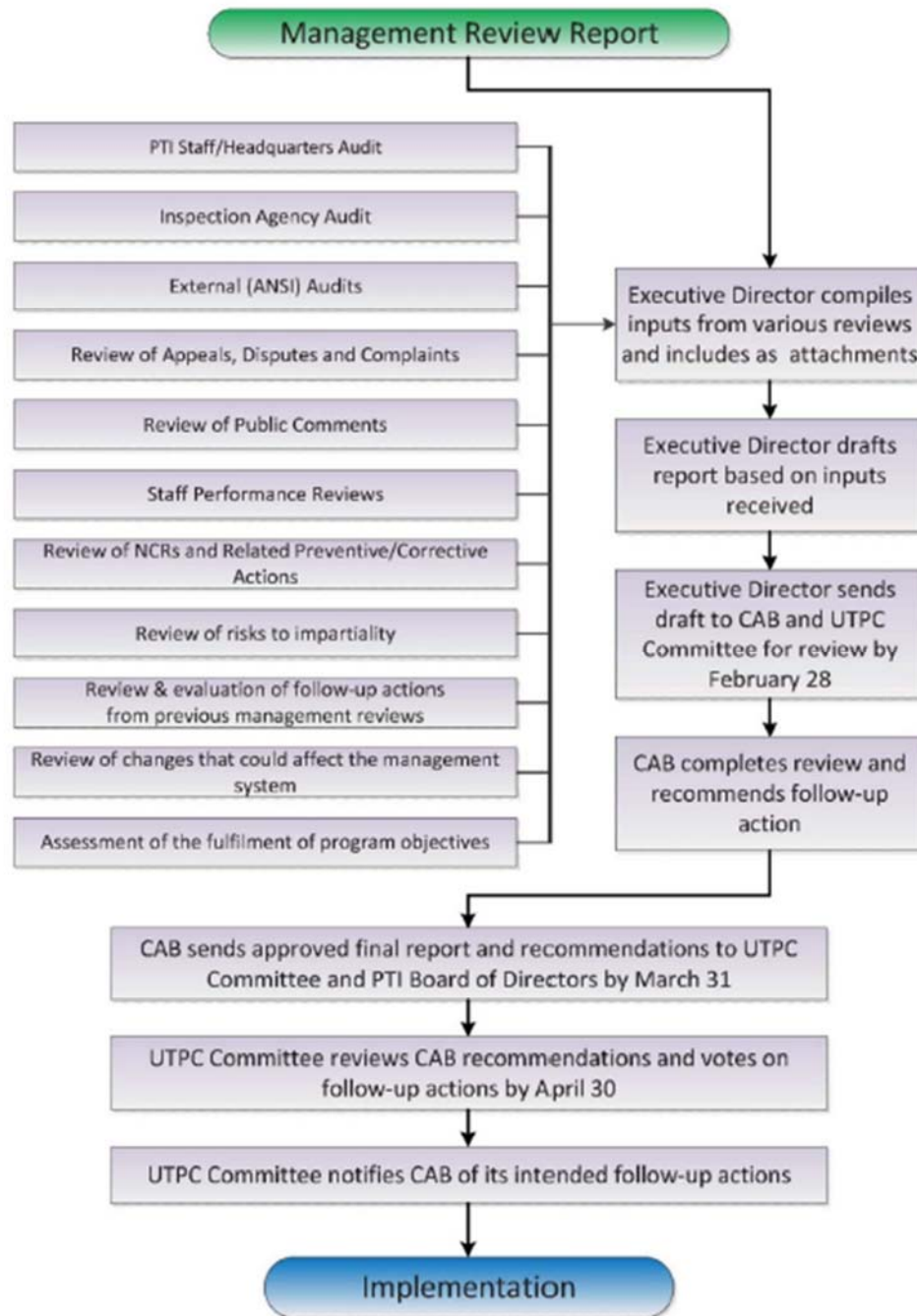


Fig. I.12—Management Review Report.

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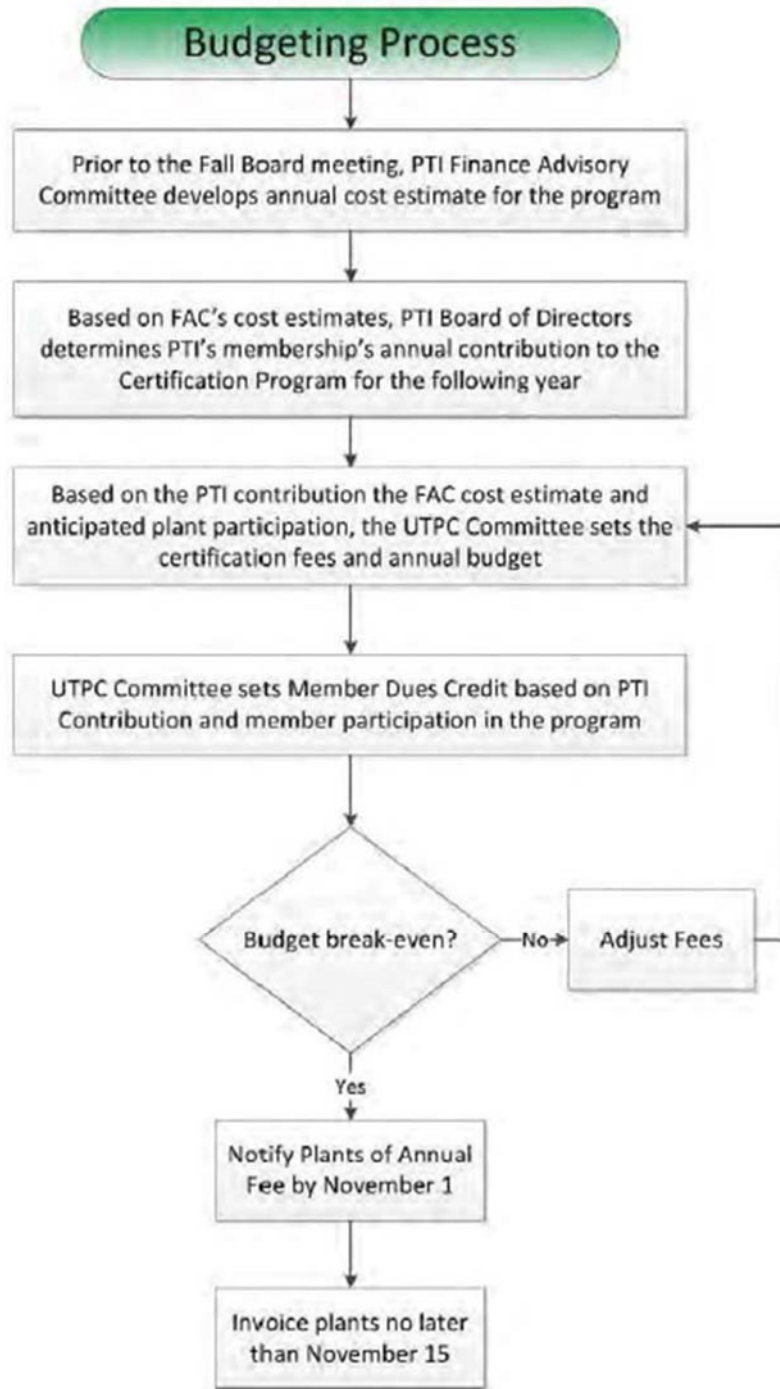


Fig. I.13—Certification Program Budgeting. Process

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Proposed 2023 PTI Unbonded Tendon Plant Certification Program Fee Analysis			
	Proposed 2023 Fee	Projected 2022 Year-end	2023 vs. 2022
Revenue			
Plant Fees			
Fabrication Facilities (62@59,100)	\$564,200	\$558,000	\$6,200
Extrusion Facilities (3@58,100)	\$24,300	\$32,000	(\$7,700)
Reinspections (2)	\$7,000	\$3,500	\$3,500
Total Revenue	\$595,500	\$593,500	\$2,000
Expenses			
Inspection Agency			
Fabrication Facility Inspections	\$260,000	\$217,000	\$43,000
Extrusion Facility Inspections	\$11,400	\$9,900	\$1,500
Reinspections	\$4,000	\$4,000	\$0
Inspector Meeting attendance/Travel	\$7,000	\$3,400	\$3,600
Administrative Expense			
Staff Salaries & Overhead	\$146,000	\$140,000	\$6,000
Office & warehouse space	\$7,450	\$6,650	\$800
Legal Services	\$25,000	\$30,000	(\$5,000)
Insurance	\$1,250	\$1,100	\$150
Office Expense	\$1,000	\$1,000	\$0
Website	\$5,700	\$4,000	\$1,700
Postage & Shipping	\$1,500	\$1,500	\$0
Meetings	\$10,300	\$4,000	\$6,300
Staff Travel	\$9,000	\$3,500	\$5,500
Marketing	\$1,000	\$0	\$1,000
ANSI Accreditation Expense	\$21,000	\$10,000	\$11,000
Internal Quality Audits	\$5,000	\$5,000	\$0
Prior Year Development Recovery Charge (to PTI)	\$50,000	\$75,000	(\$25,000)
Research and Development Charge (to PTI)	\$39,000	\$39,000	\$0
Total Expense	\$605,600	\$555,050	\$50,550
Carryover Surplus (Loss) from Previous Year	\$38,450	N/A	N/A
Net Surplus (Loss)	\$28,350	\$38,450	(\$10,100)

Fig. I.14—2023 PTI Contribution to the Unbonded Tendon Plant Certification Program.

Online appendices at www.post-tensioning.org/QualityManagementProgram

2023 UTPC Certification Fee Analysis	
Administrative Expense	
<i>Staff Salaries & Overhead</i>	\$ 146,000
<i>Office & warehouse space</i>	\$ 7,450
<i>Legal oversight</i>	\$ 25,000
<i>Insurance</i>	\$ 1,250
<i>Office supplies</i>	\$ 1,000
<i>Website</i>	\$ 5,700
<i>Postage & Shipping</i>	\$ 1,500
<i>Meeting space</i>	\$ 10,300
<i>Staff Travel</i>	\$ 9,000
<i>Marketing</i>	\$ 1,000
<i>Inspector Meeting attendance</i>	\$ 7,000
<i>Internal Quality Audits</i>	\$ 5,000
Administrative Expense	\$ 220,200
ANSI Accreditation Expense	
<i>Annual Fee</i>	\$4,000
<i>Auditor Travel: 3 trips @\$1500</i>	\$4,500
<i>Auditor Labor: 7days @\$1250/day</i>	\$12,500
Inspection Costs \$4000 per fabrication plant, \$3800 per extrusion plant plus 6 additional random inspections (10% of plants)	\$ 291,400
<i>Standard Fabrication Facility Inspections (2 per plant for 62 plants)</i>	\$248,000
<i>Standard Extrusion Facility Inspections (2 per plant for 3 plants)</i>	\$11,400
<i>Additional random inspections (10% of plants -- 6 inspections)</i>	\$12,000
<i>Additional costs for international Inspections (4 plants) - paid by plant</i>	\$16,000
<i>Reinspections (2)</i>	\$4,000
Less Prior Year Budget Surplus (Loss)	\$ 38,450
Total Estimated Program Expense	\$ 494,150
Estimated Cost per Plant (65 Participating Plants)	\$ 7,600
Prior Year Development Recovery Charge per plant	\$ 900
2023 Research & Development Charge per plant	\$ 600
Proposed Fee per PT Fabrication plant	\$ 9,100
Proposed Fee per Extrusion plant	\$ 8,100
Member Credit (pro-rated PTI Member Contribution + Annual Development Recovery Charge)	\$ (4,500)
Net Member Fee per fabrication plant	\$ 4,600
Net Member Fee per extrusion plant	\$ 3,600

Fig. I.15—2023 Certification Fee Analysis (effective January 1, 2022) for the latest fees contact PTI or visit www.post-tensioning.org.