An ACI Manual

Certification Committee and Program Operations Manual

Reported by the ACI Certification Programs Committee

ACI CCPOM-19

American Concrete Institute
Always advancing

2019 Certification Committee and Program Operations Manual

Certification Committee and Program Operations Manual, 3rd Ed.
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CERTIFICATION COMMITTEE & PROGRAM OPERATIONS MANUAL

**Governing Policies for the Operation of Certification Committees and
ACI Certification Programs**

Prepared by the Certification Programs Committee
Third Edition, February 2020

FOREWORD

This manual has been prepared by the Certification Programs Committee (CPC) to guide the operation of ACI certification committees and the certification programs they maintain, and organizations and persons conducting exam sessions. Review, update and implementation of this manual shall be performed and/or monitored by the ACI Certification Staff under the direction of CPC.

Governance
The success of certification committees depends largely upon the leadership and administrative abilities and initiative of the committee Chair. Chairs of ACI certification committees are chosen for their demonstrated ability and knowledge in the field to be covered by the committee as well as for their leadership and administrative skills. Many details of committee operations are left to their judgment; it is their knowledge and experience that assist ACI in its leadership in certifying individuals in the concrete industry.

Programs
Programs of examination and certification have traditionally been developed and presented by ACI in order to provide to the concrete industry credentialed individuals having proven knowledge and skills covering a broad spectrum of concrete craftsmanship, inspection, and testing activities.

These certification programs align with ACI's stated mission of providing knowledge and information for the best use of concrete. Additionally, it is the intent of ACI certification to advance and improve concrete quality, safety, value, and sustainability along with continued public confidence in concrete structures.

Operation
Organizations and persons approved to administer ACI Certification examinations must operate collectively and individually in a manner that preserves the security of the exam materials, and the integrity and reputation of the ACI certification program. Section 6 of this *Manual* provides policies critical to maintaining these values.

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1.0 Committee Organization

1.1 Certification Programs Committee (CPC)

CPC is an operational committee established by the ACI Board of Direction (BOD) to oversee ACI's certification activities and report to the BOD on these matters. CPC has overall responsibility for the development, maintenance and update of ACI certification programs and their related policies, as well as oversight of all Certification committees and subcommittees. The Chair and voting members of CPC are appointed by the ACI President-elect for periods of 1 to 6 years with terms beginning at the same time that the President-elect assumes the presidency; as an ACI Board-level Committee, the Senior ACI Certification Staff member is assigned as the Secretary. Operations of CPC are governed by applicable Institute policies, the *ACI Board Committee Operations Manual* (Appendix A)*, and* this *Certification Committee & Program Operations Manual* (CCPOM). In recognition of the sensitive nature of information developed by and accessible to committee members throughout the Certification Committee structure, and the importance of the Certification Programs to ACI, all committee members are required to sign and return an *ACI Certification Committee and Program Operations Manual Acknowledgement of Receipt* (Appendix B) and an *ACI Certification Conflict of Interest Disclosure and Confidentiality Agreement* (Appendix C) following appointment and receipt of this *Manual.*

1.1.1 *Coordination with the ACI Educational Activities and Technical Activities Committees* – CPC coordinates with the Educational Activities Committee (EAC) to facilitate development of training programs and educational materials to support ACI certification programs. Coordination is accomplished both directly via requests and recommendations formulated at CPC meetings and conveyed by Staff and through direct Staff interaction, and indirectly via individuals serving as members within each Committee's structure. CPC also interacts with ACI Technical Committees to promote the inclusion of language in ACI publications requiring or referencing ACI Certification programs.

1.1.2 *Oversight of ACI Certification Committees* – CPC is responsible for review and approval of new certification program policies, and revisions to existing policies (including appendices). Established annexes to ACI certification program policies approved by CPC by prior action (e.g., listings of program technical resources, approved educational events for recertification credit, grading rubrics, etc.) may be revised as needed by the Certification Committees to reflect current detail or resource version information.

1.2   International Subcommittee on Certification (ISC)

The International Subcommittee on Certification (ISC) reports directly to CPC. ISC develops and recommends consistent and equitable ways and means of delivering ACI Certification programs worldwide; it operates as a resource and advisory committee to CPC and the certification committees. ISC also reports to CPC on activities related to promoting ACI Certification internationally and opportunities where the market may be increased. ISC developed, recommended, and assisted in implementing a program to assist international Sponsoring Groups in conducting inaugural certification sessions and establishing their delivery infrastructure. ISC members are also a resource to Staff in identifying stakeholders and formulating approaches in preparation to conduct an assistance event. Individuals may apply for membership on ISC in the voting or associate categories. The ISC Chair is appointed by the CPC Chair and is responsible for maintaining voting membership on ISC to reflect as closely as possible current and imminent ACI Certification activity considering the applicant's interest, employment, organizational affiliation, geographical region, and ability to attend meetings. The ISC Chair may also appoint consulting members.

1.3   C 601 – New Certification Programs Committee

Committee C 601 - *New Certification Programs* is populated by appointment of the CPC Chair considering its role in executing the ACI Strategic and Operating Plans. The Committee consists of a chair and voting member positions only; no other categories of membership are available. C 601 meetings are closed, as topics of discussion include both business strategies and legal issues.

1.4   Certification Committees

1.4.1   *Responsibilities* – With the exception of C 601 (see Section 1.3) Certification committees begin as developmental subcommittees (under C 601) and then transform into operational committees once the program materials are ready for marketing. The committee is then assigned a C 600-level committee number. Certification committees are responsible for maintenance of program and exam materials for their programs, including the assembly and update of participant preparatory materials where applicable. The certification committees' primary function is to establish and maintain relevant program content, and effective program-specific administrative policies, procedures, and instructions within the framework of ACI Certification's overall administrative policies. Each certification committee has an ACI Certification Staff Liaison assigned to assist in providing guidance and executing committee action items.

1.4.2   *Constituency* – Members of certification committees represent stakeholders of each program. Stakeholders are typically: owners of projects on which certified individuals perform work; project designers and specifiers; manufacturers and distributors of equipment and materials related to the certification program; government agency representatives; educators and representatives of related industry organizations.

Individuals who are or would be certified in the program as well as their employers may serve as members as materials handling procedures limit their exposure to assembled exam versions.

1.4.3 *Joint Programs* – Certification Committees may have oversight of programs jointly operated with another industry organization; in these cases, committee membership may have additional criteria imposed, and both sponsoring organizations may be represented by Staff seated on the committee as Consulting Members. In all joint programs, ACI's certification governance structure will serve as the forum for program oversight.

1.4.4 *Staff Liaison* – The ACI Managing Director of Certification will assign an ACI Certification Staff member to serve as a liaison to each committee. The Staff Liaison will provide administrative guidance, serve as a two-way conduit for communication between Staff and the Certification Committee, and assist in the execution of action items. Staff Liaisons will typically have multiple committee assignments, so therefore must be employed judiciously; Staff Liaisons are not to be employed as Committee Secretaries.

1.4.5 *Certification Committee Membership*

1.4.5.1 *Committee Chairs* – Committee Chairs are appointed by the CPC Chair based upon nominations received from the current or out-going chair and the ACI Certification Staff. Chair appointments are 3-year terms unless determined otherwise by the CPC Chair. Unusual circumstances are required to justify reappointment of a Chair beyond two 3-year terms. Chairs are selected by their depth of knowledge regarding the programs under the committee's oversight, their organizational skills and their expected ability to execute the following responsibilities:

1.4.5.1.1 *Leadership* – Chairs are responsible for leading their committees in maintaining the Certification programs assigned to the committee. Chairs shall preside over and retain control of committee meetings and promote an atmosphere of fairness, mutual respect and camaraderie within the committee.

1.4.5.1.2 *Communication* – Chairs are responsible to communicate and coordinate with the Committee Secretary and Certification Staff Liaison in executing all committee administrative duties including developing meeting agendas, minutes and committee ballots.

1.4.5.1.3 *Membership Administration* – Chairs are responsible for review of applications for committee membership, approval and conferral of voting membership status. Approval of consulting membership status shall require concurrence of the ACI Certification Staff liaison. Chairs are responsible for maintaining voting membership at a level that facilitates: attaining quorum at committee meetings; executing committee work in a timely manner; adequate representation of identified stakeholder interests while maintaining balance with regard to member interest area, employment, organizational affiliation, and geographical region. Chairs are responsible for the review and update of the committee membership roster at least annually. Chairs are also responsible for appointing a Committee Secretary.

1.4.5.2 *Committee Secretaries* – Committee Secretaries are appointed by Committee Chairs to assist with committee administrative duties such as recording minutes of committee meetings, organization and preparation of committee applications for Chair review, assisting with the execution and follow-up of committee actions items, and communicating/coordinating with the Staff Liaison. Secretaries may be Voting or Associate members of the committee.

1.4.5.3 *Voting Members* – Voting membership is open to ACI members and non-members sharing a common interest in the certification topic administered by the committee. Although it is not required, voting members are encouraged to be ACI members. An individual wishing to become a voting member of a committee shall submit a written request/application to the committee Chair. Applications may be completed and submitted through the ACI website; these are routed to ACI Certification Staff for forwarding to the appropriate Chair or Secretary.

1.4.5.3.1 *Qualifications* – Voting members must be able to complete objectives related to the committee mission. They must have the knowledge, experience, and time to perform the work.

1.4.5.3.2 *Requirements* – Voting members are required to participate actively in committee work by applying

their expertise to the committee projects, promptly returning all committee ballots, replying to correspondence, and regularly attending committee meetings. Voting members need to supply an email address to participate in committee activity.

Regular attendance at committee meetings is important because that is where committee communication most effectively occurs. At meetings, committees discuss new issues, develop solutions to problems; form Task Groups to execute committee work; and plan future activities. A sufficient number of voting members must attend committee meetings for the committee to accomplish its goals.

Meeting schedule conflicts are difficult to avoid because of the number of ACI committees and the varied interests of the voting members. Before granting voting member status to an applicant, the chair should ensure that the applicant will be able to attend meetings and participate actively in the committee work. If an applicant cannot attend these meetings, another membership category may be desirable. The Chair may waive meeting attendance requirements under justified circumstances, provided the voting member contributes to the work of the committee.

1.4.5.3.3 *Privileges* – Voting members receive minutes, information on items being balloted and correspondence; may express opinions and make motions during committee meetings; may vote on all motions and ballots; and have access to the committee web page.

1.4.5.3.4 *Term* – Voting membership has no set term.

1.4.5.4 *Associate Members* – Associate membership is an Institute membership benefit. An individual wishing to become an associate member of a committee shall submit a written request/application to the committee Chair. Applications may be completed and submitted through the ACI website; these are routed to ACI Certification Staff for processing. An ACI member may be an associate member of up to three certification committees.

1.4.5.4.1 *Qualifications* – Associate members must be ACI members in good standing.

1.4.5.4.2   *Requirements* – Associate members have no formal committee responsibilities.

1.4.5.4.3   *Privileges* – Associate members receive minutes, information on items being balloted, and correspondence; have the right to participate in committee activities, including serving on committee Task Groups, but are not required to attend committee meetings. A person may be appointed or retained in this membership category when committee balance is at issue. Upon application, ACI members are appointed as an Associate member to a maximum of three certification committees.

1.4.5.4.4   *Term* – Associate membership has no set term as they are based upon continued ACI membership. When individuals drop their ACI memberships, they are terminated from all certification committee associate memberships. Associate membership may also be terminated by the request of the individual. Periodic reviews of Associate memberships may be conducted to verify continued interest.

1.4.5.5   *Consulting Members* – Consulting members of certification committees are appointed by the Chair with concurrence of the ACI Staff liaison, based on the applicant's special expertise or long-time association with the committee or its mission.

1.4.5.5.1   *Requirements* – Consulting members have no formal committee responsibilities. Consulting members do not need to be members of ACI.

1.4.5.5.2   *Privileges* – Consulting members receive minutes, information on items being balloted and correspondence; may express opinions, but not vote, during committee meetings; may express opinions, but not vote, on all ballots; have access to the committee's web page; may serve on committee Task Groups but are not required to attend committee meetings.

1.4.5.5.3   *Term* – Consulting membership has no set term.

1.4.6   *Subcommittees* – Certification committees may form subcommittees to perform a variety of tasks ranging from long-term (standing

subcommittees to maintain specific sets of program materials), to mid-term (such as subcommittees under C 601 to develop new program materials; avg. duration 2-5 years). Subcommittee Chairs are appointed by the Parent Committee Chair based upon discussions with ACI Certification Staff. Subcommittee Chair appointments are 2-year terms unless determined otherwise by the Parent Committee Chair. Subcommittees may be comprised of members from any membership category within the parent Committee, but all Subcommittee members are considered Voting Members on the Subcommittee. Membership is maintained by the Subcommittee Chair in a manner that represents as closely as feasible balanced stakeholder interests at a level that facilitates completion of the work in a timely manner. Subcommittee members should attend meetings at ACI Conventions if possible, however, participation in web-based meetings and conference calls and responding to written correspondence is more critical for continued subcommittee membership.

1.4.7 *Task Groups* – Task Groups may be formed within Committees or Subcommittees to perform specific short-term tasks such as researching an item of interest or the impact of a new development in the industry or creating/updating specific program materials for review. Task Groups and their Chairs are appointed by the Chair of the Parent Committee or Subcommittee. Task Groups should work expeditiously to complete their tasks and then request discharge.

1.5   Committee Membership

Certification Committee applications must be submitted online through the ACI website. The applications are then routed to ACI Staff for processing and any applications for voting membership are forwarded to the Certification Committee Chair and Secretary for review. After reviewing an application, the Chair advises the ACI Staff of any recommendations for committee membership. ACI sends a formal appointment letter. Committee members are appointed for unspecified terms.

1.5.1 *Appointment Not Approved* – A voting membership applicant is rejected if the applicant's qualifications do not meet the criteria of Section 1.3.5.3.1, or the approval would adversely affect the committee's balance of interests (Section 1.4.2.2) or size. Adding voting members just prior to conducting a critical letter ballot is not advisable because new voting members may not have knowledge of past committee discussions. Appointment to a nonvoting category may be appropriate at such a time.

1.5.2   *Classification of Voting Committee Members and Committee Balance*

1.5.2.1   *Classification* – Certification committee members often reflect multiple interests on ACI certification committees. They may represent multiple interests concurrently, and as such defy placement into any one category. In general, however, certification committee chairs should consider the following interests when appointing voting members.

1.5.2.1.1   *Producer Interest* – A producer interest member is an individual employed by an organization that produces or sells services or materials related to the program over which the committee has jurisdiction (e.g., testing labs for technician-type programs or concrete contractors for craftsman-type programs). A voting member who represents a producer interest is classified as a Producer.

1.5.2.1.2   *User Interest* – A user interest member is an individual employed by an organization that purchases or uses services or materials related to the program over which the committee has jurisdiction (e.g., a government agency, developer, owner or owner's representative). A voting member who represents a user interest is classified as a User.

1.5.2.1.3   *General Interest* – A voting member who is not classified as either Producer or User interest is considered a General Interest member. An employee of a university or related industry organization would typically be classified as General Interest.

1.5.2.2   *Balance of Interests* – Committees preparing programs should have broad-based membership to ensure accurate treatment of the subject. Following are additional criteria that need to be considered when maintaining balance.

1.5.2.2.1   *Organizational Representation* – A company, including its subsidiaries may have only one voting member on a committee. Additionally, other affiliations must be considered when adjusting membership to maintain balance (e.g., affiliation with other industry organizations having an interest in the ACI certification program).

1.5.2.2.2   *Geographical Distribution* – ACI is an international organization and programs should reflect knowledge and skills that are applicable over wide areas. Broad geographical distribution of committee members is important to guard against programs that reflect regional or local knowledge and skill sets only. Chairs must also understand the mobility of the workforce and weigh the benefits of their program requiring individuals to be qualified to perform their job duties in any region or locality.

Some overseas members may find it difficult to attend committee meetings but can contribute valuable information by correspondence. In this case, an associate or consulting membership category may be appropriate.

1.5.2.2.3   *Variety of Experience* – Every committee should take the opportunity to introduce new people to ACI committee work. ACI Certification often attracts North American interests, but increasingly is attracting individuals from other parts of the globe. A special effort should be made to include them in all committees where they have an interest.

1.5.2.2.4   *Coordinated Membership* – The Chair should consider the involvement of members from related committees to facilitate coordination between the work of committees (e.g., related educational or technical committees); if not naturally applying for membership on the Certification Committee, then the Chair should consider soliciting members from the related educational or technical committees.

1.5.3   *Committee Reorganization* – From time to time it is necessary to discharge, reform, and reorganize certification committees. The reasons for these actions may include:

a) The committee having an excess of programs, a divergence of interests, or a fledgling program that has grown enough for dedicated maintenance/oversight (e.g., Concrete Transportation Construction Inspector, now under Committee C 631, *Concrete Transportation Construction Inspector Certification* was originally developed and maintained by Committee C 630, *Construction Inspector Certification*).

b) The mission or direction of the committee has changed sufficiently to require complete reorganization (e.g., a developmental subcommittee under C 601 – *New Certification Programs* completes its work and

launches its program; the C 601-# Subcommittee is discharged by C 601 and a new certification committee (C 600 level) under CPC is formed to maintain the program).

c) The membership and organization of the committee is such that the prospect of accomplishing the assigned mission is remote. Upon reorganization, CPC may decide to appoint a new chair and discharge all members or to appoint a new chair who is responsible for reviewing current membership (e.g., the Shotcrete Nozzleman Certification development subcommittee was reorganized to bring work on the certification program into the certification committee structure to ensure delivery of a program).

In each reorganization case, CPC will decide the appropriate course of action with the recommendation of involved committees or subcommittees and input from the Managing Director of Certification.

1.5.4   *Terminations and Reclassifications* – The Chair should periodically review the participation of each voting member. Because of ACI's voting requirements, voting members who do not return ballots may stop a committee from successfully balloting an issue or document. Voting members, who do not regularly attend meetings, answer correspondence, and especially those who do not complete ballots, should be contacted and provided the opportunity to become more active as required to maintain their voting status.

If the voting member remains inactive after missing four consecutive electronic ballots and/or meetings, the committee chair may move that member to associate status or from the committee entirely.

1.5.4.1   *Termination or Reclassification to Achieve Balance* – At the Chair's discretion, voting members may have their membership terminated or have their membership classification changed to a non-voting status to achieve balance. This is done only after the chair has shown that a substantial effort has been made to obtain balance by adding new voting members.

When a change of employment produces an imbalance or redundancy in voting interests (i.e., members employed by the same company or organization) that voting member's status is terminated or changed. Reappointment can be considered when balance is achieved and if the voting member requests reappointment.

1.5.4.2   *Appeal of Termination* – Any committee voting member is permitted to appeal a termination decision to CPC. The discharged committee voting member is required to submit a written appeal to the Managing Director/Secretary of CPC, who will advise the appellant when and how the appeal will proceed. The default

method of mitigating appeals will be by correspondence, unless it is more expeditious to address the appeal at a CPC meeting due to timing.

1.5.4.3   *Resignations* – Committee members may resign by notifying the Chair or ACI Certification Staff of such intent in writing. An official letter confirming the resignation is mailed out by headquarters.

2.0 Committee Operations

2.1 Missions

The main purpose of ACI certification committees is to develop and maintain personnel certification programs for the concrete construction industry to ensure that individuals working in areas identified by the programs have demonstrated the knowledge and skills necessary to effectively execute their responsibilities. Specific missions of C 601-# subcommittees are formulated when work on a new program is initiated; new certification committees' missions are established when a program is launched and modified if needed when new programs are assigned to their care. CPC reviews and approves certification committee missions.

2.2 Goals

Static goals of certification committees include development and maintenance of all core/critical documentation for each assigned program, and maintenance of exam question pools to current resource documents to assure continued program relevance. Committees must consider the deliverability of programs when developing or considering changes to program requirements or examination logistics. Additional goals of certification committees may be identified and set by the certification committee as desired (e.g., conduct a convention session on a certification-related topic, promote the program(s) via communication with other industry groups, specifiers, etc.).

2.3 Committee Communication

Because committees usually meet twice a year (Section 2.4), effective circulation of correspondence is vital to committee activity and progress. To ensure a smooth flow of committee work, concise correspondence with prompt attention and reply by members is necessary.

2.3.1   *Correspondence within a committee* – Chairs are encouraged to use Email: customer feedback, or new data, should be sent to the entire committee. When one committee member writes to another, it is desirable to send copies to all committee members, so they can keep abreast of developments and be able to contribute to the work. This also allows the members to be up-to-date before meetings so that discussions are more effective. Correspondence within a subcommittee should be sent to the

main committee officers and the Staff liaison so that they are aware of the work and are able to coordinate the total committee effort.

2.3.2   *Correspondence between committees* – Correspondence between committees is usually between the Chairs, with copies to the Managing Director. If committee members correspond, copies should be sent to the Chairs of the respective committees.

2.3.3   *Correspondence with CPC and ACI Headquarters* – The committee files at ACI headquarters are the "Official Files." Originals or electronic copies of all important correspondence, agendas and minutes, membership lists, and complete records of ballots are maintained by the Managing Director.
    Copies of all important correspondence shall be sent to the CPC Chair and the Managing Director.
    Copies of draft documents should be sent to the Managing Director at the time of mailing to committee members. The ACI President and other ACI Staff do not need copies of correspondence unless it concerns inter-committee affairs or broad aspects of Institute policy.

2.3.4   *Coordination with other committees* – The missions of certification, education, and technical committees may be closely related and the work of one committee may affect another. Chairs must be aware of their committee's work in relation to other committees, open lines of communication as appropriate, and coordinate development of programs accordingly. If a Chair is unaware of another committee's work, a visit to that committee's website is helpful. Staff can assist the Chair in identifying related committee work.

2.3.5   *Committee websites* – Chairs and Committee members are encouraged to use the ACI Committee Website to post draft documents on which the committee or related subcommittees and task groups are working **with the exception of exam questions.** Exam questions are to be handled in as secure a manner as practicable. The Chair, Secretary, and to a limited degree the staff liaison is charged with monitoring the committee website to make sure the content and organization are maintained in an appropriate and clear fashion. Some areas of committee sites are restricted to members of the committee and its oversight committee(s).

    2.3.5.1   *ACI Policy on Internet and Websites* – ACI maintains overarching policies related to ACI intellectual property and ACI maintained internet-based resources for committees (See Appendix D). Additional policies specifically related to certification are conveyed in this document.

    2.3.5.2   *Registration and security* – To access the committee website, it is necessary to register on the ACI website and validate ACI

committee membership against the ACI database. Once registered on the site, access privileges will occur transparent to the user by automatic checking of member files updated by ACI on a weekly basis. The registration process places information on a computer that identifies the computer to the system. Therefore, registration from every computer that will be used to access Certification Committee websites is recommended.

2.3.5.2.1   *Committee home page* – Links on the home page; *Agendas and Approved Minutes* and *Apply for Committee Membership* are available to the public. *Committee Roster* and *E-mail Members* links are open to any ACI Committee member. The *Committee Member Work Area* link is accessible to any member of that committee, and *the Chair/Officer Work Area* link is accessible only to the Chair or Secretary of that committee and ACI Staff.

2.4   Meetings

CPC is required to conduct meetings at both Conventions. Certification committees may meet during both the Fall and Spring ACI Conventions but must hold at least one meeting per year at either Convention. Meetings are conducted in general conformance with Robert's Rules of Order.

2.4.1   *Open and closed meetings* – Certification committee meetings held during ACI conventions are typically open, however, CPC may conduct a closed session when items of a legal nature or involving a secured legal opinion are discussed. Certification committees, subcommittees and task groups are required to conduct closed sessions when exam materials are being developed or revised. CPC and certification committees are encouraged to refrain from holding closed Convention meetings; legal and examination issues should be discussed in closed conference calls or web-based virtual meetings.

2.4.1.1   *Attendance* – Committee members should make every effort to attend Convention meetings. When it is not possible for the member to attend, they must notify the Chair of their absence prior to the meeting for it to be recorded as excused. Members should monitor meeting agendas and if a sensitive issue is slated to be discussed, they may forward their position (i.e., vote) and comments in writing to the Chair so they may be addressed at the meeting. Proxy voting is not allowed.

2.4.2   *Conference calls and web meetings* – Since it is logistically difficult to conduct an "open" virtual meeting, conference calls and web meetings are particularly suited to serving as "closed" meetings for the development and revision of exam materials, or discussions of a legal nature (e.g., involving liability or secured legal opinions to be conveyed to the committee) and should be employed exclusively for this type of work.

2.4.3   *Meeting Agenda and Minutes* – Agendas for Convention meetings should be posted on the Committee web page at least two weeks before the meeting. Minutes should be posted no later than four weeks following the meeting. Agendas for web meetings and conference calls should be distributed electronically several days in advance of the meeting.

2.4.4   *Quorum* – A quorum is defined as one half of the voting membership.

2.5   Ballots

Any item voted upon by a committee is considered a ballot. Items are balloted either at committee meetings, or electronically through the ACI website. Ballots are subject to the following:

2.5.1   *Administrative Ballots*

2.5.1.1   *Certification Programs Committee* – CPC is subject to policies of the *Board Committee Operations Manual* (Appendix A) and as such conducts only administrative ballots regardless of the ballot content: if conducted at a meeting, a quorum must be present and the ballot is conducted according to Robert's Rules (i.e., motion, second, discussion, vote). Passing requirements are a simple majority, and negatives are not required to be resolved. Original and revised policies, as well as other critical documents or sensitive issues are typically balloted only via web ballot.

2.5.1.2   *Certification Committees* – Administrative ballots conducted in certification committees address items such as title/mission changes, scheduling of meetings, approval of minutes, etc. This type of ballot may be conducted at a meeting or electronically. If conducted at a meeting, a quorum must be present and the ballot is conducted according to Robert's Rules (i.e., motion, second, discussion, vote). Passing requirements are a simple majority. Negatives are not required to be resolved for administrative ballots.

2.5.2   *Technical ballots* – A technical ballot is used for core/critical documents and sensitive issues that require focused attention, more time to review,

and the opportunity to receive feedback from the entire committee. Technical ballots are always conducted via electronic (web) ballots.

2.5.2.1 *Duration* – A technical ballot duration is typically 30 days; a shorter duration may be employed by Staff in recognition of the time-sensitive nature of conducting daily certification business and the relative complexity of the issue.

2.5.2.2 *Passing requirements of a technical web ballot:*

- At least half of the eligible voting members cast an affirmative vote; and
- At least 2/3 of the total votes cast are affirmative.
- Only affirmative and negative votes are counted when applying the 2/3 Rule to determine if a ballot passes.

2.5.3 *Voting* – ACI Technical, Educational, and Certification committees use essentially the same processes and policies regarding how each type of vote is addressed. Voting members may:

- Vote affirmative: no further committee action is required.
- Vote affirmative with comment: if the chair believes that the comment is editorial, the committee chair may incorporate the comment, if there are no objections by the committee. If the chair believes the comment is not editorial, or there is doubt, the chair must change it to a negative to force resolution or defer it as new business.
- Vote negative; negative votes must be accompanied by an explanation or rationale why the negative was submitted, and what change would satisfy the voter. A negative vote without comment is considered an abstention when determining if a ballot item passes, does not need to be resolved and requires no further committee action.
- Abstain: no further committee action is required. Voting members usually abstain if they do not have enough relevant expertise to cast an educated vote, or if they have a conflict of interest with the item being balloted.

2.5.4 *Resolution of negatives* – Negative votes must be resolved on technical ballots by either withdrawal or vote of the committee to find the negative voter rationale unrelated, non-persuasive, or persuasive.

2.5.5 *Items requiring further balloting* – Policy items passing certification committee ballot requiring further ballot will be prepared and balloted to CPC by the Managing Director/CPC Secretary. No policies are implemented without CPC approval. The method of balloting (meeting or web) will be

determined by the CPC Chair and Secretary according to the sensitivity and complexity of the issue.

2.6   Core/Critical Program Documentation

Committees are responsible in the described manner for the following core/critical program documentation:

2.6.1   *Certification Programs Committee*

2.6.1.1   *Certification Committee and Program Operations Manual (CCPOM)* – Development, maintenance and approval. The CCPOM includes eligibility requirements and administrative policies not addressed in individual program policies but applicable to all ACI Certification programs.

2.6.1.2   *ACI Policy on Sponsoring Groups for Certification (Appendix E)* – Maintenance and approval.

2.6.1.3   *Policies and Procedures for Quality Review of ACI Certification Exam Sessions (Appendix F)* – Maintenance and approval.

2.6.1.4   *Individual program policies* – Review and approval.

2.6.1.5   *Program Proposals and Financial Impact Statements* – Review and recommendation to the ACI Board of Direction and Financial Advisory Committee.

2.6.1.6   *New ACI Certification Program Development Process* – Review and approval (Appendix G).

2.6.2   *Certification Committees*

2.6.2.1   *Individual program policies* – Maintenance and submittal of proposed changes to CPC. All proposed changes to the operation of programs must be considered in the form of revisions to the individual program policy document in full.

2.6.2.2   *Job Task Analysis (JTA)* – Maintenance and approval (one per program; review/revise/reapprove every three years minimum).

Exception: If a JTA is revised in a manner that requires a change to the technical content of a program or a significant change to the established knowledge or skill set of individuals certified by the program (e.g., a change that impacts safety, liability, or the logistical ability of ACI Sponsoring Groups to administer the

program), the individual program policy will be revised accordingly and any approved changes at the certification committee level are balloted to CPC with a rationale that describes the anticipated impact of the proposed changes.

2.6.2.3 *Eligibility requirements* – Maintenance and approval (one per program; review/revise/reapprove every three years minimum).

2.6.2.4 *Exam Questions* – See Section 2.7

2.6.2.5 *Exam Question Blueprint (EQB)* – Maintenance and approval (derived from and reconciled with the related JTA each time revisions are made to the JTA). If significant changes as described in 2.6.2.2 are pending, the EQB is not implemented until the revised program policy has been approved.

2.6.2.6 *Performance exam checklists, handouts used during the performance exam, and administrative instructions (if applicable)* – Maintenance and approval.

2.6.2.7 *Grading rubric(s) and instructions (if applicable)* – Maintenance and approval; included as annexes to individual program policies.

2.6.2.8 *Education/Work Experience forms and instructions (if applicable)* – Development and approval of form criteria and requirements; staff designs the forms.

2.6.2.9 *Study aids, including pages accompanying technical resource documents in program workbooks (if applicable)* – Development, maintenance and approval.

2.6.2.10 *C 601 only: Program Proposals and Financial Impact Statements* – Review and recommendation to CPC.

2.6.2.11 *C 601 only: ACI New Certification Program Proposal Development Outline* – Maintenance and recommendation to CPC.

2.6.3 *Subcommittees developing new certification programs*

2.6.3.1 *Market Surveys* – Development, distribution and incorporation into the Proposal and FIS.

2.6.3.2 *Program Proposals and Financial Impact Statements* – Development and recommendation to C 601 and CPC.

2.6.3.3   *Individual program policies* – Development and recommendation to C 601 and CPC.

2.6.3.4   *Job Task Analysis* – Development (one per program), approval and attachment as an Annex to the individual program policy recommended to C 601 and CPC.

2.6.3.5   *Eligibility requirements* – Development (one per program), approval and attachment as an Annex to the individual program policy recommended to C 601 and CPC.

2.6.3.6   *Exam Questions* – See Section 2.7.1.

2.6.3.7   *Exam Question Blueprint* – Development and approval (one per JTA), not fully implemented until CPC has approved the individual program policy.

2.6.3.8   *Performance exam checklists, handouts used during the performance exam, and administrative instructions (if applicable)* – Development and approval.

2.6.3.9   *Grading rubric(s) and instructions (if applicable)* – Development and approval; included as annexes to individual program policies.

2.6.3.10 *Education/Work Experience forms and instructions (if applicable)* – Development and approval of form criteria and requirements; staff designs the forms.

2.7   Exams and Exam Questions

Exams are handled in a manner that limits committee exposure to final exam forms to maintain the security and integrity of the exam. They are not balloted electronically in the same manner as the core/critical documents.

2.7.1   *Exam Question Creation* – A pool of exam questions at least three times (3x) the number needed for an exam form is created by the C 601-# Subcommittee following approval of and using the Exam Question Blueprint derived from the approved Job Task Analysis. The questions must be written following the guidance of the ACI Guide to the Composition of Question/Answer Sets for ACI Written Examinations available on each certification committee and subcommittee website. All written questions in the pool are reviewed via a series of web-based meetings by a quorum of the C 601-N committee, facilitated by ACI Certification Staff. Once review of the pool questions is complete, Staff assembles exam forms according to the EQB. Committee members, including Chairs are not allowed possession

of active exam forms, nor allowed to retain copies of any active exam questions.

2.7.2   *Exam Question Maintenance* – Staff monitors exam and exam question performance via statistical analysis and will periodically solicit committee review of poorly-performing questions; reviews are conducted as secure, closed web meetings. Questions performing poorly are either revised or replaced. New questions are welcome from any source, but are reviewed and approved through the same process described in Section 2.7.1 before being included in the active pool. In some cases, review of the entire exam question pool is needed to reconcile old questions to new resource materials; Staff will coordinate these reviews on a case-by-case basis in a manner that assures continued security and integrity of the exam questions.

2.8   Convention Sessions

Certification committees may request to formulate and present a session at an ACI convention. CPC is responsible for the quality of all certification sessions at ACI conventions and approves these sessions in accordance with the two‑step process that requires: 1) a Preliminary Session Request, and 2) a Final Session Request. The ACI website contains the necessary forms for requesting a session. This section serves as a guide to assist committees in organizing these sessions and Section 2.9 is a guide for possible publication of session papers. Presentations during certification sessions at ACI conventions are to be of the same quality as other ACI convention sessions and supportive of the overall effort to educate the industry about certification and promote its effective use. Presentations that promote the use of proprietary products without sufficient, objective, supporting data are generally not acceptable. Manuscripts of presentations that are to be considered for publication are subjected to the same review process as are manuscripts submitted for publication in an ACI periodical.

Special conferences, symposia, or seminars not in conjunction with ACI conventions have special requirements and are not covered in this Manual.

2.8.1   *Planning Timetables*

2.8.1.1   *Requests*

a)   **20 months prior to convention**: For proposed sessions that will include a Call for Papers/Presentations, submit a Preliminary Session Request through the ACI website; this request is routed to the CPC Liaison (e.g., Managing Director of Certification) for CPC review, and to the ACI Events Services Dept. to request a time slot.

b)   **18 months prior to convention**: For proposed sessions that will not include a Call for Papers/Presentations,

submit a Preliminary Session Request through the ACI website; this request is routed to the CPC Liaison (e.g., Managing Director of Certification) for CPC review, and to the ACI Events Services Dept. to request a time slot.

c) **16 months prior to convention:** For proposed sessions that will include a Call for Papers/Presentations and that have received preliminary approval from CPC, initiate a Call for Papers/Presentations Request through the ACI website. The Call will be routed to *Concrete International* for inclusion in the magazine.

d) **10 months prior to convention**:   If the session is approved for development by CPC, submit a Final Session Request through the ACI website.

A schedule of deadlines for each upcoming convention are posted and accessible on the ACI website and are periodically updated as new conventions are added to the schedule.

2.8.1.2 *Presentation* – Convention sessions run for two hours with presentation times configured to leave adequate time for discussion from the floor. It is possible for six talks to be presented if each speaker's time is limited and the moderators keep control of the session and discussion.

CPC and the Convention Committee require that a timetable of speakers be published in the convention program and posted at the door of the session room. This allows for convention attendees to plan their time to hear specific talks.

2.8.2 *Initial Planning*– A certification committee would typically volunteer to sponsor a session, but CPC may request that a committee perform such an assignment. CPC may form an ad‑hoc committee to organize a specific session. The committee identifies a Session Coordinator as a committee contact to ensure communication lines are established and deadlines met. Where appropriate, the committee should consider inviting other certification, educational or technical committees to be co-sponsors of the session. Session topics should relate to the convention theme, but this is not an absolute requirement. Potential session topics may include presentation of new certification programs, case histories, panel discussions to solicit information for program content or new program development, or other timely topics that the committee feels will be of interest to convention attendees. After deciding to sponsor a session, the committee selects a session moderator. A co-moderator should also be identified, and a subcommittee may be organized to assist in selecting session presentations.

2.8.3   *Preparing a Request for CPC Review* – The committee chair or session moderator submits the preliminary request through the ACI website; the preliminary request is routed to the CPC Liaison. The information contained in the request should indicate to CPC that the committee has given advanced thought and planning to the session objective and has chosen proposed session topics that will be of widespread interest. Requests for sessions to cover more than two time slots will require persuasive reasons.

2.8.4   *Initial CPC Approval* – CPC reviews the preliminary request and makes a decision to accept it, reject it, or request additional information before making a decision. When CPC approves a session, the requested time slot(s) is reserved at either a Spring or Fall convention. The session moderator will be notified of this initial approval or rejection by headquarters. If the session is initially approved, the session moderator should then begin selection of the speakers.

2.8.4.1   *Sessions Honoring Prominent ACI Members* – The ACI Board of Direction approved a policy in 1991 for honoring prominent ACI members at conventions with the requirements that:

1)   The individual has made an outstanding contribution to the Institute and the concrete industry;
2)   ACI Staff has the responsibility of processing the request;
3)   The proposals for sessions and dinners to honor an ACI member should be submitted for consideration by a Board committee;
4)   The sessions and dinners be approved at least one convention in advance; and
5)   The sessions and dinners shall not conflict with the Opening Reception, the Excellence in Concrete Awards Gala, the President's Reception, or the Concrete Mixer.

2.8.5   *Session Moderators* – The session moderator and co-moderator are required to view a training video prior to their scheduled session. The training video is accessible through the ACI website. Final approval of the session by CPC shall not be granted if this requirement is not fulfilled.

2.8.6   *Speakers* – There are several sources of prospective speakers: the committee itself, known authorities in the subject field, or a "Call for Papers or Presentations."

2.8.6.1   *Call for Papers or Presentations* – Calls for Papers or Presentations are published announcements on the ACI website and in *Concrete International* requesting people to submit abstracts for

presentation at ACI conventions or other meetings. The "call" should state explicitly whether a manuscript is expected to be submitted if the abstract is selected. Timing is critical to obtain the best results from the notices. The following gives a timetable of actions needed for a Call for Papers or Presentations:

a)   **18 months or sooner before the convention**: Initiate a Call for Papers/Presentations Request through the ACI website. The Call will be routed to *Concrete International* for inclusion in the magazine. There is a 3-month time lead until publication in *Concrete International*.

b)   **13 to 15 months before the convention**: Staff will publish a notice in three consecutive issues of *Concrete International*.

c)   **Nine months before the convention**: All abstracts shall be received so that final speakers can be selected and pertinent information sent for CPC final approval at the Spring or Fall CPC meeting prior to when the session is to be held, and for advance publicity and mailings.

This is a minimum time schedule. The session moderator has little time between the last (third) published notice and mailing the information to headquarters. The Call for Papers or Presentations should be issued as soon as CPC gives initial approval for the session. The "Call" should indicate the objective of the session and list examples of potential topics for presentation. The name of the person to whom the abstracts are to be sent should be given along with the deadline for receipt of abstracts and the date of speaker notification.

2.8.6.2   *Selecting Speakers* – Prospective speakers should be contacted, but no definite arrangements should be made until initial CPC approval has been obtained. At the initial contact, the speakers should have an idea of the presentation subject and possible title.

Prospective speakers should prepare an abstract of the presentation as soon as possible and submit it to the session moderator for the committee's consideration.

The sponsoring committee should carefully review the submitted abstracts for subject matter with regard to the theme of the session and especially for oral presentation. In selecting speakers, consider the quality of past presentations by prospective speakers, if such information is available. Avoid selecting speakers who have a history of failing to appear at previous conventions to make their presentations.

2.8.6.3   *Notifying Speakers* – Upon selection by the sponsoring committee, the speakers should be notified that they are on the tentative program, be informed of the allocated presentation time, and be asked to proceed with preparing their presentation. If paper versions of the presentations are to be considered for publication, indicate deadline for submission of manuscripts and approximate date for notification of acceptance. Also advise the speakers that selection of a talk for convention presentation does not guarantee publication of a paper and that manuscripts are subject to ACI review as any other paper. The Event Services Department will send appropriate forms to each session moderator for distribution to selected speakers.

It should be made clear that ACI does not pay speaker's expenses, travel, or offer an honorarium. This should be stated in the "Call for Papers or Presentations," in the invitation to submit abstracts, or in the letter advising the speaker that the abstract has been selected for presentation.

Speakers not selected for the program should be so advised. If a session publication is planned and if the abstracts have merit, those submitting the abstracts could be asked to prepare papers to be considered for publication with other papers developing from the session.

2.8.7   *Submitting a Program for Final Approval* – Final approvals of sessions are considered at the Spring or Fall CPC meeting prior to the convention during which the session is scheduled. The session moderator must submit the Final Requests through ACI's website no later than one (1) month before the Spring or Fall CPC meeting during which final approval will be considered. Submit titles of sessions and of all talks, the exact names, titles, affiliations, and addresses of all speakers and session chairs, and a three to five sentence summary of each presentation. Once all information regarding a session has been submitted, CPC will perform a final review to determine whether the session will be approved. Failure to submit the required information by the deadline noted will be grounds for CPC withholding final approval of the session. Sessions not receiving final approval by CPC at the meeting preceding the convention of the scheduled session will be removed from the convention schedule and the sponsoring committee will be notified.

If the session receives final approval, the committee will be notified. The information in the final plan will be used in the preconvention program mailing, write‑ups in *Concrete International*, and other publicity. The sponsoring committee should arrange for appropriate local publicity, specialized publicity, and attendance from particular groups that might be interested in the session.

2.8.8   *ACI Staff Assistance* – ACI staff will secure the necessary standard presentation equipment for the session once headquarters is advised of the committee needs. Headquarters sends copies of authors' guides and guidelines for preparing slides to session moderators for distribution to the speakers.

2.8.9   *Review of Presentations* – Quality presentation materials are important to the overall quality of a presentation. CPC encourages speakers to prepare materials using commercial presentation software and to contact certification staff with any questions. The session moderator should arrange for review of the presentations at least one month before the convention. Presentations that do not meet minimum standards are not be permitted to be shown.

2.9   Publication of Session Papers

The committee may wish to publish papers from convention sessions or a symposium in a Special Publication (SP). A minimum of 10 papers is recommended for an SP. ACI SPs are published in CD-ROM format. Individual authors are encouraged to submit their papers for consideration by an ACI periodical if a collection of papers as an SP is not planned. An SP may include papers from convention sessions, papers submitted but not presented, and other papers dealing with the same subject matter received by the Institute and approved by the committee for inclusion in the SP. Papers must be original unless otherwise approved by CPC.

Ideally, the SP should be available at the time of the session. This requires careful planning, coordination with the SP and Session Coordinator, and a rigid timetable for manuscript submissions and reviews. Session and SP deadlines are available on the ACI website.

Final manuscripts and all backup material must be submitted at least 3 months before the session to ensure that the SP will be available for sale at the convention. In many cases, however, the SP will be published after the session. In this case, final manuscripts and all backup material must be submitted to the SP and Session Coordinator within 2 years of the session.

Information on obtaining CPC preliminary and final approvals and preparing an SP can be found on the ACI website.

2.9.1   *SP from conferences outside ACI conventions* – CPC may consider requests to publish proceedings from technical sessions held at conferences outside an ACI convention, provided the following requirements are met:

(a) The conference must have formal co-sponsorship by ACI

(b) The session must be associated with an ACI certification committee

(c) A financial agreement must be in place for publishing the SP

(d) ACI's SP procedures must be followed on all papers

Co-sponsorship by ACI requires the approval of the ACI Executive Vice President. Submit the request, along with a discussion of the financial implications for ACI to the SP and Session Coordinator.

2.9.2 *SP honoring an individual* – SPs honoring an individual can have a title and preface dedicated to the individual. The preface should be no more than 1 page (approximately 600 words). The preface should discuss the individual's contribution to the concrete industry.

2.9.3 *Preliminary CPC approval* – When a decision is made to publish an SP, the committee should submit an online preliminary SP request form to the SP and Session Coordinator before proceeding with production of an SP. This request should:

(a) Identify the SP editor(s), including contact information

(b) Provide a brief overview of the proposed SP

(c) List proposed paper titles and authors, including their contact information (this requirement may be waived if a call for papers is planned to be issued in *Concrete International*)

(d) Provide a timetable leading to the publication of the SP

CPC approves or declines preliminary SP requests based on appropriateness of the subject matter and anticipated usefulness of the publication.

2.9.4 *Preparation of papers* – Information on the ACI website includes:

(a) Information for SP editors (processing information, initial and final approval requirements, initial and final paper submission checklists, calls for papers, review forms, and paper awards criteria)

(b) Information for SP paper authors (manuscript guidelines and copyright transfer form)

Some papers presented at a convention session might not be published. Experience shows that some oral presentations cannot be adapted to written format. After the SP editor selects presentations for the session or symposium publication, notify the presenters promptly that an SP is planned, and invite them to prepare a manuscript for review. Give authors a firm deadline for submission of manuscripts. If possible, provide original manuscripts before the actual presentation.

2.9.5 *Review of papers* – CPC generally delegates coordinating the reviews of SPs to the SP editor. The editor selects at least two qualified reviewers for each paper. Except in special cases approved by CPC before papers are reviewed, a reviewer must not review more than 25 percent of the papers for any SP or 10 papers, whichever is less.

The editor should provide the SP and Session Coordinator with a list of the reviewers and how many papers each reviewer has been assigned. When the SP editor has authored one of the papers, the editor shall submit that paper to the SP and Session Coordinator, who will assign anonymous reviewers.

Reviewers follow the criteria listed in the manuscript review forms available on the ACI website. Reviews should be returned to the editor within 30 days. At least two reviewers must recommend publication. If one of the two reviewers do not recommend publication, a third reviewer shall be assigned.

The editor provides authors with copies of anonymous review comments and instructions for submitting final manuscripts. Authors must address review comments in preparing their final manuscripts and must provide an explanation to the editors why particular review comments were not incorporated into the final manuscript.

The editor is responsible for determining that the final manuscript addresses all review comments in a satisfactory manner. Final manuscripts for all papers, along with all reviews, a preface providing background information and a summary of the SP contents, and any other information requested are then submitted to ACI staff for final CPC approval.

2.9.6   *Final CPC approval* – For final CPC approval, the committee must submit a final SP request to the CPC Liaison, including the completed SP, the table of contents, preface, all papers, the reviews for all papers with the reviewers' names, and the copyright transfer forms. CPC reviews the final documentation and verifies that procedures have been followed. Following CPC approval, ACI staff prepares materials for publication of the SP.

PART 2 – PROGRAM OPERATIONS

3.0 New Program Development

3.1 Overview

A new ACI Certification program may be initiated if a need for that program is recognized, qualified volunteers are willing to draft the documentation required for committee review approval, launch and maintenance, and it is determined to be deliverable by ACI through a suitable conduit (i.e., available in a fashion sufficient to support industry requirements for the program). ACI programs are under the sole control of ACI as the certifying agency. Programs for proposal are first presented to CPC in the form of an initial submission. If approved by CPC, the group bringing the proposal forth will be formed into a subcommittee under C 601 *New Certification Programs* and begin work on a formal *Proposal and FIS* with the close assistance of Staff. Groups considering bringing new programs to CPC should first read: *What to Expect When Bringing a Proposal to ACI for Development of an ACI Certification Program* (Appendix H)

3.2 Development of a Program Proposal and FIS

The *New ACI Certification Program Development Process* (Appendix G) is a map of the development process from program genesis (initiation) to launch, including development and presentation of a formal *Proposal and Financial Impact Statement* (FIS) to the Financial Advisory Committee and ACI Board of Direction for consideration. The process is structured to ensure that information gathered to assess the initiative (merits, weaknesses and challenges) is complete, accurate, and that each committee or subcommittee involved in its review has all of the information necessary to return an educated decision regarding proceeding with development and implementation. Once a program is approved by the ACI Board of Direction, it is remanded to CPC oversight and subcommittee development.

Depending upon the nature of the initiative, elements of the *New ACI Certification Program Development Process* may be either truncated or expanded to ensure as thorough and accurate treatment of the subject as possible.

3.3 Development of an ACI Board-approved Program

Once the Proposal is approved by the ACI Board of Direction, the subcommittee begins to develop all core documents (See Section 2.6.3, 3.3.1) and perform all procedures necessary to launch the program. Note that it may be necessary for the subcommittee to produce working drafts of these documents to support development of the formal *Proposal and FIS*. It is the subcommittee's prerogative to slow the development of the *Proposal and FIS* to develop this information, gain critical perspective regarding the structure of the program, and arrive at a consensus that the subcommittee feels will reflect the ultimate form of the program. Minor changes typically take place during the core document development phase, but major departures from the approved *Proposal*

and FIS at the subcommittee level may require reassessment by the committees overseeing the initiative.

3.3.1   Core Documents

3.3.1.1   *Individual Program Policies* – This document describes the structure and operation of specific certification program(s), including criteria for participant certification and recertification, requirements for administrative personnel, and any information specific to the program regarding its operation (program resources, length of exam, time allotted to complete exam, scoring criteria, etc.). Compulsory Annexes to the Policies are:

- Job Task Analysis
- Eligibility Requirements
- Grading Rubric(s), for performance-based (skills) assessments.

Program Policies must be reviewed by ACI Legal Counsel and approved by CPC prior to Beta-testing (Section 3.3.2.1).

Frequency of Retesting – Examinees failing any examination must wait to retest until they receive their exam results directly from ACI to schedule a retest. In the case of exams administered by ACI's Computer-based Testing vendor the examinee may retest after a one week waiting period.

Duration of Certification – ACI Certifications are 5 years in duration, unless specified otherwise in the individual program policies. Justification of duration other than 5 years must be provided and approved by CPC via approval of the Individual Program Policy.

Recertification – Recertification may be in the form of retesting (written or performance or both), submittal of continuing education, continuing work experience, or a combination of any of these. Other forms of recertification may be considered by CPC on a case-by-case basis through the Policy approval and Policy revision approval process.

3.3.1.2   Job Task Analysis (JTA) – This document is a detailed list of the fundamental elements of a job, and examination of knowledge and skills required for the job's performance. ACI Certification further distinguishes in the JTA between general knowledge and working (specific) knowledge. Documenting the body of knowledge covered by the program in this manner ensures consistency in the

program over time as both Staff and the Certification Committee's personnel turn over. Since the JTA forms the basis for the Eligibility Requirements, Exam Question Blueprint, Performance Examinations and/or Work Experience Requirements (if skills assessment is required by the program), and serves as a guide to the exam question-writing process, it is generally the first document to be developed. The JTA may be modified at any time by consensus vote of the Subcommittee (as a program is being developed), or Committee (as a program is undergoing routine maintenance).

3.3.1.3   Eligibility Requirements – This document is a list/description of the prerequisites a potential program participant (i.e., candidate) must have in order to receive an ACI Certification. Common eligibility requirements include criteria regarding the minimum age necessary to participate in a specific program (e.g., must be legally employable in the jurisdiction of residence in the job addressed by the certification program), an amount of work experience indicating at least a satisfactory minimum competence in handling specific equipment (e.g., shotcrete nozzle), or any specific education or certification required. If no verification of physical condition or abilities is required (i.e., a physical examination or work experience indicating ability), ACI Eligibility Requirements must also include a statement regarding the physical requirements of the job (under normal conditions) addressed by the certification program (e.g., for field testing technicians: lift a 40 lb unit weight bucket onto a scale/lift, invert and agitate a 30 lb volumetric air meter, etc.). The Eligibility Requirements relate directly to any request for accommodation under the American's with Disabilities Act (ADA), and are needed to assess whether or not a requested accommodation is reasonable.

3.3.1.4   Exam Questions – See Section 2.7. ACI Staff maintains an *ACI Guide to the Composition of Question/Answer Sets for ACI Written Examinations* that describes preferred formats for objective (written) exam questions. This *Guide* is posted on every ACI Certification committee and subcommittee webpage on the ACI website. Exam questions must relate directly to information included in the JTA. If it is determined that a question should be included in the question pool that does not relate directly to the JTA, the JTA must be modified by the consensus of the subcommittee. Questions are to be rated from 1 to 100 for expected difficulty (100 being the easiest, or representative of the percentage of minimally competent individuals - persons who

adequately perform all job functions effectively - the subcommittee would expect to answer the question correctly).

At the beginning of the question writing phase, the C 601-# subcommittee must determine which subcommittee members will wish to seek certification following program launch. ACI reserves the right to impose the eligibility restriction to maintain fair and equitable programs.

3.3.1.5 Exam Question Blueprint (EQB) – This document is derived from the JTA and is a guide for the assembly of the written exam. Typically, more knowledge elements are identified in the JTA than can be reasonably covered in a written exam. In order to ensure proper coverage of the body of knowledge on the exam, and provide an effective objective assessment of the examinee, the EQB may be formulated to group together certain knowledge elements and assign a specific number of questions to that grouping from which questions are included on the written exam. The EQB is necessary to provide consistency in the coverage and balance of the exam as Staff and the Certification Committee's personnel turn over.

3.3.1.6 Performance exam checklists, handouts used during the performance exam, and administrative instructions (if applicable) – Elements of the JTA identified as skills are sometimes assessed through performance examination. Performance examination, though a logistical challenge, is preferable to verification of work experience as a skills assessment tool as it places an ACI Examiner or Supplemental Examiner in the position to directly observe the execution of the skills of the examinee. Simulations may be used as surrogates to use of actual equipment and materials in a performance exam. For example, if ACI or host venue liability concerns prevent employment of actual equipment and materials, then these concerns must be considered during development of performance examination checklists However, actual equipment and materials should be employed unless a compelling reason exists that they should not.

Performance examinations must be carefully formulated to be both an effective assessment of the examinee's skills and logistically efficient to administer. Since performance examinations are inherently subjective, the subcommittee must balance the eligibility criteria of the Examiners and Supplemental Examiners performing the evaluation and the scoring methodology used to assess the examinee's performance. The more objective information that can be developed by the

Subcommittee to assess examinee performance, the more effective and consistent the evaluations will be.

3.3.1.7   Grading rubric(s) and instructions (if applicable) – Graphic examples of passing/failing criteria, or other measurement tools are essential to programs that produce end-products to the performance exam. If a performance exam that produces an end-product (e.g., shotcrete cores, bisected hardened Adhesive Anchor test specimens, installed anchors) is employed, a grading rubric must be developed to aid in the consistency and homogeneity of grading the performance exam. Also, in these cases, criteria for the photo documentation of the end-products must be developed and implemented as they become part of the examination session records.

3.3.1.8   Education/Work Experience forms and instructions (if applicable) – If skills elements of the JTA are deemed to be adequately addressed through the verification of education/work experience, criteria must be developed that ensures the method of gathering, recording, submitting, verifying and evaluating the information returns an accurate and reliable result.

3.3.2   Core Document Completion – Once the core documents are complete, Staff assembles a written exam version that accurately reflects the coverage of technical information reflected in the EQB and average passing score(s) (both overall and subtest if employed) set forth in the Individual Program Polices (Section 3.3.1.1).

3.3.2.1   Beta Testing – Once an exam version is assembled, Staff works with the subcommittee to arrange administration of the exam to a group representative of the target audience; the volume of experience possessed by each individual is recorded. During administration of the exam, additional records are kept regarding completion time and any other item pertinent to administration of the exam. Examinees are encouraged to provide detailed comments regarding the clarity and difficulty of the questions and are allowed time following expiration of the time allotted for the exam to provide the information in writing (i.e., complete a challenge form). Prior to issuing results of the exam, the subcommittee fully reviews the performance statistics of each question, including the challenges, and makes adjustments as deemed necessary to clarify the exam and bring the difficulty as close as possible to the established cut score(s). Alternatively, the cut score may be changed if it is believed that the exam as presented accurately represents the committee's standard for competence.

The Beta testing phase may be repeated as necessary to hone the exam and scoring; the goal being to provide the most understandable and equitable exam possible. If possible, groups participating in the beta test phase should be geographically and experientially diverse.

3.3.2.2   Passing Score Study – As an alternative to the process described in 3.3.2 and 3.3.2.1, a Passing Score Study may be conducted. A Passing Score Study determines the passing score for an exam with a given set of questions. This method of producing exam forms employs a population (minimum 12) of the target audience (both geographically and experientially diverse) to take the exam under typical conditions. The exam must be held in one location and at one time. Following exam administration, the group reviews and rates the questions. This information is processed and the passing (or cut) score is derived for that version of the exam.

Note that this method of exam assembly does not easily accommodate publishing of passing scores, but it is psychometrically sound and is acceptable if accreditation for the program to ISO 17024 will be sought. It may also be relatively expensive and difficult to coordinate depending upon the target audience for the program.

4.0 New Program Launch

4.1   Soft Launch

Once Beta testing is complete and the subcommittee believes the exams, policies and support materials are cohesive and ready for launch, the program is released for administration in a limited fashion. If released through the Sponsoring Group network, several geographically diverse Groups are solicited; if not released through the SG network, individual sessions are arranged directly by or through ACI to further add to the number of tests taken. A program will remain in the "soft launch" mode until 300 target-audience exams have been administered for a single exam version. This is the threshold number needed to derive valid statistical data for the exam version and serves as a final check of exam validity and clarity.

4.1.1   Discharge of C601-# subcommittee – During the soft launch phase, the C 601 subcommittee is discharged. If the program logically fits under an existing certification committee, responsibility for that program's maintenance is remanded to that committee, the Chair of which will consider adjustments to the size and constituency of the committee to accommodate assimilation of the program. If the program does not fit

under an existing committee, a new certification committee will be formed to maintain the program.

4.2 Hard Launch

Following completion of the soft launch, the program may be released to the industry in a wider fashion. The method of release will depend upon the delivery method determined through the deliverability survey performed for development of the Proposal and FIS. A program may be eligible for hard launch at the World of Concrete, however, since this involves considerable Staff coordination and resources, planning must take place well in advance and clearance obtained from ACI governance.

5.0 Program Maintenance

5.1 Overview

Once an ACI Certification Program is launched and the new Certification (C NNN) Committee established following dissolution of the C 601 subcommittee, the new Certification Committee is required to meet at least annually at an ACI Convention. Typical meeting discussions include program activity, marketing strategies, promotion efforts, and policies. Occasionally, the Committee may be required to review feedback or correspondence that cannot be adequately addressed by Staff referencing the Policies. The Committee is responsible for review and response to Appeals from examinees if prior appeal responses do not satisfy the complainant. The primary purpose of the certification committee, however, is the continual review and adjustment of the program materials to maintain the accuracy, equity, and relevancy of the certification program for which they are responsible. Maintenance of the program materials facilitates consistency as committee constituency and ACI Certification Staff change. Following is a breakdown of the materials and review cycles for which the certification committee is responsible.

5.1.1 Core Documents Revision Requirements

5.1.1.1 Individual Program Policies – Every three years minimum but may be revised as needed based on feedback. Feedback may originate from a variety of sources including but not limited to: examinees and their employers, Examiners, Sponsoring Groups, Staff, ACI Legal Counsel, ACI Committee Members, ACI Governance, direct and related industry representatives, etc. Upon approval of revisions by the Certification Committee, the revisions are sent to CPC for review and approval.

5.1.1.2 Job Task Analysis (JTA) – Every three years minimum but may be revised as needed based on feedback or revision to the source materials.

5.1.1.3   Eligibility Requirements – Every three years minimum but may be revised as needed based on feedback or revision to the source materials.

5.1.1.4   Exam Questions – As needed based on question performance, feedback, or revision to the source materials and/or JTA.

5.1.1.5   Exam Question Blueprint (EQB) – Every three years minimum but may be revised as needed based on feedback or revision to the source materials and/or JTA.

5.1.1.6   Performance exam checklists, handouts used during the performance exam, and administrative instructions (if applicable) – As needed based on feedback or revision to the source materials and/or JTA.

5.1.1.7   Grading rubric(s) and instructions (if applicable) – As needed based on feedback, revision to the source materials, or program policies.

5.1.1.8   Education/Work Experience forms and instructions (if applicable) – As needed based on feedback or revision to the JTA, EQB, or program policies. Staff incorporates appropriate revisions.

6.0 Program Administration

6.1 Overview

The ACI Certification Department maintains and distributes documentation to Sponsoring Groups and their personnel (as defined in Section 6.2) describing in detail the work processes that govern the ordering confirmation, validation, fulfillment, receipt/verification, return, and processing of exams and education/work experience forms; generation and distribution of all reports and credentials. Many of those processes are presented here in summary only and Sponsoring Groups and their personnel are directed to refer to *ACI Certification Protocol: Exam Materials Handling and Reporting of Session Results* (Appendix I) for more detailed information. This section also contains the administrative policies common to all programs. Individual program policies containing the latest information specific to ACI Certification programs are available in the certification area of ACI's website (www.concrete.org)**.**

6.2   Sponsoring Groups

In 1991, ACI Certification adopted the *ACI Policy on Sponsoring Groups for ACI Certification* (Appendix E). Under this model, individuals are organized into and operate collectively as a "Sponsoring Group" (SG). ACI-approved SGs are required to identify and organize constituent personnel, as described in Section 6.2.1. Each SG and their constituent personnel are charged with executing activities necessary to administer certification examinations in a secure and equitable manner within a defined geographical jurisdiction according to ACI policies and procedures.

6.2.1   *Sponsoring Group Personnel* - In applying for approval to conduct ACI Certification examinations and for the duration of their ACI authorization, SGs are required to identify, maintain, and report to ACI current contact information for persons to serve in the following positions/designations (SG personnel):

6.2.1.1   **Primary Contact –** This individual's responsibilities include but are not limited to:

a.   Serving as the primary liaison and information conduit between the SG's personnel and ACI Staff;

b.   Authorizing ACI-approved Examiners to conduct exam sessions through their SG, and notifying ACI of that authorization;

c.   Overseeing daily SG organizational and operational compliance with ACI Certification policies, including submission to ACI of applications, forms, and statements related to SG operations and current contact information for new SG personnel as changes are made;

d.   Serving as their SG's primary contact for ACI Certification stakeholders within their geographical jurisdiction;

e.   Serving as their SG's primary contact for candidates seeking to register for ACI Certification exam sessions;

f.   Posting and/or distributing their SG's ACI Certification exam schedule, fees, and registration information.

g.   Ordering exam materials, receiving exam materials shipments, verifying shipment contents are correct for the sessions scheduled, distributing exam materials to Examiners, preparing for pickup or returning exam materials to ACI, or, alternatively, authorizing SG Examiners to perform these responsibilities directly. *Note: SGs authorizing Examiners to function in this autonomous manner are still required to provide proper oversight of Examiner activities and enforcement of policies.*

6.2.1.2 **Secondary Contact** – This individual serves as the backup contact to the Primary contact for all responsibilities assigned to the Primary Contact. This position is designed to ensure continuity of SG operations and continued compliance in the absence of the Primary Contact.

6.2.1.3 **Invoicing Contact** – This individual is designated by the SG to receive invoices for materials and services from ACI and is the ACI Staff's contact for SG payment issues.

6.2.1.4 **Certification Board/Committee Member** – A <u>minimum</u> of three (3) individuals representing three (3) different organizations operating within the SG's assigned geographical jurisdiction offering three (3) different products or services is required to be organized to provide consensus oversight of the ACI Certification operations of the SG. SGs should be careful to assemble their board/committee to balance the interests of all interested stakeholders operating within the SG's geographical jurisdiction (e.g., project owners, government representatives, materials suppliers, testing and inspection agencies, contractors, engineering services, academia, etc.). At least one member of the board/committee must be a member of ACI at the national level. Each Board/Committee member must submit their contact information/qualifications on an *ACI Board/Certification Committee Member Qualification Statement* either directly to ACI, or to the Primary Contact for submission to ACI.

6.2.1.5 **Examiner** – For each examination conducted or sponsored by the SG, a minimum of one ACI-approved Examiner is required to be authorized by the SG and available to conduct ACI Certification exam sessions for the SG. It is permissible for a single Examiner to be approved by ACI and authorized by the SG to conduct multiple types of exams. Potential new Examiners must first contact an SG, who may elect to work with them toward approval as an Examiner. In established areas, only an SG may request an application to be sent to an Examiner candidate; ACI reserves the right to initiate the Examiner application and approval process for new SGs and in special circumstances. Qualifications submitted on the application are considered separately for each ACI Certification program for which approval is sought; some programs require specific industry experience and may require additional vetting of potential Examiner qualifications, and/or additional qualification processes that must be completed by the potential Examiner. To be considered for approval, Examiner candidates must read and agree to abide by the policies and

procedures contained in the *ACI Examiner Policies and Procedures* (Appendix J).

In order for an SG to maintain authorization from ACI, all SG personnel must adhere to all ACI policies and procedures and to apprise themselves of all updates to ACI policies and procedures. The policies and procedures, including those described in this Manual, are in a state of perpetual revision; SG personnel will be notified via email and in exam session materials packages as needed when policies and procedures change, and those changes will be incorporated into future editions of this Manual as they occur. Failure of SG personnel to adhere to all policies and procedures may result in individual and/or collective revocation of authorization to access and administer ACI Certification exam materials.

SGs or SG personnel whose authorization has been revoked will be notified in writing along with an explanation of the reason for the revocation. SGs or SG personnel may appeal the decision to ACI Certification Staff in writing within 30 days of receipt of the revocation notification. The written appeal must include all supporting documentation to be considered during the appeal. Any materials received after 30 days will not be considered. Appeals are reviewed, and a final determination is made by ACI Staff and the Certification Programs Committee Chair.

6.2.2 *Program Approval* – ACI program approval is issued on a program-by-program basis based upon an SGs immediate capability (i.e., adequate personnel with appropriate expertise, venue, equipment, materials, etc.) to conduct the program, plans to schedule and conduct sessions on a regular basis, and intentions to actively promote the program. Once approved to conduct a program, an SG should schedule and promote a session within six months of approval. If a session is not conducted within this time frame, ACI Staff and the SG will review the program and determine how to it may be better promoted. If additional efforts do not increase interest, the program may be removed from the SG's list of authorized programs. This is to ensure that individuals seeking ACI Certification are directed to SGs that can readily assist in providing testing in the program they are seeking.

In recognition of awarding exclusive jurisdictions in which to offer ACI Certification programs, ACI expects approved Sponsoring Groups to promote ACI Certification programs in a highly-visible manner. Many SGs administer non-ACI tests in conjunction with ACI Certification programs. These may be rider exams developed by Departments of Transportation or other regional or local governmental organizations or agencies. In most cases, these exams address content not contained in ACI programs. In some cases, however, qualifications offered by non-ACI programs may be in direct competition with ACI Certification programs. In these cases, ACI reserves the right to either rescind authorization to conduct ACI programs

or change the status of the SG's assigned jurisdiction to 'non-exclusive' so that ACI may explore approval of another organization in a position to better serve ACI's interests. Action is considered and taken on a program-by-program basis.

6.2.3   *Indemnification* – When performing activities related directly to administering ACI Certification Examinations, ACI-approved Sponsoring Group personnel are considered agents of ACI and are indemnified by ACI. Since ACI Certification programs do not require candidate participation in educational or training sessions, ACI indemnification is restricted to examination activities and does not extend to activities related to educating or training candidates in preparation to take ACI objective (written) or performance exams. Sponsoring Groups and their personnel must adhere to the policies in this Manual and individual program policies during the execution of all ACI examination activities to retain indemnification by ACI.

ACI Chapters are required to carry liability insurance which includes coverage for educational activities to prepare candidates for ACI certification exams. SGs that are not ACI Chapters are advised to obtain insurance to cover educational programs if offered.

6.2.3.1   *Certificate of Insurance* – Occasionally, SGs contract with commercial venues (e.g., hotels) to hold ACI Certification examination sessions. A Certificate of Insurance is available to provide to these vendors as proof of insurance/indemnification for the examination event by contacting the ACI Accounting Department directly, or through the ACI Certification Department.

6.2.4   *Communication and Compliance with Policies and Procedures* – In addition to the responsibilities listed in the *ACI Policy on Sponsoring Groups for Certification*, Sponsoring Groups are required to follow established procedures to order, receive, verify, administer, organize, and return ACI Certification examination materials. These procedures are conveyed in writing at the time a SG is approved, and changes to these procedures are conveyed on an interim basis via email. All policies and procedures are designed to protect the validity and integrity of the programs as well as protect ACI's intellectual property (i.e., exam questions). Requests for a waiver of any established policy may be made to the ACI Certification Department; however, granting of any waiver is contingent upon ACI satisfaction that the waiver will not result in the compromise of the validity, integrity, or security of the program(s) or its assessment tools (i.e., exams). Communications between the ACI Certification Department and the SG are typically through the SG's designated Primary Contact for matters concerning organizational and operational oversight issues, the

structure and contacts of the SG, programs offered, and the authorized Examiner roster. Communications from ACI (e.g., regarding changes to programs, policies, or procedures) are sent via email as needed to all SG personnel identified by the SG in the SG personnel record on the ACI website accessible and maintained by the SG Primary Contact.

6.2.5 *Non-compliance with Policies and Security Breaches* – If ACI learns or suspects that any ACI Certification exam session has been administered in a manner inconsistent with ACI policies, or if ACI suspects that a breach in examination security may have occurred compromising the results of an exam session, a protocol to research, communicate and take action to remedy the issue has been established and is contained in the *ACI Certification Exam Security Breach Protocol* (Appendix K). Each occurrence will be addressed on a case-by-case basis with resulting action dependent upon the severity and nature of the issue. If ACI Certification Staff become aware of potential policy non-compliance, SG personnel will be notified accordingly. Most times ACI communicates with the Primary Contact, however, Staff reserves the right to contact individuals they believe to be in the best position to assist Staff with the issue at hand.

> *Notification* – SG personnel must notify ACI of any suspected or alleged instance of non-compliance or security breach immediately upon learning of the issue by phone (see Appendix K) to the Managing Director of Certification, Manager of Certification Operations, and the Certification Technical Manager, and by email to aci.certification@concrete.org.

6.2.6 *Separation of Training and Certification* – Participation in training/educational programs to prepare candidates for testing, while strongly encouraged by ACI, is not required for certification. To the extent feasible, Instructors who conduct educational programs to prepare candidates should not participate in the testing of those same candidates. This is designed to preclude Instructors from consciously or unconsciously teaching to pass the exam rather than teach the entire body of knowledge reflected in the scope of the program (i.e., job task analysis). Examiners must not use exam materials as training material in any manner (e.g., distribute or convey any examination material in any format to anyone outside of the controlled examination room on exam day).

6.2.7 *Study and Exam Reference Materials* – ACI Certification exams are derived from technical resources identified and selected for use by ACI Certification Committees. When ACI is not the copyright holder, ACI obtains permission and pays fees to the copyright holders (e.g., ASTM, AASHTO, etc.) to reprint and distribute these materials in the form of official/original ACI-printed Workbooks and Reference Packages to

support candidate preparation and, in some cases, provide approved resource materials for open-book ACI Certification exams.

Note: In infrequent cases, such as the Concrete Construction Sustainability and Resilience Assessor program, candidates are directed to print their own technical resource materials from websites distributing materials provided for free by the copyright holders/authors.

While ACI encourages certification candidates to purchase official/original ACI study and reference materials from ACI or a Sponsoring Group, it is not required. Technical resources obtained directly from copyright holders (either hard copy or printed from electronic subscriptions) or photocopied with permission from the copyright holder may be used, however, the following requirement applies:

> Candidates choosing to use resource materials must possess either official/original ACI-printed materials, or printed permission from the copyright holder accompanying their printed/photocopied materials.

SGs are urged to include a statement in their registration materials advising registrants of this requirement. Instructors conducting educational reviews are urged to: 1) check the participant's resources according to the requirement; 2) prohibit materials not meeting the requirement from the review session; and 3) provide information to ACI Certification for follow up with the individual's employer.

Examiners should check candidate resources brought for use in open-book exams not only for this requirement, but also that they meet the requirements of the individual program policy. Examiners must ensure that the materials have not been used/annotated/marked by prior examinees indicating answers to exam questions. If it is determined that the resources may have been marked as such, the SG may either supply an examinee with a clean resource package or reschedule the examination.

6.2.8   *Website* – Every SG must employ the use of a website. At a minimum, the website should display current contact and registration information and current ACI Certification examination schedule. SGs that do not have a website may contact ACI for guidance.

Note: ACI has arranged with StarChapter to provide website services to ACI Chapters under a very competitive fee structure which may be extended to non-Chapter SGs. Websites arranged through StarChapter are e-commerce capable if the SG wishes to set up program registration.

6.3 Registrations

ACI Certification does not employ a central registration system. Each SG, therefore, is responsible for registering candidates to take ACI Certification exams through their SG. Because testing is being conducted to receive an ACI certification, the SG (as an agent of ACI) and each candidate are essentially entering into a contract to provide and receive testing and evaluation services.

Note: When the Sponsoring Group administrative model was introduced in the early 1990s, one of the desired effects was to coalesce resources within assigned jurisdictions to provide an organizational framework capable of supporting the need/desire for certification in a consistent manner across the SG network. While some organizational latitude has been afforded to maintain coverage in some regions, as the number of programs and participation volume has grown, ACI is under increasing pressure to further homogenize the registration process. ACI will likely be required in the future, to implement a registration protocol requiring individuals to first register with ACI to capture demographic information, verify candidates have met eligibility requirements, and ensure that ADA requests are processed consistently. While implementation of such a system is not in the immediate future, SGs are encouraged to begin preparing for it by implementing a single-point registration system at the SG level (i.e., assigning one person to take registrations and payments, process cancellations and ADA requests, and receive and pay ACI invoices for materials and services). This will facilitate implementation of an ACI-centralized registration system in the future.

6.3.1 *Registration Forms* - Information that is required from each candidate and the language to be included in each SGs registration forms to clarify the conditions under which each candidate participates in the certification process are provided by ACI in Mandatory Information to be Included in ACI Certification Candidate Registration Forms and Instructions (Appendix L). A Candidate must complete and sign the registration form and submit it to the SG. It is the responsibility of the SG to verify candidates' eligibility by reviewing the registration forms before accepting them to participate in an ACI Certification examination session. Candidates must bring Government-issued photo identification to the exam session.

Note: As ACI Certification Committees develop and revise their programs' core documentation, standardized registration forms will be created and distributed reflecting each programs' eligibility requirements. Registration information must include a description of physical activity required, Personal Protection Equipment the candidate is required to bring, and emergency contact information.

6.3.2   *Special Requests*

6.3.2.1   *Americans with Disabilities Act* (ADA) – Candidates requesting special accommodations enabling them to participate in ACI Certification examinations must submit a letter from their primary physician to ACI, either directly or through the Sponsoring Group, describing the physical challenge and providing a proposed solution (e.g., more time, a reader for the questions, physical assistance, etc.). If initially received by the SG, the SG must forward the request and physicians letter to ACI for direction. Since the notification and formulation of appropriate accommodations takes time, candidates must make their request and submit the physician letter to ACI in a manner that provides adequate time to review the request, formulate appropriate accommodations, arrange for their availability at the session, and accept the registration (See Appendix M).

6.3.2.2   *Religious Observances* – Candidates are responsible for scheduling/registering to attend ACI Certification sessions in a manner that does not conflict with their personal religious practices. SGs should be sensitive of the need to schedule sessions in a manner that provides adequate access/opportunity for candidate participation with this in mind (e.g., in areas where several religious affiliations may be common, the SG should be aware of potential conflicts with religious holidays and/or practices that may affect attendance). If an SG receives a request from an examinee to leave the testing area for religious observance prior to completing the testing process (i.e., between parts of the testing process, such as between the written and performance exams), it is at the discretion of the Examiner/SG to either allow them to return that day to complete the testing process in that session or return on a different day in a different session to do so. In the former case, it is imperative that the Examiner/SG ensure that the examinee leaving the testing venue following attendance at part of the examination is the same person returning to complete the testing process.

6.4   Venues

Venues selected to accommodate ACI Certification exams must provide a proper testing environment for the type of exam being administered. ACI-approved Examiners are responsible for the review, evaluation and acceptance of venues, and must be in full control of any venue in which an ACI exam is being conducted. If an Examiner has any doubts about his/her authority over the venue or control of the exam session, the Examiner must cancel or suspend the exam session. ACI Certification sessions require a variety of PPE, depending upon the program. If the venue is a facility that requires the

use of Personal Protection Equipment (PPE), in addition to the requirements of the session, the SG should comply with the requirements of the facility and inform examinees well in advance of the testing session what they are required to bring and what will be provided by the SG. It is the SG and Examiner's responsibility to make sure that the program documentation is followed, and no candidate is tested without the use of proper PPE.

6.4.1 *Union Facilities* – ACI Certification exam sessions may not be conducted at Union facilities or any facility designated solely for Union use.

6.4.2 *In-house Sessions* – Companies occasionally employ enough candidates and possess suitable facilities and equipment to request that an SG and its Examiner conduct sessions at their company facilities. In-house exam sessions may not be presided over by an Examiner of record employed by the company providing the exam venue. The exceptions to this policy are sessions conducted by SGs who cosponsor ACI Certification with or are governmental organizations; these organizations are advised at the time of approval how they may conduct ACI Certification exam sessions.

6.4.3 *Written examinations* – The SG must provide a room with:

- Quiet/removal from external distractions

- Adequate table space and seating to provide arms-length space between examinees (and adequate room for resource materials if an open book test)

- A smooth, hard writing surface

- Pencils and erasers

- Adequate lighting

- Suitable temperature

- Availability of restroom facilities

- Freedom from visual access to posted notes, charts, screens or any other educational aids

6.4.4 *Performance examinations* – The SG must provide an area with:

- Privacy/removal from external distractions

- Adequate space between testing stations to ensure privacy from other examinees

- A location out of view from the testing area in which examinees not yet testing may await their turn

- Clipboards

- Pencils and erasers (if needed for worksheets)

- ACI approved worksheets (if needed)

- Adequate lighting

- Suitable temperature

- Availability of restroom facilities

- No visual access to notes, charts, screens, or any other educational aids posted in the room

- Properly operating equipment

- Properly prepared materials

- Access to appropriate MSDS for the materials in use

- Access to appropriate safety equipment/materials as described in the MSDS

6.5   Ordering, Receipt, and Handling (Chain of Possession) of Exam Materials

Upon approval as a SG, the primary contact of that SG is issued an account number that must be provided when placing an order for examination materials with the ACI Certification Department. The primary contact may elect or be directed by the local certification committee, to provide the number to other individuals affiliated with the SG. When placing an order for materials, the SG is required to provide ACI with the:

- Account number

- Program

- Exam date

- Exam Location

- Examiner

- Shipment contact and address

The order will be fulfilled by ACI only if: the account number is valid and for the requesting SG active (i.e., no hold has been placed on the account), the program is on the list of programs that the SG has applied to conduct, the location provided is within the assigned jurisdiction of the SG placing the order, the designated Examiner is approved by ACI for the program requested, and the shipment will be received by either the primary contact or session Examiner. Upon receipt, it is the responsibility of the Primary Contact or Examiner to review the contents of the package and verify the correct type and amount of materials have been received. If incorrect or insufficient materials have been received, it must be reported to the ACI Certification Department for further instruction.

Examination materials must be under the direct control of either the Primary Contact or Examiner throughout the receipt, administration, and return of the materials. Any deviation in this chain of possession must be requested and/or reported to the ACI Certification Department.

SGs and Examiners are urged to plan sessions well in advance and develop internal communication adequate to place, receive, and verify exam material orders well in advance of test day. SGs and Examiners that do not adhere to this protocol will be subject to additional fees to execute RUSH orders.

6.6   Conducting Examination Sessions

The following summary is derived from information gathered during committee meetings, Quality Reviews and staff interaction with program administrators. Minor modifications (e.g., sequence of events) are acceptable only if the security, integrity, fairness, and control of the exam session is maintained. More detailed instructions specific to each program are provided in the exam session materials.

6.6.1   *Split Sessions* – Many SGs split their attendees into two groups, one taking the written exam first and the other taking the performance exam first. After each group completes that portion of exam, they switch places. This is acceptable; however, Examiners, Proctors and Supplemental Examiners should take special care to ensure examinees taking the written exam first do not pass information to examinees in the performance exam group to assist them in taking the written exam, and that the same individuals who are tested on the written portion are the same individuals tested on the performance portion.

6.6.2   *Written Exam Administration Process Summary*

6.6.2.1   *Examiner control* – Examiners must be in full control of the venue and examination process and ensure that the written examinations are administered in compliance with these and specific program policies and procedures. Examiners may utilize Proctors selected in compliance with the individual program Policies to assist in administration of the written exam. The ratio of examinees to Proctors should not exceed 15:1. Exam materials, both used and unused, must not leave the exam room until the exam session has terminated, with no exceptions. Examiners must be in direct control of the written exam session: only candidates, Examiners, and proctors are allowed in the examination room. Examiners are ultimately responsible for the conduct of Proctors they select to assist in administering the written examinations and are charged with conveying ACI policies and procedures to the Proctors.

6.6.2.2   *Ensure prohibited items are not present in the examination room:*

    6.6.2.2.1   Printed materials*, including study materials, newspapers, etc.

    6.6.2.2.2   Cell phones

    6.6.2.2.3   Food and beverages, including empty containers

    6.6.2.2.4   Computers of any type, including tablets

    6.6.2.2.5   Programmable calculators

    In the case of open-book exams, individual program policies govern what materials are allowed in the exam room.

6.6.2.3   *Seating* – Seat examinees at tables set up according to Section 6.4.3.

6.6.2.4   *Exam Materials* – Distribute demographic/answer sheets and question booklets. Tell the examinees to wait before breaking the wafer seal on the exam question booklet until instructed.

    Instruction – Instruct the examinees to place their photo identification in front of them on the table. Explain proper completion of the demographic/answer sheet. Exam results are sent to the address that they provide; this information may be personal and not related to the employer name they provide. Instruct the examinees to break the wafer seal on the exam question booklet and refer to page 1. Explain the examination process as outlined on pages 1-2 of the question booklet (reprinted as a separate document and included in each exam session materials package) and include information in Sections 6.6.2.6 through 6.6.2.10.

6.6.2.5   Examinees should be provided an opportunity to use the lavatory before the start of the exam.

6.6.2.6   Examinees may not leave the exam room once the question booklets have been distributed until their exam is completed and surrendered. If the examinee must leave the room, they must surrender their exam. If they wish to return to complete an unfinished exam, they may do so ONLY in the case of an emergency, and if they are accompanied by a proctor while outside of the exam room, and it is determined that they have not accessed any printed or electronic aids while outside of the exam room.

6.6.2.7   Instruct examinees how to complete and submit work experience forms, if required.

6.6.2.8   *Challenges* – ACI employs a mechanism by which examinees may request subjective evaluation of answers provided on the written (objective) exam; ACI calls this a *Challenge*. The Challenge process is designed to be used ONLY when examinees have access to the exam questions as the examinees must provide clear and specific rationale for their answers. Challenges are to be completed before the examinee surrenders the question booklet. Additional time following the examination after the answer sheet is surrendered is to be allowed for examinees to complete their challenges. To be considered for credit, challenges must be submitted with the exam materials, be as specific as possible, and contain a rationale describing why the examinee selected a particular answer and/or how a question was perceived as deficient.

6.6.2.9   When the examinee completes the exam, or if they have a question, they are to remain seated and summon the Examiner or a Proctor by raising their hand. They may not depart until the Examiner or a Proctor clears them to leave, except in the case of an emergency; in this case, examinees must leave exam materials at the table.

6.6.2.10 Examiners and Proctors may not answer questions about the exam content. They may only answer procedural questions.

6.6.2.11 *Begin the exam* – Examiner must use an accurate time-keeping device and notify the examinees of time remaining at half-hour intervals and at 15 minutes and 5 minutes remaining.

6.6.2.12 *Verify Identity* – Once the exam begins, Examiners and Proctors must review photo identifications provided and perform a visual check to verify that the ID matches the examinee. If any question arises regarding identity, corroborating identification may be required of the examinee. Examiners and Proctors should report to ACI any anomaly in verifying the identity of any examinee.

6.6.2.13 *Monitor the examination* – Examiner and Proctors must circulate among the examinees and ensure there is no talking or behavior indicating a breach in the established test-taking protocol or exam security (i.e., cheating or copying questions onto scrap paper for retention, impaired behavior [alcohol, drugs or medical issue]).

6.6.2.14 *Suspected cheating or impaired examinee* – If the Examiner or any Proctor suspects that an examinee is cheating or impaired (alcohol, drugs, or medical issue), the examinee's exam is to be terminated immediately. In the case of impairment, the Examiner should assess the issue and take appropriate action (e.g., call the emergency contact supplied during registration). In the case of a medical emergency or if the Examiner is unsure of the reason for the impaired behavior, call 911 immediately then notify the emergency contact. As soon as practicable following resolution of the issue, an incident report must be written describing the issue and action taken. Retain a copy of the report and return a copy to ACI attached to the examinee's question booklet and answer sheet.

6.6.2.15 *Completed exams* – If an examinee completes the exam before the allotted time has expired, they may be dismissed from the exam room. When their exam is completed, they may raise their hand to summon an Examiner or Proctor. The Examiner or Proctor reviews the answer/demographic sheet and question booklet and verifies the following:

6.6.2.15.1 Demographic side has complete information and is signed by the examinee; countercheck the name and signature on the sheet with that of the photo identification.

6.6.2.15.2 Answer sheet side indicates complete and legible answer set; exam version information corresponding with the front of the question booklet is complete and accurate.

6.6.2.15.3 Question booklet has examinee's name on it and is intact (i.e., no pages ripped out).

Following satisfactory review of the answer sheet and question booklet, collect all used and unused exam materials and dismiss the examinee.

6.6.2.16 *Terminate the exam* – The Examiner or a Proctor indicates when time has expired. Examinees are instructed to close their question booklets and wait to be checked out as described in Section 6.6.2.15.

6.6.2.16.1 *Challenges* – As examinees are being checked out, ask if they wish to have additional time with the question booklet to complete their challenges. If so, they must

surrender the answer sheet and all scrap paper but may retain their question booklet for an additional 30 minutes. During this time, they are to complete the challenges with no assistance and no materials other than the booklet and a pencil/pen. At the completion of 30 minutes, they must surrender the booklet to the Examiner or Proctor. Challenges to ACI Exam questions will not be considered if not submitted with the exam materials (See Section 6.6.2.8).

6.6.3   *Performance Exam Administrative Process Summary*
It is common practice to organize the performance exam into stations covering one procedure each and have the examinees migrate from station to station carrying their entire checklist intact; other SGs separate the checklists and distribute them to each station's Supplemental Examiners for the exam, and then collate them following the exam. Either method is acceptable.

6.6.3.1   *Examiner control* – Examiners must be in full control of the venue and examination process and ensure that the performance examinations are administered in compliance with these and specific program policies and procedures. Examiners may utilize Supplemental Examiners selected in compliance with the individual program Policies to assist in administration of the performance exam; the number of Supplemental Examiners is dependent upon the organization of the performance exam but must be such that Supplemental Examiners are observing the performance of one examinee at a time. Examiners must be on site and accessible during the performance exam: only examinees, Examiners, and Supplemental Examiners are allowed in the examination area. Examiners are ultimately responsible for the conduct of Supplemental Examiners they select to assist in administering performance examinations and are charged with conveying ACI policies and procedures to the Supplemental Examiners.

6.6.3.2   *Supplemental Examiners* – Review the *Supplemental Examiner Instructions* included with the exam materials with the Supplemental Examiners. Some ACI Certifications Programs may require each Supplemental Examiner to sign a Supplemental Examiner Guidelines Roster for return with the exam materials. Take special care with new Supplemental Examiners to ensure they understand the protocol described in the Instructions and have met the criteria in the individual program policy. Make sure that all Supplemental Examiners are evaluating in the same manner. Supplemental Examiners may not ask procedural

questions that are not specifically scripted and accompanied by passing response criteria.

6.6.3.3   *Prohibited materials* – No specific materials are prohibited in the examinee holding area. Examinees may be in possession of uncompleted checklists in the examination area only for the purpose of conveying them to the Examiner or Supplemental Examiner(s).

6.6.3.4   *Exam Materials* – Distribute performance exam checklists. Examinees must complete the information at the beginning of each checklist and sign the release BEFORE being allowed to participate in the performance exam.

6.6.3.5   *Instruction* – Instruct examinees that they are to remain in the holding area away from the exam area until they are called to be tested. Provide any other logistical information based upon how the testing stations are organized and how the examinee will move from procedure to procedure (e.g., one station for all tests, or multiple stations conducting single procedures). Explain their option to voluntarily suspend one trial per procedure and restart without consulting notes. Explain that they must move from step to step in a manner indicating that they know the procedure and that excessive time spent on a step will result in failure of that step and that procedure. Instruct examinees that appeals must be made to the Examiner during the performance exam session to be considered valid.

6.6.3.6   *Begin the exam* – Examiners and Supplemental Examiners follow the instructions for each checklist as noted on the checklists.

6.6.3.7   *Verify identity* – See Section 6.6.2.12.

6.6.3.8   *Monitor the examination* – The Examiner and/or Supplemental Examiners must monitor the examinees for impaired behavior (alcohol, drugs, or medical issue).

6.6.3.9   *Suspected impaired examinee* – If the Examiner or Supplemental Examiner suspects that an examinee is impaired (alcohol, drugs, or medical issue), the examinee's exam is to be terminated immediately. The Examiner should assess the issue and take appropriate action (e.g., calling the emergency contact supplied during registration). In the case of a medical emergency or if the Examiner is unsure of the reason for the impaired behavior, call 911 immediately. As soon as practicable following resolution of the issue, an incident report must be written describing the issue

and action taken. Retain a copy of the report and return a copy to ACI attached to the examinee's question booklet and answer sheet.

6.6.3.10 *Failure and retrial* – To the extent feasible, if an examinee fails a trial, the new trial should be observed by a Supplemental Examiner different from the one observing the original failed trial. If no other Supplemental Examiner is available, the Examiner should directly observe the second trial.

6.6.3.11 *Complete the exam* – The Examiner compiles all of the checklists, reviews them, then completes and signs the summary checklist report. If the checklists are separated and collated following administration of the exam, the examinee should not be dismissed until it is verified that all of the checklists have been reattached to the checklist report.

6.7 Candidate Appeals

Appeals relate to the *administration* of the exam, **not** exam content; exam content issues are governed through the *challenge* procedure (Section 6.6.2.8). Examinees who fail either the written or performance exam and feel their knowledge or performance was not fairly assessed due to an administrative issue (e.g., disputed assessment, distractions, improper testing environment, etc.), may appeal the decision. Appeals must be made during the exam session and shall be directed to the Examiner to facilitate immediate resolution if possible, and to bring the Examiner's immediate attention to the issue for documentation and further research and action if warranted. Examiners must return a copy of the documentation with the exam materials, retaining a copy for future reference if needed.

In the event that the examinee is not satisfied with the decision of the Examiner regarding an appeal, the examinee may pursue the appeal with ACI according to the following order:

1. Sponsoring Group

2. ACI Managing Director of Certification

3. The Certification Appeals Committee [consisting of the Director of Certification; the Certification Programs Committee Chairman, and the Chairman of the individual program committee (e.g., C 610, C 620, etc.)

4. The individual program committee (e.g., C 610, C 620 etc.)

5. Certification Programs Committee

Appeals submitted directly to ACI for consideration after the exam session must be received, in writing, within sixty [60] days of the receipt of the examination at ACI Headquarters.

Appeals that are not made during the exam session will not be considered except in the case of special circumstances.

6.8   Return of materials

Instructions specific to each program are provided in the exam materials to ensure proper organization and return of materials. Examiners are required to complete and submit the *Post-Examination Report* included in each ACI Certification Examination session; the report must be complete and accurate; submittal of a falsified *Post Examination Report* is grounds for revocation of examiner status. Feedback reports are returned to Examiners to notify them of specific areas to improve.

Examination materials must be under the direct control of either the Primary Contact, Secondary Contact in the absence of the Primary Contact, or Examiner from receipt of the exam materials to turning the materials over to a shipping agent for traceable return of the materials. Any deviation in this chain of possession must be requested and/or reported to the ACI Certification Department.

6.9   Quality Review (QR) Program

ACI Certification has established a Quality Review Program to facilitate independent evaluation of SG operations for the purpose of enhancing the quality of the ACI Certification exam administration and ensuring compliance with established policies and procedures. Since SG personnel are agents of ACI in the execution of ACI Certification examination sessions, ACI has a duty to ensure program operation is consistent and defensible across the delivery network. The QR program polices are attached as Appendix F.

6.10 Unannounced/Undercover Audit

ACI reserves the right to perform unannounced/undercover audits of any ACI exam session and/or related training/educational program.

APPENDICES

Appendix A – *ACI Board Committee Operations Manual*

Appendix B – *ACI Certification Committee and Program Operations Manual Acknowledgement of Receipt*

Appendix C – *ACI Certification Conflict of Interest Disclosure and Confidentiality Agreement*

Appendix D – *ACI Policy on Internet and Websites*

Appendix E – *ACI Policy on Sponsoring Groups for Certification*

Appendix F – *Policies and Procedures for Quality Review of ACI Certification Exam Sessions*

Appendix G – *New ACI Certification Program Development Process*

Appendix H – *What to Expect When Bringing a Proposal to ACI for Development of an ACI Certification Program*

Appendix I – *ACI Certification Protocol: Exam Materials Handling and Reporting of Session Results*

Appendix J – *ACI Examiner Policies and Procedures*

Appendix K – *ACI Certification Exam Security Breach Protocol*

Appendix L – *Mandatory Information to be included in ACI Certification Candidate Registration Forms and Instructions*

Appendix M – *Americans with Disabilities Act (ADA) Accommodation Request Protocol*

American Concrete Institute
Board Committee Operations Manual
Governing Principles for Board Committees and Task Groups

1. Introduction

1.1. Board of Direction

Article 3, Section 10 of the ACI Bylaws states: "The Board of Direction shall have general supervision of the affairs of the Institute." Board Committees and Task Groups work on behalf of and under the direction of the Board.

1.2. Purpose of Governing Principles

To maintain organizational and operational integrity, these governing principles are to be observed by all Board Committees and Task Groups, except as noted in 1.3 and 1.4.

1.3. Harmony with Bylaws and Policies

The Appendix to this document lists several Board Committees that have specific rules in the ACI Bylaws or Policies governing membership and voting (see Appendix). For those Committees, those specific rules supersede the specific related governing principles, but do not affect the validity of the remaining principles.

1.4. Executive Committee

The Executive Committee is exempt from these governing principles.

2. Committees and Task Groups

2.1. Establishment

To assist the Board in carrying out their mission, it establishes Committees and Task Groups.

2.2. Operational Committees

The Board establishes Operational Committees with an ongoing mission to manage a particular phase of Institute activities, and grants them suitable authority and responsibility to carry out their mission.

2.3. Advisory Committees

The Board establishes Advisory Committees with an ongoing mission to develop recommendations related to a particular phase of Institute activities for the Board to consider.

2.4. Task Groups

The Board establishes Task Groups with a focused mission to address short-term issues facing the Institute.

2.5. Goals and Milestones

All Committees and Task Groups provide goals and milestones toward achieving their mission in their annual report. Goals and milestones are subject to periodic review and revision by the Board.

2.6. Periodic Review

Committees are reviewed by the Executive Committee at approximately three-year intervals. Task Groups are reviewed on a time interval consistent with their mission and goals.

2.7. Discharge

Based on the periodic review, the Board may discharge Committees or Task Groups. Common reasons for discharge include: 1) a mission is completed, or 2) the Institute priorities have changed. Committees required by ACI Bylaws may not be discharged.

3. Membership

3.1. Member Appointment

3.1.1. Composition Goal

The Board intends the composition of Committees and Task Groups, based on their mission, to be broadly representative of the interested segments of the concrete industry. To achieve this, the Board Chair seeks input from Board members, Committee Chairs, Committee members, and Staff.

3.1.2. Number of Members

The target number of members of a Committee or a Task Group varies, consistent with the assigned mission and goals.

3.1.3. Committee Member Appointment and Term

The Board Chair appoints Committee members. A Committee member term is three years, usually with one additional term available to each member. Appointments are such that each year, approximately one-third of the Committee membership reaches the end of their term. If a person replaces a member whose term is not complete, the replacement member would complete the retiring member's term, and is eligible for two additional terms. ACI members are eligible for reappointment to a Board Committee after being off the Committee for a period of two years.

3.1.4. Task Group Member Appointment and Term

The Board Chair appoints Task Group members. A Task Group member term is the entire time that the Task Group is in service.

3.2. Member Responsibilities

Members are expected to attend and participate in scheduled meetings and to respond to web ballots and other correspondence in a timely fashion. Members may be assigned specific tasks.

3.3. Chair Appointment

3.3.1. Chair Appointment

Committee and Task Group Chairs are appointed by the Board, and serve at the pleasure of the Board. The Board may delegate the responsibility to appoint some or all Committee Chairs to the Incoming Board Chair.

3.3.2. Term of Service

A Task Group Chair term is usually the entire time that the Task Group is in service. A Committee Chair term is one year, usually with no more than two additional terms.

3.4. Chair Responsibilities

Chairs are expected to schedule and conduct meetings, submit an annual report to the Board on a timely basis, and attend Board meetings, if requested.

3.5. Staff Liaison

Each Committee and Task Group normally has a Staff Liaison, as assigned by the ACI Executive Vice President. The Staff Liaison typically assists the Chair with meeting agendas, recording meeting actions, distribution of meeting minutes, and preparation of annual reports.

4. Committee Operation

4.1. Meetings

Most Committees and Task Groups meet during both fall and spring conventions. Committees and Task Groups can also meet between conventions either virtually (telephone or online) or face-to-face, as requested by the Chair. Meetings will be conducted in general conformance with Robert's Rules. Financial assistance for such meetings can be requested by following normal ACI funding procedures.

4.2. Meeting Agenda and Minutes

Agenda should be posted on the Committee or Task Group Web page at least two weeks before meetings, and minutes should be posted within one month of a meeting. The Board should be notified of postings.

4.3. Quorum

For an Operational Committee, a quorum is needed to conduct business at a meeting, and is defined by Robert's Rules; that is, a majority of the members. For an Advisory Committee or Task Group, no quorum is required to conduct business.

4.4. Voting Rules

A motion is approved during a meeting of a Committee or Task Group if the vote passes according to Robert's Rules; that is, a majority of votes cast are in favor of the motion.

5. Communications with the Board

5.1. Annual Reports

All Committees and Task Groups must submit an annual report to the Board. Some Committees also make an oral report at each Board meeting. Other Committees and Task Groups may be requested to make an oral report to the Board.

5.2. Recommendations to the Board

As appropriate, Committees and Task Groups send recommendations to the Board. These recommendations may take the form of a motion for consideration by the Board. If so, the recommendations shall include the Committee's or Task Group's vote count associated with the motion.

Appendix

Three Committees are required by ACI Bylaws and have specific membership and voting rules that supersede these Governing Principles:
- Fellows Nomination Committee
- Honorary Membership Committee
- Committee on Nominations

Five Committees have specific membership rules in the ACI Policies that supersede these Governing Principles:
- Standards Board
- Personal Awards Committee
- Honors and Awards Committee
- Chapter Activities Awards Committee
- Committee on Awards for Papers

American Concrete Institute

ACI Certification Committee and Program Operations Manual

Acknowledgement of Receipt

I hereby acknowledge that I have received the American Concrete Institute *Certification Committee and Program Operations Manual*, and agree to read and abide by the policies, procedures, and instructions described within in developing, maintaining, and/or administering ACI Certification examinations. I understand that my failure to do so, including completing, signing, and submitting this *Acknowledgement* as required, may result in ACI removing any authorization(s) ACI has conferred on me, and taking action to limit my access to ACI Certification exam materials

_____   _____
Signature   Date

_____
Print Name

Please return signed and dated form to ACI, attn: Certification Director at the address above.

Always advancing

American Concrete Institute

38800 Country Club Drive
Farmington Hills, MI 48331 USA
+1.248.848.3700
www.concrete.org

ACI Certification
Conflict of Interest Disclosure and Confidentiality Agreement

In the course of developing, maintaining and administering certification programs with American Concrete Institute ("ACI"), I _____ (as a committee member or sponsoring group representative) may encounter conflict-of-interest situations and will be provided access to confidential information of ACI. To address these conflict-of-interest situations and to protect ACI's confidential information and to preserve the integrity and effectiveness of ACI's certification program, in consideration of being a committee member or sponsoring group representative and receiving ACI's confidential information, I agree as follows:

1. As a committee member and/or sponsoring group representative, I will disclose any potential conflict-of-interest relationship to ACI, and I will act in accordance with ACI's Conflict of Interest Policy, which is attached hereto and incorporated into this Conflict of Interest Disclosure and Confidentiality Agreement (this "Agreement"). I acknowledge and agree that any failure of mine to act in accordance with such Conflict of Interest Policy is a breach of this Agreement.

2. I will maintain in strict and absolute confidence any information, documents and materials provided or made available to me by or on behalf of ACI (collectively, "Confidential Information"), regardless of whether such information is designated as confidential or proprietary. I will not disclose or make available any Confidential Information to any person or entity unless (i) disclosed with the authorization of and in the manner prescribed by ACI, or (ii) required by law if ACI is given prior written notice of such required disclosure. I will only use Confidential Information in the manner prescribed by ACI. Examples of Confidential Information include documents developed or produced to assess knowledge or skills for the purpose of certifying persons engaged in concrete construction-related activities (e.g., objective (written) examinations in whole or in part), and draft (unapproved or unpublished) documents related to the development, maintenance or administration of ACI Certification programs.

3. I understand that ACI reserves the right to terminate this Agreement or to withhold or revoke access to Confidential Information at any time, and I will immediately return any Confidential Information to ACI upon ACI's request.

4. I understand that I am personally liable for any breach of this Agreement by me. I will indemnify, defend and hold ACI harmless from and against any and all claims, causes of action or similar demands, including reasonable attorney's fees, which arise out of or relate to my breach of this Agreement. I further acknowledge and agree that money damages may not be an adequate remedy and that ACI has the right to injunctive relief, in addition to all of its other rights and remedies available hereunder or at law or in equity, to enforce the provisions of this Agreement.

5. This Agreement may be modified only with the written consent of ACI. This Agreement shall be governed by and enforced in accordance with the laws of the State of Michigan without regard to its conflicts of law principles. This Agreement constitutes the complete understanding between ACI and myself regarding the subject matter hereof and supersedes all prior understandings whether oral or written. I agree that if a clause or provision of this Agreement is found by a court of competent jurisdiction to be invalid, such finding shall not invalidate any other clause or provision of this Agreement, which shall continue to be enforceable. This Agreement shall be binding upon, and inure to the benefit of, the parties and their respective and permitted successors and assigns.

I acknowledge that I have read this Agreement and that the terms herein are contractual and legally binding. I have had an opportunity to ask questions with respect to any portion of this Agreement that I did not understand and I acknowledge that I have had the opportunity to have this Agreement reviewed by an attorney on my behalf if I so desired. I fully understand this Agreement and agree to be bound by it.

Signature:_____   Date:_____
Printed Name:_____

Please return a signed and dated agreement to ACI, attn: Certification Director, at the address above.

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<u>ANNEX 1</u>

AMERICAN CONCRETE INSTITUTE
Conflict of Interest Policy

This Conflict of Interest Policy (this "<u>Policy</u>") is intended to address actual and potential conflicts of interest that may arise with committee members, sponsoring group representatives and other individuals (each, an "<u>Interested Person</u>") involved in developing, maintaining, and administering certification programs with American Concrete Institute ("<u>ACI</u>"). Each Interested Person has a duty to serve the public purposes to which ACI is dedicated and a duty to conduct his or her affairs in a manner consistent with such purposes and not to advance his or her personal interests. ACI provides this Policy to ensure that there is full disclosure by Interested Persons in connection with their actions as an Interested Person that may provide an economic or other personal benefit to such Interested Persons or to a person or entity with whom they are related or have a financial interest.

Determining Whether a Conflict of Interest Exists

A conflict arises when a person in a position of authority may personally benefit from a decision he or she could make in such capacity, including indirect benefits such as to family members or businesses with which the person is closely associated. Interested Persons must complete the below "Disclosure of Actual or Potential Sources of Conflict of Interest" form (the "<u>Disclosure Form</u>") listing relevant connections and interests that may constitute potential sources of conflict of interest within the meaning of this Policy in light of the responsibilities of such Interested Person. The responsibility for determining the information to be reported rests with the individual completing the Disclosure Form. The overriding objective is to ensure that the work of the Interested Person is not compromised or diminished by real or perceived conflicts of interest.

Procedures for Addressing Actual or Potential Conflicts of Interest

With regard to any actual or potential conflict of interest of an Interested Person that must be disclosed on the Disclosure Form, whether or not such conflict is disclosed as required by this Policy, such Interested Person acknowledges and agrees that such conflict is serious in nature and will be treated by the Interested Person as such, and such Interested Person shall act in a fair and ethical manner with regard to such conflict and shall use his or her best efforts to prevent having the conflict materially influence such Interested Person's actions or decision-making with regard to his or her duties, loyalties and obligations as a committee member, sponsoring group representative or other related individual.

An Interested Person, as requested by ACI, shall disclose to ACI any additional information or materials relating to any actual or potential conflict of interest disclosed or required to be disclosed on the Disclosure Form, and each Interested Person understands and agrees that ACI may investigate actual or potential conflicts of interest. Given the nature and extent of an actual or potential conflict of interest, ACI may give certain instructions to an Interested Person on how to handle such conflict (which may include, without limitation, recusal from certain activities), and in such case, such Interested Person shall comply with such instructions.

If ACI discovers that an Interested Person has failed to disclose an actual or possible conflict of interest as required by this Policy or has otherwise violated any provision of this Policy, ACI may take appropriate disciplinary and corrective action against such Interested Person.

Acceptance of Gifts

An Interested Person shall in no case solicit, accept or retain a gift or gratuity from any individual or entity doing or seeking to do business with ACI or the Interested Person in connection with the Interested Person's development, maintenance, or administration of certification programs with ACI.

Submit to ACI a completed Disclosure Form at the beginning of each year that you are an Interested Person. Please fax or return a completed Disclosure Form to: American Concrete Institute, 33800 Country Club Drive, Farmington Hills, MI 48331 (Fax: 248-848-1501).

DISCLOSURE OF ACTUAL OR POTENTIAL SOURCES OF CONFLICT OF INTEREST

NAME: _____ TELEPHONE: _____

ADDRESS: _____

EMPLOYER: _____ JOB TITLE: _____

The responsibility for determining the information to be reported rests in the first instance with the individual completing this disclosure form ("Interested Person"). This disclosure form will not be released outside of ACI except with the approval of the Interested Person, unless required by law.

With respect to the Interested Person, "Family Member" means a spouse, ancestors, brothers and sisters (whether whole or half-blood), children (whether natural or adopted), grandchildren, great-grandchildren, and spouses of brothers, sisters, children, grandchildren and great-grandchildren, and "Related Entity" means any corporation, partnership, limited liability company, estate, trust or other entity in which any Interested Person or any Family Member, directly or indirectly, owns or controls, or is negotiating to own or control (including through other entities) 25% or more of the voting power, 25% or more of the profits interest or 25% or more of the beneficial interest. In disclosures pursuant to this Policy, you should include disclosures arising from your Family Members and Related Entities, using the above definitions. In your description please note whether the disclosure pertains to your direct interest or to that of a Family Member or Related Entity, and your relationship to the Family Member or Related Entity.

Report only information that is relevant and merits disclosure in light of this Policy. In this context, "relevant" means that a reasonable person would think that the item could influence your objectivity on a matter.

For each category for which there is no information to be reported, write the word "NONE" in the space provided. Attach additional sheets if necessary.

I.   **Organizational Affiliations**. Report relevant (to the operations of ACI or your actions as a committee member, sponsoring group representative or other related individual) and significant business relationships ($10,000 or more in the current year) and relevant remuneration (excluding volunteer organizations).

II.   **Financial Interests**. Report relevant information regarding financial interests and investments (excluding mutual funds or stock or bond holdings less than $10,000). Please list investments that have the potential to impact the operations of ACI or your actions as a committee member, sponsoring group representative or other related individual, and those investments for which the actions of ACI or your actions have the potential to impact the results of your investments.

III.   **Additional Information**. If there are other circumstances in your background or present connections that in your opinion might reasonably be construed as unduly affecting your judgment in your actions as a committee member, sponsoring group representative or other related individual or might be reasonably viewed as creating an actual or potential conflict of interest or the appearance of a conflict of interest, please describe them briefly.

The undersigned certifies, represents and warrants that: (i) he or she has fully and to the best of his or her ability completed this disclosure form, and (2) he or she will update this disclosure form if relevant circumstances change by filing supplemental information on this disclosure form.

Signature: _____   Date: _____

Printed Name: _____

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ACI POLICY ON
INTERNET AND WEBSITES

1. ACI intellectual property (including knowledge products under development) may be made available on the Internet only on the ACI Website, unless a contractual arrangement or agreement has been made by authorized ACI staff with a third party to sell or host ACI material on other websites.

2. ACI strongly encourages its committees and chapters to utilize and maintain content for the areas provided for them on the ACI Website. Materials presented on the ACI website by committees and chapters will conform to the following principles:

   • Documents, committee minutes, and other materials under development or otherwise not approved for general release may be posted only if access to them is securely limited to the appropriate development or review population in accordance with ACI procedures.

   • Text or graphic references to commercial or political organizations, or links to Internet locations associated with such organizations, may be posted only if their inclusion would not represent or imply inappropriate influence by such organizations upon ACI technical information and activities.

   • Text or graphic references to any outside organization, or links to internet locations associated with any outside organization, may be posted only if their inclusion would not obfuscate or confuse the identity of the organization(s) responsible and accountable for the information presented or referenced.

   • An approved ACI document or document excerpt may be posted only if each page includes a copyright notice equivalent to the example provided below. A document, photograph, graphic element, or other material from a source other than ACI may be included only if ACI has received explicit permission from its copyright holder, and each page or appearance includes prominent identification of its source.

   • A draft ACI document may be posted only if each page includes a draft copyright notice equivalent to the example provided below, and the first page additionally includes a draft disclaimer equivalent to the example provided below.

3. ACI committees are encouraged to post meeting agendas on the ACI Website for public access.

4. All ACI documents released for public comment will be posted on the ACI Website during the comment period.

5. ACI Chapters may establish websites that are independent of the ACI Website. Such websites may not contain ACI intellectual property, but may provide links to the ACI Website as appropriate. ACI may provide links from the ACI Website to a chapter website only if the chapter website meets the requirements of item 2 above.

6. The ACI staff, with guidance and direction provided by the ACI committee(s) so authorized by the Board, is responsible for managing and maintaining the content, organization, and format of the ACI Website, including all links.

7. Corporate logos and links to other websites, (including those of a commercial nature) may be used by authorized ACI staff on ACI owned web sites provided that the presentation of the logo or link does not imply ACI endorsement of a product or service. Appropriate disclaimers will be added where necessary.

Example Document Copyright Notice:

Copyright © 2004 American Concrete Institute

Example Draft Copyright Notice:

Copyright © 2004 American Concrete Institute
DRAFT – Not for Publication or Reference

Example Draft Disclaimer Statement:

This document is under development and is not approved for publication or reference. The American Concrete Institute assumes no responsibility for the application of the information contained in this document or consequences arising from its application.

AMERICAN CONCRETE INSTITUTE

Policy on Sponsoring Groups
for
Certification

Approved by the ACI Board of Direction
March 21, 1991

Revised by the ACI Certification Programs Committee
March 26, 2019

In developing certification exams for the concrete construction industry, the American Concrete Institute (ACI) has set forth minimum criteria by which an individual's proficiency is to be judged. Typically, ACI is not in a position to deliver certification exams directly to participants; therefore, it is necessary for ACI to have the ability to delegate this authority. However, if the need arises, ACI reserves the right to conduct exam sessions itself according to each program Policy.

In order to allow others to deliver its certification exams, ACI has adopted the "Sponsoring Group" concept. Sponsoring Groups act as agents of ACI in the delivery of ACI certification exams. Therefore, prior to being selected as an ACI Sponsoring Group, and for the duration of the period in which the group is authorized to act as a Sponsoring Group, such groups are subject to the following policies:

1. Sponsoring Groups shall be approved, in writing, by ACI's Certification Department (hereafter referred to as ACI) before they will be permitted to conduct an ACI[1] certification exam session. In all cases, approval of Sponsoring Groups shall be at the sole discretion of ACI.

2. In reviewing applications, ACI will consider, among other factors, the following:

    A) The ability and willingness of the applicant to include in their constituency segments of the concrete construction industry impacted by the exams which they have applied to conduct. This includes individuals involved in the specification, production, design, construction, testing and inspection of concrete and concrete products. The applicant must establish a governance structure with representation appropriate to all of the exams for which the applicant has applied.[2]

    B) The interest, experience and technical expertise necessary to conduct exam sessions exhibited by the applicant and/or their certification governance structure.

    C) The legitimate need for the applicant to conduct a specific ACI certification exam within their approved operational jurisdiction.

    D) The primary objective of the applicant in applying for sponsorship, which

must coincide with ACI's overall mission of improving the quality of concrete construction within the political, social, and cultural dynamics of the intended operational jurisdiction.

3. Sponsoring Groups are required to maintain a governance structure to oversee the delivery of ACI exams. The governance structure shall consist of a committee of at least three (3) individuals, each working for a different employer and each producing a different product or service related to the concrete construction industry. At all times, at least one (1) member of the committee shall be a member of ACI. Further, ACI shall be furnished with a complete and accurate listing of contact information for all committee members including names, employers, type of businesses, physical addresses, email addresses, and both office telephone and cell phone numbers as available.

4. The certification committee shall obtain the services of ACI-approved examiners. The examiners shall operate under the direct supervision of the certification committee to conduct ACI certification exam sessions. Examiners are permitted to conduct ACI certification exam sessions only under the auspices of ACI or ACI-approved Sponsoring Groups; and they must comply with all ACI certification policies and procedures.[3]

5. At the time of approval, ACI shall assign Sponsoring Groups specific geographical areas within which they will have authority to conduct ACI certification exam sessions. This area is the approved operational jurisdiction for the Sponsoring Group.

6. ACI shall approve each Sponsoring Group on a calendar year basis for a period not to exceed two (2) years. Prior to the conclusion of this period, all groups shall reapply to ACI for approval to continue to act as an ACI Sponsoring Group.

7. In the U.S., in areas where no Sponsoring Group is actively administering a specific ACI examination, the local ACI chapter (not a student chapter) shall have first rights to administer that specific exam. International sponsorship for any ACI examination will be assessed on a case-by-case basis.

8. If an existing Sponsoring Group or ACI Chapter is solicited to administer an examination and participation is declined, or if a sponsor does not request an examination upon initial availability from ACI, or if a requested examination is not administered within two years following approval, administration of said examination may become available to other potential sponsors.

9. If more than one applicant wishes to sponsor an ACI certification exam in the same operational jurisdiction and there is documented need for more than one group to conduct the examination in that jurisdiction or portion thereof, a system of coordination between those groups shall be established. A description of this system shall be considered along with any new Sponsoring Group application and must be included in the governance system for any existing Sponsoring Group. In all cases, ACI reserves the right, in its sole discretion, to select a delivery system that in its judgment is best able to serve the interests of ACI.[4]

10. Applicants wishing to sponsor ACI certification examinations on a "national" or "regional" basis will, in appropriate circumstances, be approved to conduct exams under specific conditions at the discretion of ACI.

11. Approved Sponsoring Groups are responsible for:

    A) Maintaining control over the administration of ACI Certification exams offered within their operational jurisdiction. This includes, but is not limited to, maintaining control over the ethical and professional integrity of every sponsored examination session and providing ongoing oversight of exam session coordinators, examiners, and other exam delivery personnel.

    B) Conducting a sufficient number of exam sessions and providing equitable access to those exam sessions for all individuals seeking ACI Certification within the group's operational jurisdiction.

    C) Conducting all ACI exams in a manner which complies with the intent of ACI's policies and procedures governing certification.

    D) Formulating, publishing, and enforcing consistent and equitable pricing for ACI Certification exams offered by the Sponsoring Group within their operational jurisdiction.

    E) Developing and implementing participant registration processes that satisfy the policy requirements of each exam offered by the Sponsoring Group and verifying that each participant has met the eligibility requirements of the program before being allowed to participate in an ACI exam session.

    F) Collecting exam fees from participants, paying materials invoices to ACI within 30 days of receipt, and distributing compensation to examiners and other program delivery personnel as warranted.

    G) Developing a program delivery process that establishes separation between the education/training and testing divisions of the Sponsoring Group.

12. ACI has the right to revoke a Sponsoring Group's authority to conduct an ACI certification exam at any time, with or without cause, and with or without notice.

13. Appeals resulting from the denial or revocation of Sponsoring Group status will be reviewed by ACI Staff for determination of appropriate action on a case-by-case basis.

14. This policy shall become effective sixty (60) days after its approval by the ACI Certification Programs Committee, and shall render all previous Policy versions null and void. Sponsoring Groups shall be notified of this new policy in writing within thirty (30) days after it is approved by the ACI Certification Programs Committee.

15. The Certification Programs Committee shall review, revise as necessary, and reapprove this Policy at intervals not exceeding two years in length.

_____

[1] For the purposes of this policy, references to "ACI certification" and "ACI certification program(s)" include all programs administered by ACI, including those with cosponsors.

[2] *ACI Chapter applicants* – ACI Chapters are open to all individuals with an interest in any aspect of concrete construction. This makes ACI Chapters ideal Sponsoring Groups for the growing number and variety of ACI Certification programs, provided they can organize and assemble the infrastructure and secure the expertise needed to effectively execute these programs. When populating their certification committee, ACI Chapters should be sensitive to the needs of their members and approach appointments in a fair and balanced manner, avoiding the appointment of individuals who have agendas not consistent with ACI's interests or the objectives and efforts of the Chapter.

Non-ACI Chapter applicants – Applicants that are not ACI Chapters may represent a smaller segment of concrete construction, and membership in the organization may not be as accessible as an ACI Chapter. Non-ACI Chapter applicants should organize their operations to address the needs of individuals and companies not typically represented within their organization's membership but impacted by the ACI programs they plan to offer.

[3] *Outsourcing* – Some SGs employ partial outsourcing of their certification programs to ensure regular scheduling and consistency in programs offered. This model may include compensation to a third-party vendor who conducts the programs as a business. While this is an acceptable arrangement to ACI, the following items must be adhered to:

- The SG maintains full responsibility of all programs.
- The SG will review and consider proposals from multiple potential vendors.
- The SG must approve the selection of and the contract with selected vendor.
- The SG develops, reviews, and approves a pricing structure for each program offered.
- The SG performs annual audits of each program offered.
- Contract must contain an "out" clause for the SG.

[4] *Accommodating Government Agencies* – In some cases, multiple SGs are approved within local, regional, or State government boundaries. If an opportunity arises to secure participation from a governmental agency within one of these boundaries, but consistent administration requires coordination between multiple SGs, contact ACI for guidance.

American Concrete Institute

Policies and Procedures for
Quality Review of
ACI Certification Exam Sessions

Approved by the
ACI Certification Programs Committee
August 11, 2016

The Policies and Procedures for Quality Review of ACI Certification Exam Sessions are categorized into six sections as follows:

SECTION 1.0   PROGRAM OVERVIEW

1.1   The ACI Certification Quality Review (QR) Program is a comprehensive review program designed to gather information from ACI Certification examination sessions. The information is used to assist ACI Certification (the combined staff and committees) in identifying and formulating best-practice or effective alternative assessment techniques, and clarifying policy requirements to aid Sponsoring Groups in administering the most effective, fair, and consistent certification examination sessions possible. During the reviews, compliance with ACI's policies and implementation of ACI's recommendations is evaluated. After the review is completed the Sponsoring Group (SG) and its agents are advised of the review results through constructive written feedback.

SECTION 2.0   DEFINITIONS

2.1   The following is a list of commonly used vocabulary in conjunction with the ACI Certification QR Program:

A)   **Quality Reviewer:** An industry-experienced professional, approved by ACI Certification to perform Quality Reviews of testing facilities and program administrative personnel. The reviewer assesses the level of compliance with ACI policies and the quality of the program being delivered in the SGs jurisdiction. This position is compensated with an honorarium; expenses are covered by ACI.

B)   **Apprentice Quality Reviewer:** An individual who attends and assists in the Quality Review (QR) of one ACI Certification session, under the guidance of an approved Quality Reviewer, in order to become oriented to the process of conducting fair and constructive reviews and to be approved as a Quality Reviewer.

C)   **Checklist:** A document produced by the ACI Certification Committee to guide the Quality Reviewer during a review. Each Certification program has a specific checklist tailored to the administrative and logistic elements of the specific program. All session review findings are recorded on the checklist.

D)   **Expenses:** The Quality Reviewer is reimbursed for out-of-pocket expenses made during the QR as described below:

o   **Ground Transportation** – Car rental is included since some reviews may take place in areas where public transportation is not readily available or cost effective. The amount set for the *Ground Transportation Allowance*[1] (See Annex 1) is based on estimated compact car rental for two days plus gas.

- o **Lodging** – Lodging is budgeted on a daily rate, up to the *Daily Lodging Allowance*[2] (See Annex 1). Although this may be high for most locations, some locations (e.g., New York City) could be much higher. It is assumed that the reviewers will arrive the evening prior to a session, spend all day at the session and stay an additional night before departing.

- o **Meals** – Meals are budgeted at a daily rate, up to the *Daily Meal Allowance*[3] (See Annex 1), and assumes a maximum of three days.

- o **Travel –** Many certification exam sessions are one day in duration, beginning early in the morning. Since selection of those to be reviewed should not be limited to sessions held on weekends, travel is based on round-trip midweek coach fares, with no Saturday stay-over. Also, many sessions are not near major cities and may require commuter legs to smaller airports. The *Airfare Costs*[4] (See Annex 1) are budgeted for one person per review.

E) **Honorarium** – This is compensation received by the Quality Reviewer for attending a QR session. The amount paid for an honorarium is administered at a *Daily Honorarium Rate*[5] (See Annex 1). The full honorarium paid is subject to ACI staff approval, and shall be up to, but not exceed the *Maximum Honorarium*[6] (See Annex 1). When determining the full amount to be paid, staff will consider all of the following: (length and intensity of the QR session, reviewer preparation time, attendance, reporting, timely return of checklist materials and quality and accuracy reflected on the checklist). Apprentice Quality Reviewers do not receive an honorarium. Honorariums may be split into half-day increments.

F) **Measurables** – Measurables for this program are the number and types of issues encountered and corrective action requested, or the effective creative solutions to logistic challenges formulated by the Sponsoring Group (SG) under review that can be transferred as best-practices to other SGs.

G) **Deliverables**

- Written reports to SG - Written reports are submitted to the SG for each Sponsoring Group session reviewed. These reports will also be maintained in Certification Department records.

- Annual summary on QR session reports to CPC

SECTION 3.0   ACI STAFF RESPONSIBILITIES

3.1   Selection of Sponsoring Group to be Reviewed

A)   ACI Staff selects the SG to be reviewed based upon the following parameters:

1.   Volume of exam administrations

2.   Variety of programs offered

3.   Condition of returned materials from conducted sessions

4.   Elapsed time since last review

5.   Performance on previous review / follow-up

6.   Examiner experience / personnel changes

7.   Credible anecdotal information / local-regional issues

8.   Location

9.   Date

10.   Reviewer availability

3.2   Scheduling Reviews

A)   The program is designed to accommodate an average of approximately two reviews per month each lasting 2-3 days. Quality Reviewers are assigned so as to avoid any potential local or regional conflict of interest.

3.3   Assigning Quality Reviewers to a Session

A)   When selecting a Quality Reviewer for a session, preference is given to those who have not served as a Quality Reviewer in the same calendar quarter. Exceptions to this policy may be made if no other Quality Reviewer is available, with the decision based on whose travel costs are most reasonable.

3.4   Analysis and action

A)   Following submittal of a Review Checklist, staff analyzes the information and develops an appropriate response to the Primary Contact and Examiner of the SG reviewed. If warranted, a follow-up Review is scheduled. Administrative techniques not previously encountered are reviewed by staff to determine if they should be prepared for certification committee consideration; if accepted by the certification committee, staff may be directed to include the technique in the program's best practices or alternative administrative techniques list.

SECTION 4.0   QUALITY REVIEWER RESPONSIBILITIES

4.1   Reviewers are contacted as needed to perform reviews. Prior to a session, Staff provides a Reviewer with a package containing:

A)   Local contact information (i.e., primary contact and examiner)

B)   Exam date and time

C)   Location and type of certification session

D)   Quality Review checklist

E)   Name and contact information of any Apprentice Quality Reviewer assigned to the session

4.2   Reviewers may be required to work closely with an Apprentice Quality Reviewer to help provide a through orientation to the review process.

4.3   Reviewers are expected to liaison directly with the local contacts for logistical information, make their own travel arrangements (lodging, transportation, etc.), and coordinate with and engage any Apprentice Quality Reviewer assigned to the session.

4.4   Reviewers attend the exam session(s) and record the information on the checklist(s). Following the session(s), Reviewers meet with the examiner and discuss areas of improvement or correction which were/will be noted on their checklist(s).

4.5   Reviewers observing administrative techniques previously not encountered are required to describe the technique for further review, discussion and action.

4.6   Reviewers are required to immediately correct any situation that would result in exam invalidation due to policy violation, and to describe the issue clearly on the Checklist.

4.7   Reviewers are required to submit their checklist(s) and any other observations to ACI Staff for review and evaluation; the Reviewers must be available for debriefing by ACI Staff.

SECTION 5.0   REVIEWER APPLICATION CRITERIA

5.1   Individuals are eligible to apply for Quality Reviewer status for a specific program under either of the following criteria:

A)   The applicant has fulfilled the examiner requirements for the applicable certification program, has conducted a minimum of 10 certification exam

sessions in that program, and assists in one Quality Review session for the program being sought.

OR

B)   The applicant is an approved Quality Reviewer for another program, has been certified in the applicable program(s) for which Quality Reviewer Status is sought, is a member of the ACI certification committee (e.g., C610, C620, etc.) that governs the applicable program(s) for which Quality Reviewer Status is sought, and assists in one Quality Review session for the program being sought.

SECTION 6.0   SPONSORING GROUPS

6.1   Primary Contact Responsibilities

A)   Provide Reviewer with logistical information regarding the review: i.e., exam location, suggested lodging locations in close proximity to the exam session, etc.

B)   Ensure access to locations and personnel as required by the Review Checklist: i.e., all exam administrative personnel are aware of the Reviewer's presence at the exam session and are advised to allow the Reviewer unimpeded access to exam areas and to accurately and completely answer all questions posed by the Reviewer.

C)   Respond accurately to questions posed by the Reviewer.

6.2   Examiner Responsibilities

A)   Provide Reviewer access to locations and personnel as required by the Review Checklist: i.e., all exam administrative personnel are aware of the Reviewer's presence at the exam session and are advised to allow the Reviewer unimpeded access to exam areas and to accurately and completely answer all questions posed by the Reviewer.

B)   Respond accurately to questions posed by the Reviewer.

C)   Immediately adjust any issue identified by the Reviewer as being in violation of program policies that would invalidate the exam session to bring it in compliance with program policy.

ACI Certification   Quality Review Program Policy

Annex 1

The values listed below are the reimbursements and payments a Quality Reviewer may expect to receive for participating in a Quality Review. They are set by ACI Staff to be a maximum allowance to fall within the budget for a given year. The limits on these amounts may be revised by staff without committee approval, based on ACI Certification budget.

Ground Transportation Allowance[1]—$250

Daily Lodging Allowance[2]—$200

Daily Meal Allowance[3]—$75

Airfare Costs[4]—$1000

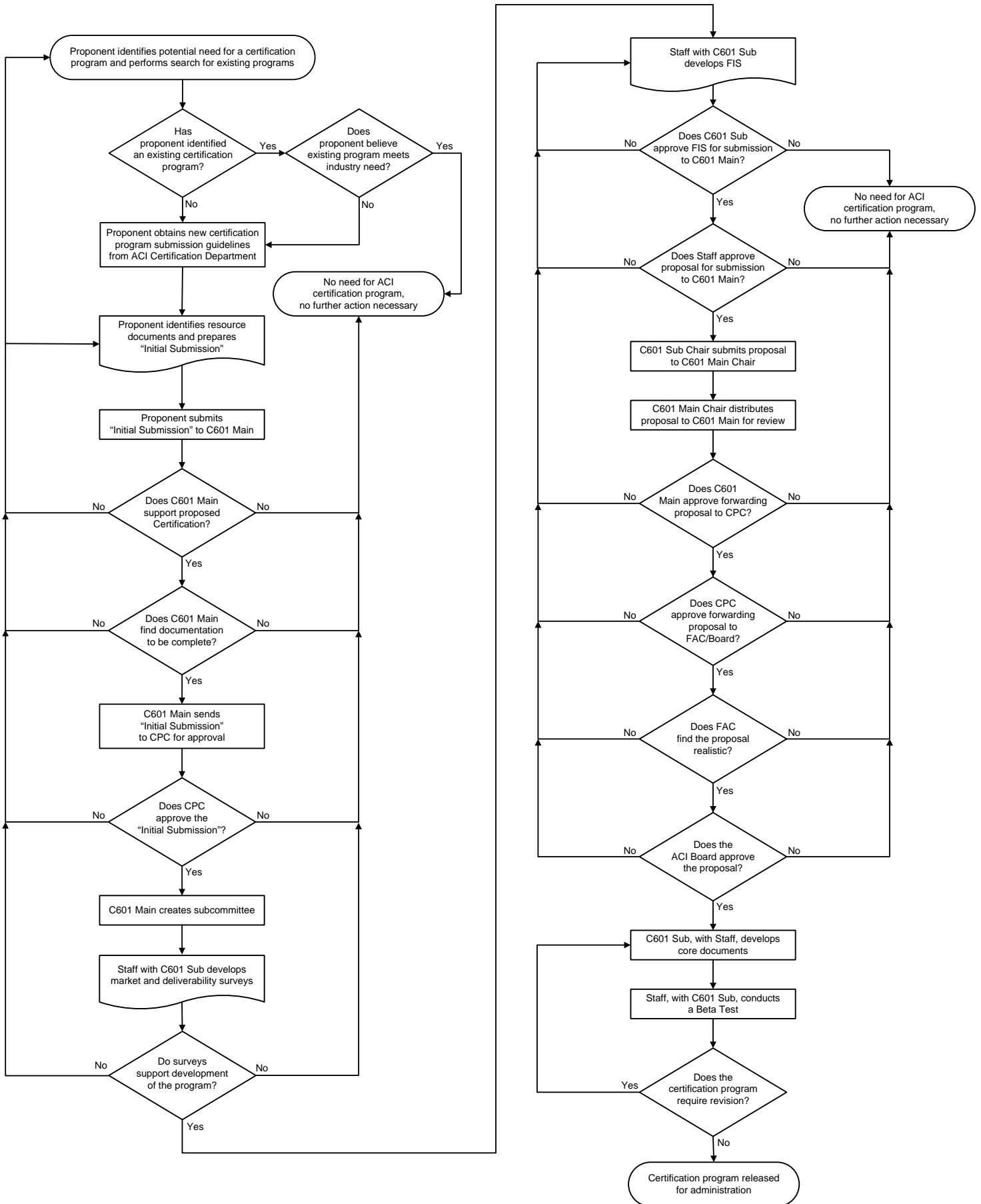Daily Honorarium Rate[5]—$800

Maximum Honorarium[6]—$1600

Honorariums may be split into half-day increments.

New ACI Certification Program Development Outline

1. Program Genesis
   1.1. Formulated by ACI committee.
   1.2. Sponsored by ACI committee for outside interest.
       1.2.1. At least 3 voting members of the sponsoring committee maintain voting membership on the new CPC subcommittee.
       1.2.2. Individuals who desire to participate should be ACI members and apply for subcommittee membership.
2. Initial Submission
   2.1. Definition of subject.
   2.2. Perceived need for certification.
   2.3. Reason for ACI involvement.
3. Initial Approval
   3.1. CPC reviews initial submission and either:
       3.1.1. Accept the request and assigns applicants to the appropriate CPC committee. Appoints CPC liaison.
       3.1.2. Rejects initial proposal and:
           3.1.2.1. Refers applicant to another organization with greater interest.
           3.1.2.2. Appoints a CPC member as liaison for the development of a suitable presentation.
           3.1.2.3. Recommends resubmit with refinements.
4. Organization
   4.1. New subcommittee assembled with guidance of CPC liaison.
   4.2. Subcommittee chair is responsible to report activities to CPC liaison.
5. Basic Proposal Development
   5.1. Background information.
   5.2. Need by statement of purpose and objectives.
   5.3. Scope of proposed program.
   5.4. Description of individual to be certified.
   5.5. Area of expertise to be certified.
6. Market Survey
   6.1. Subcommittee collects market information to ensure ACI of viability of proposed program.
       6.1.1. Questionnaires tailored to the anticipated users.
       6.1.2. Targeted at broad spectrum of potential interests.
   6.2 CPC liaison review.
   6.3 Submittal to CPC.
       6.3.1 Approves and forwards to ACI Director of Certification.
       6.3.2 Rejects and returns to CPC liaison with comments.
   6.4 ACI staff prints, mails, collects data, presents summary to subcommittee.
       6.4.1 If favorable results subcommittee prepares final proposal.
       6.4.2 If not favorable subcommittee considers:
           6.4.2.1 Remedial action.
           6.4.2.2 Subcommittee remains active and continues work.
           6.4.2.3 Subcommittee work terminated and subcommittee disbanded.
7. Final Proposal Review
   7.1. Subcommittee submits final proposal to CPC liaison to forward to CPC or return to subcommittee for additional work.

7.2. CPC reviews final proposal and:

    7.2.1. Approves and forwards to ACI staff for financial impact statement.

    7.2.2. Rejects, cites reasons and returns to liaison for improvement.

    7.2.3. Rejects, cites reasons, terminates work and disbands subcommittee.

7.3. ACI Staff Review

    7.3.1. ACI staff prepares financial impact statement.

8. Presentation for Approval

    8.1. CPC approves proposal.

    8.2. Financial Advisory Committee reviews financial impact statement.

    8.3. ACI Board approves/rejects new program proposal.

New ACI Certification Program Development Flowchart

Proponent identifies potential need for a certification program and performs search for existing programs

Has proponent identified an existing certification program? — Yes — Does proponent believe existing program meets industry need? — Yes

No

No

Proponent obtains new certification program submission guidelines from ACI Certification Department

No need for ACI certification program, no further action necessary

Proponent identifies resource documents and prepares "Initial Submission"

Proponent submits "Initial Submission" to C601 Main

Does C601 Main support proposed Certification? — No / No

Yes

Does C601 Main find documentation to be complete? — No / No

Yes

C601 Main sends "Initial Submission" to CPC for approval

Does CPC approve the "Initial Submission"? — No / No

Yes

C601 Main creates subcommittee

Staff with C601 Sub develops market and deliverability surveys

Do surveys support development of the program? — No / No

Yes

Staff with C601 Sub develops FIS

Does C601 Sub approve FIS for submission to C601 Main? — No / No

Yes

No need for ACI certification program, no further action necessary

Does Staff approve proposal for submission to C601 Main? — No / No

Yes

C601 Sub Chair submits proposal to C601 Main Chair

C601 Main Chair distributes proposal to C601 Main for review

Does C601 Main approve forwarding proposal to CPC? — No / No

Yes

Does CPC approve forwarding proposal to FAC/Board? — No / No

Yes

Does FAC find the proposal realistic? — No / No

Yes

Does the ACI Board approve the proposal? — No / No

Yes

C601 Sub, with Staff, develops core documents

Staff, with C601 Sub, conducts a Beta Test

Does the certification program require revision? — Yes

No

Certification program released for administration

What to Expect When Bringing a Proposal to ACI for Development of an ACI Certification Program

The following points are important to consider before bringing an initial submission to ACI to develop a personnel certification program:

1. ACI provides a process and infrastructure through which a credentialing program (assessment tools and administrative policies) may be developed. Depending upon the program, ACI *may* be able to provide a delivery infrastructure (i.e., sponsoring group network, computer-based testing, or direct administration), but SG participation is not guaranteed as ACI does not <u>require</u> all SGs to offer all ACI programs. Identification and verification of a viable delivery infrastructure must be included in the feasibility analysis (proposal).

2. The sources of technical content for ACI certification programs must be identified in the initial submission. To the extent possible, ACI consensus documents will be the preferred resources.

3. Approval of the initial submission by the ACI Certification Programs Committee (CPC) means that approval is granted <u>only</u> to develop and submit a formal Proposal and Financial Impact Statement for consideration through the New ACI Certification Program Proposal Development Process.

4. If CPC approves the initial submission, broad-based acceptance will be sought; all potential stakeholders will be identified and solicited for support via survey and those identified will be consulted throughout the development process, however, not all stakeholders may be privileged with voting representation on the development committee. ACI reserves the right to assemble committees to best support development of the program in a timely and balanced manner.

5. If a program Proposal and FIS is approved for development by the ACI Board of Direction, the development committee will be populated to best fit the immediate needs of program development (i.e., be of a size and nature that facilitates ready communication and attendance at convention and web-based meetings). The development committee will either have the technical expertise to serve as Subject Matter Experts (SMEs) to develop program technical content (Job Task Analysis, exam questions, Exam Blueprint, etc.) or have the ability/contacts to identify and/or assign SMEs to populate Task Group(s) to perform this work.

6. Individuals participating on an ACI program development committee or related task group will be required to sign a *Conflict of Interest Disclosure and Confidentiality Agreement*. ACI will maintain full ownership and control of any work product produced by a certification program development committee; this is to protect both ACI's investment and maintain fair and equitable treatment of all program participants.

7. Though the development committee may recommend a particular program structure (e.g., assessment and reassessment methods, etc.), CPC retains the final decision on program structure and policies.

8. Programs will be structured to the greatest degree possible to preclude pressures from conflict-of-interest relationships between examiners and examinees.

9. ACI Certification's primary responsibility is to ensure delivery of a valued credential that accurately identifies individuals competent to perform the duties outlined by the certification program and determined through a fair and equitable assessment process. Though ACI strives to meet the needs of the concrete construction industry and its various sub-industries, it is not the responsibility of ACI to ensure the credentialing of a specific number of individuals, but to ensure effectiveness and availability of the program.

10. The typical amount of time it takes to develop and launch a personnel certification program is 3-4 years through the ACI Certification Program Development process using volunteer Subject Matter Experts.

Process Summary

1. Develop initial submission
    a. Identify technical resources
    b. Clearly describe need for the program
2. Submit to CPC Secretary
    a. Submit to C601 – *New Certification Programs Committee* for review
    b. Submit to CPC for review; depending upon timing, review may be accomplished via:
        i. Convention meeting
        ii. Web ballot

CPC Secretary monitors and advises; If approved:

3. Assemble subcommittee members and submit info to ACI Staff
    a. Assign C 601-X designation and populate subcommittee under C 601
    b. Draft "Market Need" Survey and submit to C601-X subcommittee for review
4. ACI Staff distributes a "Market Need" Survey
5. ACI Staff distributes a "Program Deliverability" Survey

If results are favorable, ACI Staff drafts a formal Proposal and FIS for review*:*

6. C 601-X Review and Comment/Approval
7. C 601 Review for procedural conformance
8. CPC Review and Comment/Approval

If CPC approves the Proposal and FIS*, it is prepared for review and consideration by the* ACI Financial Advisory Committee *and the* ACI Board of Direction*, depending upon timing, review may be accomplished via:*

    a. Convention meeting (FAC and BOD)
    b. Executive Committee Meeting (FAC via web ballot/ Exec Comm via live meeting)

If approved by FAC and the BOD, the C 601-X Subcommittee begins development of core documentation:

9. Job Task Analysis
    a. Detailed description of each point of knowledge (parsed by general and working) and skill the C 601-X subcommittee believes the certified individual must possess to be certified by ACI as competent to perform the duties described by the program.
10. Exam Question Blueprint
    a. Organization of JTA into groupings that are then assigned with the number of questions the written exam should contain out of each grouping.
11. Exam Questions
    a. Follow *ACI Exam Question Writing Guide* on the C 601-X webpage under *Published Documents*
12. Performance Exam Checklists (if applicable)
    a. Instructions for setup and administration
    b. Examinee worksheets
13. Education/Work Experience Forms (if applicable)
14. Program Policies
    a. Eligibility Requirements
    b. Certification Criteria
    c. Examination Criteria
    d. Appeals Criteria
    e. Sponsoring Group Criteria
    f. Examiner/Proctor Criteria
    g. ACI Responsibilities
    h. Recertification Criteria

Once all Core Documents are complete, a "Pilot Exam" will be arranged as appropriate to conduct a "soft launch" of the program to assess materials and process performance. Additional pilot exams may be conducted prior to "hard launch" of the program to ensure the process runs as smoothly as possible prior to system-wide availability.

ACI Certification Protocol
Exam Materials Handling, and Reporting of Session Results

Upon ACI approval of an ACI Certification Sponsoring Group (SG), the SG's Primary Contact is issued an ACI Certification Account Number, which must be provided when exam materials orders are placed. ACI advises that SGs provide this number only to individuals the SG has authorized to order materials for which they are responsible for payment.

Following is a detailed description of how the exam materials are handled from ordering to processing, and how reports and credentials are subsequently generated and distributed.

Ordering
Authorized individuals may place orders for exam materials as follows:
1. Call the ACI Certification Department at 248/848-3790, or email ACI.Certification@concrete.org
2. Provide the following information:
   a. Advise if the order is a new order or an add-on to an existing order, if an add-on, provide the session number of the original order
   b. SG name and account number
   c. Exam date
   d. Materials need-by date
   e. Exam session location (city, state/country)
   f. Examiner name and ID number
   g. Certification program
   h. Language (English/Spanish)
   i. Imperial unit or Metric unit exams
   j. Number of Exams:
      i. Full sets (written and performance, if applicable)
      ii. Written re-exams
      iii. Performance re-exams
      iv. Work experience forms
   k. Shipping method (note: ACI provides no-charge shipping and return via UPS ground if ACI can ship 10 business days prior to the Need-By Date ; all other shipping is at the SG's expense – exams must be sent and returned by a traceable method)
   l. Ship-to contact and address (street address; if no street address can be provided, another shipping method may be used, at the SG's expense). The ship-to contact must be either the Primary Contact or Examiner. Shipping ACI exams materials to any other contact or to a venue with a "hold for arrival" contact may be considered if the SG can demonstrate that the materials will be secure until opened and verified by a qualified ship-to contact leaving enough time to correct any materials issues with hard-copy materials supplied directly from ACI.
   m. Name and phone number of the person placing the order

Confirmation
ACI sends a confirmation within 24 hours of every order placed via email to the individual placing the order; if confirmation is not received within 24 hours of placing the order, the individual placing the order is advised to call the ACI Certification Department at 248/848-3790.

Validation

Prior to fulfillment of the order, ACI Certification validates the order by checking:

1. The SG account is active and in good standing
2. That the SG is approved for the program for which materials have been ordered
3. The exam session location is within the SG's assigned geographical jurisdiction
4. The examiner provided is approved for the program for which materials have been ordered

ACI contacts the person placing the order if any issues exist prohibiting fulfillment of the order. ACI may also contact other SG personnel to verify the validity of the order (e.g., the SG has authorized the person placing the order to do so with their knowledge and approval).

Fulfillment

Once ACI has validated the information and is satisfied that all criteria has been met, an exam materials package is assembled and scheduled for shipment. Exams typically sent via UPS ground at least 10 business days prior to the exam need-by date.

Receipt/Verification

When the exam materials package is received by the ship-to contact, it must be opened and the contents verified as correct (i.e., correct exam for the exam session scheduled, and all contents included in the package is correct per the enclosed packing list, etc.). This must be done enough in advance of the exam session date to facilitate correction with hard-copy materials supplied directly from ACI. The materials must then be kept in a secure location under the custody of SG personnel until they are administered during the exam session according the *ACI Examiner Policies and Procedures.*

Return of Materials

Following administration and collection of the exams per the *Examiner Policies and Procedures, Examiner Letter* (included in the exam materials package), and individual program policy, the Examiner organizes and repackages the exam materials for return to ACI. The Examiner retains control of the repackaged exam materials until they are picked up by UPS (using the supplied return label, if requested) or other traceable courier, or returned to the Primary Contact or Secondary Contact for shipping back to ACI.

Processing

When exam materials packages are received at ACI, Certification Staff opens and inventories the contents, reviews the *Post-Examination Report* and exam materials for proper completion and signatures. If any required item is incorrect/incomplete, Staff mitigates the issue as needed and scans the materials, creating an electronic file for upload, correction/validation, and processing. A feedback report is prepared for transmission to the Examiner the incorrect/incomplete items. Certification Staff uploads and processes the electronic file within 10 business days following receipt, ensuring individual records are either created or combined with prior records for that same individual already resident in the ACI database.

The electronic file is processed, work experience forms are evaluated and results entered into individual records, and processing completed.

Reporting

Following the completion of processing, reports are generated and distributed as follows:

1. Overall Session Results – sent to the Primary Contact and Examiner
2. Summary Pass/Fail List – sent to the Primary Contact and Examiner
3. Individual Results – Examinees receive their own detailed results, however, some international SGs have elected for ACI to drop-ship these along with credentials for in-country redistribution.
4. Certificate and Wallet Card (if Certification is attained) – Examinees receive their own credentials, however, some international SGs have elected for ACI to drop-ship these along with Individual Results for in-country redistribution.

Individuals who have been certified as a result of processed sessions will have their name, certification title, certification expiration date, city, state, zip code, and country of residence uploaded to the ACI certified personnel database on the ACI website for display the following day.

ACI Examiner Policies and Procedures

ACI Certification programs are administered primarily through ACI Sponsoring Groups, who must meet and maintain specific organizational and operational criteria in order to retain ACI approval and authorization to access and administer ACI Certification examinations. While all individuals associated with a Sponsoring Group's ACI Certification examination administration activity are charged with the responsibility of ensuring that ACI Certification exams are administered in a fair and equitable manner that preserves the integrity and effectiveness of the ACI examination process, ACI-approved Examiners perform the most critical function as the individual in charge of ensuring each examination session they administer complies with <u>ALL</u> ACI policies and procedures.

This document contains policies and procedures to which ACI-approved Examiners must adhere. The policies and procedures described in this document are applicable to <u>ALL</u> ACI Certification programs, and though designed to address most commonly-encountered administrative issues and preserve the integrity of the ACI Certification Program, do not address all issues that may present themselves in the course of administering ACI Certification exams. Examiners are therefore charged with using their judgement and discretion in mitigating issues not addressed by these policies and procedures in a manner that precludes the appearance of impropriety, and preserves and prevents harm to the integrity of the ACI Certification Program.

1. Individuals seeking to become ACI-approved Examiners for ACI Certification programs must review these *Examiner Policies and Procedures* and each individual program policy for which approval as an ACI Examiner is sought. Each individual program policy contains specific criteria applicants must meet in order to be considered for ACI approval.
2. Individuals seeking approval must complete, sign, and submit to ACI Staff an examiner application for review and approval or further direction (e.g., if deficient, an explanation of the deficiency). ACI Examiner approval is considered against the criteria of each individual program policy and conferred on a program-by-program basis. Approval of examiner applications is within ACI's discretion.
3. Upon ACI approval, ACI Examiners are qualified to administer ACI Certification examinations, but may do so only under the further authorization of an ACI-approved Sponsoring Group.
4. If approved by ACI and authorized by a Sponsoring Group, ACI Examiners are charged with ensuring that:
    a. Exam sessions are conducted within the Sponsoring Group's designated geographical jurisdiction;
    b. If taking registrations independently of the Sponsoring Group, registration forms comply with ACI requirements, and Federal ADA requirements and processes (described in the *ACI Certification Committee and Program Operations Manual*);
    c. Exam material packages are obtained from the Sponsoring Group Primary Contact, Secondary Contact, or directly from ACI, and that the contents are checked far enough in advance of exam sessions to facilitate mitigation if deficient or incorrect contents are discovered;
    d. A copy of the *Certification Committee and Program Operation Manual*, program-specific policy, and adjunct administrative instructions provided in each exam material package is accessible during the exam for reference;

e. An adequate number of proctors and supplemental examiners are present to assist in administering exams, and supplemental examiner qualifications are verified, if applicable;

f. Proctors and supplemental examiners assisting in the administration of ACI Certification exams are advised of, and adhere to, the *ACI Certification Committee and Program Operations Manual* and the program-specific policies and procedures;

g. Examiner presence and supervision/control over exam sessions is continuous for the duration of the exam session;

h. Objective (written) exams are handled in a manner that preserves the fairness, equity, and integrity of their administration, and the security and confidentiality of the materials as follows:

    i. Examiner retains control over the exams and ensures they are not photocopied for any reason without the expressed written consent of ACI Certification Staff;

    ii. Examiner ensures the exam venue provides adequate:

        1. Privacy/quiet/removal from external distractions
        2. Space between examinee stations
        3. Adequate seating/writing surface
        4. Availability of No. 2 pencils
        5. Lighting
        6. Temperature
        7. Availability of restroom facilities
        8. Removal or covering of flipcharts, boards, training aides

    iii. Examiner ensures that examinees who have requested special accommodations under the Americans with Disabilities Act are identified and that written exams are administered according to those accommodations;

    iv. Examiner ensures examinees are allowed time before the exam begins to complete the demographic side of the answer sheet and sign the release;

    v. Examiner reviews the instructions and policies on pages 1 and 2 of the exam booklet (separate copy provided in the exam materials package) with the examinees, explaining challenges and appeals before the exam begins;

    vi. Examiner ensures the identity of each examinee is verified via photo identification;

    vii. Examiner ensures cell phones and other recording devices are turned off, stowed, and inaccessible during the exam session

    viii. Examiner ensures that books, notes, study materials, and any other information retrieval system or device (except for approved materials during open-book exams) are inaccessible to examinees during the exam session;

    ix. Examiner ensures that exam materials (question booklets and answer sheets) are distributed only during the exam session;

    x. Examiner ensures the start of the exam is announced and the timer is started;

    xi. Examiner refrains, and ensures proctors refrain from interpreting exam questions and/or providing any form of technical assistance to any examinee;

    xii. Examiner ensures that examinees do not copy questions in any manner for conveyance from the exam venue;

xiii. Examiner ensures that issues arising during administration of the written exam session (e.g., cheating, disruption of the session, etc.) that may be mitigated within the authority of the Examiner are handled as such, and that all issues are documented should the Examiner be unable to mitigate the issue at the exam session and the examinee submits an appeal;

xiv. Examiner suspends the exam of any examinee(s) discovered to be cheating, confiscates any evidence of the cheating, and dismisses them from the exam session;

xv. Examiner ensures examinees are allowed adequate time following collection of their exam answer sheets to complete exam question challenges with access to the exam question booklet;

xvi. Examiner ensures exam materials are collected from examinees at the end of the allotted time;

xvii. Examiner ensures that each examinee has signed both the answer sheet and question booklet before they are allowed to leave the venue.

i. Performance exams, if applicable, are conducted in a manner that preserves the fairness, equity, and integrity of their administration, and the security and confidentiality of the materials as follows:

  i. Examiner ensures the identity of each examinee is verified via photo identification;

  ii. Examiner ensures that examinees who have requested special accommodations under the Americans with Disabilities Act are identified and that performance exams are administered according to those accommodations;

  iii. Examiner ensures cell phones and other recording devices are turned off, stowed, and inaccessible during the exam session;

  iv. With the exception of the performance exam checklists, Examiner ensures that books, notes, study materials, and any other information retrieval system or device are inaccessible to examinees during performance examination of each individual procedure;

  v. Examiner ensures each examinee has signed the release on the performance exam checklist summary report prior to allowing examinees to perform any procedure;

  vi. Examiner ensures that the two trial and one voluntary suspension process, and appeals process has been explained to both supplemental examiners and examinees prior to beginning the performance exam;

  vii. Examiner ensures that examinees awaiting administration of their performance exams are not allowed to observe the performance exams of other examinees;

  viii. Examiner ensures that they and supplemental examiners under their charge direct examinees to which they are personally related (mandatory), or professionally related (if no waiver is in effect from ACI), to alternate testing stations;

  ix. Examiner ensures that they and supplemental examiners under their charge observe the performance of only one examinee at a time;

      x. Examiner ensures that no examinee is failed on a performance trial due to equipment failure;

      xi. Examiner ensures that performance exam checklists and related supplemental instructions are adhered to, with no steps or questions added, and no steps or questions omitted except where explicitly directed or permitted in the examination documentation;

      xii. Examiner ensures that issues arising during administration of the performance exam session (e.g., cheating, disruption of the session, etc.) that may be mitigated within the authority of the Examiner are handled as such, and that all issues are documented should the Examiner be unable to mitigate the issue at the exam session and the examinee submits an appeal;

      xiii. Examiner ensures that upon completion of the performance exam, all checklists are collected, collated, reviewed, properly completed, and signed by examinees, supplemental examiners, and the Examiner as directed in the documentation.

    j. Examiner truthfully and accurately completes and signs the *Post-Examination Report*;

    k. Examiner organizes and repackages the exam materials as directed in the *Examiner Letter* included in the exam materials package;

    l. Examiner retains control of the repackaged exam materials until they are picked up by UPS or other traceable courier, or returned to the Primary or Secondary SG contact.

5. Examiners must maintain impartiality in the execution of their responsibilities to preserve the precept of ACI providing independent third-party assessment.

6. ACI may revoke the authorization of Examiners not adhering to ACI policies and procedures either willfully or through neglect, or whose actions convey the appearance of impropriety or erode the reputation and integrity of ACI's certification programs.

7. In the event ACI revokes the authorization of an Examiner, written notification will be conveyed to the Examiner explaining why authorization has been revoked.

8. The Examiner may appeal in writing within 30 days of the revocation; the written appeal must provide an explanation and all supporting documentation directly addressing ACI's cited reason(s) for the revocation. Any materials received after the 30-day period will not be considered.

9. The appeal documentation will be reviewed by ACI Staff and the Certification Programs Committee Chair, and a final determination conveyed in writing.

ACI Certification Exam Security Breach Protocol

ACI Certification exam materials represent significant expenditures in time, effort, and resources by ACI Staff and the volunteer committees responsible for maintaining the programs. All ACI Certification program policies are designed with the intent of preserving the confidentiality and security of exam materials, which are crucial to the effectiveness and integrity of the programs. In order to accomplish this, ACI Certification program policies must be followed by all parties with access to and/or authorized to handle exam materials. All persons in the custody chain are obligated to exercise diligence in maintaining control of the materials when in their care.

If any agent of an ACI Sponsoring Group (Primary, Secondary, Invoicing Contact; Examiner; Proctor, Supplemental Examiner, SG Certification Committee member, etc.) suspects or becomes aware that the security and/or confidentiality of ACI written exam materials has been compromised, **that person is <u>obligated</u> to notify the ACI Certification Department <u>immediately via email and cell phone as follows</u>:**

John.Nehasil@concrete.org / 734-634-2209 - Managing Director of Certification

Mark.Campo@concrete.org / 734-394-6379 - Director of Certification (Operations and Technical)

The Examiner must document the issue; ACI Certification Department Staff will review incident specifics and provide specific instruction to the SG Contact on how to proceed in the short term, then develop and implement a plan to mitigate the impact of the breach. The SG and its personnel must comply with all instructions and directives issued by ACI Certification Department Staff.

ACI Certification Department Staff duly considers the impact upon the SG of any decisions and/or actions taken to mitigate security breaches, however, ACI Staff's initial obligation is to the long-term credibility and integrity of its programs. Neglecting to follow, or willful circumvention of established policies, including this protocol and any instructions conveyed to the SG by ACI Certification Department Staff, may result in invalidation of testing sessions, revocation of Examiner approval, suspension of access to ACI exam materials, and revocation of SG approval.

Mandatory Information to be included in ACI Certification Candidate Registration Forms and Instructions

1. Full Name

2. Address

3. Phone Number

4. Email Address

5. Emergency Contact Name

6. Emergency Contact Phone Number

7. Program Title*

8. Inclusion of the following statement:*

   Individuals certified through this program are typically expected to be capable of reading, comprehending, and executing procedures requiring strenuous physical activity, and possess a level of fitness required to safely execute the procedures. By marking the appropriate box below, you are asserting that you are aware of the physical abilities and fitness level appropriate to participate in the program without accommodation for either permanent or temporary disabilities in accordance with the Americans with Disabilities Act (ADA), or have contacted ACI and are in the process of applying for accommodation in accordance with ADA.

   □ *I request participation without accommodation via ADA*

   □ *I am in the process of applying for accommodation via ADA*

9. Inclusion of the following statement/acknowledgement:*

   □ *I understand that participation in this program does not guarantee certification or employment if certification is attained. I further understand that employment in specific geographic areas is contingent upon the laws and ordinances of that jurisdiction.*

10. Payment Information*

11. Cancellation Policy*

* *These items may be included either on the registration, or in the instructions accompanying the registration form. If included in the instructions, a general acknowledgement/agreement should be included on the form above the signature.*

Americans with Disabilities Act (ADA)
Accommodation Request Protocol

1. The ACI Certification Department must be contacted directly by the candidate. If the Sponsoring Group (SG) is initially contacted by the candidate, the SG directs the candidate to contact the ACI Certification Department for instructions.

2. The ACI Certification Department instructs the candidate to obtain a letter/note from their physician verifying the need for accommodation and send the original (the candidate is instructed to retain a copy) to the ACI Certification Department; the letter/note must include:

    a. A diagnosis/description of the candidate's medical condition
    b. Recommended accommodation(s) for the written and/or performance examination

3. The ACI Certification Department reviews the request, either accepting the recommended accommodation or formulating an alternative approach or accommodation.

4. The ACI Certification Department contacts the candidate to obtain acceptance of the accommodation.

5. The ACI Certification Department contacts the SG to arrange the accommodation.

6. The SG contacts the candidate with specific local registration and participation information.

As ACI begins its second century of advancing concrete knowledge, its original chartered purpose remains "to provide a comradeship in finding the best ways to do concrete work of all kinds and in spreading knowledge." In keeping with this purpose, ACI supports the following activities:

· Technical committees that produce consensus reports, guides, specifications, and codes.

· Spring and fall conventions to facilitate the work of its committees.

· Educational seminars that disseminate reliable information on concrete.

· Certification programs for personnel employed within the concrete industry.

· Student programs such as scholarships, internships, and competitions.

· Sponsoring and co-sponsoring international conferences and symposia.

· Formal coordination with several international concrete related societies.

· Periodicals: the ACI Structural Journal, Materials Journal, and Concrete International.

Benefits of membership include a subscription to Concrete International and to an ACI Journal. ACI members receive discounts of up to 40% on all ACI products and services, including documents, seminars and convention registration fees.

As a member of ACI, you join thousands of practitioners and professionals worldwide who share a commitment to maintain the highest industry standards for concrete technology, construction, and practices. In addition, ACI chapters provide opportunities for interaction of professionals and practitioners at a local level.

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The American Concrete Institute (ACI) is a leading authority and resource worldwide for the development and distribution of consensus-based standards and technical resources, educational programs, and certifications for individuals and organizations involved in concrete design, construction, and materials, who share a commitment to pursuing the best use of concrete.

Individuals interested in the activities of ACI are encouraged to explore the ACI website for membership opportunities, committee activities, and a wide variety of concrete resources. As a volunteer member-driven organization, ACI invites partnerships and welcomes all concrete professionals who wish to be part of a respected, connected, social group that provides an opportunity for professional growth, networking and enjoyment.