



Certification Program Requirements for Fabricators of Hydraulic Steel Structures

This document (hereinafter referred to as the *Requirements*) governs the AISC Certification Program for Hydraulic Steel Structures for Fabricators (hereinafter referred to as the *Program*). All applicants and participants (both are hereinafter referred to as the *Participant*) are required to comply with and have available all these *requirements*. This *program* uses the AISC *Certification Program for Steel Bridge Fabricators - Standard for Steel Bridges - 2011* (hereinafter referred to as *Standard*) as a normative document.

PROGRAM RULES

- RU1 Program Rules are included in the site audit scope and a nonconformance would result in a Corrective Action Request being issued by the auditor.
- RU2 An approved application, full payment of fees, documentation audit and site audit are mandatory.
- RU3 To ensure that the site audit maintains impartiality and avoid any conflicts of interest, *participants* may not have used the auditor assigned to them as a consultant in the two years prior to the audit date nor may the auditor have been an employee or contracted by the *participant* within the previous five years. If either conflict of interest exists with the assigned auditor, the *participant* is obligated to notify AISC Certification within 5 business days of receiving their auditor assignment, and the audit will be reassigned to a different auditor at no expense to the *participant*. If notification is not received within this time frame, the audit reassignment will be at the *participant's* expense.
- RU4 Key certification variables include facility information and contact information. Failure to provide timely notification of changes to key certification variables may result in a cancelled or incomplete site audit or suspension of certification. Therefore the *participant* is required, within 30 days of the change, to complete the *Key Variables Change* form on the AISC website to inform AISC of changes to any of the following:

Facility: Company name, physical address of facility, mailing address, and ownership

Contacts: The names, telephone, and email of the following designated individuals

- Principal Officer
- Marketing Representative
- Certification Contact
- Accounts Payable

While positions identified above may be combined, a minimum of three separate



Certification Program Requirements for Fabricators of Hydraulic Steel Structures

email contacts for a *participant* is required.

- RU5 All documents required for the certification program application and review process are to be submitted by the *participant* in English.
- RU6 Standard Section/Element 3 is clarified and modified by the following:
- All references must be in English

Current editions of the following references are required: (*note: other editions may also be required by existing participant contracts*)

- AISC 303 *Code of Standard Practice for Steel Buildings and Bridges*
- ANSI/AISC 360 *Specification for Structural Steel Buildings*
- RCSC *Specification for Structural Joints Using High Strength Bolts*
- AISC *Selected ASTM Standards for Structural Steel Fabricators, or equivalent*
- AASHTO/AWS D1.5M/D1.5 *Bridge Welding Code*
- SSPC-PA 1 *Shop, Field, and Maintenance Coating of Metals*
- SSPC-PA-2 *Paint Application Standard No. 2*

Provisions of Section/Element 3 not modified above remain in effect.

- RU7 All *participants* shall be held to these requirements and to Section/Element 3 through 19 and Supplemental Requirements F5.6.2.1 through F15.2 for Fracture Critical (FC) Members of the AISC *Certification Program for Steel Bridge Fabricators - Standard for Steel Bridges - 2011*. When using the *standard* the words "steel bridge" are to be replaced with "hydraulic steel structures".
- RU8 The *participant* will be audited and evaluated to ensure compliance with the current AASHTO/AWS D1.5M/D1.5 *Bridge Welding Code* regardless if this is required by the sampled contracts and specifications.
- RU9 All personnel involved in the quality management system may be either employees of the *Participant* or contracted by the *Participant*. In the case of the latter, contract status and qualifications must be demonstrable.
- RU10 When required, Certified Welding Inspectors (CWI) may be an employee of the *participant* or contracted by the *participant*. In the case of the latter, contract status and qualifications of the CWI must be demonstrable.
- RU11 The *participant* must demonstrate that its Quality Control Inspector(s) (QCI) are qualified per current ANSI/AISC 360 *Specification for Structural Steel Buildings* Section N4. These qualifications must be stated by the participant in its quality management system including experience and training requirements.

June 29, 2017 (Supersedes Requirements dated March 22, 2017; revisions underlined)



Certification Program Requirements for Fabricators of Hydraulic Steel Structures

- RU12 *Participant* must demonstrate capability to produce hydraulic steel structures. If the participant has not produced hydraulic steel structure work, within the past three years then their capability shall be demonstrated by Mock Exercises.
- RU13 The *participant* must develop, document and implement an effective Fracture Control Plan. The plan must outline responsibilities and methods employed in the facility to meet requirements of *AASHTO/AWS D1.5M/D1.5 Bridge Welding Code*, Clause 12.
- RU14 *Participant* must demonstrate capability to produce work that meets the requirements of Clause 12, *AASHTO/AWS D1.5M/D1.5 Bridge Welding Code*. If the participant has not produced Fracture Critical (FC) work, within the past three years then their capability shall be demonstrated by running a job or a portion of a job as if it met FC requirements in accordance with the Fracture Critical Mock Exercises.
- RU15 *Participant* shall demonstrate that training has been performed annually for the requirements of their Fracture Control Plan and the requirements of Clause 12, *AASHTO/AWS D1.5M/D1.5 Bridge Welding Code*. This training must be documented and available during the facility audit.
- RU16 At least one Welding Procedure Specification (WPS) and supporting Procedure Qualification Record (PQR) and one Welding Performance Qualification Record (WPQR) must be maintained current and qualified with records of period of effectiveness as required by Clause 12, *AASHTO/AWS D1.5M/D1.5 Bridge Welding Code* for FC work and available for review during each facility audit.
- RU17 *Participants* must perform a bolting method demonstration at each Initial Certification (INIT) and Full Certification Renewal (CCRF) site audit. The demonstration shall comply with the current *RCSC Specification for Structural Joints Using High Strength Bolts* Pre-Installation Verification.
- A procedure for Rotational Capacity Testing is not required as listed in *Standard Section/Element 12.2*.
- RU18 A quality manual, documented procedures and records as described in the *Standard Section/Element 5.6.2* shall be submitted for review with all initial certification (INIT), and made available upon request.
- RU19 Prior to the site audit, the *participant* must complete an internal audit and internal audit report in accordance with the *Standard Section/Element 19* and it must include any endorsements. The *participant* must have performed its management review prior to the site audit. Records of the internal audit and management review must include evidence of when these activities took place, the person(s) performing the



Certification Program Requirements for Fabricators of Hydraulic Steel Structures

audit/review and evidence that all provisions of the *standard* and *requirements* were audited with the results. The *participant* may perform a single audit or perform several audits throughout the year, as long as, all provisions of the *standard* and *requirements* are audited. It is preferred to use other personnel to perform the internal audit so that independence from the function being audited can be maintained.

- RU20 Observers may be present during the site audit but shall not participate in or influence the audit process or the outcome of the audit, as determined by the auditor.
- RU21 Interpreters must be provided by the *participant* for the auditor's communication during the site audit, as necessary. Interpreters must be knowledgeable of the appropriate industry terminology.
- RU22 *Participants* are eligible to apply for the Sophisticated Painting Endorsement. (refer to the [AISC Certification Program Requirements for Applicators of Complex Coatings Endorsement](#))
- RU23 Falsification of records or attempts to influence the auditor or the certification process in any manner by employees or other representatives of the *participant* deemed to be a fraud or attempted fraud on the certification process is not permitted. If this occurs at any time during the application or renewal process prior to a final determination by the Certification Review Group (CRG), the certification process will be suspended and the case referred to the CRG for determination. Any existing certifications remain valid until the CRG has made its determination.

PROGRAM REGULATIONS

- RG1 Purpose of this *program* is to confirm to owners, the design community, the construction industry and the public that a certified hydraulic steel structures fabrication facility has the personnel, organization, experience, documented procedures, knowledge, equipment and commitment to produce fabricated steel of the quality required for hydraulic steel structures.
- RG2 This certification offers assistance to the hydraulic structures professionals, owners, general contractors, and other interested parties in assessing a fabricator's capability to satisfy project quality needs.
- RG3 The Quality Management System of the fabrication facilities (not products) is certified. The certification should not be understood as a product inspection of fabricated steel. Certification includes all functions of fabrication from receipt of contract through final



Certification Program Requirements for Fabricators of Hydraulic Steel Structures

delivery. The scope of this certification does not include design or installation.

- RG4 This *program* is applicable to the following types of hydraulic steel structures: Lock gates (miter gates, vertical-lift gates, sector gates, roller gates and submersible tainter gates), spillway gates, bulkheads, needle beams, lock culvert valves, and stop logs used in navigation, flood control or hydropower projects and similar structures.
- RG5 *Participants* will at all times abide by the AISC *Progressive Action Policy for Certification Complaints and Allegations (Complaint Policy)* and the AISC *Appeal Policy for Certification Determination (Appeal Policy)*
- RG6 Certifications will be issued as Certified Hydraulic Steel Structures Fabricator. The Certificate contains the following information:
- Name of the company holding the certification
 - Address of the certified facility which is the address where the site audit occurs
 - Listing of the certifications held
 - Year and Month the certification expires
 - Signature of AISC officer
 - Unique identification number

Certificates are non-transferable and only one facility address will be listed on a certificate.

- RG7 AISC will make information concerning certification status publically available on its website. The information disclosed is company name, location, contact name, email and phone number, certifications held and status of certification.
- RG8 A Certification Cycle consists of the following phases:
- Initial Certification (INIT) or a Full Certification Renewal (CCRF)
 - First Continued Certification Renewal (CCR1)
 - Second Continued Certification Renewal (CCR2)
- RG9 Whenever there is a conflict between the *requirements* and the *standard*, the *requirements* govern.
- RG10 AISC assigns the date for all site audits. The *participant* will be notified of the audit date via email. If at any point after the assignment, the *participant* requests an audit date change, a rescheduling fee will be charged per the fee schedule. Site audits must be completed a minimum of 45 days prior the expiration of the *participant's* certificate.



Certification Program Requirements for Fabricators of Hydraulic Steel Structures

- RG11 All correspondence, discussions and interviews will be conducted directly with or in the presence of the *participant's* designated representative (normally the management representative or certification contact) Consultants may not be present during the site audit nor can they be named as a designated representative. Consultants include those who have participated in the establishment and implementation of the quality management system through activities such as preparing/producing manuals and procedures or who give specific advice, instruction or solutions towards development and implementation of the quality management system.
- RG12 After each site audit is completed and any Corrective Action Request evidence has been reviewed, the results will be forwarded to AISC's Certification Review Group (CRG). The CRG will also be provided with the prior three year certification history and audit findings, and any complaints or allegations that have been received by AISC, to review as part of the basis for determining certification.
- RG13 AISC reserves the right to deny/withdraw certification to a *participant* that fails to provide objective evidence of the ability to satisfy the requirements described in the *program* and/or its endorsements.
- RG14 AISC may choose to grant certification for less than one year if it is determined through the CRG evaluation that an additional site audit is needed to provide evidence of an effective quality management system. When this occurs, any associated costs will be assessed according to the current fee schedule for the additional site audit. AISC also reserves the right to conduct short-notice or unannounced audits, if required.
- RG15 *Participants* that have their certification withdrawn/denied may appeal the decision using the AISC Appeal Policy. Certification fees will not be refunded. The *participant* may reapply for certification six months from the date of the initial decision withdrawing or denying certification.
- RG16 *Participants* that hold a current valid certificate are eligible to use and display the Certified Fabricator logo.
- RG17 *Participants* are eligible to apply for other AISC certification programs and endorsements along with this *program*. Multiple fabricator certification programs and endorsements are included on a single certificate.



Certification Program Requirements for Fabricators of Hydraulic Steel Structures

RG18 Changes to the certification scope require additional submittals, audits and fees. All scope changes shall be submitted to AISC for review and determination applicable requirements.

RG19 The current fee schedule is posted on the AISC website and is subject to change.