

## American Institute of Constructors

### Constructor Certification Commission Policy and Procedure No. 5.17

#### Constructor Certification Commission Management System

**Policy** – The Constructor Certification Commission will maintain a comprehensive management system to ensure all of its processes meet the criteria required by the American National Institute of Standards National Accreditation Board (ANAB) to maintain accreditation of its personnel certification schemes. The comprehensive management system shall include the management of documentation including appeals and complaints, records, internal and external audits, and impartiality with the goal of continuous improvement of Commission policies and procedures and documents through an annual review process to identify and needed corrections and/or preventative actions.

**Responsibility** – Constructor Certification Commission

**Commission Reference Documents** – Commission Policy 1.7 - Appeals, Commission Policy 4.5 – Responding to Communications, Commission Policy 5.2 -Documentation and Document Control, Commission Policy 5.10 - Making Changes to Commission Organization, Operations and Certification Schemes, Commission Policy 5.11 – Internal Audits, Commission Policy 5.13 – Documentation Security; Commission Document 79 - Real and/or Perceived Issues Impacting Impartiality Checklist.

**Procedure** – The management system shall consist of the following components and each component will comply with the noted Commission Policies associated with each.

1. The Chair of the Constructor Certification Commission will be responsible for leading the effort to conduct a comprehensive review of the various components making up the Commission's Management System. This review will take place annually and the input for it will include information related to the following components:
  - A. **Internal and external audits** are to be conducted on a predetermined basis. Internal audits are to be conducted on an annual basis in accordance with Commission Policy 5.11 and associated document(s). External audits are to be conducted once every three years with annual reviews conducted the other years. Both annual audits and reviews are to be done by a qualified auditing firm employed by the Commission. The results of both internal and external audits are provided to the Commission members at least 30 days prior to the annual Management Review. The results of all audits are documented and placed in Commission files in the Management Contractor's Office.
  - B. Any **feedback from applicants, candidates, certified persons and interested parties** is provided to the Commission members as received in accordance with

Commission Policy 4.5. All pertinent feedback will be considered by the Commission during the annual Management Review. All feedback and any communications resulting from the receipt of said feedback is retained in the Management Contractor's Office files.

- C. Any **complaints** are handled in accordance with Commission Policy 4.5. **Appeals** are handled in accordance with Commission Policy 1.7 and the results of both are included in the Management Review when necessary. All documentation related to formal complaints and appeals are kept in the Management Contractor's Office files.
- D. The issue of continuing to **safeguard impartiality** is also a part of the Commission's annual Management Review. The Commission's Document No. 79 covers real and/or perceived issues impacting impartiality. Feedback received from Commission constituents from communications, surveys and audits is considered to ensure continuing impartiality and any actions taken by the Commission are documented and placed in files in the Management Contractor's Office.
- E. The administration of all Commission **documents and records** is conducted in accordance with Commission Policies 5.2 and 5.13. These includes procedures to define the controls needed for the identification, storage, protection, retrieval, retention time, and disposition of its records and establish procedures for retaining records in a legal manner that maintains required confidentiality. This includes:
  - approval of documents for adequacy prior to issue.
  - review and update as necessary and re-approve documents
  - ensure that changes and the current revision status of documents are identified
  - ensure that relevant versions of applicable documents are provided at points of use
  - ensure that documents remain legible and readily identifiable
  - ensure that documents of external are identified and their distribution controlled
  - prevention of unintended use of obsolete documents and apply identification if they are retained for any purpose
- F. In addition, during the annual Management Review the Commission will consider the status of any needed follow-up actions from previous Management Reviews including the status of identified preventive and corrective actions.

2. During the Management Review if any nonconformities in the operations of the Commission are identified, a plan will be established to alleviate the respective nonconformities. This plan will include the corrective actions required to make the

needed improvements, those responsible for making them and the deadline for them to be completed. Any needed changes in existing Commission policies and procedures will be accomplished in accordance with Commission Policy 5.10. The corrective action plan will be documented and said documentation will be placed in the Commission's Management Contractor's files. In addition, the Commission Chair will be responsible to follow-up to ensure the plan is implemented to alleviate the respective nonconformities, including an assessment of the effectiveness of corrective actions. Finally, the Commission Chair will be responsible to report to the Commission during the next Management Review of the status of the implementation and effectiveness of said plan.

3. Also during the Management Review if any potential nonconformities (and their possible causes) in the operations of the Commission are identified, the Commission will assess the need to take needed action to prevent the occurrence of the identified potential nonconformities. And if needed, to develop a formal plan to prevent the potential nonconformity including required preventative activities needed to be taken, those responsible for said activities and a time line by which the activities must be completed. Any needed changes in existing Commission policies and procedures will be accomplished in accordance with Commission Policy 5.10. The plan will be documented and said documentation will be placed in the Commission's Management Contractor's files. In addition, the Commission Chair will be responsible to follow-up to ensure the plan is implemented to alleviate the respective nonconformities, including an assessment of the effectiveness of preventative actions. Finally, the Commission Chair will be responsible to report to the Commission during the next Management Review of the status of the implementation and effectiveness of said plan.

4. The final output from the Management Review, as noted above, will include any decisions and needed actions related to the following:

- a. improvement of the effectiveness of the Commission's Management system and its processes.
- b. improvement of the Commission's certification services
- c. resource needs

## **Revision History**

Last Revision: 10/27/2024