



INDIANA DEPARTMENT OF TRANSPORTATION

Division of Materials and Tests

Directive 201

Certified Aggregate Producer Program Procedures

The Procedures for administering the Certified Aggregate Producer Program (CAPP) will be as follows:

PLANT

A Plant is defined as any location which mineral aggregate is processed into a final material. Different processes for separate materials and stockpile yards at one location are considered part of the Plant. A Producer Yard is defined as a location of stockpiled aggregate materials under the control of the Producer at a point removed from the Plant. The Producer Yard is considered part of the Plant for CAPP purposes.

For a Producer Yard, an addenda is added to the Quality Control Plan (QCP) of the Plant and shall include the specifics concerning the location, materials stockpiled at the Producer Yard, and the required sampling and testing that will be conducted. If there is a new Certified Material produced at the Producer Yard, a QCP Annex also is submitted. If the Producer Yard is for temporary purposes, such as for a specific contract, the addenda is removed from the QCP upon completion of supplying the material to the contract and a QCP Annex is submitted to remove the product as a Certified Material. Examples of a Producer Yard are as follows:

1. A Plant elects to stockpile materials at a location that would be geographically closer to their customers and subsequently shipped for multiple applications. This may include materials that are supplied for an INDOT contract, for a HMA or concrete plant, or for other customers. Start of production and normal production samples are obtained and tested at the originating source of the aggregates and load-out samples are obtained and tested for material shipped from the Producer Yard stockpiles.
2. A Contractor recycles concrete at a location close to a contract to provide an aggregate for the same contract. The Contractor requests that a Certified Aggregate Producer add the recycled concrete location as a Producer Yard. Start of production and normal production samples are obtained and tested at the Producer Yard in accordance with the Coordinated Testing Phase requirements. Upon acceptance of the aggregate material as a Certified Material, the aggregate may be shipped to the contract. Normal production samples are obtained and tested during additional production of the material and load-out samples are obtained and tested for material shipped to the contract.

REDISTRIBUTION TERMINAL

A Redistribution Terminal is defined as a supplier of aggregate material(s) other than a Plant. Aggregates may be materials from either a non-CAPP or CAPP source, and all aggregates are

required to have acceptable production quality test results and meet all of the applicable CAPP requirements. Aggregates originating from a non-CAPP source are tested at the start of production, normal production, and load-out frequencies, and aggregates originating from a CAPP source are tested at the load-out frequency. The Redistribution Terminal is required to maintain the production quality testing documentation for each non-CAPP source. A CAPP Q number is assigned to the Redistribution Terminal and this location may supply Certified Materials to any customer.

The QCP is required to include the originating source and size of aggregate and the applicable requirements of the CAPP. Examples of a Redistribution Terminal are as follows:

1. A CAPP source purchases aggregates from non-CAPP aggregate sources that are not interested in becoming Certified Producers or purchases aggregates from other CAPP sources. The Plant is designated as both a Plant and Redistribution Terminal.
2. A Certified HMA Producer obtains aggregates from non-CAPP sources and/or distributes aggregates from CAPP sources. The HMA plant may use the aggregates in the HMA plant or sell the aggregates as CAPP Certified Materials. Aggregates from CAPP sources that are used in the HMA plant do not require any testing for the CAPP unless the aggregates in the same stockpile are sold as Certified Materials. The HMA plant is designated a Redistribution Terminal.
3. A trucking firm purchases aggregates from CAPP and/or non-CAPP sources and stockpiles the aggregates at a designated location. The location where the aggregates are stockpiled is designated a Redistribution Terminal.
4. An aggregate source has limited access by truck and ships all aggregates by barge to other locations for stockpiling and subsequent distribution to customers. Each location that the aggregate is unloaded and stockpiled for distribution is designated a Redistribution Terminal. The originating source of the aggregates is designated a non-CAPP source.

COORDINATED TESTING PHASE

1. Any Producer making a request to enter the CAPP shall do so in writing to the State Materials Engineer. This request shall include a list of all of the materials to be produced at the source regardless of whether the materials are for Department or other uses.
2. The Geologist Supervisor will inform the District by memorandum of the notification from the Producer and request the District to check the Producer's laboratory and readiness to proceed with the Coordinated Testing Phase. A copy of the memorandum will be sent to the Producer.
3. The District will forward their findings to the Geologist Supervisor by memorandum.
4. During this phase, the Producer shall develop the details of the QCP and demonstrate the ability to produce to the 95 % compliance standard for a coarse aggregate and the Standard Specifications gradation requirements for a dense

graded and fine aggregate, if applicable. The Coordinated Testing procedures should be limited to coarse aggregate sizes 5 or 8 or a QA coarse aggregate, dense - graded sizes 43, 53, or 73, and fine aggregate sizes 23 or 24 or a QA fine aggregate. Frequency of sampling and testing shall be as follows:

Start of Production -- a minimum of once every 1000 t for the first 5000 t but not to exceed 2 per calendar day per material

Normal Production -- a minimum of once every 2000 t but not to exceed 2 per calendar day per material

The District will conduct side-by-side testing on as many of the Producers samples as possible. In any event, District testing will be conducted on not less than every other test done by the Producer or until the District is satisfied that the Producer is sampling and testing correctly and the test results are within the CAPP guidelines. The District will notify the Geologist Supervisor in writing when the side-by-side testing is completed and indicate the products that were tested.

5. The Producer shall submit test results, control charts, and diaries on the first of each month to the District Testing Engineer (DTE), who will maintain this data. A minimum of three months of data or a period as determined by the Department will be required in this phase.
6. The DTE will prepare a Coordinated Phase checklist to verify that the test data, control charts, and diary meet the requirements of the CAPP. The diary may be maintained either electronically or by hard copy; however, if maintained electronically, the Producer shall submit a hard copy. This phase will not be completed until these checklists have been satisfied. A copy of each checklist will be sent to the Geologist Supervisor.
7. Two copies of the QCP shall be submitted by the Producer. One copy shall be submitted to the District and the other copy to the Geologist Supervisor. After reviewing the QCP, the District will forward the QCP checklist, any additional comments, and the District recommendations to the Geologist Supervisor.
8. A QCP checklist will be completed by the Geologist Supervisor. If problems or deficiencies are discovered in the QCP, a letter will be sent to the Producer stating the recommended changes. A copy of the letter will be sent to the DTE.

TRIAL PHASE

1. When the QCP is approved and the side-by-side testing is successfully completed, a letter from the Division of Materials and Tests is sent to the Producer informing him of the QCP approval and entrance into Step Two of the CAPP, the Trial Phase. Monthly submissions of the test results, control charts and diaries are continued during this phase. A copy of the letter is sent to the DTE and Geologist Supervisor.
2. During the Trial Phase, the Producer shall demonstrate the ability to meet the control limits for each active material. Changes in the QCP by addenda may be

made at the audit close-out meeting.

If the target mean and control limits for an aggregate are not changed from the value shown in the approved QCP, the Producer shall have a minimum of one month of data to complete this phase. If the target mean and control limits are changed by an addendum to the QCP, the Producer shall have a minimum of 10 test values to verify the proposed revision.

If the aggregate source is confident that the materials are being maintained within the control limits, the source may request an audit. Target means, standard deviations and control limits for materials not included in the approved QCP may be added by addenda at a later date. However, if the aggregate source does not have the confidence in their ability to control all of their products, the Producer may wait for the completion of the Trial Phase on all of the products before an audit is conducted. The Department retains the right to delay certification until the Producer demonstrates the ability to perform in accordance with their approved QCP.

3. Toward the apparent end of the Trial Phase, the District will schedule the audit of the Producer. Representatives from the Aggregates Section of Materials and Tests may accompany the District audit team on this inspection. An audit checklist will be used to verify that the Producer's operations are in accordance with the QCP. Any deficiencies found will be documented on the Corrective Action sheets. The DTE will arrange a close-out meeting with the Producer within 10 working days after the audit to discuss the resolution of all outstanding matters or set deadlines for solutions.
4. The DTE will forward the CAPP Audit checklist, any additional District comments, and recommendations of the audit, including the necessary addenda to the QCP, to the Geologist Supervisor.

CERTIFICATION

1. After approval for certification has been made, a certificate will be prepared and given to the Producer.
2. A letter welcoming the Producer to certified status that assigns the Q number, lists the Certified Materials, and establishes the beginning date of Certification will be prepared by the Geologist Supervisor, signed by the State Materials Engineer and forwarded to the Certified Producer. A copy will be sent to the DTE. A current list of Certified Producers will be maintained by the Geologist Supervisor.

ADDENDA

1. A Producer may add a Certified Material to the QCP by an addendum. A QCP Annex form is completed by the Producer and submitted to the DTE. The form is reviewed and if satisfactory is forwarded to the Geologist Supervisor for assignment of a D number.

2. All addenda are submitted to the DTE for approval. Addenda may only be submitted at an audit close-out meeting or between January 1st and April 1st of each calendar year. Each submittal is required to have an Authentication Page that is dated and signed by the Management Representative. The DTE will review the addenda, sign and date the Authentication Page if satisfactory, and submit the document to the Geologist Supervisor. A copy of the document is retained by the District and another copy is returned to the Producer.

INACTIVE STATUS

1. A Producer may request to be placed on Inactive Status to temporarily suspend meeting the requirements of a Certified Producer by submitting a statement to the State Materials Engineer requesting Inactive Status.
2. The statement will include estimated tonnages of approved materials onsite, plans for the material and, if possible, locations of materials off site such as asphalt plants or concrete plants. Once the statement has been reviewed and approved, the Division of Materials and Tests will place the source on inactive status in SiteManager and remove the Source from the Certified Materials Listings.

ANNUAL AUDITS OF CERTIFIED PRODUCERS

1. The District will audit each Certified Producer on a random basis at least once per year.
2. An advance notification of at least 24 hours will be given to the Certified Producer of a scheduled audit, which will take place during a normal working day. The DTE will notify the Geologist Supervisor a minimum of one week in advance of the date that an audit will take place.
3. The audit will be conducted by the District Geologist, the Area Supervisor for the region overseeing the Producer, and an Aggregate Technician. The DTE should participate in selected audits.
4. After the audit, completed copies of the CAPP audit checklist, including at least one Side-by-Side Test Result, at least one Compliance Rate Worksheet, Corrective Action sheets, and necessary addenda to the QCP, will be sent to the Geologist Supervisor.
5. The Aggregates Section of Materials and Tests will participate in a joint audit with each District at least once per year.

PARTIAL AUDITS OF CERTIFIED PRODUCERS

1. Certified Producers with special concerns such as the source is known to have a deleterious problem, or if there is recurring problems with a Producer, then partial audits may be randomly scheduled.

2. The partial audit will be conducted by the District Geologist; the Area Supervisor for the region overseeing the Producer; and an Aggregate Technician. The DTE should participate in selected partial audits.
3. An advance notification of at least one day will be given to the Certified Producer of a scheduled partial audit, which will take place during a normal working day.
4. Copies of the Partial Audit Checklist including Corrective Action sheets will be provided to the DTE.