

<b>Title</b>	<b>Directives for accreditation of Bodies operating the assessment and certification of QMS of construction companies (IAF 28)</b>
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***NOTE: The present document represents the English version of document under reference at the specified revision. In case of conflict, the Italian version will prevail. To identify the revised parts reference must be made to version in Italian language only.***

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## 1. SCOPE AND FIELD OF APPLICATION

The present Technical Regulation defines specific applicable rules for the correct and effective implementation of the general requirements of the applicable normative references, for obtaining and maintaining sector specific ACCREDIA accreditation and the subsequent issue under ACCREDIA accreditation or recognition, of certifications of conformity against the standard UNI EN ISO 9001:2008 for organizations operating in the accreditation sector IAF 28, "Construction companies, installers of plants and services."

The present Regulation, for the purpose of attaining the broadest possible agreement regarding its requirements, was prepared and updated by a Working Group coordinated by ACCREDIA's Department of Certification and Inspection (ACCREDIA-DC) consisting of representatives of accredited certification bodies (CBs) and of representatives of numerous other bodies, competent and involved in the question.

The following requirements are applicable to bodies which are accredited or recognized by ACCREDIA and to the evaluations which they perform on organizations/companies operating for both private and public clients.

The aims of these requirements are: **a)** to guarantee the effectiveness and consistency of assessments; **b)** to provide reasonable trust in the capacity of the quality management system of certified and applicant organizations to regulate the characteristics of the service and products offered so that the expected quality is duly delivered.

Given the importance of the qualification system of organizations operating in the public works sector, pursuant to article 84 of Law Decree 50/2016 and subsequent additions and amendments and the relative applicable ANAC guidelines, the present document contains also requirements regarding the drawing up of the certificates of conformity requested for their correct use by the SOA – entities of attestation bodies – in accordance with the dispositions of the relevant authorities.

## 2. NORMATIVE REFERENCES

The normative references, in their latest applicable version, considered for the application of the present Regulation, are:

- ISO/IEC 17021-1 "Conformity assessment – Requirements for bodies providing audit and certification of management systems";
- ISO 9001 "Requirements for quality management systems".

The present Regulation also refers, where and as applicable, to the following ACCREDIA-DC documents in the latest version in force:

- RG-01 – Regulation for the accreditation of certification, inspection, verification and validation bodies – General Requirements;
- RG-01-01 – Regulation for the accreditation of management system certification bodies;
- RG-16 – Regulation for the recognition of bodies accredited by other accreditation bodies signatory to the EA MLA agreements - General Requirements;

- RG-16-01 – Regulation for the recognition of bodies accredited by other accreditation bodies signatory to the EA MLA agreements for the granting of certifications of conformity against the standard UNI EN ISO 9001 (ACCREDIA document RT-05);
- Circular DC2016SSV203 of 07-10-2016;

and to the EA and IAF documents applicable to management system certification bodies.

### 3. TERMS AND DEFINITIONS

**Certification:** third party attestation related to products, processes, systems or persons (see ISO/IEC 17000).

**Accredited Certification Body (CB):** a body accredited by ACCREDIA in the construction sector IAF 28, carrying out certifications of the conformity of management systems (Reg. EC n. 765/228 Ch. 1, Art. 2, § 13).

In the present Regulation the abbreviation EA 28 is the same as IAF 28.

**Recognized Certification Body:** a body which is recognized by ACCREDIA to operate in the national construction sector IAF 28, in conformity with the present Technical Regulation (Reg. EC n. 765/2008 Ch. 1, Art. 2, § 13).

**Activities:** typology of activity associated with one or more work activities: (for details see § 7.1). Such activities include:

- complex activities (project, construction, installation etc.);
- related and coherent activities (maintenance, restructuring etc.).

**Typology of work:** object of the activity: civil construction, roads, bridges, plants etc. (for details see § 7.1).

**Production/work process:** all the activities related to the typology of work (for details see § 7.1).

**Macrotypology:** groups of productive processes concerning the activities (complex / similar and related) associated with various work typologies which are identified by a broad terminology such as “civil engineering works, infrastructures for mobility, technological plants...” (for details see § 7.1).

### 4. GENERAL REQUIREMENTS FOR CERTIFICATION BODIES (ACCREDITED/RECOGNIZED)

Accredited or recognized CBs, in compliance with the present Regulation, shall possess the following binding requirements for their qualification:

- the CB must be accredited/recognized for IAF sector 28 against the standard ISO 9001;
- it must be stated in the contract that precise information on the validity status of certificates issued may be communicated to third parties upon specific request, on a voluntary basis, by the CB;
- withdrawal/renunciation of the certificate shall be communicated to the relevant authorities and to ACCREDIA-DC, in accordance with the applicable requirements;

- for the definition of the criteria of competence the requirements of the standards ISO/IEC 17021, ISO 19011, the applicable EA/IAF and MD IAF guides and ACCREDIA Regulations RG-01, RG-01-01, RG-16 and RG-16-01. Also, for the qualification of auditors:
  - the requirement is obligatory concerning possession of at least 3 years of experience in the construction sector with evidence of the implementation of competence;
  - a two-year study qualification from a university can be considered as a substitute for two years' experience, whilst possession of a middle high school diploma strictly related to the disciplines, technologies and processes regarding the construction sector, can be considered a substitute for one year's work experience.

## **5. REQUIREMENTS FOR THE DRAWING UP AND MANAGEMENT OF CERTIFICATES OF CONFORMITY**

The certificates of conformity issued following assessments conducted in compliance with the present Technical Regulation shall be drawn up in accordance with the following editorial dispositions, and in conformity with all applicable ACCREDIA Regulations.

For use of certifications against ISO 9001 for the purpose of the qualification system in accordance with Law Decree 50/2016 and with the applicable ANAC Guidelines, it is not relevant against which type of order (categories and classifications) the quality management system was assessed and certified, but it is important that this system refers to the management aspects of the business overall and that it has the possibility of being applied to all productive processes of the construction company as such.

Granted the above, the correspondence is not necessary between the qualifications (from SOA the entity for attestation bodies) possessed by the certified organizations and the activities included in the scope of certification issued against ISO 9001.

With reference to the design process:

- the design process can be included in the scope of the certificate if the organization shows that it possesses the competence and resources, internal and/or outsourced, as required by the applicable standards and laws;
- if the design activity is performed on behalf of third parties, the relative process shall be attributed to the IAF sector 34.

It is mandatory to display, on the certificate, not only the indication of the date of first issue, the current issue date and the expiry date, but also the following wording:

*"For precise and updated information concerning any changes made to the certification status as per the present certificate, please contact by phone the following number: ... or email address: ...".*

*"QMS in conformity with standard ISO 9001 assessed in accordance with the provisions of Technical Regulation RT-05".*

*"The present certification refers to management issues of the company overall and it is used for the qualification of construction companies in accordance with article 84 of Law Decree 50/2016 (and subsequent additions and amendments) and the applicable ANAC Guidelines".*

In cases of renewal decisions within one year of expiry, carried out with the modalities provided by the circular ACCREDIA DC2016SSV203, if the desire is to maintain the certificate giving also the date of first issue, it is necessary to indicate on the certificate the period in which the certificate expired and therefore ceased to be valid.

## 6. REQUIREMENTS FOR THE ASSESSMENT OF QUALITY MANAGEMENT SYSTEMS

### 6.1. EXAMPLES OF SPECIFIC REQUIREMENTS FOR PROCESSES/PRODUCTS PRESENTING CRITICAL ELEMENTS

In accordance with Law Decree 14/1/2008 - NTC and subsequent additions and amendments, Chapter 11, § 11.1 and with specific reference exclusively to construction products for structural use, there are some requirements to consider regarding certain sector products/processes for IAF sector 28 for which it is important to obtain evidence during the audit:

- **Materials and products for structural use:** for which a harmonized European standard is available whose reference is published in the European Commission's Official Gazette. At the end of the period of co-existence their use is possible only if in possession of the CE marking as per Reg. EU 305/2011 "Construction products" of the European Parliament and Council. The updated list is available on the Commission's website ([http://ec.europa.eu/enterprise/policies/european-standards/harmonised-standards/construction-products/index\\_en.htm](http://ec.europa.eu/enterprise/policies/european-standards/harmonised-standards/construction-products/index_en.htm)).
- **Materials and products for structural use:** for which there is no harmonized European standard available, i.e. it falls within the period of co-existence, and qualification is provided for by means of the modalities and procedures contained in MD 14.01 (and subsequent amendments). During the period of co-existence of the harmonized standard, it is taken as granted that the producer has voluntarily chosen the CE marking.
- **Materials and products for structural use:** innovative or not mentioned in Chapter 11 of the NTCs and not falling within the typologies mentioned above. In such cases the producer will be able to have the CE marking in conformity with ETAs (European Technical Assessments), or, alternatively, the producer will have to possess a Certificate of Technical Appropriateness for use issued by the Central Technical Service on the basis of the guideline approved by the Upper Council of Public Works.

In addition, without existing regulation reference:

- **Prefabrication on-site:** initial controls during production and final controls shall be documented and conducted according to documented procedures for repetitive work and, in other cases, detailed in the quality plan of the order. The procedures shall provide for respect for the applicable laws.
- **On site production of cement and mortar:** for structural cement the above is applicable; for non-structural cement it is necessary to perform controls on the functional characteristics of use.

Below is a list of examples of elements to be considered critical for structural purposes:

- reinforced iron (shaped iron, soft and/or pliable steel for compressed cement etc.);

- pre-packed cement;
- cement and mortar;
- wood-based products and materials;
- prefabricated components (in cement, in steel etc.);
- masonry elements (cement blocks, bricks etc.);
- cement mix.

For materials and products for structural use the company shall also demonstrate that it has taken into consideration the major problems in question.

The CB's auditors shall provide evidence of having verified, during every audit, the controls performed by the companies on critical materials (purchase specifications and completeness controls, accuracy and correctness of the documents from the supplier) with particular reference to those bearing the CE marking. Attestation by the Central Technical Service of the Upper Council of Public Works (e.g. the Transformation Centers), of FPC – factory process control – certification (e.g. cement construction plants with industrialized process) of an independent third party authorized by the Central Technical Service of the Upper Council of Public Works.

It is the responsibility of the company to state what are the critical products regarding the production processes and to make available the necessary know-how regarding the standards which, generally speaking, shall be verified and evaluated by the CB during the audit.

For the other products the company shall establish, using the most appropriate modalities, which controls to perform upon acceptance, making sure that the final product meets the necessary requirements.

## 6.2. AUDIT EVIDENCE

During the course of the audits and in accordance with applicability, the CB shall record, at least, the following evidence, as well as the evidence required by ISO/IEC 17021-1:

- **mandatory sector standards** (e.g. identification of the applicable laws/standards, controlled list and its modalities for updating and diffusion; evidence of the knowledge of the applicable laws/standards, evidence of application);
- performance of **internal audits**, including site activities;
- completed performance of the **management review**;
- existence of documented information for the **planning and control of documentation**, correctly completed, with verification of its adequacy regarding activities or work typologies which are the object of assessment (e.g. time schedule, quality plan, workbook – control plans. The quality plans shall be updated and thorough in relation to the economic and technical size of the order. For repeated works the plans can be based on standard documents. The control plan is the most important element of the quality plan and it includes a detailed analysis of the operative phases. For elementary and reduced works the quality plans may be the same as the construction and control plans;
- **contract signed with the client** (e.g. certificate/declaration of correct performance of work, in cases of completed works);

- **review of the contract** as work proceeds, managed in documented form, (e.g. verification of the specifications, management of the alternative competences, alternative techniques without extra costs, service order of the work management, complaints made by the client);
- **function tests and checks**, duly recorded;
- **validation of special processes** (e.g. production of cement on site, production of welded steel joints, waterproofing, application of anti-corrosive systems (e.g. painting) production of couplings using electric cables, production of mortar on site, laying of cement mix, demolition using explosives);
- **staff competence and qualifications** (e.g. definition/identification/evidence of competences and qualifications against the mandatory requirements (e.g. Ministerial Law Decrees 37/2008, 14/01/2008 and 81/2008) as well as the requirements set out by the organization;
- **existence of appropriate means and equipment** (for the needs of the site, belonging to the company, rented, depending on the development and progress of site activities);
- **subcontract/suppliers** (e.g. the presence of clear and valid contract clauses; the systems documents must specify how the controls are done);
- **critical products** (the identification of critical products related to ongoing work with regard to controls, declarations of conformity for products with the CE marking in accordance with Reg. (CE) 305/2011 for the marketing of construction products;
- **unequivocal product identification**, kept under control, and relative records;
- **traceability of materials** carrying out of work (e.g. correspondence between project and work during and/or after realization; verification of timeframe and control modalities in accordance with the applicable law requirements (example: ref. Law Decree 37/2008, Law Decree 14/01/08, Law Decree 81/2008) before and during the carrying out of work;
- **measurement instruments** (e.g. list of measurement instruments, management procedures and control of measurement instruments, metrological confirmation procedures);
- **property of the clients;**
- existence of **risk assessment documents** and safety planning of the location and of the head office and construction sites, in conformity with the applicable legislation (e.g. Operative Safety Plan, Site Safety Plan, Risk Analysis, and Scaffolding Monitoring Plan), assessment of the activities/work described in the Operative Safety Plan with the works program and site reports).

In order to ensure the uniformity and homogeneity of the assessments of site activities, see the checklist attached to the present Regulation (Annex 02) for the minimum audit evidences.



## 7. REQUIREMENTS FOR THE IDENTIFICATION OF EQUIVALENT WORKERS, OF SITES TO BE AUDITED AND RELATIVE ASSESSMENT METHODOLOGIES

### 7.1. GENERAL

The scope of certification shall refer solely to the production processes for which the holder organization has provided evidence of operating at the time of the certification audit, through an evaluation of the site and/or document evidence.

The audit method and the number of sites to be audited are established according to the criteria below.

To better direct CBs and companies towards a consistent and effective approach we specify as follows:

1. the **Productive Process** of a work means all the activities associated with the typology of work of analysis, planning and realization of the objectives, starting from the market specifics (e.g. project, contract, tender bid, invitation), in all its characteristics and phases and respecting the constraints (contexts, times, costs, resources scopes);
2. the **Activities** means the application of specific abilities, tools and techniques for the delivery of the relative objectives.

In the ambit of the processes of realization there are complex activities, and similar and related activities.

The following are examples:

- a) the construction of buildings requires ability, instruments and resources which are similar and suitable also for restructuring and maintenance activities of buildings;
- b) road building activities require ability, instruments and resources which are similar and suitable also for restructuring and maintenance activities of roads;
- c) plant installation activities require ability, instruments and resources which are similar and suitable also for restructuring and maintenance activities of plants.

On the basis of the above it is specified that the contrary is not applicable. Any exceptions shall be adequately justified and documented by the CB.

3. **Macrotypology**: productive processes concerning the activities (complex / similar and related) associated with work typologies which are identified by a large terminology such as "civil engineering works, infrastructures for mobility, technological plants...".

The following are examples:

- a) civil engineering construction requires ability, instruments and resources which are similar and suitable also for such works as residential buildings, jails, hospitals, schools; in all construction phases, starting from the foundations, land consolidation, structures in reinforced cement, installation of the relative systems;
- b) infrastructure construction for mobility requires ability, instruments and resources which are similar and suitable also for types of works such as roads, bridges, viaducts, railway lines, subway lines, airport runways;

- c) installation of works of technological systems requires ability, instruments and resources which are similar and suitable also for types of works such as heating systems, electricity systems, electronic systems.

On the basis of the above Annex 01 is attached which provides for a sampling of the processes aimed at confirming the scope of certification.

## 7.2. INITIAL ASSESSMENT (STAGE 1 + STAGE 2)

### 7.2.1. Criteria for audit times

CBs shall, as well as the procedures applied for the conformity assessment of companies, respect, at the same time, the following conditions:

- the audit shall be performed at the head office and at the construction site. The audit times shall be calculated on the basis of the IAF document MD 5 "IAF Mandatory Document For Duration of QMS and EMS Audits", taking into consideration the overall workforce of the company (head office and sites);
- following calculation of the audit times all productive processes as referred to in § 7.1 above are considered to be high risk. If reduction factors are applied there must always be compensation (+/-) with the increase factors.

The times shall be increased according to the number of construction sites, their whereabouts, their complexity and the document evidence to verify during the certification.

For this purpose, it is useful to remember the contents of the document IAF MD 5, which specifies:

*"The effective number of personnel consists of all personnel involved within the scope of certification including those working on each shift. When included within the scope of certification, it shall also include non-permanent (e.g. contractors) and part time personnel."*

See also Point 11 of IAF MD 5 CONTROL OF EXTERNALLY PROVIDED FUNCTIONS OR PROCESSES (OUTSOURCING).

With reference to the above, and regarding the number of personnel of the sub-contractors and to determine the number of audit days, the CBs, during the review of the application, shall perform the documented audit of the number of staff, taking into consideration the information given by the organization, by means of an appropriate calculation of the ratio between the average revenue of the company over the last three years, referred to the scope of certification, to the pro-capita reference income of the sector in question which is usually around €120.000 for general construction works and €170.000 for plant works.

**Note 1:** the audit of the first operative site and the analysis of the two documental evidences (or, alternatively, of a second operative site) shall not be considered as additional time with respect to the minimum established in IAF MD 5. Any additional orders shall be stated as at least equal to: two hours for the individual operative site, one hour for individual documented piece of evidence. All transfer times of more than one hour shall be calculated as additional.

**Note 2:** it is not allowed to do audits lasting less than one audit day which should normally last 8 hours. It may last a maximum of 10 hours, giving reasons and justifications. Nevertheless, the contents of Note 1 are confirmed.

**Note 3:** it is not allowed to do audits using two auditors for half a day, unless reasons and justifications are presented.

### **7.2.2. Criteria for site sampling**

The scope of certification shall refer solely to productive processes for which the organization has given evidence of operating at the specific moment of time of the certification audit, by means of an evaluation of the sites and/or the documental evidence.

If, in the same site, major works are performed which are traceable to a number of productive processes, the audit at that specific site may be considered valid to cover them both together.

In the initial evaluation it is not possible to issue certifications without on-site audits.

The choice of construction sites and documental evidence for submission to the initial audit and the relative logistical matters shall be defined by the CB during the review of the application and the issue of the cost quotation for certification activities. For this, the CB shall request the list of orders (including all the necessary information for a correct and complete analysis: the duration, cost and typology of works to be performed), coming within the field of application, managed during the last three years.

Any significant changes regarding the availability of active sights with respect to the plan shall be dealt with immediately by the CB which shall proceed with a new planning, giving adequate evidence of the decisions taken in the audit plan or in the audit report.

**Note 4:** During the initial audit at least one major active site shall be audited.

**Note 5:** A macro-typology cannot be audited using documental evidence.

**Note 6:** One or more than one productive process may be audited may be audited using documental evidence in compliance with the present document.

**Note 7:** The on-site audit of a complex activity such as construction permits the inclusion in the scope of the certificate similar and related activities, e.g. restructuring, maintenance, only after the evaluation of documental evidence.

### **7.3. PERIODICAL SURVEILLANCES**

The annual surveillance shall include at least one on-site audit so that, over the period of validity of the certification (therefore during the two surveillances and the renewal audit) all the processes, irrespective of the typology of works, coming within the scope of certification have been audited.

Given the special characteristics of the sector, periods of inactivity of the companies involved should also be taken into consideration, allowances concerning intervals of surveillance may be extended as far as three months, exclusively for site activities, with respect to the calendar year in accordance with ISO/IEC 17021-1. It is not possible to go beyond the 23 months as defined in ISO/IEC 17021-1.

In all surveillances, so as to make the audit more effective, one or more than one productive process may be audited also using documental evidence in accordance with par. 7.5.

If there are no active sites in Italy and abroad there is just one possibility in the 3-year period of validity of the certificate, the CB may perform the surveillance audit nonetheless within the above

timeframe, auditing the productive processes using meaningful documental evidence which can ensure the effective functioning of the QMS (see per. 7.5).

The CB shall retain adequate records of the confirmation of the existence of this condition (lack of a site) by means of a declaration signed by a legal representative of the company, with the following clause:

*"I, the under-signed, aware of the legal responsibilities regarding false attestations and declarations, false acts and the performance of false acts, as well as causing the cessation of benefits deriving from false declarations (article 75 Law Decree 445/2000) constitute a crime which is punishable in accordance with the Penal Code and specific laws (article 76 Law Decree 445/2000), under her/his responsibility declare that the facts, states and qualities reported in the present document correspond to the truth".*

#### **7.4. RENEWAL OF CERTIFICATION**

The renewal audit shall consist of at least one on-site audit for a productive process covered by the scope of certification. The CB shall request the list of orders which come within the field of application managed during the last 3-year period.

With reference to the criteria to implement for certification renewal audits, the CB shall respect the following conditions:

- the audit shall be performed both at the head office and at the building site. The times of the audit are calculated on the basis of the IAF document MD 5 "IAF Mandatory Document For Duration of QMS and EMS Audits", considering the entire staff (offices and sites). These times can be increased according to the complexity of the site, such as a site with many sub-contracted activities;
- the on-site audit of a complex activity such as construction, permits the maintenance in the scope of the certificate of related and similar activities such as re-structuring, only after the evaluation of documental evidence;
- the expiry date of certificates cannot be extended;
- a full QMS review, for confirmation for the subsequent three years, shall be completed sufficiently in advance of the certification expiry date.

In the case of renewal after the expiry of the certification (see ACCREDIA circular n. 28/2016 dated 07.10.2016), the CB may restore the certification within one year, ensuring that it communicates in the ACCREDIA databank the effective date corresponding to or subsequent to the renewal decision (i.e. the date of re-activation of the certificate), whilst the expiry date remains the one based on the previous cycle of certification.

In the case of objective and serious difficulties experienced by the organization, in being able to make available active sites for the period of the renewal audit, the CB is expected to carry out the audit nonetheless within the established timeframe (before the end-date of the certificate), even if it has to limit itself to verifications pertaining to site activities and the verification of record documents.

If the results are positive, the CB can propose to its Certification Committee the granting of the renewal of certification which is, however, subject to a follow-up audit as soon as the organization

has communicated the start of site activities, which must be within 6 months of certification renewal. At the end of the 6-month period allowed for the follow-up audit and before the withdrawal of the certificate, the certificate is suspended for a period of not more than one month.

**Note 8:** To confirm the scope of certification, for each macrotypology, the productive processes related to the complex activities, shall be subject to audit at least twice in an operative site. It is possible to assess, in cases where there is not a new order for the specific macrotypology, documental evidence to substitute the operative site during the period between the initial certification and the renewal, or from one renewal to the subsequent one.

## **7.5. USE OF DOCUMENTAL EVIDENCES**

The CB shall take into consideration all the aspects of par. 6.2 as objective evidence of “properly conducted activities and quality management” of work activities, substituting a productive process in the absence of a site as described above.

The use of documental evidence is valid as long as activities have not been concluded more than 3 years before and provided that no other legal provisions are applicable.

Documental evidence may be used only if work has been finished or partly done; it is not applicable for sites which have not started activities, the audit of which would be limited and not meaningful or effective to evaluate the correct quality management of the organization’s system.

Documental evidence cannot be used in cases of a request for the extension to the field of application of the certification. The extension of a productive process may be granted only after an on-site audit at a major site. The extension of a productive process during renewal is covered in the rules according to § 7.4.

## **8. ENTRY INTO FORCE AND SUBSEQUENT MODIFICATIONS TO CERTIFICATES**

The provisions of the present technical Regulation become applicable from 01-01-2018.

## **9. SPECIFICATIONS REGARDING THE CERTIFICATION OF CONSORTIUMS OPERATING IN PUBLIC TENDERS**

The present chapter provides indications regarding the operative modalities for the definition of the IAF sector to be stated on the certificate, and for the management of certification files in cases of the certification of consortiums operating in public tenders.

For this purpose attention is drawn to the laws applicable in Italy which are mandatory conditions for the indications set out in the present appendix.

In particular, bearing in mind the contents of Law Decree 50/2016, coordinated with the corrective Law Decree 56/2017, as follows:

- article 84 “Single system of qualification of performers of public works”;
- article 45 “Economic operators”;
- article 47 “requirements for participation in consortiums for competitive tender contracts.”

Certificates cannot be attributed primarily to IAF 28, but rather to IAF 35 and as such all the fundamental steps in the certification process shall be managed by the CB.

It is, nevertheless, possible to attribute to IAF 28 the QMS scope of certification of legal entities in accordance with article 45 of Law Decree 50/2016 coordinated with the corrective Law Decree 56/2017, and to manage as such the certification file, in cases where the following conditions exist:

- a) the consortium makes directly, with its own means and/or sub-contracts, the public works for which it takes overall responsibility for the good completion of such activities, with respect to the contracting authority. In such cases the certificate may be attributed primarily to IAF 28 and as such the certification file shall be managed (e.g. scope of certification: planning and construction of...);

alternatively

- b) the consortium does the public works, taking overall responsibility for the good completion of such activities, with respect to the contracting authority, by means of the assignment of the order to associates, according to the modalities of the consortium pursuant to the law, in possession of a certified MS, specifying formally this choice in the Manual and in the specific MS (option intended to encourage and give value to the qualification of partners, prevalently adopted by consortiums with a longer tradition and greater size, with more experienced partners).

Although it has not yet been clarified in detail, in such cases the certificate cannot be attributed primarily to IAF 28, but rather, primarily, to IAF 35 and only as a secondary sector to sector IAF 28, given the existing legal requirements stated above (e.g. scope of certification: acquisition and management of orders possessing planning and realization as the object, on the part of assigned partners/members, of...).

Granted as written regarding the sector to which the certificate is attributed, if the situation arises as described in case b), with regard to the remaining issues inherent in the management modalities of the certification file by the CB, it is necessary to distinguish between the following operative modalities of the consortium:

case B1) the consortium assigns exclusively to associates with a QMS certificate (this constraint is formally stated in the Manual and in the MS): in these cases the duration of the audit is defined on the basis of the number of persons dedicated to the usual consortium activities. Therefore audits are not expected at sites assigned to associates with QMS certification because they have already been audited by the CBs which granted the certification to the consortiums;

case B2) the consortium does not commit to assign exclusively to associates with QMS certification: in these cases the MS which has been adopted provides for the modalities of application of the system to orders entrusted to partners, and the control modalities of application by the consortium. Also, the duration of the audits will be defined on the basis of the number of persons dedicated to the usual activities of the consortium, as well as the need to perform audits at sites assigned to the associates to verify the conformity and effectiveness of the services (e.g. preparation and availability of the quality plan, management of NCs and CAs/PAs, audit quality and technical on-site surveillance) delivered by the consortium to associates without certification in order to guarantee respect of the QMS during the phase of performance of the service.

## **10. SPECIFICATIONS REGARDING THE QUALIFICATIONS OF GENERAL CONTRACTORS**

### **B1) Modalities for issuing certificates regarding the qualification of organizations operating as general contractors**

Company QMS certification for corporate quality of general contractors issued by accredited CBs against the European standards of the series UNI CEI EN ISO/IEC 17000 shall refer to management aspects of the general contractor in general, in relation to activities undertaken in accordance with the TITLE III "GENERAL CONTRACTOR" OF THE Law Decree 50/2016 coordinated with the corrective Law Decree 566/2017.

For this purpose it is opportune to provide indications concerning the operative modalities for defining the IAF sector to include in the certificate and for the management of the certification files.

The certificates shall refer to the activities effectively performed by the general contractor. There are 2 possible situations with regard to this, as follows:

1. in this case the general contractor undertakes only management activities: in such cases the certificate shall show, as primary sector, IAF sector 35 and as secondary sector IAF 28 (in compliance with the existing legal requirements and the related implications concerning participation in competitive public tenders);
2. in this case the general contractor undertakes management activities directly using his own means and/or through a sub-contract of the following activities: planning and construction, work management, testing, verification of projects for validation, and the general contractor takes full responsibility for the good performance of work: in such cases the certificate shall carry, as primary sector, IAF sector 35, and as secondary sectors, IAF 28 and 34 (in compliance with the existing legal requirements and the related implications concerning competitive public tenders).

In all cases the QMS certificate shall carry the wording "Management of the activities of the general contractor undertaken in compliance with TITLE III of Law Decree n. 50/2016 coordinated with the corrective Law Decree 56/2017 and subsequent additions and amendments" and, at the foot of the certificate, the following declaration: "The present certification refers to managerial aspects of the company and can be used for the qualification of general contractors in compliance with article 197 of Law Decree n. 50/2016 coordinated with the corrective Law 56/2017 with subsequent additions and amendments.

### **B2) Modalities for the certification of organizations which intend to obtain qualification as general contractors.**

In the case of organizations which are not certified and which have not previously operated as general contractors, standard certification procedures are followed, assessing conformity against UNI EN ISO 9001 for IAF sectors 28, 34 and 35 only if it is possible to carry out on-site audits of the relative processes.

It will also be possible to give the reference to Law Decree n. 50/2016 coordinated with the corrective Law Decree 56/2017 with subsequent additions and amendments in accordance with B1 above, only in cases where the organization has provided evidence of having prepared suitable documentation and procedures in order to operate as a general contractor.

Following the receipt of an order regarding the management of activities of the general contractor, the organization shall keep the CB updated. The CB shall perform a specific audit to ascertain the proper application of the adopted procedures.

If, during the three-year certification period, the organization does not give evidence concerning the above point, the part of the scope of certification and the references to the activities of the general contractor will be annulled.



## ANNEX 1: TABLE FOR THE FORMULATION OF SCOPES OF CERTIFICATION

MACROTPOLOGY	NACE	PRODUCTIVE PROCESS REALIZED (BY) SIMILARITY		TYPE OF WORK
		COMPLEX	SIMILAR	
Construction works of buildings including protected buildings.	41	CONSTRUCTION	RESTRUCTURING AND MAINTENANCE	<ul style="list-style-type: none"> <li>• residential</li> <li>• industrial (factories, sheds)</li> <li>• jails</li> <li>• hospitals</li> <li>• schools</li> <li>• barracks</li> <li>• offices</li> <li>• theatres</li> <li>• stadia</li> <li>• train and metro stations</li> </ul>
	41	RESTORATION	RESTRUCTURING AND MAINTENANCE	<ul style="list-style-type: none"> <li>• residential</li> <li>• historical buildings</li> <li>• churches</li> <li>• theatres</li> <li>• train stations</li> <li>• etc...</li> </ul>
Infrastructure works for underground mobility and works of art.	42.1	CONSTRUCTION	MAINTENANCE	<ul style="list-style-type: none"> <li>• roads*</li> <li>• motorways</li> <li>• bridges*</li> <li>• viaducts*</li> <li>• railway lines*</li> <li>• tram lines*</li> <li>• metro lines*</li> <li>• cable cars*</li> <li>• airport runways*</li> </ul>

MACROTYPOLOGY	NACE	PRODUCTIVE PROCESS REALIZED (BY) SIMILARITY		TYPE OF WORK
		COMPLEX	SIMILAR	
				(* and related works)
	42.1	CONSTRUCTION	MAINTENANCE	<ul style="list-style-type: none"> <li>• natural tunnels</li> <li>• tunnels</li> <li>• subways</li> <li>• etc...</li> </ul>
Works for the production of electricity.	42.2	CONSTRUCTION	MAINTENANCE	<ul style="list-style-type: none"> <li>• electricity production plants</li> </ul>
	42.2	INSTALLATION	MAINTENANCE	<ul style="list-style-type: none"> <li>• plants for high/medium voltage transformation</li> <li>• plants for the distribution of electricity</li> </ul>
Technological installations	43.2	INSTALLATION	MAINTENANCE	<ul style="list-style-type: none"> <li>• installations using fluids (plumbing, heating, air-conditioning, gas, anti-incendiary)</li> </ul>
Technological installations	43.2	INSTALLATION	MAINTENANCE	<ul style="list-style-type: none"> <li>• electric/electronic installations (electrical, phones, radio/TV/ data networks)</li> </ul>
Environmental redevelopment.	43.9	CONSTRUCTION	MAINTENANCE	<ul style="list-style-type: none"> <li>• works and plants for environmental redevelopment</li> </ul>
	43.9	CONSTRUCTION	MAINTENANCE	<ul style="list-style-type: none"> <li>• naturalistic engineering works</li> </ul>

**ANNEX 2: CHECKLIST FOR DOCUMENTAL AND SITE AUDITS**

<b>ORGANIZATION:</b>	<b>AUDIT DATA</b>	<b>AUDITORS:</b>
<b>General information</b>		

<b>Type of site</b>	
<b>Site Location</b> (state the exact street, municipality, province of the site)	
<b>Client</b> (indicate the general details of the contracting authority)	
<b>Object of the tender and the contract:</b> (give description of the work and the identifying elements of the contract)	
<b>Description of activities:</b> (show accurately the site with detailed description of the activities performed for contract fulfillment)	
<b>Sampled activities</b> (list the activities which reflect the order fully)	
<b>CUP</b>	
<b>CIG</b>	
<b>COST OF WORKS</b> (as per the contract)	

<b>Order n°</b>	
<b>Date of start of works</b> (record of delivery):	
<b>Date of completion of works</b> (CEL):	
<b>Quality plan</b>	
<b>Control plan</b>	
<b>Personnel used</b>	
<b>Sub-contracting personnel</b>	
<b>% State of progress</b>	
<b>Project workers:</b> (state names of technicians signatory to the project)	

<b>Works Director:</b> (state names of technicians nominated by the client)	
<b>CSP – CSE (safety controls):</b>  (state names of safety coordinators during planning and performance)	
<b>Site manager:</b>  (state name of site manager)	

<b>Audit evidence in accordance with § 6.2</b>
<b>Mandatory requirements applicable to the order:</b> (check if the company possesses them or uses a sub-contractor; e.g. authorization Law Decree 37/08, F-Gas, appropriate technical management OG2, etc.).
<b>Quality and control plans:</b> (indicate the references to the phases of production, the necessary resources, the times and other details of the most important controls).
<b>Building permissions:</b> (if present, indicate details: number, date, issuing body).
<b>Documents issued by the works director and/or client:</b> (eventual service orders, competences, suspension reports, certificate of completion of works, test etc.).

**Projects:** (indicate by sample the number, object, scale and author of the project observed and related to the evaluation of the process of traceability).

**Operative safety plan:** (*state the name of the author, date, object and work phases*).

**Documental information viewed:** (daily site reports, identification of materials, resources used for each production phase).

**Human resources:** (qualifications of personnel used; e.g. restorers, welders, license for asbestos, license for boiler work, license for F-Gases etc.).

**Means and equipment used:** (indicate by sampling those used reporting any evidence of appropriateness where necessary).

**Suppliers and purchases of critical products:** (indicate the critical products, suppliers, sample of transport docs and any CE markings).

**Tests and controls:** (indicate e.g.: samples of cement blocks, certificates of iron for reinforcements, certificates of conformity of systems, certificates regarding proper completion of works etc.).

**Outsourcing and competences:** (indicate any sub-contractors, authorizations for sub-contracting, welfare contribution docs and possession of specific competences where necessary).

**Validation of special processes:** (indicate evidence supporting the advance validation of processes: procedures, files, technique, competences, markings etc).

**Measuring instruments and SW:** (indicate by sampling those used, reporting evidence of adequacy where necessary such as calibrations and validation).

**Signature of the auditor:**