

<b>Title</b>	<b>Requirements for the accreditation of Bodies operating the certification of the Quality Management System (QMS – IAF sector 34) of organizations performing verification activities of the design and planning of public works, for the purpose of validation/approval</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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## INTRODUCTION

The legal Code for public tenders (Legislative Decree 50/2016 & subsequent amendments and additions) confirms the possibility that construction project verification activities for the purpose of validation are performed by Type A, B and C inspection bodies and by engineering enterprises in possession of a certified quality management system (QMS) in accordance with the standard UNI EN ISO 9001:2015, under accreditation.

ANAC Guideline n.1 for the implementation of Law Decree of 18/04/2016 n. 50 "General policies for entrusting services concerning architecture and engineering" updated to Law Decree 56/2017 with resolution of the Authority Council n. 138 dated 21/02/2018; section VII, regarding project verification and validation, states that, amongst the bodies qualified to perform verification activities for the purpose of validation, there are also those which, in accordance with article 46, par. 1 of the Code, possess an internal quality control system in conformity with the standard UNI EN ISO 9001, IAF sector 34, certified by an accredited CAB in compliance with Regulation EC n. 765/2008.

This Technical Regulation sets out the requirements for the accreditation of certification bodies (CBs) issuing QMS certification in IAF sector 34 to engineering enterprises possessing a specific scope of certification for the verification of projects for the purpose of validation in the mandatory sector.

It is not mandatory to apply this document to technical structures of the public administration performing verifications of projects for the body to which they belong.

**The present document was prepared and updated by a Working Group coordinated by ACCREDIA, consisting of representatives of accredited bodies or bodies which are interested in accreditation (either individually or in association), and consisting also of representatives of other competent Bodies involved in related activities (regulatory authorities, engineering companies, insurers, professional associations etc.), in order to permit the greatest possible extent of adherence to the regulations contained in the document itself.**

The document consists of two parts: the first describes the requirements for accreditation (with reference to the standard UNI CEI EN 17021-1) applicable to CBs. The second part sets out some specific requirements for an effective and consistent approach to conformity assessments to the standard UNI EN ISO 9001:2015 for bodies in the mandatory sector performing project verifications for the purpose of validation.

The requirements, with regard to the requirements of the standard, define a reference context with which CBs and organizations must comply to obtain and maintain accreditation/certification, as applicable.

The title of the second part is: "CRITERIA FOR AN EFFECTIVE AND CONSISTENT APPROACH TO THE ASSESSMENT OF CONFORMITY TO THE STANDARD UNI EN ISO 9001:2015 OF ORGANIZATIONS PERFORMING VERIFICATION ACTIVITIES OF PUBLIC WORKS PROJECTS FOR THE PURPOSE OF VALIDATION". It is structured in accordance with the numbering of the paragraphs of the reference standard UNI EN ISO 9001:2015.

This document does not replace any of the requirements of the standard UNI EN ISO 9001:2015 which are all applicable; rather, it specifies some requirements exclusively related to project verification activities.

## **FIRST PART**

### **REQUIREMENTS FOR THE ACCREDITATION OF CERTIFICATION BODIES**

#### **0. NORMATIVE REFERENCES AND ACCREDIA DOCUMENTS FOR GRANTING ACCREDITATION**

The standards and documents below are applicable in their current version.

UNI CEI EN ISO/IEC 17021-1: Conformity assessment – Requirements for bodies providing audit and certification of management systems.

UNI CEI EN ISO/IEC 17021-3: Conformity assessment – Requirements for bodies providing audit and certification of management systems - Part 3: Competence requirements for the audit and certification of quality management systems.

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.

UNI EN ISO 9001: Quality management systems – Requirements.

#### **1. LEGISLATIVE REFERENCES FOR THE GRANTING OF ACCREDITATION**

Legislative Decree 18.04.2016 n. 50 & subsequent amendments and additions: Legal Code for public contracts.

Presidential Decree 207/2010: Regulation for the implementation of Legislative Decree 163/2006 in the applicable part.

ANAC Guideline n. 1: General policies for entrusting services concerning architecture and engineering.

#### **2. PRE-REQUISITES FOR ACCREDITATION**

In order to operate in conformity with this Regulation the CB shall possess QMS accreditation in IAF 34 "Technical consultancy, engineering services".

The verification of the competence of the CB against the requirements of this Regulation is managed by ACCREDIA as an extension to accreditation for the QMS scheme, IAF 34, without the requirement of certification already issued in this sector.

#### **3. QUALIFICATION CRITERIA FOR THE CB's AUDITORS AND TECHNICAL EXPERTS**

The CB's auditors and technical experts shall be qualified in accordance with UNI CEI EN ISO/IEC 17021-3 Conformity assessment – Requirements for bodies providing audit and certification of management systems - Part 3: Competence requirements for the audit and certification of quality

management systems, excluding the possibility of obtaining qualification by means only of the performance of audits.

Individual auditors and technical experts in the sector shall possess a master's degree or a specialist degree, or a five-year degree, or a three-year degree, or a university diploma or a high school diploma. They shall be qualified by the CB on the basis of experience gained in aspects (disciplines or technologies) related to the specific characteristics of the object of the inspection; at least three years of demonstrable experience are necessary. Formal authorization since at least three years to conduct professional activities is also necessary in accordance with the national standards of the country in question within the EU.

#### **4. APPLICATION FOR CERTIFICATION (DEFINITION OF THE SCOPE OF CERTIFICATION)**

The CB shall identify, starting from the review phase of the application for certification, that the scope of certification requested by the organization is in line with § 7 of this document.

#### **5. PREPARATION OF THE AUDIT**

Before undertaking the initial certification audit, the CB shall verify that the organization has issued/simulated at least one audit with the preparation and/or issuance of one final audit report relating to project verification activities.

In order to do audit activities a CB shall have available the necessary documents (control lists, guidelines, instructions etc.) applicable to the object activities of the certification.

#### **6. CONDUCT OF THE AUDIT**

In the conduct of the audit the CB's audit team shall comply fully with UNI EN ISO 9001:2015, with particular reference to the audit requirements given in the second part of this Regulation.

#### **7. DECISION REGARDING CERTIFICATION**

The scope of certification shall contain the references to the process of project verification for the purpose of validation; verification means conformity assessment against the legal requirements, regulations, technical standards of rules or, more generally, the contract with the client.

The scope of certification shall contain the processes as stated below:

***"Project verification for the purpose of validation/approval, in accordance with the existing standards and laws".***

The processes of project verification for the purpose of validation may regard technical/technological matters as well as economic and financial ones.

The certificate shall show reference to the conformity with this Regulation (RT-21).

## **SECOND PART**

### **CRITERIA FOR AN EFFECTIVE AND CONSISTENT APPROACH TO CONFORMITY ASSESSMENTS TO UNI EN ISO 9001:2015 OF ORGANIZATIONS PERFORMING VERIFICATION ACTIVITIES OF PUBLIC WORK PROJECTS FOR THE PURPOSE OF VALIDATION**

#### **1. NORMATIVE REFERENCES FOR GRANTING CERTIFICATION**

The standards below are applicable in their current version.

UNI CEI EN ISO/IEC Quality management systems - Requirements;  
9001

UNI 10722-1	"Building - Qualification and control of building project and design for new constructions - Part 1: Principles, general criteria and terminology";
UNI 10722-2	"Building - Qualification and control of building project and design for new constructions - Part 2: Design planning of a single work";
UNI 10722-3	"Building - Qualification and control of building project and design for new constructions - Part 3: Planning of design and planning and carrying out of design control in building works";
UNI 11337-1	"Building and civil engineering works - Digital management of the informative processes - Part 1: Models, documents and informative objects for products and processes";
UNI/TS 11337-3	"Building and civil engineering works - Codification criteria for construction products and works, activities and resources - Part 3: Models of collecting, organizing and recording the technical information for construction products";
UNI 11337-4	"Building and civil engineering works - Digital management of the informative processes - Part 4: Evolution and development of information within models, documents and objects";
UNI 11337-5	"Building and civil engineering works - Digital management of the informative processes - Part 5: Informative flows in the digital processes";
UNI/TR 11337-6	"Building and civil engineering works - Digital management of the informative processes - Part 6: Guidance to redaction the informative specific information";
UNI 11337-7	"Building and civil engineering works - Digital management of the informative processes - Part 7: Knowledge, skill and competence requirements of building information modelling profiles".

#### **2. LEGISLATIVE REFERENCES FOR GRANTING CERTIFICATION**

Legislative Decree of 18.04.2016 n. 50 & subsequent amendments and additions: Legal Code for public contracts;

Presidential Decree 207/2010: Regulation implementing Legislative Decree 163/2006 in the applicable part;

ANAC n. 1 Guideline: General policies for entrusting services concerning architecture and engineering;

Legislative Decree 81/08 & subsequent amendments and additions: Unique security text;

Ministerial Decree 17.01.2018: Technical standards for buildings;

Ministerial Decree 17.06.2016: Parameters Decree.

### **3. TERMS AND DEFINITIONS**

The aim of the audit is "the compliance of the project documents with the documents as contained in article 23 of the Code for public contracts and their conformity with the current laws and standards".

The audit establishes as follows:

- a) the completeness of the project;
- b) the coherence and completeness of the economic framework in all its aspects;
- c) the possibility of sub-contracting the chosen project;
- d) the expected durability of the work over time;
- e) the reduction of risks of the introduction of variants and disputes;
- f) the possibility of completing the work within the set timeframe;
- g) the safety of working staff and users;
- h) the adequacy of the price per unit;
- i) work maintainability, where required.



## **4. CONTEXT**

The CB shall evaluate if the organization has defined factors permitting the determination, inclusion and monitoring of possible influences as follows:

- the development of its own processes;
- the quality policy and the capacity to achieve QMS objectives;
- the independence and impartiality requirements to ensure effective project auditing.

The analysis shall be extended to include the needs and expectations of the interested parties and the determination of the field of application of the entire QMS.

## **5. LEADERSHIP**

The requirements of the standard are applicable.

## **6. PLANNING**

The CB shall audit that the organization has developed and provides objective evidence of risk analysis and of the opportunities for monitoring impartiality and that the following conditions, at least, are met:

- ensure that the QMS achieves the expected results;
- increase desired effects;
- prevent or reduce undesired effects;
- implement continuous improvement;
- plan actions to face risks and profit from any opportunities.

## **7. SUPPORT**

The CB shall verify that the organization seeking certification in accordance with this Regulation meets the conditions set below.

The organization shall possess a technical/organizational structure dedicated to project verification activities. If the organization belongs to a parent organization this shall be identifiable within the parent organization. The organization's staff shall possess adequate technical/numerical and logistical resources (offices, staff, experts, secretarial support etc.) for the volume and complexity of the activities in question.

The organization shall keep an updated organization chart of all staff directly involved in organizational and technical activities related to project verification activities.

The organization shall hold insurance cover for professional civil liability and a policy covering third parties for risks deriving from competent activities. The insurance shall include all staff activities, internal and external, for persons working on behalf of and in the name of the organization.

The organization shall ensure confidentiality of information and the protection of client rights but by dependent staff and by suppliers and/or external inspectors.

The organization shall have a technical manager, engineer or architect in possession of a five-year university degree. Such person shall be qualified for at least 10 years and enrolled on the professional register<sup>1</sup>, in accordance with the EU standards of the country of which s/he is a citizen.

The technical manager, possessing the qualifications required by the contract, shall also:

- have at least 10 years work experience in the activities covered by the scope of certification. In order to fulfill this requirement experiences can be aggregated as long as they are related to the required competences;
- possess economic, administrative and legal knowledge.

The technical manager shall be bound by an exclusive contract.

The organization shall ensure that the work performed by the technical manager is ensured with continuity.

The technical manager shall in no way be involved – in technical, administrative or financial terms – in activities which are related to the design, production, merchandizing etc. of inspected objects.

The technical manager shall not accept engagements which may be in conflict with his/her independence of judgment and integrity.

The organization shall nominate at least one substitute for the technical manager able to perform his/her tasks if necessary. If no substitute is available the organization shall not issue any inspection reports. The substitute shall possess the same qualifications, competence and experience as the technical manager.

The organization shall possess technical staff (inspectors, sector experts) possessing a five-year university degree, or a three-year degree or a high school diploma (all these qualifications shall be in a technical/scientific field). The inspectors/sector experts shall be qualified by the organization on the basis of experience gained in work activities in the specific areas (disciplines or technologies) – relating to the characteristics of the object to be audited – competences which are essential for audits. At least 3 years demonstrable and specific experience are required in these areas.

The inspectors/sector experts shall be enrolled on the professional register<sup>2</sup>, i.e. qualified to perform their profession in accordance with the EU standards of the country of which they are a citizen.

The inspectors/sector experts shall not accept engagements in the design, manufacture, provision, installation, purchase, ownership, use or maintenance of objects due for inspection.

The technical manager shall not accept engagements which may be in conflict with his/her independence of judgment and integrity.

The organization shall ensure that all staff members operate in accordance with the MS procedures.

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<sup>1</sup> For the technical offices of the public administration and commissioning bodies, in line with the requirements of the mandatory standard for internal planners (see Directive 50/2016 Art. 24 par. 3), enrollment on the professional register is not necessary.

<sup>2</sup> For the technical offices of the public administration and commissioning bodies, in line with the requirements of the mandatory standard for internal planners (see Directive 50/2016 Art. 24 par. 3), enrollment on the professional register is not necessary.

The CB shall verify that the qualifications of staff performing project verification activities (dependent staff or external collaborators) fulfill these requirements:

- knowledge of the requirements of the technical standards and mandatory rules (technical, economic, financial) with which they are required to conform;
- knowledge of the technical/organizational, economic/financial problems of the design and realization processes of works, installations, products etc. which are the objects of controls.

Such knowledge is aimed at the prevention of technical, economic and financial risks resulting from errors of interfacing and/or project design and/or construction and in all cases to reduce the risks of variants to the tender project.

In all cases where work is outsourced, the engagement shall be performed by professionals with proven competence. They shall be personally responsible and their names shall be indicated during the presentation of the quotation to the client (by means of CVs) with the specification of their professional qualifications. The quotation shall also specify the qualifications of the person tasked to carry out the integration amongst the various specialist tasks – usually the technical manager.

The organization shall supervise effectively the audit activities of the work project by means of review of the audit reports so as to ensure conformity with legal and contractual requirements and the organization's procedures.

The organization shall keep updated records of the qualifications, training, experience of its staff in order to demonstrate competence in the requirements of the audits to be performed.

The CB shall verify that, in cases where the organization uses software for audits (calculation programs, data acquisition systems etc.) this software is recognized as being suitable for the correct use and that the organization has provided for the relative qualification (e.g. by means of validation processes) for the purpose of confirming the adequacy for specific uses (e.g. software for use in structural calculations).

## **8. OPERATIVE ACTIVITIES**

### **8.1. PRODUCT CREATION PLANNING**

The CB shall verify the organization's procedures for audit activities of the works project and shall issue a control plan.

The control plan prepared for a specific order shall cover (either directly or by means of reference documents), at least, the following aspects:

- description of the work to be verified and commercial references (client, order, delivery timeframe etc.);
- base data, requirements to be fulfilled, objectives, as established by law or by contract;
- eventual criticalities identified during the phase of entrusting the work;
- technical competences for performing the necessary activities;
- composition of the audit team with description of role and specialization of each team member;

- timeframes for each member of the audit team;
- tests and controls to be undertaken;
- list of major activities, in order or logic and time, with the identification of any potential critical phases;
- particular aspects to be considered during the audit;
- sampling procedure used, where applicable, to demonstrate statistical validity regarding audits performed.

## **8.2. CLIENT RELATED PROCESSES**

The organization shall have a contractual document (regulation or equivalent document) describing the rights and duties of the client and of the organization. This document shall be sent to the client before the issue of the order for the performance of the audit. When the client requests the application of one of its rules, the organization shall verify the congruence with its internal procedures, if necessary, underscoring to the client any major deviations for audit activities of the works project.

The organization shall identify clearly in the contract the object and the objectives of the audit and the specifications with respect to which conformity will be evaluated. In the absence of particular requests from the client of the audit, or from a third party, these specifications shall be identified by the organization and formally communicated to the client.

The CB shall verify that the organization, when it accepts the assignment, analyses carefully its ability to achieve the tasks and the congruence of its abilities with the scope of certification, and also analyses the suitability of its resource structure with respect to qualification requirements.

## **8.3. PLANNING OF THE AUDIT SERVICE**

### **8.3.1. Planning of the audit service**

The requirements of the standard are applicable, considering that the planning activities are made explicit by means of the controls plan and all the related operative documents.

The CB shall verify that, if the organization has a standardized control plan, the planning consists of adequate personalization of the plan and of all the related documents with regard to the details of the audit to be performed.

### **8.3.2. Input elements of the audit service planning**

The CB shall verify that, if the functional and performance requirements relating to the work whose project will be submitted to audit, have not been defined by the client, the organization provides for the formalization of the input requirements and for their submission to the attention of the client.

### **8.3.3. Output elements of the audit service planning**

As mentioned above the output of the audit planning consists of the issuance of the control plan issued for the activities performed, complete with all the related operative documentation.

### **8.3.4. Review of the audit service planning**

The requirements of the standard are applicable.

### **8.3.5. Verification of the planning of the audit service**

The CB shall verify that the organization has undertaken reviews and verifications of the planning of the verification service for the purpose of evaluating the adequacy of the control plan and the related documentation, in order to carry out the verification of the design of the works, identifying real and potential problems and proposing actions to resolve them.

The CB shall evaluate that the review and the verification are coordinated by the technical manager and that all the persons involved in the planning participate, in order to ensure that all technical, economic and functional aspects (provided by the client and/or offered by the organization) have been taken into consideration.

The CB shall evaluate that during the planning phase of the preparation of the control plan and related documents, there are possibilities of verification, also by sampling, in accordance with the input elements, in order to ensure the effectiveness of the verification activities of the works project.

### **8.3.6. Validation of the planning of the audit service**

As it is a "service" and so the planning phase is not fully completed in the phase before the performance of the service, but often happens at the same time, the CB shall ensure that, after performance of the service of verification, the technical manager performs the overall validation of the planning of the service managing all elements both with regard to the client of the same order by means of a definitive inter-disciplinary review and relating to the improvement of the organization's management system and know-how with a view to subsequent project verification activities.

### **8.3.7. Maintenance under control of the modifications of the project of the service**

The CB shall establish that the organization, in accordance with controlled modalities, shall manage any modifications to the input data used as reference for the preparation and update of the control plan and related documentation. The CB shall verify that any modifications to data and to the conditions used as input for the definition of work verification activities have been identified, reviewed, verified and validated for the correct configuration of the service.

## **8.4. CONTROL OF PROCESSES, PRODUCTS AND SERVICES PROVIDED EXTERNALLY**

The CB shall establish that the organization requires and verifies that its suppliers, as well as possessing the qualification requirements defined above, does not have any situations of conflicts

of interests regarding verification activities to which they contribute and that they offer the necessary guarantees of confidentiality. The CB shall also establish that the organization systematically informs the client of its intention to assign to a supplier part of the verification and that the clients accepts. The above is also extended to external personnel performing part of the verification activities.

## **8.5. PRODUCTION AND PERFORMANCE**

The CB shall verify that the organization uses control lists, related to the control plan, or equivalent documents (e.g. modules or technical guides developed internally) created for the specific object of the verification.

The CB shall verify the effective performance of the verification service by means of reviews conducted on samples from the records and by interviews with the technical staff, if possible the same staff which conducted the verification of the project, object of the review.

The CB shall also verify that when the organization uses methods and procedures of verification which are not normalized (i.e. not contained in national or international standards/laws, in disciplinary rules or recognized scientific text), these methods and procedures are appropriate and fully documented.

## **9. PERFORMANCE EVALUATION**

The CB shall verify that the organization implements a planned internal and documented audit program which includes also the monitoring of the project verification processes.

## **10. IMPROVEMENT**

The CB shall verify that the organization uses documented procedures for dealing with appeals presented with respect to the results of the project verification of the works.