Draft

CIDB BEST PRACTICE CONTRACTOR RECOGNITION SCHEME; REQUIREMENTS AND GUIDELINES FOR CIDB ACCREDITED CONSTRUCTION MANAGEMENT SYSTEMS

(ISSUED IN TERMS OF THE CIDB REGISTER OF PROJECTS REGULATIONS)

development through partnership

cidb Best Practice Contractor Recognition Scheme; Requirements and Guidelines for cidb Accredited Construction Management Systems

1 INTRODUCTION

1.1 Construction Management Systems

A *Construction Management System* (CMS) is a framework of processes and procedures used by an organisation to better control its construction risks and to improve its performance. Such management systems are commonplace in many working environments, and play a very important role in promoting performance improvement and in delivering better value to clients.

The more well known management systems include the SANS ISO 9000 and 14000 Quality and Environmental Management Systems and the SANS OHSAS 18001 Occupational Health and Safety Management System – but these are often only appropriate for large organisations (such as Grade 8 and 9 contractors). To promote and recognise performance improvement by contractors in, typically, Grades 5 to 7, the cidb has introduced complementary accreditation of Construction Management Systems, based on recognisable industry minimum standards covering:

- health and safety management;
- quality management; and
- environmental management (covering air, water, land and waste).

These cidb requirements for management systems also allow for easy expansion and conversion to meet the ISO or OHSAS requirements in the future.

1.2 The cidb Best Practice Contractor Recognition Scheme

The Construction Industry Development Board Act (Act 38 of 2000) requires the Board to establish a *Best Practice Contractor Recognition Scheme* which:

a) enables organs of state to manage risk on complex contracting strategies; and
b) promotes contractor development in relation to best practice standards and guidelines developed by the Board.

The cidb *Best Practice Contractor Recognition Scheme* achieves this by recognising externally certified Construction Management Systems, and clients are encouraged (or, where mandatory, are required) to specify contract requirements for Construction Management Systems and Management Plans in the request for tender and contract documents. The construction management abilities of potential contractors should be (or, where mandatory, are required to be) assessed in a tender evaluation process.

Two levels of accreditation are provided for:

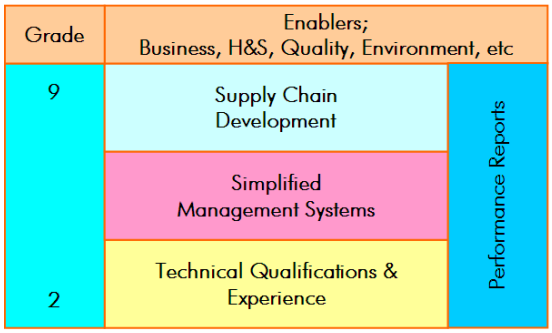
- Level IIIa: cidb accreditation of SANS ISO/OSHAS certified systems – typically for Grades 8 and 9 contractors; and
- Level II: cidb accreditation of CMSs certified to the cidb standard – typically for Grade 5 to 7 contractors.

(Note that the cidb contractor competence accreditation (Level I) includes an assessment of a contractor's ability to develop and implement construction management plans and method statements – typically for Grade 2 to 4 contractors.)

This document should be read in conjunction with the following documents which are currently available on the cidb website:

- cidb *Requirements and Guidelines for Contractor Competence Assessment*; and
- cidb *Requirements and Guidelines for Contractor Performance Reports*.

Collectively, the cidb Contractor Competence Assessment, cidb Construction Management Systems, and cidb Contractor Performance Reports currently form the cidb *Best Practice Contractor Recognition Scheme*.



2 DEFINITIONS

To be completed

3 REQUIREMENTS AND APPLICATION

3.1 General

Clients are encouraged to procure work from contractors with cidb accredited Construction Management Systems (CMSs), in line with the guidelines given in the following table.

<table>
<tr><th rowspan="2">Tender Grade</th><th rowspan="2">Maximum Tender Value (Rm)</th><th colspan="2">Type of Work and Risk</th></tr>
<tr><th>COMPLEX, with a HIGH or MEDIUM possibility of nonconformity with the specification and significant impacts</th><th>SIMPLE, or simple and repetitive with MEDIUM or LITTLE possibility of nonconformity with the specification</th></tr>
<tr><td>9</td><td>Unlimited</td><td rowspan="2">Contractors to have Level IIIa accreditation</td><td rowspan="2">Contractors to have Level II or III accreditation</td></tr>
<tr><td>8</td><td>R130m</td></tr>
<tr><td>7</td><td>R40m</td><td rowspan="3">Contractors to have Level II accreditation</td><td rowspan="3">Contractors to have Level I or II accreditation</td></tr>
<tr><td>6</td><td>R13m</td></tr>
<tr><td>5</td><td>R6,5m</td></tr>
<tr><td>4</td><td>R4m</td><td rowspan="3">Contractors to have Level I accreditation</td><td rowspan="3">Client defined requirements</td></tr>
<tr><td>3</td><td>R2,0m</td></tr>
<tr><td>2</td><td>R0,65m</td></tr>
<tr><td>1</td><td>R0,2m</td><td colspan="2">Not applicable</td></tr>
</table>

Notwithstanding the above, after the date and above a prescribed tender value determined by the Minister in the Gazette cidb accreditation of a contractor's CMS is required to be taken into account as a quality factor (functionality) in construction procurement on all public sector contracts.

The initial phased implementation for including requirements for Construction Management Systems in public sector procurement is given below:

Sector	Minimum Tender Grade	Implementation Date
National Public Works and regions National government departments Provincial government departments Public entities Metros High-capacity municipalities Medium-capacity municipalities Low-capacity municipalities	tbd	tbd

3.2 Accreditation Requirements

The cidb *Best Practice Contractor Recognition Scheme* recognises certification of CMSs to the following standards:

- Level IIIa: SANS ISO 9001, 14001 and OSHAS 18001 – typically for Grades 8 and 9 contractors; and
- Level II: cidb CMS standard (Section 4) – typically for Grades 5 to 7 contractors.

Only certification by cidb recognised certification authorities will be recognised, details of which are available from the cidb.

Contractors who wish to have their CMSs accredited by the cidb must submit a completed application using Form CRS_F201 given in Appendix 1, providing details of the certification of their CMS.

3.3 Validity of Accreditation

A contractor's CMS accreditation with the cidb is valid for a period of three years, subject to the contractor maintaining certification of its CMS. A request for renewal of a contractor's accreditation must be made on Form CRS_F202 in Appendix 2.

A contractor's accreditation may be transferred to that of another entity and treated as if it were the same entity for the purposes of accreditation where:

- a sole proprietor becomes a close corporation or a Pty (Ltd);
- a close corporation becomes a Pty (Ltd), or vice versa, without any substantial changes; or
- a company registered in terms of an Act undergoes only a name change for whatever reasons without changing its principals.

Where accreditation of a CMS is withdrawn by the certification authority or lapses, the contractor must notify the cidb within 14 working days of such change.

3.4 Guidelines and Requirements for Clients

Guidelines and minimum requirements for clients for procuring construction work from accredited contractors is given in the cidb *Standard for Uniformity in Construction Procurement,* extracts of which are given in Appendix 3. Compliance with these guidelines and minimum requirements in the public sector are subject to inspection and audit by the cidb from time to time.

4 CIDB STANDARD AND GUIDELINES

4.1 Scope

This cidb standard specifies the cidb requirements for minimum standards for Construction Management Systems (CMSs) covering:

- health and safety management;
- quality management; and
- environmental management (covering air, water, land and waste).

Contractors would apply and obtain certification to this standard if they wish to apply for cidb Level II accreditation.

4.2 Normative References

Relating standards that can be read in conjunction with this standard include:

- ISO 9000 Quality Management Systems – Fundamentals and Vocabulary
- ISO 9001 Quality Management Systems
- ISO 14001 Environmental Management Systems
- OHSAS 18001 Occupational Health & Safety Management Systems

4.3 Terms and Definitions

Explanation of terms and definitions used in this standard:

“Auditor” is any person with the competence to conduct an audit
"Contractor" means a person or body of persons who undertakes to excecute and complete construction works
“Corrective Action” a process to eliminate causes of nonconformity
“Document” is any management system information
“Environment” is surroundings in which an organization operates, including air, water, land, natural resources, flora, fauna, humans, and their interrelation
“Hazard” the situation with a potential for harm
“Preventive Action” a process to eliminate the potential causes of nonconformity
“Product” can also refer to “Services”
“Record” is any evidence that a process has taken place
“Risk” the likelihood of an occurrence of a hazardous event

4.4 Construction Management System

4.4.1 General

The contractor shall establish, document, implement, maintain and continually improve an integrated Construction Management System (CMS) in accordance with the requirements of this standard. The CMS shall include a documented manual which will define the scope of the system.

Guidelines for Implementation

The requirement is to create a documented system of policies and procedures (in either paper or electronic form) that demonstrates how the company complies with the requirements of this standard. It is an integrated system that addresses the combined requirements of quality, environmental and health and safety management systems.

The structure of the documented system will typically be in three tiers comprising:

- policy (rules of the CMS);
- procedures (how the CMS processes are to be complied with); and
- work instruction (detailed procedures).

A documented manual is required which lays out the company's approach to complying with each of the requirements. It should detail the scope of the system (what is covered and what is not covered) and if there any permissible exclusions (which would need to be justified if any of the requirements do not apply to the company).

4.4.2 Policy

The contractor's management team shall define and approve a CMS which:

i is appropriate to the contractor and their business;
ii details a commitment to complying with the requirements of this Standard;
iii identifies the importance of the customer and meeting their needs;
iv addresses continuous improvement of the performance of the integrated CMS;
v is communicated and made aware to all the contractor's staff and where appropriate other affected parties; and
vi is reviewed regularly for on going suitability.

Guidelines for Implementation

A formal policy is required which details the "rules" by which the company stands by in terms of quality, environmental and health and safety issues, such as:

- what is non-negotiable;
- how staff, contractors and any other persons working on site are expected to think and behave when it comes to these matters.

The policy should address quality, environmental and health and safety issues in a single documented integrated policy.

Writing the policy in itself will not address this requirement totally. The policy must be visible and understood by all staff. The policy must be approved by top management and reviewed regularly (say, twice a year) to ensure that it is still correct and relevant to the company (reviewed as part of the Management Review process).

4.4.3 Control of Documents

All documents required by the CMS shall be controlled. Controlling the documents will address:

i approval of the documents prior to use;
ii managing the changes to documents;
iii making sure that the right personnel receive the latest documents and old documents are removed from circulation; and
iv that documents remain clear and legible when in use.

Guidelines for Implementation

A document describes how an activity should be carried out, e.g. a procedure for training staff. Documents address how all this standard requirements are complied with and include policies, procedures, work instructions, contracts, organisational structures, product specifications and drawings.

It is important that the right personnel receive the latest documents and that the documents are accessible to them should they need to refer to them.
Documents should ideally be controlled centrally, that is registered, stored and issued. When required to be issued the validity of the receiver is verified, and the copy to be issued made from the current approved master document. A master list for document distribution is recommended. Records of receipt of the document should be kept. Any obsolete documents should be removed from circulation and filed in a way to prevent accidental issuing.
Storage of documents should be done so that the integrity of the documents is kept to prevent any environmental degradation. In addition storage systems should facilitate ease of access.
Note that all these disciplines would extend to the use of electronic documents.
Documents generated externally to your organisation but used by you in the course of providing the service will also need to be controlled in a similar manner (e.g. registered, stored appropriately, issued formally, and updated when appropriate).
For site application documents would be controlled by the site. That is copies made externally and sent to site would be registered on receipt at the site. The site would manage the storage and issuing of the documents at the site.

4.4.4 Control of Records

All records required by the CMS to demonstrate compliance shall be controlled. The extent of the control will address:

i records format, storage, retention, retrieval and disposal.

Guidelines for Implementation

A record is proof that a management system activity has taken place. Records could typically include; compliance to work standards (e.g. inspection checklists) and operation of the CMS (e.g. corrective and preventive actions, non-conformance records, audit records).
Records should be used where proof is required. Records need to be accessible should the requirement arise to refer to them. To be able to refer to the records and interrogate them the records must be readable and stored in such a way that they are protected from environmental decay.
Control of records would entail registering the record and specifying such variables as storage location, retention duration, responsibility for disposal (consider that some of the records would need to be retained after the project has been completed, so they would need to be restored to another location) and any reference detail to the record format.
Electronic records would need to be managed to the same requirements (back up, security and virus protection would need to be reviewed).

4.5 Planning

4.5.1 Input Requirements

The contractor shall determine, document, understand and review all customer requirements.

The contractor shall create management plans covering quality, environmental and health and safety issues for each project defining:

i the objectives of the management plans;
ii resources to be used, including management structure/personnel and their training for the work;
iii details of relating customer requirements;
iv the responsibilities and authorities of personnel (including sub-contractors);

v identification and assessment of the risks (including hazards);
vi process controls to be used to deal with the work and risks involved;
vii methods to be used to identify nonconformities, and implement corrective and preventive actions;
viii interaction of processes diagram explaining how the key processes inter relate;
ix methods to be used for document control and records management; and
x methods to be used to monitor and audit implementation.

Guidelines for Implementation

Management Plans form the backbone of the project planning process. They provide a review process when reviewing customer requirements and the CMS objectives. They should ensure that all important requirements are addressed. The management plans are specific to quality, environmental and health and safety requirements.

The planning process should be conducted by top management and reviewed by them throughout the course of the project (e.g. in the Management Review process) to verify the requirements continue to be met.

Once documented, the management plans should be carried through into the operational requirements for implementation.

4.5.2 Legal and Other Requirements

The contractor shall identify and determine the impact of all applicable legislation and statutory obligations that may have an impact on the product quality, environment, and on health and safety.

Guidelines for Implementation

Legal and other requirements may also impact on customer requirements, and it is important that knowledge and visibility of potential legal requirements are known by the contractor. Typically the customer will indicate if any legal requirements apply.

4.5.3 Construction Management System Objectives

The contractor shall document objectives for quality, environmental and health and safety matters that are consistent with the stated Integrated Policy. These objectives should be SMART:

i specific;
ii measurable;
iii attainable;
iv realistic; and
v time based.

These stated objectives shall be regularly reviewed by management.

Guidelines for Implementation

Objectives (or goals) are set to provide benchmarks for performance management. It is important that the SMART principles are followed to define objectives and that they are documented and communicated to those personnel affected by them. Furthermore regular review by management (typically monthly) is important to gauge actual performance to the objectives. Corrective Actions in the event of not achieving objectives should be debated and documented at these regular reviews.

4.6 Implementation and Operation

4.6.1 Roles, Responsibilities and Authorities

The contractor shall formally appoint a specific member of the management team as the representative(s) responsible for the CMS. This Management Representative will coordinate the maintenance of the CMS and report the status of the system to the management team.

The contractor shall define roles, responsibilities and authorities for all those persons in the organisation that have an impact on the CMS.

Guideline for Implementation

A Management Representative is required to be formally appointed who will act as overall coordinator for the management system. (Note that a signed letter of appointment is required.) Their responsibilities are to connect the system operation internally to top management and externally to certification bodies.

It is important that all individuals that form part of the management system understand what they are responsible for. Their ability to carry out assigned responsibilities depends on clarity in this area. Definition of what individuals are responsible for need to be documented.

In addition, authorities must also be specified. These are levels of commend for specified responsibilities e.g. purchasing (a responsibility) with spend up to R5 000 (an authority).

4.6.2 Competency, Awareness and Training

Any roles that have impact on CMS issues shall have their competency requirements defined.

The contractor shall ensure that all staff is made aware of the CMS and their responsibilities regarding it.

Training needs will be defined. For required training conducted training records will be recorded together with evidence of education, training, skills and experience for all affected staff.

Guideline for Implementation

The competencies, awareness and training requirement relates to human resources.

Competencies are defined as the abilities needed to carry out a particular role. These must be defined (documented) and measurable so that they can be verified. Checking an individual's actual competencies against those required to perform a particular role may form the basis to identify skills gaps. Once identified, that will serve as an input to training requirements that should correct the skills gap.

It is part of management's responsibilities to ensure that staff are aware (or conscious) of the management system. Awareness is achieved by briefing staff of the system's existence and what it is for and their role in it. Ongoing awareness can only be achieved by continually reinforcing the awareness and by making the system visible (posters, signage, etc.).

Training relates to the gaining of knowledge that results in specific competencies being achieved. The training process usually starts with training needs being identified (from the skills gaps), training then being planned and executed and then some sort of check to verify that the training objectives have been met. To underpin the training process records must be kept; of training conducted and individuals' educational qualifications.

4.6.3 Other Resources

The contractor shall provide all the resources necessary to maintain the CMS and to enhance its effectiveness (e.g. infrastructure that is expected on the construction site, site offices and equipment).

Guideline for Implementation

Other resources relate to resources other than human resources (which has been addressed in requirement 4.6.2).

What infrastructure (physical structures) are required to carry out the implementation of the management system on site? These would typically relate to site resources required.

4.6.4 Internal and External Communication

The contractor shall document communication:

i internally to staff regarding the processes, polices and objectives of the CMS; and
ii externally to customers, contractors, suppliers and visitors (and other affected parties) as appropriate on relevant details that they require concerning the CMS.

Guideline for Implementation

Communication is required to share understanding between groups; in this case between the coordinators of the management system and other interested parties (internally and externally).

Internally are the staff that have roles to play in the management system by using the documents that relate to them (usually in the form of policies, procedures and work instructions).

Externally are primarily the customers and suppliers that the organisation interacts with. But there may be others for example members of the public resident close to sites of operations.

Communication to both internal and external parties needs to be planned and methods to improve its effectiveness identified.

Communication can take many forms; written paper, graphic, signage, audio, electronic.

4.6.5 Operational Control

The contractor shall document all those key processes identified that impact on quality, environment and health and safety matters.

The method used to project manage contracts shall be defined (including handover of plans, site meetings, systems audits, inspections, technical reviews etc).

Formal management of suppliers shall be defined, including:

i approved suppliers lists;
ii specifications used;
iii placing of orders;
iv receiving methods; and
v supplier performance management.

Guideline for Implementation

Operational control is the execution of the management system in the field (on the site). The system has been planned by the use of 3 management plans; Quality, Health & Safety and Environmental. Operational control applies the use of these management plans.

In addition, Operational Control addresses the requirement for the management of subcontractors (and key suppliers). The requirement aims to ensure that only competent subcontractors are used by:

- Approving them prior to use;
- Ensuring that they have a clear understanding of what is required;
- That the delivery of their product or service is verified where required;
- Should non-conformance arise there is a means to record and handle this situation.

4.6.6 Control of Nonconformity

The contractor shall identify and control all nonconforming product or processes to ensure that they are not used and that actions to eliminate further creation are recorded.

The contractor shall document methods of emergency preparedness and response for environmental and for health and safety incidents. This should include responses to emergency situations and prevention of further environmental and health and safety consequences.

The contractor shall conduct incident investigations for environmental and health and safety incidents and document corrective actions.

Guideline for Implementation

Nonconformity relates to when a product or service does not comply with agreed specifications. Once identified the nonconforming item should be isolated from conforming items to prevent accidental use. Following this the item should be reviewed to decide what action is necessary to return it to conforming or to discard it completely.

For Environmental and Health and Safety this requirement relates to emergency preparedness and response that is; preparing an organised and managed response to potential situations (e.g. fire, floods, etc), conducting training drills and having the right equipment available.

Should such Environmental and Health and Safety incidents happen where a formal investigation is conducted to determine the facts surrounding the incident, preventive action will be applied to ensure that future similar incidents do not occur.

4.7 Measurement, Monitoring and Improvement

4.7.1 Measurement and Monitoring

The contractor shall establish, implement and maintain procedures to measure and evaluate compliance to:

i legal requirements;
ii customer requirements (including customer satisfaction);
iii product specifications;
iv quality, environmental, and health and safety management plans; and
v calibration parameters for inspection measuring and checking equipment.

Guideline for Implementation

Measurement and monitoring forms the basis of the management systems performance management system and is necessary to confirm compliance to requirements. Section 4.7.1 lists where requirements are typically documented in a management system.

Measurement and monitoring typically takes the form of on site inspections, physical measurements, suppliers letters of compliance, calibration certificates, checklists against management plan requirements, etc.

4.7.2 Internal Audit

The contractor shall use trained and competent internal auditors to plan and conduct documented audits to confirm that the CMS conforms to planned arrangements (e.g. application of the various Management Plans).

Guideline for Implementation
Internal audits are required to check actual application of management system procedures; are they being understood and followed and can they be improved? To be effective these audits need to be conducted by trained and competent auditors and the audits planned to ensure that all the requirements have been audited.

4.7.3 Management Reviews

The contractor shall conduct management reviews at least annually to ensure the continuing suitability, adequacy and effectiveness of the CMS. The inputs to the Review should include:

i results of non-conformances, corrective and preventive actions;
ii results of internal audits;
iii results of external audits;
iv customer feedback (including complaints);
v performance to stated objectives;
vi results from previous management Reviews;
vii review and on going applicability of the stated Integrated CMS Policy;
viii the outputs of the Review including actions shall be documented.

Guideline for Implementation
Management Reviews are the formal system reviews to check that the system is achieving its stated objectives. To answer this effectively objective review of data should be undertaken. Requirement 4.7.3 lists input data to the review process. Once discussed and resulting actions should be documented for implementation and later review.

4.7.4 Improvement

Title Only

a) Continuous Improvement

The contractor shall define processes and plans to continually improve the effectiveness of the CMS.

Guideline for Implementation
Continuous improvement relates to the result of improving customer satisfaction by continually enhancing the delivery processes.

b) Corrective Action

The contractor shall Identify and correct non-conformances to mitigate their quality, environmental and health and safety impact. This will include customer complaints handling.

Guideline for Implementation
Corrective action is the process to fix non-conformances so that they do not reoccur. To arrive at meaningful corrective action a clear analysis and understanding of the cause of the non-conformance is required. Once analysed detail corrective actions together with responsibilities and planned completion dates. Ensure that corrective actions are not closed out until an impartial review of their completion is conducted (physically and via documentation and records).

c) Preventive Action

The contractor shall evaluate and document the actions required to eliminate potential non-conformances.

Guideline for Implementation
Preventive action differs from corrective action in that its objective is to prevent the non-conformance from occurring in the first place. To achieve this management must be able to predict a situation where a non-conformance might occur. This can be done via review of data and trending the results or by knowledgeable staff with insight agreeing on preventive actions.

5 AUDIT CHECKLIST

The audit checklist has been designed to guide and support the audit process, and not to be a definitive checklist. It can also be used by organisations as a guide when developing their Construction Management Systems (CMSs).

Clause	Checklist Details
4.4	Integrated Management System
4.4.1	Permissible Exclusions
	Are there any permissible exclusions to the CMS Standard?
	Are the exclusions documented in the Manual?
	Are the exclusions permissible?
4.1	CMS Manual
	Does the Manual detail the scope of the CMS?
	Does the Manual refer to lower procedures?
	Does the Manual detail the processes the organisation requires for the CMS?
	Does the Manual detail interaction of processes for the CMS?
4.4.1	General Requirements
	Is the CMS Documented, implemented and maintained?
4.4.2	Policy
	Is it appropriate to the contractor and their business?
	Details a commitment to complying with the requirements of the CMS standard?
	Identifies the importance of the Customer and meeting their needs?
	Communicated and understood through out the contractor?
	Has been regularly reviewed for on going suitability?
4.4.3	Control of Documents, does the CMS documentation comprise of:
	Policy and Objectives?
	CMS Manual?
	Required documented procedures?
	Implementation and Operation procedures?
	Are the documents controlled effectively: • Approval and issuing • Change status • Legibility, identification and distribution • External documents • Obsolete documents
	Is there a documented procedure for controlling documents?
4.4.4	Control of Records
	Are there the required CMS Records?
	Are the records controlled effectively: • Format, storage & retrieval • Retention time and disposal • Legibility • Identified
4.5	Integrated Planning
4.5.1	Input Requirements
	Have comprehensive Quality Management Plans (QMP's) been documented?
	Does the QMP's list (as a minimum): • Description and scope of the project? • Project Plan? • List of contract documents and drawings? • Control requirements? • List of affected records?
	Have comprehensive Environmental Management Plans (EMP's) been documented?
	Does the EMP's list (as a minimum): • Environmental aspects? • Those aspects that has a significant impact on the environment?
	Have comprehensive Health & Safety Management Plans (HSMP's) been documented?

Clause	Checklist Details
	Does the HSP's list (as a minimum): • Identified Hazards • Risk Assessments • Determination of necessary controls
4.5.2	Legal and Other Requirements
	Aware and record the legal or other requirements that may impact on the CMS and the provision of the service provided?
4.5.3	Objectives and Programme Management
	Are objectives documented for the CMS by site and or overall company?
	Are the objectives SMART?
	Do the objectives improve the effectiveness of the CMS?
	Are the objectives regularly reviewed by Management?
4.6	Integrated Implementation and Operation
4.6.1	Roles and Responsibilities
	Has a member(s) of the Management Team been formally appointed to coordinate, report and maintain the awareness of the CMS?
	Have roles been identified for all personnel that may impact on the CMS?
	Have responsibilities been identified for all personnel that may impact on the CMS?
	Have authorities been identified for all personnel that may impact on the CMS?
4.6.2	Competencies, Awareness and Training
	Have required competencies been defined?
	Has the staff been made aware of the CMS?
	Has training needs been identified?
	Have training plans been documented?
	Are there training records for: • Education & training? • Skills and experience?
	Has training effectiveness been measured?
4.6.3	Other Resources
	Has the other resources required been formally recorded?
	Has a check been made to verify that the other resources are available?
4.6.4	Internal and External Communication
	Is there effective internal communication?
	Is there effective external communication?
4.6.5	Procurement Process
	Are there controls to ensure that procured products conform to requirements?
	Are there approved supplier lists?
	Is formal supplier performance management conducted?
	Is CMS requirements described on procurement documentation?
	Is procured products verified upon receipt?
4.6.5	Operational Control
	Have all processes impacting on CMS been documented?
	Are required building/construction characteristics documented?
	Are required building/construction processes documented?
	Has project management been documented?
	Does the project management process provide adequate control over the operational process?
4.6.5	How are contractors formally managed?
4.6.6	Control of Non-Conformity
	Is there a documented procedure addressing this requirement?
	Does the procedure and practices adequately address: • Responsibilities and authorities • Actions to eliminate non conformity • Isolation and labelling of non conforming product • Documenting non-conformance
	Are there records of non-conformances and actions taken (including concessions where appropriate)?
	Are there documented methods for emergency preparedness and response for Environment, Health and Safety?
	Have Environment, Health and Safety incidents been formally investigated by competent personnel?

Clause	Checklist Details
	Have corrective actions for Environment, Health and Safety incidents been formally documented?
4.7	Integrated Measurement Monitoring and Improvement
4.7.1	Measurement and Monitoring
	Are measurement and monitoring processes in place to measure and evaluate compliance to (where appropriate): • Legal requirements • Customer requirements • Product specifications • CMS Management Plans • Calibration requirements for measuring and checking equipment
	Has the appropriate corrective actions taken place where required?
4.7.2	Internal Audit
	Is there a documented procedure that addresses internal audits?
	Are there records of internal audits?
	Are there corrective actions for non-conformances identified?
	Are the internal audits carried out by competent staff?
	Is there an audit plan?
	Does the audit plan address the CMS?
	Do the audits improve the CMS effectiveness?
	Are audit outcomes reviewed by Management?
4.7.2	Have the audits been closed out in full timeously?
4.7.3	Management Reviews
	Have the Reviews been conducted at suitable intervals?
	Has the Review adequately addressed the CMS for suitability, adequacy and effectiveness?
	Has the Policy been reviewed?
	Has the Review inputs conformed to the standard?
	Has the Review outputs including actions been documented?
	Are review actions followed on?
7.4	Improvement
4.7.4 i	Continuous Improvement
	How has continuous improvement process impacted the CMS?
	What are the continuous improvement processes that are being used?
4.7.4 ii	Corrective Action
	Is there a documented procedure?
	Are corrective actions appropriate to the non-conformances that have required them?
	Review non-conformances, are the causes specified?
	Are actions to prevent recurrence appropriate?
	Are the corrective actions followed up and closed out effectively and efficiently?
	Are the corrective actions reviewed?
	Are there records of the corrective action process?
4.7.4 iii	Preventive Actions
	Is there a documented procedure?
	Is the preventive action process appropriate and effective?
	Are the preventive actions followed up and closed out effectively and efficiently?
	Are there records of the preventive action process?
	Are the preventive actions reviewed?

APPENDIX 1: APPLICATION FOR CIDB CMS ACCREDITATION (FORM CRS_F201)

FORM CRS-F201: cidb BEST PRACTICE CONTRACTOR RECOGNITION SCHEME APPLICATION FOR ASSESSMENT; LEVEL II

Section A: Company Details

cidb CRS Number

Class of Works Grade

Company Name

Contact Person Title Initials Surname

Designation

e-mail

Mobile 0 - -

Office Telephone 0 - -

Section B: Certified Construction Management Systems
Please attach certified copies of certificates

Certification to (e.g. ISO 9001, cidb CMS)	Certification Number	Date Certified

Section C: Declaration by Contractor

I, the undersigned declare that:

- I am duly authorised to sign this application on behalf of the contractor;
- The information furnished, as well as all documentation submitted in support of this application, is true and correct in every respect and have been lawfully obtained.

Signature of Employer

Date Y Y Y Y - M M - D D

Signature of Director of Company

Date Y Y Y Y - M M - D D

Section D: cidb Official Use Only
cidb CRS Number

APPENDIX 2: APPLICATION FOR RENEWAL OF CIDB CMS ASSESSMENT (FORM CRS_F202)

To be completed

APPENDIX 3: APPLYING THE BEST PRACTICE CONTRACTOR RECOGNITION SCHEME IN CONSTRUCTION PROCUREMENT

(Extracts from the cidb Standard for Uniformity; Draft)

1. Definitions

i) **complex project**: is a contract which has at least two of the following three characteristics:

(a) comprises works with high performance requirements, requiring a sophisticated level of design, detail or construction techniques with specialized requirements or high tolerances;
(b) the height of the structure is greater than 10 m, the building exceeds 3 storeys, the depth of any excavation in a trench exceeds 3,0 m or the depth of an excavation exceeds 5,0m; and
(c) the site is of special environmental or heritage significance and needs to be developed in accordance with requirements arising from an Environmental Impact Assessment (EIA), a Heritage Impact Assessment (HIA) or a Social Impact Assessment (SIA) conducted in terms of legislative requirements.

ii) **contractor recognition status** – see Table 1.

Table 1. Contractor Recognition Status

Contractor recognition level	Means of accreditation	Comments
I	Accreditation of the competencies of a contracting enterprise by the CIDB, in accordance with standards and guidelines published by the CIDB in terms of section 5(2)a of the Act, within the fields of: • business management; • building and construction management (operational and supervision); • building and construction technology; and • legislative issues.	Aimed at Grades 2 to 6
II	Accreditation of the Construction Management Systems of a contracting enterprise by the CIDB, in accordance with standards and guidelines published by the CIDB in terms of section 5(2)a of the Act	Aimed at Grade 5 to 7 contractors
IIIa	Certification by an accredited certification body in terms of a) SANS 9000 / ISO 9001, *Quality Management Systems - Requirements* b) SANS 14001 / ISO 14001, *Environmental Management Systems - Requirements with guidance for use,* and c) OHSAS 18001, *Occupational Health and Safety Management Systems - Requirements*	Aimed at Grades 8 and 9 contractors

NOTES:
- A contractor with a contractor grading designation of 4CE, who is a potentially emerging contractor and who has a contractor recognition status level of I will be described as a 4CE PE I contractor.
- A contractor with a contractor grading designation of 5GB, who has a contractor recognition status level of I and II will be described as a 5GB I,II contractor.

2. Applying the Contractor Recognition Status in Construction Works Contracts

2.1 The Use of Contractor Recognition Status as Eligibility Criteria in Complex Projects

i) The following wording shall be included in the Notice and Invitation to Tender in all engineering and construction works contracts which are categorised as complex projects:

Only tenderers who possess a contractor recognition level of I or higher / II or higher / or III eligible to submit tenders.*
*Delete the level which does not apply. (See Table 1)

ii) The following wording shall be included in the Tender Data in all engineering and construction works contracts which are categorised as complex projects:

Clause number (refer to Annex F)	Tender data
F.2.1	*Only those tenderers who have a contractor recognition level of I or higher / II or higher / III* are eligible to submit tenders.*

*Delete the level which does not apply. (See Table 1)

iii) The following wording shall be included in the Notice and Invitation to Submit an Expression of Interest in all engineering and construction works contracts which are categorised as complex projects:

Only respondents who possess a contractor recognition level of I or higher / II or higher / or III eligible to make submissions.*
*Delete the level which does not apply. (See Table 1)

iv) The following wording shall be included in the Submission Data in all engineering and construction works contracts which are categorised as complex projects:

Clause number (refer to Annex H)	Submission data
H.2.1	*Only those respondents who have a contractor recognition level of I or higher / II or higher / III* are eligible to make submissions.*

*Delete the level which does not apply. (See Table 1)

2.2 The Use of Contractor Recognition Status as Eligibility Criteria in Contracts other than Complex Projects

Where deemed desirable to do so, the employer may establish eligibility criteria in engineering and construction works contracts which are not categorized as complex projects, using the same wording as that contained in 2.1. Alternatively, the employer may stipulate one level lower than that required in 2.1.

Note: An employer may in terms of 2.2, in the case of contracts not categorized as being a high complexity project, where the estimated requirement is for a contractor with a contractor grading designation of 8, either require contractors to have a contractor recognition level of II and higher or a contractor recognition level of III

2.3 The Application of Contractor Recognition Status in the Quality Evaluation of Calls for Expressions of Interest or the Evaluation of Tenders

A fixed number of evaluation points may be granted for possession of a particular contractor recognition level in the evaluation of tender offers by including the relevant quality criteria for the option selected as set out in Table 2 in the submission or tender data, as appropriate.

Table 2: Quality Criteria Relating to Contractor Recognition Status Levels

Estimated contractor grading designation *	Option 1		Option 2	
	Quality criteria	Number of points#	Quality criteria	Number of points#
2 to 6	CIDB register reflects the contractor as having a contractor recognition level of I	X	CIDB register reflects the contractor as having a contractor recognition level of*: I	 X
5, 6 or 7	CIDB register reflects the contractor as having a contractor recognition level of II	X	CIDB register reflects the contractor as having a contractor recognition level of*: I II	 X Y

8 or 9	CIDB register reflects the contractor as having a contractor recognition level of IIIa	X	CIDB register reflects the contractor as having a contractor recognition level of* II IIIa	 X Y

* determined in accordance with Regulation 25(3)
\# insert number of points