

PROVINCIAL ADMINISTRATION OF KWAZULU-NATAL
DEPARTMENT OF PUBLIC WORKS

CHAPTER 3 : PRE-TENDER PHASE
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CHAPTER 3 - PRE-TENDER PHASE

3.1 FIVE YEAR CAPITAL PLANNING PROGRAMME AND MULTI-YEAR INFRASTRUCTURE

3.1.1. Introduction

To avoid crisis planning and budget shuffles, it is imperative for each department to develop a **Five Year Capital Planning Programme**. Such a programme will minimise planning disruptions and enable the KwaZulu-Natal Department of Public Works to focus its efforts, manpower and resources to meeting target dates, budget commitments and expenditure expectations. Obviously any planning programme cannot be regarded as rigid and **will alter** according to political and social influences but, nevertheless, it should not undergo radical overall change, provided care is taken in the selection of projects. Projects are provisionally budgeted for 3 years in advance, in accordance with the MTEF budgeting system, in order that departments can plan expenditure expectations more accurately and effectively.

The **Multi-year Infrastructure Development Improvement Programme (IDIP)** is an integral part of the accelerated service delivery model advocated within the national Infrastructure Development Programme, formally sponsored and supported by both National Treasury and the KwaZulu-Natal Department of Treasury.

The Department of Treasury has adopted a Multi-year Infrastructure Planning Approach, whereby client departments are expected to submit plans in year zero for execution in year one. This ensures that construction takes place in year one, as planning will be completed in year zero. Infrastructure planning requires the full participation of all of the department's clients. In addition, medium-term infrastructure plans need to be developed with all client departments, which will facilitate early initiation of the design and real estate acquisition processes.

An **Infrastructure Plan** is defined as follows:

An Infrastructure plan is a formally approved document prepared by the Client Department detailing over the medium and long term how the infrastructure required by the Department to deliver its mandated services will be acquired, rehabilitated, maintained and funded.

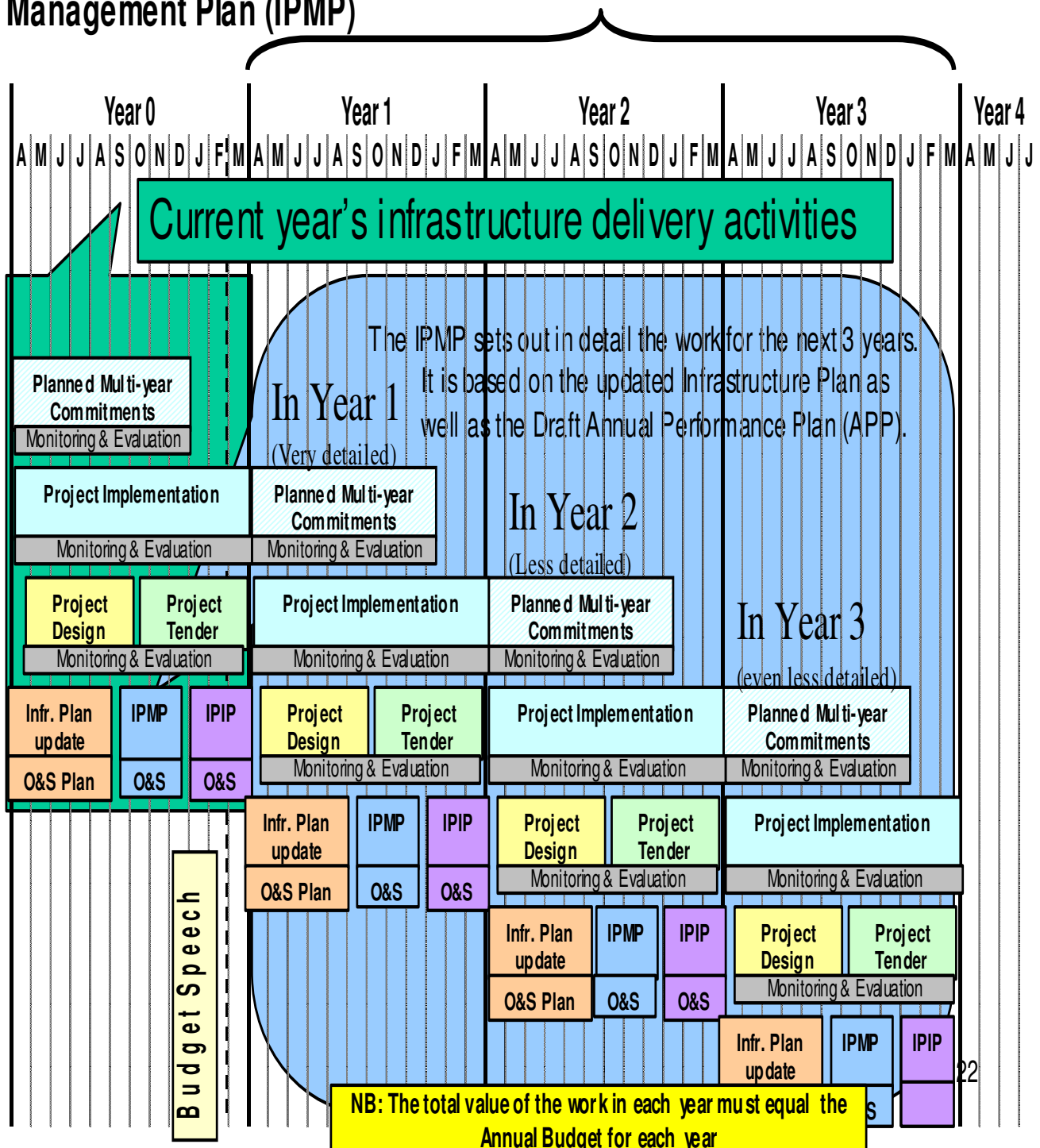
An **Infrastructure Programme Management Plan (IPMP)** is defined as follows:

An IPMP is a formal approved document prepared by the Client Department that specifies how the infrastructure programme will be executed, monitored and controlled over the current MTEF period. If all or part of the implementation is assigned to one or more Implementing Agents, the IPMP defines the scope deliverables, targets and requirements of the sub-programmes assigned to specific Implementing Agents.

To illustrate the IPMP, the Infrastructure Delivery Improvement Programme prepared the following flow chart dealing with 3 year MTEF Period:

Infrastructure Programme Management Plan (IPMP)

3 Year MTEF Period



Key:

- Infr. Plan - Infrastructure Plan
- O&S - Organisation & Support
- IPIP - Infrastructure Programme Implementation Plan
- IIPMP - Infrastructure Programme Management Plan

3.1.2 Identifying Priorities

Departments should be encouraged not to deviate, wherever possible, from the immediate planning programme. To achieve this objective, departments must be requested to study the feasibility of proposals in the light of :

- (i) departmental policy;
- (ii) economic climate;
- (iii) availability of resources with special emphasis on the manpower required and equipping costs;
- (iv) availability of funds;
- (v) priorities with regard to other proposed expansions, curtailments and new project objectives already approved;
- (vi) practical dates of commencement and,
- (vii) political and social considerations.

In addition new projects placed on the Multi-year Infrastructure Planning Programme must be subjected to the following priority classification:

- | | | | |
|---|---|-------------------|--|
| 1 | = | absolute priority | - Omission or postponement will have serious or catastrophic effects. |
| 2 | = | essential | - Omission or postponement will seriously impair the public interest. |
| 3 | = | desirable | - Will have extra-ordinary or particular advantages (economically, socially or politically) for the community. |
| 4 | = | useful | - Although dispensable, it will serve a useful purpose and must be undertaken by the State in the public interest. |
| 5 | = | dispensable | - May be left or postponed without impairing the public interest. |

3.1.3 Allocation Of Budgets

In accordance with the PFMA, user departments are responsible for both the proper utilisation and condition of buildings occupied by each institution. No longer can the Department be regarded as the “custodian” for every Provincial building other than those itself occupies. Consequently, decisions to set aside funds for projects rests with each individual department. In some cases, the responsibility to perform maintenance may be delegated to the Department of Public Works. However, this does not relieve user departments from being both responsible and accountable for buildings occupied by each individual institution. Clearly, the Department of Public Works having expert knowledge in both the field of maintenance and construction will provide user departments with budgetary and expenditure information, when sought.

It is essential for decision – makers to consider the estimated cost of proposed new projects initiatives to be launched and, measure this against expenditure required to continue with services already under construction but not complete.

In any one financial year, one has to take the following considerations into account, based on anticipated future allocations:

- (i) Services under construction for which costs will overlap into ensuing years, encompassing not only contractual building expenses but those of Professional Fees as well.
- (ii) Services which according to the various departments "Priority Listings" should commence in the ensuing Financial Year/s and, the future financial implications to the budget by commencing the projects.

The need to commence projects is provided by the client department but, the Department of Public Works must obtain assurances that because of advance budgetary requirements, the appointment of consultants and the commencement of planning and documentation will not lead, in the future, to incriminations being lodged against the Department for supposedly incurring fruitless expenditure, if they are halted or abandoned by the client.

Once such assurances are given, it is necessary for the Department of Public Works to evaluate its human resources, based on the "Budgetary Programme", to determine its capabilities to plan, document and commence the particular project or projects, to meet budgetary expectations. It should be borne uppermost in the minds of planners that the process needs to be undertaken, depending on the complexity and magnitude of the project, at least 6 to 9 months beforehand, on a large service, to complete documentation, to which should be added the lengthy 3 - 4 month tendering process. When the "Budgetary" process begins for the ensuing year, the Department of Public Works must issue a circular to its client departments explaining the complications involved in the documentation of services, giving timeframes of the planning processes, which will dispel unexpected expectations of spending funds for which inadequate time has been given to document, or where savings accrue elsewhere on a budget, through various reasons and prompts the intention to commence another service.

3.2 MINOR NEW WORKS (MAINTENANCE AND ADAPTATION : CAPITAL)

At this point it would be of interest to note that a "Minor New Works" service is defined as "The erection, construction, acquisition, extension or improvement of any building, including semi-permanent internal partitioning and new fixtures, a bridge, a pont or road or any other work or undertaking work of a permanent nature which does not exceed R250 000 and which does not appear in the Major Works Programme may be regarded as a Minor New Work".

3.3 FRUITLESS AND WASTEFUL EXPENDITURE

The above description means expenditure which was made in vain and would have been avoided had reasonable care been exercised.

As projects are sometimes too easily placed on the Overall Departmental Planning List, no harm could be served by pointing out the content of Part 9 of the Treasury Regulations issued in terms of the P.F.M.A, dealing with fruitless and wasteful expenditure.

3.4 CONTINGENCIES

The policy is not to provide a Contingency Sum for unforeseen expenditure in the Bill of Quantities or Specification. Nevertheless, at the stage of recommending an award for a contract, the following scale can be applied to establish a Contingency Fund, per project, for which proper financial authority must be obtained:

Building Works	5% of contract amount
Structural, Electrical or Mechanical	10% of contract amount
Civil Works	15% of contract amount
Repairs, Renovations and Alterations	15% of contract amount

Committing monies in this way can lead to a large percentage of the budget, in any one financial year, being unspent, if services fall behind or overlap into the next year. It is not the intention to set aside funds in this manner and, if unspent, utilise savings to undertake extra non-essential work in a contract.

3.5 VIREMENT BETWEEN THE MAIN DIVISION OF THE VOTE

In terms of Clause 43 of the Public Finance Management, 1999 (Act No. 1 of 1999), an Accounting Officer, may utilise a saving in the amount appropriated under a main division within a vote towards the defrayment of excess expenditure under another main division within the same Vote, unless the Treasury directs otherwise. Clause 43 (4) of the same Act states

“this section does not authorise the utilisation of a saving in -

- (a) an amount specifically and exclusively appropriated for a purpose mentioned under a main division within a Vote;
- (b) an amount appropriated to another institution; and
- (c) an amount appropriated for capital expenditure in order to defray current expenditure”

The Office of the Chief Financial Officer must be contacted for advice relating to this matter.

3.6 ROLES AND RESPONSIBILITIES OF PERSONS INVOLVED IN A PROJECT CYCLE

The below Chart identifies and attaches the roles and responsibilities of key persons involved in a Project Cycle commencing from the initial request for a service covering its design approval, compilation of a Tender Document the award of a Contract and the administration thereof to its final completion and payment of a Contactor and the Professional Consulting Team.

A Project Manager and the Departmental Professional personnel may be designated as “Accountable” or “Responsible” or even both in some of the duties shown in the below Chart. It should be understood that they are given the appropriate administrative support from the respective administrative components of the Department, depending upon the particular task at hand during the Project Cycle. Although the respective administrative components play important roles in the Project Cycle in ensuring the successful completion of a service, it does not detract nor relieve the Project Manager or Departmental Professional personnel from being both accountable or responsible for each of the different identified processes depicted on the below Chart.

3.6.1 Definitions Used In the Project Cycle Chart Below

Responsible, (R)	The “doer” is the person(s) that actually completes the task. The “doer” is responsible for activation/implementation. Responsibility can be shared. The degree of responsibility is determined by the person with the “A”.
Accountable, (A)	The accountable person in the Department who is answerable for the activity to be actioned. Identifies and tracks single point accountability for an activity, task or project. This includes “yes” or “no” authority. <i>Only one “A” can be assigned to an action.</i>
Consult, (C)	The consult role is person(s) (Typically experts in their field) to be consulted <i>prior to a final decision or action</i> . This is a predetermined need for two-way communication. Input from the designated position is required. “A” must ensure that the “Expert Advisory” was consulted and the activity is signed off by “C”.
Informed, (I) “in the loop”	The informed role is person(s) to be informed of <i>a decision or status of an action or of a process</i> .

3.6.2 Legend Used In the Project Cycle Below

JOPAC	Joint Plans Approval Committee
PAC	Plans Approval Committee
PSP	Professional Service Provider(s) (Consultants)
EIA	Environmental Impact Assessment
IPMF	Infrastructure Programme Management Plan
IPIP	Infrastructure Programme Implementation Plan
BSC	Bid Specification Committee
BEC	Bid Evaluation Committee
BAC	Bid Adjudication Committee
RM	Regional Manager
CIDB	Construction Industry Development Board

					Project Cycle - Roles & Responsibilities									
#	Task	Role	Output	Task / Content	Client Dept	DoW		Professional	Private					
						Programme Manager	Project Manager		PSP	Contractor				
1	Project Brief	Client Dept	Concise brief that awards and instructs DoW to commence the Project Feasibility Study task. Typically part of the IPMP	Project Brief	AR	I								
				a Project Name	AR									
				b Identify Stakeholders	AR									
				c Project Locality	AR									
				d Scope of Work	AR	C		C						
				e Land legal issues	AR	I								
				f Desktop Study Report	AR	I		C						
				g Initial Funds Approval	AR	I								
				Project Feasibility Study	I	I	AR	I						
2	Project Feasibility Study	Client Dept & DoW	Project Feasibility Study by DoW & PSP to provide Feasibility Report to Client Department. Typically part of the IPIP	a DoW Project Team Appointment	I	AR	I	I						
				b Initial Project Plan	I	I	AR	C						
				c EIA	A	I	R	I						
				d Detailed Project Scope of Work	I	I	A	R						
				e Professional Service Provider(s) (PSP) appointed	I	I	A	R	I					
				f Validation of award	I	I	A	R	R					
				g Client instruction to proceed	R	I	A	I	I					
				Design	I	I	A	R						
				a Project Plan	I	I	A	R	C					
3	Design	DoW	Detailed Design & Documentation	b Line Drawings and order of magnitude estimate		I	A	R	R					
				c Sketch Plans & Reports		I	A	R	R					
				d Signoff & Approval of Design, Detailed Estimate and timelines	I	I	A	R	I					
				JOPAC / PAC		I	AR	I	I					
4	JOPAC / PAC	Client Dept & DoW	Record of decision to proceed with Detailed Design & Documentation and Procurement within budget allocation.	a Placement of project on Agenda		I	AR	I	I					
				b Submission of Sketch Plan, Estimate and Timelines		I	AR	C	R					
				c JOPAC / PAC Approval of submission	I	I	A	I	I					
				d Approval of funding and instruction to proceed from JOPAC / PAC & Client	R	I	AR	I	I					
				Tender Documentation		I	A	R	R					
5	Tender Documentation	DoW	Detailed Design & Documentation with pre-tender estimate within budget allocation.	a Working drawings		I	A	R	R					
				b Specifications		I	A	R	R					
				c Bills of Quantities		I	A	R	R					
				d Tender documentation		I	A	R	R					
				e Pre-tender estimate		I	A	R	R					
				f Submission and response from Local Authority	I	I	AR	I	R					
				g Approval of funding and instruction to proceed from Client	R	I	AR	I	I					
				Procurement	I	I	AR	I	I					
				a Checking Draft Tender documentation		I	A	R	C					
6	Procurement	DoW	Tender award with Client Dept Endorsement.	b Submission to BSC (Approval of Final Tender documentation)		I	AR	I	I					
				c Submission to BAC / RM		I	AR	I	I					
				d Call for tenders		I	AR	I	I	I				
				e Tender adjudication	I	I	AR	C	C					
				f Confirmation of Project Funding from Client	R	I	AR	I	I					
				g Submission to BEC		I	AR	I	I					
				h Submission to BAC / RM		I	AR	I	I					
				i Validation of award		I	AR	I	I					
				j Publication of award		I	AR	I	I	I				
				k Tender appeals period		I	AR	I	I	I				
				l Letter of intent of award	I	I	AR	I	I	I				
				m Submission of contract requirement from Contractor		I	A	R	R	R				
				n Signing of contract document		I	AR	I	I	R				
				o Registration of contract award with CIDB		I	AR	I	I	I				
				Construction	I	I	A	I	R	R	R			
				7	Construction	DoW	Facility built to design specifications, of good quality, within budget, in agreed time by Contractor and handed over to Client Dept.	a Site handover	I	I	A	C	R	R
								b Quality Control Plan	I	I	A	C	R	R
c Construction	I	I	A					C	R	R				
d Contract meetings (various)	I	I	A					R	R	R				
e Quality control	I	I	A					R	R	R				
f Progress payments & updated cashflows	I	I	A					R	R	R				
g Contract administration	I	I	A					R	R	R				
h Commission of installations and equipment	I	I	A					R	R	R				
i Practical Completion	I	I	A					R	R	R				
j Reduction of Retention and Release of Guarantee	I	I	A					R	R	I				
k Occupancy certificate	I	I	AR					C	C	I				
l "As Built documents and manuals"	I	I	A					R	R	R				
m Maintenance and life cycle plan	I	I	A					C	R	C				
n Defects liability period	I	I	A					C	R	R				
o Final Delivery	I	I	A					R	R	R				
p Release of Retention	I	I	A					R	R	I				
q Final Account - Contractor	I	I	A					R	R	R				
r Close-out Report	I	I	A	C	R	C								
s Final Fees - Consultants	I	I	A	R	R									
8	Commission of facility by Client	Client Dept	Facility operational with all resources.	Commission of facility by Client	AR									
				a Provision of Equipment	AR	I	I	C						
				b Resourcing of staff	AR									

3.7 PLANNING OF A NEW PROJECT

The Flow Chart below provides the framework to plan a new project.

LEGEND

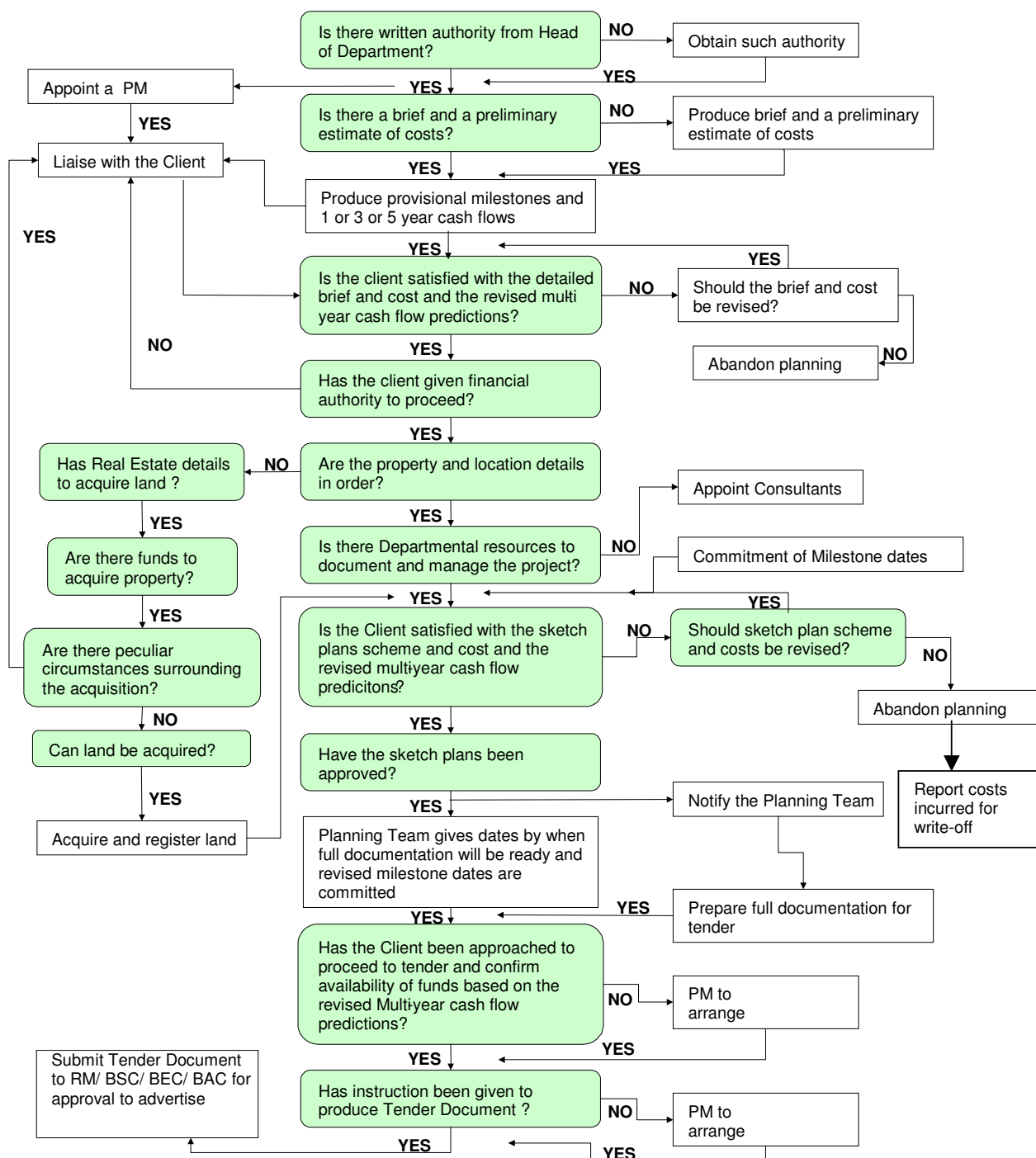
PM = Project Manager

RM= Regional Manager

BSC = Bid Specification Committee

BEC= Bid Evaluation Committee

BAC = Bid Adjudication Committee



3.7.1 Essential Planning Information

The following information must accompany a request to plan a new project:

- (i) Head of Department's written authority to plan the service.
- (ii) A brief to plan project, giving specific requirements is preferential. If the client is unable to provide a room to room brief, Works personnel or the consultants must assist in drawing up the required brief. It needs to be stated whether there are existing buildings which may require to be demolished and/or other known factors which could influence planning. If any demolitions are required, the Head : Public Works approval is required.
- (iii) The property and location details and, if not an addition or alteration to an existing building, what steps are to be taken to acquire land.
- (iv) Availability and authorisation of funds for:
 - (a) acquisition of site, if applicable
 - (b) planning, involving consultants fees
 - (c) proceeding with project to completion stage
- (v) Service must be given a priority rating in terms of the Overall Departmental Planning List.

3.7.2 Demolition Of Any Existing Building(s) On State Property

When the demolition of any existing building on State Property is contemplated, whether the demolition is to be carried out by Departmental staff, under a direct contract or as part of a building project, prior approval in writing is to be sought from the Head: Public Works.

For the purpose of obtaining such approval as pro-forma submission Specimen 10 is included in this document under the Letters and Forms.

As stated in 3.6.1 above, where there is the possibility of any existing building having historical significance and the existing building is over 60 (sixty) years old, it is, in addition, necessary to gain approval from The Heritage KwaZulu-Natal / Amafa Akwazulu Natali body for the proposed demolition. Such approval must be referred to and attached to the submission (Specimen 10).

3.7.3 Categorisation Of Projects

Projects are categorised according to SCM Delegations of Authority as follows:

- (i) Level 1 – Invitation and acceptance of quotations from a value of more than R1 up to R2 000 inclusive of VAT per case.
- (ii) Level 2 – Invitation and acceptance of written quotations from an estimated value of more that R2 000 up to R10 000 inclusive of VAT per case.
- (iii) Level 3 – Consideration and acceptance of written quotations from an estimated value of more that R10 000 up to R500 000 inclusive of VAT per case.

- (iv) Level 4 – Consideration and acceptance of bids from an estimated value of more than R500 000 inclusive of VAT per case.
- (v) Consideration and acceptance of Period Contract awards for an unlimited value, subject to the maximum value of such Contracts.

NOTE: For complicated building and construction projects estimated to be more than R200 000, a proper Tender Document is to be used.

3.7.4 Procurement of Services – R30 000 (VAT Included) – Preferential Procurement.

Accounting Officers must apply the prescripts of the Preferential Procurement Policy Framework Act, Act 5 of 2000 and its associated Regulations for all procurement equal to or above R30 000 (VAT Included). However, these prescripts may be applied for procurement with a value of less than R 30 000, if and when appropriate.

3.7.5 Creation Of Project On WIMS And Capturing Of Pre-Design Information

For information in respect of the above matter, refer to

- (i) the Programme Management SOPs and,
- (ii) the Works Information Management System (WIMS) SOPs.

NOTE: Only those officials who are qualified and authorised can perform functions and duties on WIMS. A project should be captured on WIMS once a preliminary estimate of cost has been determined.

3.8 APPOINTMENT OF PROJECT MANAGER OR A PROFESSIONAL CONSTRUCTION PROJECT MANAGER (PCPM)/CANDIDATE CONSTRUCTION PROJECT MANAGER (CCPM)

The below Flow Chart depicts the responsibilities of a Project Manager or a PCPM/CCPM as they relate to the operational timelines of a Project.

LINE FUNCTIONARIES					REGIONAL PROGRAMME MANAGEMENT *
REGIONAL PROFESSIONAL PERSONNEL					
PROJECT MANAGER OR FOR PROJECTS WITH A CIDB GRADING DESIGNATION OF 6 OR ABOVE – THEN A PROFESSIONAL/CANDIDATE CONSTRUCTION PROJECT MANAGER					
CONSULTANCY TEAM					
DESIGN STAGE	PRE-TENDER STAGE	TENDER STAGE	CONTRACTOR		
			PROFESSIONAL/CANDIDATE CONSTRUCTION MANAGER		
			CONSTRUCTION STAGE		
ACQUISITIONS SUB-DIRECTORATE					

* Reporting across various Line Functions

Project Manager – Projects with a CIDB Grading Designation of 5 or less

Professional/Candidate Construction Project Manager – Projects with a CIDB Grading Designation of 6 and above.

Each project regardless of size shall be assigned to a Departmental official, by the Manager: Major Project Management/ Regional Manager / Deputy Manager (DS) / District Manager, who will be responsible for the co-ordination of all activities to complete the project.

The assignment of the Project Manager will be done in writing, with a copy to the Programme Management Sub-directorate, who will record the project and name of the Project Manager on WIMS.

Should the project be reassigned to someone else at a later stage, this will again be done in writing, with a copy to the Programme Management Sub-directorate for recording purposes on WIMS.

The Project Manager for a Project with a CIDB Grading Designation of 5 or less must be any person with sufficient knowledge and experience, but would generally be an Inspector of Works, Professional (Architect, Quantity Surveyor or Engineer) or Project Manager specifically appointed for the task.

In terms of the Project and Professional Construction Management Professions Act, 2000, (Act No. 48 of 2000) a Professional Construction Project Manager(PCPM)/Candidate Construction Project Manager (CCPM) is responsible for the management of projects within the built environment *from conception to completion, including management of related professional services.*

This Act requires a person to register as a Professional Construction Project Manager in terms of Section 18.(a) with the South African Council for the Project and Construction Management Professions (The Council).

A “professional” means a person who is registered in terms of Section 19(2) (a) with The Council. The Council may register a “professional” if it is satisfied that the applicant -

- (i) has demonstrated his or her competence as measured against standards determined by The Council for the relevant category of registration: and
- (ii) has passed any additional examinations that may be determined by The Council.

N.B. “Registered person” means a person registered in terms of any of the professions’ Acts, e.g. Architectural Profession Act, 2000, etc.

Alternatively the same Act makes provision to appoint a Candidate Construction Project Manager in terms of Section 18(b) with The Council.

A “candidate” means a person who is registered in terms of Section 19(2) (b) with The Council. The Council may register a “candidate” if it is satisfied that the applicant has the relevant educational outcomes by

- (i) having passed accredited or recognised examinations at any educational institution offering educational programmes in Project and Construction Management; and
- (ii) having passed any other examination that may be determined by The Council; or
- (iii) presenting evidence of prior learning in Project and Construction Management.

N.B. A person who is registered in the category of Candidate must perform work in the Project and Construction Management Professions ONLY under the supervision and control of a Professional of a category as prescribed.

In terms of the Council for the Built Environment Act, 2000 (Act No 43 of 2000), the Minister established a Council for the Built Environment (means the field within which registered persons practise while the Built Environment Professions is the Professions regulated by the Professions Acts) that briefly encompasses the following broad aspects :

- (i) promote the interests of the public;
- (ii) promote and maintain a sustainable built environment and natural environment;
- (iii) facilitate participation by the built environment professions in integrated development in the context of national goals;
- (iv) promote appropriate standards of health, safety and environmental protection within the built environment;
- (v) promote sound governance of the built environment professions.

During the Project Feasibility Study stage, an Environmental Impact Assessment (EIA) must be carried out and to ensure that this is undertaken, the roles and responsibilities of the various persons that would be involved in this task are defined below :

Client Department	=	Accountable
Project Manager	=	Responsible
Departmental Professionals	=	Informed

3.8.1 Duties Of The Appointed Project Manager or Professional/Candidate Construction Project Manager:

The Project Manager or Professional/Candidate Construction Project Manager shall be expected to perform the following *minimum* duties :

- (i) Ensure that the service is recorded on Works Information Management System (WIMS) and that the project progress detail is constantly updated.
- (ii) Decide whether a Principal Agent will be required and if so, arrange after authority to appoint such an individual, providing documentation describing his / her duties. The Project Manager may decide to act as Principle Agent himself / herself.
- (iii) Consult with the Client Departmental Physical Planner / Responsible Officer and others, where necessary, concerning greater planning detail, including possible additional land requirements.
- (iv) Determine the extent of in-house skills and capacity and, if necessary, arrange to appoint consultants for the various disciplines required.
- (v) Establish time frames and determine milestones to enable timeous completion of the project.
- (vi) Establish if building norms exist.
- (vii) Undertake site inspections.
- (viii) Prepare a preliminary estimate of cost with cash flows and report back to the client.
- (ix) Obtain required funding confirmation from Client as well as the allocation thereof through the different stages of the project.
- (x) Ensure that all actions are in accordance with the Financial and Procurement prescripts of the Department of Finance, Health and Safety Act, Departmental policies, Conditions of Contract, Standard Building Regulations, etc.

- (xi) Ensure that an Environmental Impact Assessment (EIA) is undertaken.
- (xii) Ensure that sketch drawings are submitted to the relevant Committee and that concerns raised by the Committee receive attention.
- (xiii) Co-ordinate and liaise throughout the planning and documentation processes with the consultants and the client department, involving
 - (a) meeting the requirements of the WIMS milestones dates;
 - (b) obtaining written approval from the client of brief sketch plans, permission to go to tender and to accept a tender, and thereafter supervise the completion of the working drawings and tender documentation;
 - (c) ensuring that the Tender Number and WIMS Number appears on the, Plans, Bill of Quantities, Specification and correspondence;
 - (d) ensuring, that soil tests are available and that a Site Clearance Certificate is issued, an example of which will be placed on the Internet in due course;
 - (e) ensuring that funds are available, for payment of Consultants, Contractors, etc;
 - (f) informing the Acquisition Management Sub-directorate to obtain approval to the Tender Document and initiate the advertisement;
 - (g) survey conditions;
 - (h) availability of services;
 - (i) geotechnical investigation;
 - (j) hydrological investigation.
- (xiv) Before tenders are invited for the Main Contract, the Project Manager/PCPM/CCPM is to get confirmation from the Consultants, that the documentation for all nominated sub-contracts (only when the inclusion of Provisional Sums have been specifically authorised by the appropriate Departmental Professional official) is well in hand, to ensure that the tenders for all the nominated sub-contracts will be timed to cause no delay to the Main Contract. This information should be checked against the captured WIMS information and amended, if necessary.
- (xv) Where necessary and funds are available from client Departments, arrange to appoint a Works Supervisor (generally **temporary** staff for reimbursement by the Principle Agent on site and responsible to the Principle Agent) whose main functions are:
 - (a) quality control;
 - (b) foundation re-measurement;
 - (c) monthly / weekly reports;
 - (d) compilation of daily diary;
 - (e) control of site instruction book;
 - (f) assist with the setting out of buildings, and in general to see that what is specified and on the drawings, is in fact built. Where possible, instructions to the Contractor should be issued through the Works Supervisor.
- (xvi) Assist in arranging to hand the site over to the successful main contractor as well as at later stages, the appointment by the main contractor of nominated sub-contractors.
- (xvii) Ascertain whether the necessary Performance Guarantee has been provided by the Contractor.

- (xviii) Attend site meetings, including the monthly recording of progress, quality and staffing as per Specimen 8, contained in under Letters and Forms of this document.
- (xix) Ensure that proper financial control is in place and arrange for regular Financial / Budget Reports to be submitted for monitoring and other purposes.
- (xx) Continuously monitor the progress of the contract, taking appropriate reactive action to avoid delays.
- (xxi) Arrange for the authorisation of variation orders, in collaboration with the Acquisition Management Sub-directorate and/or motivate for additional funding.
- (xxii) Play an active part through the Acquisition Management Sub-directorate, in obtaining additional funds, when necessary.
- (xxiii) Attend to requests received for extensions of Construction periods by providing a recommendation of support or not.
- (xxiv) Certify Payment Certificates.
- (xxv) Co-ordinate and liase with the consultants and the Client Department (where necessary) in regard to matters such as:
 - (a) inspections prior to the issue of the completion certificate (practical completion);
 - (b) the issue and distribution of the completion certificate;
 - (c) the receipt from the Main Contractor, and distribution of, maintenance manuals etc.;
 - (d) the receipt from consultants (architect and engineers) of as-built drawings;
 - (e) inspections prior to the issue of the certificate of final delivery;
 - (f) the issue and distribution of the certificate of final delivery.
- (xxvi) Ensure that defects which are detected during the maintenance period receive attention and are rectified.
- (xxvii) Monitor progress in regard to the timeous completion and settlement of the final account, and where nominated sub-contracts have been let, the final accounts of such nominated sub-contracts.
- (xxviii) Provide background information with respect to legal disputes of any kind, dealing with the Conditions of Contract for actioning by the designated Departmental official who attends to such matters.
- (xxix) Prepare Close-Out Report on Project
- (xxx) Submit basic sketch plans at that stage to the Local Authority and thereafter, 1:100 drawings at tender stage. (complimentary [courtesy] drawings).

3.9 ROLE OF A PRINCIPAL AGENT

The functions as outlined in foregoing, paragraph, hereof dealing with those as performed by a Project Manager, will apply.

- Note:**
1. The Principal Agent can either be an official or a consultancy firm appointed to act as the agent for a project.
 2. Both the Principal Agent and the Liaison Architect / Engineer / Quantity Surveyor / Departmental Project Manager (as the case may be) shall fulfil the function of a Project Manager.

3.10 DUTIES AND FUNCTIONS FOR MINOR NEW WORKS (UP TO R250 000, INCLUDING VAT) AND REPAIRS AND RENOVATIONS (UP TO R500 000 including VAT) (Above R30 000, the 80/20 Preference Points System applies)

NB: The limitation of the SCM Delegations of Authority must be observed.

NB: The Joint Building Contracts Committee (JBCC) Minor Works Agreement.

This document is the Contract Agreement to be used for Works estimated to cost LESS than R500 000.00 (VAT Included) and which are of an uncomplicated nature. A Joint Building Contracts Committee (JBCC) Principal Building Agreement or a General Conditions of Contract (GCC) 2004 Tender Document (Bills of Quantities) must be used for complex projects

3.10.1 Create service on the Works Information Management System (WIMS).

3.10.2 Ensure that funds are available.

3.10.3 Ensure that a Project Manager has been appointed.

3.10.4. Where necessary and after authorisation by the Appointment of Consultants Committee (AOCC) and in consultation with the Project Manager prepare letter(s) appointing consultants.

3.10.5 Obtain approval for the Procurement Strategy (DOW302) from the either the Regional Manager/manager/District Manager/Deputy Manager: District Services in terms of the SCM Delegations (under R500 000 VAT included) or the BSC and BAC (above R500 000 including VAT) for the Tender Document and advertisement of the project.

3.10.6 Invite quotations if value is between R10 000 (VAT included) and R200 000 (Vat included) and place the advertisement of the service on the appropriate Head, Regional or District notice board for a period of not less than 5 working days. In cases where the estimated value is between R200 000 (Vat included) and R500 000 (Vat included), invite quotations by way of advertisements in the local press and simultaneously on the appropriate Head, Regional or District notice board for a period of not less than 5 working days.

3.10.7 At close of quotations (under R500 000 including VAT), schedule results, arrange for adjudication by the Project Manager. Check the adjudication for correctness.

NB: Tenders (above R500 000) are invited by Regional Office and close at that venue.

3.10.8 Arrange for recommended quotation/tender to be authorised under delegation.

3.10.9 Maintain and keep a record of quotations/tenders awarded and report to the BAC on a monthly basis.

3.10.10 Arrange for the Form of Offer and Acceptance to be signed.

3.10.11 Prepare letter of Offer for a contract or order.

3.10.12 The Regional Office must advertise award in the Government Tender Bulletin and news media. (above R500 000 including VAT)

3.10.13 Deal with correspondence relating to appeals lodged against contract award.

3.10.14 Retain quotation documents and arrange to sign up the accepted contract.

NB: Arrange to sign up the accepted contract, if a tender and submit to the Contract Registry Regional Office for safekeeping.

3.10.15 Open Contract and Payment Files. The Contract File should contain copies of all activities for the project.

3.10.16 Capture and verify payments, using the Works Information Management System (WIMS).

3.10.17 Process variation orders.

3.10.18 With the support of the Project Manager, arrange for the authorisation to extend the construction period.

3.10.19 Arrange for authorisation of additional expenditure.

3.10.20 Arrange to capture on the WIMS, extensions to Construction periods and additional expenditure authorities.

3.10.21 Distribute Certificate of Completion (First Delivery) and arrange for invoice to be certified correct by the Project Manager, verified and captured on WIMS.

3.10.22 Arrange for the Contract Completion Report to be completed and captured/file such information for reference purposes.

3.11 MAJOR NEW WORKS AND REPAIRS AND RENOVATIONS – PLANNED PROJECTS ESTIMATED TO COST MORE THAN R500 000 (INCLUDING VAT) (Above R500 000, the 90/10 Preference Points System applies)

3.11.1 Ensure that project has been created on the Works Information Management System (WIMS) and a Project File exists.

3.11.2 Ensure that funds are available as per the latest estimate of costs.

3.11.3 Ensure that a Project Manager has been appointed.

3.11.4 After authorisation by the Appointment of Consultants Committee (AOCC) and in consultation with the Project Manager prepare letter(s) appointing consultants.

3.11.5 Obtain approval for Procurement Strategy (DOW301) from the BSC and BAC (above R500 000 including VAT) for the Tender Document and advertisement of the project.

3.11.6 Arrange to advertise the project in the Government Tender Bulletin and newspapers.

- 3.11.7 Close tenders, schedule results, arrange for adjudication by the Adjudication Team in conjunction with the Project Manager.
- 3.11.8 Check the adjudication of tenders.
- 3.11.9 Arrange for recommended Tenders to be authorised either by the Regional Manager or BAC.
- 3.11.10 Arrange for the Form of Offer and Acceptance to be signed.
- 3.11.11. Advertise award in the Government Tender Bulletin and news media.
- 3.11.12 Deal with correspondence relating to appeals lodged against contract award.
- 3.11.13 Prepare letter of intent for a contract award.
- 3.11.14 Arrange to sign up contract.
- 3.11.15 Open a Payment /Variation Order file
- 3.11.16 Maintain and keep a Guarantee Register.
- 3.11.17 Capture and verify payments, using WIMS.
- 3.11.18 Process variation orders
- 3.11.19 With the support of the Project Manager, arrange for the authorisation to extend the construction period.
- 3.11.20 Arrange for the authorisation of additional expenditure.
- 3.11.21 Capture and verify on WIMS all extensions to construction periods and additional expenditure approvals.
- 3.11.22 Capture on WIMS all Practical and Final Completion dates.
- 3.11.23 Arrange for Contract Completion (DOW046) and Contractor's Analysis Reports (DOW047) to be completed by the Project Manager and captured on WIMS.

3.12 DUTIES AND FUNCTIONS FOR MINOR NEW WORKS AND REPAIRS AND RENOVATIONS – PERIOD CONTRACT – ZNT 6666 W: ELECTRICAL AND ZNT 55 G: MECHANICAL (ANNUAL MAINTENANCE CONTRACTS) (UP TO R500,000 including VAT)

NB The BAC accepts a wide range of prices (rates) for different types of work from various contractors, based in different regions of the Province.

- 3.12.1 Create service on the Works Information Management System (WIMS).
- 3.12.2 Utilising one of the above contracts the responsible officer, e.g. inspector, prepares a submission recommending acceptance by a delegated official.
- 3.12.3 On receipt of the submission, from a Senior Official scrutinize and amend, if necessary, before forwarding to the delegated official for consideration of acceptance.

- 3.12.4 Maintain and keep a record of quotations accepted by the Department for noting by BAC and the Department of Finance.
- 3.12.5 Either issue an order or letter of acceptance to the contractor endorsing copies to those involved with the work.
- 3.12.6 Open Contract and Payment Files. The Contract File should contain copies of all activities for the project.
- 3.12.7 Arrange for receipt of guarantee, involving the approval of such and its eventual release.
- 3.12.8 Verify and capture payments, using the WIMS (Control Works Inspector/Project Manager to approve payments, Clerk to capture and the Chief Administration Clerk or Administration Officer to verify payment).
- 3.12.9 Process variation orders.
- 3.12.10 With the support of the Project Manager, arrange for the authorisation to extend the construction period.
- 3.12.11 Capture extension to the construction period on the WIMS.
- 3.12.12 Arrange for requests to authorise additional expenditure, under delegation, and capture on the WIMS.
- 3.12.13 Distribute Certificate of Practical Completion (First Delivery).(DOW043)
- 3.12.14 Distribute Certificates of Final Delivery. (DOW048 or DOW050 or DOW051)
- 3.12.15 Arrange for the Contract Completion (DOW046) and Contractor's Analysis' Reports (DOW047) to be completed and capture/file such information for reference purposes.

3.13 DUTIES AND FUNCTIONS FOR MINOR NEW WORKS AND REPAIRS AND RENOVATIONS – PERIOD CONTRACTS – ZNT55G, ZNT6666W AND 1209A (ANNUAL MAINTENANCE CONTRACTS) (UP TO R1M including VAT)

NB The BAC accepts a wide range of prices (rates) for different types of work from various contractors, based in different regions of the Province.

- 3.13.1 Create Service on Works Information Management System (WIMS).
- 3.13.2 Utilising one of the above contracts the responsible officer, e.g. inspector, prepares a submission recommending acceptance of a contract.
- 3.13.3 On receipt of the submission, from a Senior Official scrutinize and amend, if necessary, before arranging it to be forwarded to the delegated official for consideration of acceptance.
- 3.13.4 Maintain and keep a record of quotations accepted by the Department for noting by BAC and the Department of Finance.
- 3.13.5 Either issue an order or letter of acceptance to the contractor endorsing copies to those involved with the work.

- 3.13.6 Open Contract and Payment Files. The Contract File should contain copies of all activities for the project.
- 3.13.7 Arrange for receipt of guarantee, involving the approval of such and its eventual release.
- 3.13.8 Verify and capture payments, using the WIMS (Control Works Inspector/Project Manager to approve payments, Clerk to capture and the Chief Administration Clerk or Administration Officer to verify payment).
- 3.13.9 Process variation orders.
- 3.13.10 With the support of the Project Manager, arrange for the authorisation to extend the construction period.
- 3.13.11 Capture extension to the construction period on the WIMS.
- 3.13.12 Arrange for requests to authorise additional expenditure, under delegation, and capture on the WIMS.
- 3.13.13 . Distribute Certificate of Practical Completion (First Delivery).(DOW043)
- 3.13.14 Distribute Certificates of Final Delivery. (DOW048 *or* DOW050 *or* DOW051)
- 3.13.15 Arrange for the Contract Completion (DOW046) and Contractor's Analysis' Reports (DOW047) to be completed and capture/file such information for reference purposes.

3.14 ADMINISTRATIVE SUPPORT TO PROFESSIONAL SERVICES SUB-DIRECTORATE

3.14.1 Administrative Support Services Section

A Professional plays an important and responsible role in the execution of a contract, not only in a technical capacity but also in the administration of a project.

The preparation of tender documents and the associated clerical duties are indeed arduous requiring administrative assistance.

Clerical personnel are made available to these officials to enable them to function efficiently and effectively. These clerical functions must be regarded as separate from contract administration, although in smaller staffed offices, both duties may be performed by the same officials.

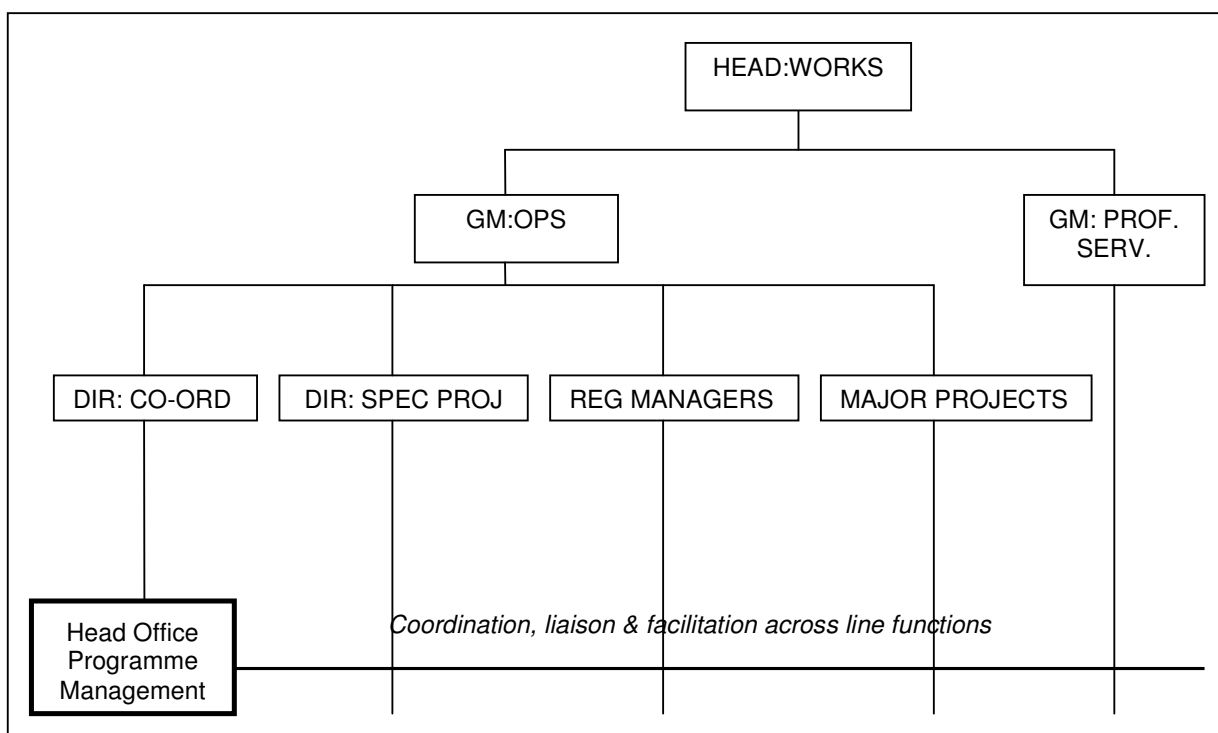
The main duties involved in this administrative function are:

- (i) Assisting with the copying and compilation of documents.
- (ii) Assisting with the checking of documents and addition/cross checking of figure work.
- (iii) Ensuring correspondence dealt with is correctly placed on files.
- (iv) Attending to clerical work as directed from time to time.

3.15 ADMINISTRATIVE DUTIES OF THE PROGRAMME MANAGEMENT SUB-DIRECTORATE

The roles and responsibilities of this Sub-directorate are contained in the Programme Management Standard Operating Procedures which is available on the Public Works Website.

The below Flow Chart illustrates the roles and functions of the Programme Management Directorate.



(Courtesy of the Programme Management SOPs)

3.16 HEAD OFFICE PLANS APPROVAL COMMITTEE (PAC) AND JOINT PLANS APPROVAL COMMITTEE (JOPAC) FOR HEALTH PROJECTS

3.16.1 Purpose

The purpose (roles and functions) of these Committees is to scrutinize all drawings of projects being planned to ensure that they are:

- (i) Designed according to the requirements of the client and the estimate of cost is reasonable/market related.
- (ii) Designed in line with NBR and Local Municipality By-Laws and within the laid

down norms, eg., SAH Norms, office norms, if applicable, etc.

- (iii) Workable and fully functional. A reflection of the intended Works to be carried out, showing site Works, infrastructure, finishes, design as well as site conditions, i.e., contours, orientation and other features.

3.16.2 Composition of Committees

The Committees comprise:

Professional Representatives from the Policy Development and Quality Control *and* Major Projects Management Directorates

- | | | |
|-------------|---|---|
| Chairperson | - | Member of the Policy Development and Quality Control Directorate |
| | - | Architectural |
| | - | Structural and Civil Engineering |
| | - | Electrical / Mechanical |
| | - | Quantity Surveyor |
| | - | Consultant - by invitation of the Chairperson |
| | - | Project Manager / Liaison Architect |
| | - | Client Department Physical Planner or Senior Responsible Official – by invitation |
| Secretariat | - | Administrative member of Major Projects Management Directorate |

Each of the Professional disciplines is entitled to nominate one additional representative to serve on the Committee, should it be found necessary. Consultants will only attend by invitation and for the period during which the project is being presented.

A “Quorum” at a meeting will be based on attendance by 50% of the members, plus (1) one.

The Professional Departmental Officials are appointed to serve on the Committee. The terms of reference for each appointee are covered in the letter of appointment as designed by the Major Projects Management Directorate to suit the different Professional disciplines.

3.16.3 Type Of Projects To Be Approved

Sketch designs for the following are to be considered by the Committee:

- (i) Master plans for institutions (Multi year Plans)
- (ii) All Minor New Works projects not submitted to a Regional Plans Approval Committee.
- (iii) All Major New Works projects
- (iv) Repair and Renovations projects which:
 - (a) are estimated to cost more than R500 000, irrespective of the scope of contract with a specification and / or drawing.
 - (b) irrespective of cost where the service contains work in substituting materials.
- (v) Structural changes, eg. room spaces, planned for existing buildings.

3.16.4 Documents To Be Presented

The following are the minimum plans to be submitted to the Committee:

- (i) Site / locality plan including proposed site of contractor's office, yard access and extent/type of hoardings.
- (ii) Dimensioned floor plans.
- (iii) Sufficient elevations and sections to clearly illustrate the extent of the work.
- (iv) Specification, (general specification) of finishes shown either on plan or in schedule form.
- (vi) List of special requirements and site constraints.
- (vii) Project programme indicating anticipated:
 - (a) tender date;
 - (b) site handover date;
 - (c) practical completion date; and
 - (c) final completion date.
- (viii) Estimate of cost broken down as set out in form DOW017, titled, "Preliminary / Revised Estimate".
- (ix) Certificate confirming that the scheme is cost effective and complies with any applicable Norms and Standards.
- (x) GPS coordinates of site.
- (xi) Ensure that an Environmental Impact Assessment(EIA) has been carried out.

Full sketch plans, sections and elevations are generally to be prepared to a scale of 1:100, on an A1 format (1:50 is not acceptable) and, in the case of large projects, a scale of 1:200 is permitted and a site plan to a scale of a minimum of 1:500 is to be provided.

3.16.5 Frequency Of Meetings

Frequency	:	Meetings will normally be held bi-weekly on Mondays.
Venue	:	As directed
Secretariat	:	Major Projects Management Directorate to arrange .
Arrangement	:	Members and Project Managers will be advised of the date and time of the next meeting.
Late Items	:	Late items will be accepted at the discretion of the Chairperson.
Ad Hoc Meetings	:	May be held with sufficient motivation and at the discretion of the Chairperson.

3.16.6 Procedure For The Approval Of Plans

- (i) Copies to be circulated to members prior to meeting.
- (ii) Four (4) copies of the sketch plans and an estimate of cost are to be given to the Professional Services Sub-directorate, using Form DOW002, titled, "Submission To Plans Approval Committee".
- (iii) To assist in preparing information for the Plans Approval Committee, consultants / officials are asked to use the checklist, Form DOW003, to ensure

that submitted sketch plans are not rejected for lack of detail. On receipt of the 4 sets of sketch plans, the Professional Services Sub-directorate will check them to ensure that no drawings have been omitted.

- (iv) Using form DOW004, the Professional Services Sub-directorate will request the Client Department to provide, in writing, the following information, prior to the submission of the sketch plans to the Plans Approval Committee.
 - (a) its financial approval for the revised estimate of cost and,
 - (b) the name and contact number of its official who will attend the Plans Approval Committee and sign the sketch plans should they be approved.
- (v) On receipt of the financial approval to the revised estimate of cost, the information must be captured on WIMS, using screen WD01PU and the authority must be placed on the Project File by the Professional Services Sub-directorate, after making a copy of it as well as of form DOW002, received from the Project Manager.
- (vi) The Professional Services Sub-directorate will forward the following to the Secretariat of the Plans Approval Committee, using form DOW015:
 - (a) One (1) set of the sketch plans, and,
 - (b) One (1) copy of each of form DOW002, and the financial approval granted by the client department which should also reflect the name of the representative who will need to be forwarded an agenda to attend the meeting.
- (vii) Using form DOW009, the Secretariat of the Plans Approval Committee will arrange for its members to urgently inspect one set of the sketch plans and, on receipt, place the item on the agenda and issue it to all role players.
- (viii) When approved by the Plans Approval Committee, the Secretariat will return to the Regional Contracts Section, the four (4) sets of the sketch plans for distribution as follows:
 - one (1) signed set - for client department
 - one (1) signed set - for Project Architect
 - one (1) signed set - for Project File
 - one (1) unsigned set - for Local Authority

Form DOW016 is used for this purpose.
- (ix) On receipt of the approved sketch plans, the Professional Services Sub-directorate must request the Project Manager to attend to the following:
 - (a) Record the sketch plans' approval date on WIMS, using screen PBS4AU and on screen WE01PU accept the new estimate.
 - (b) Arrange for one (1) set of the sketch plans to be distributed as indicated below:

Local Authority, using form DOW006, dealing with the National Building Regulations and Building Standards (Act 103 of 1977) - One unsigned set.

Project Architect, using form DOW005 - One signed set.

Client Department - an endorsement of the form DOW005 is addressed to the client department, to which one signed copy of the sketch plans is attached. The client department is asked also to confirm, in writing, that it is in order to proceed to working drawing stage.

Project File - one signed set for the file.

(x) All of the forms mentioned under this section are contained under Letters and Forms of this document.

3.17 REGIONAL PLANS APPROVAL COMMITTEE

3.17.1 Purpose

The purpose (roles and responsibilities) of this Committee (one established per Region) is to scrutinise all Minor New Works drawings, estimated to cost less than R250 000 as well as specifications and drawings of Repair and Renovation services costing less than R500 000, irrespective of the scope of contract with a specification and / or drawing and where the service contains work in substituting materials.

Beyond those estimated values, the drawings are to be submitted to Plans Approval Committee of the Head Office for consideration of approval.

In principle, unless the Region has a suitably qualified Engineer on its Post Establishment to evaluate schemes within the above value limitations, drawings prepared by Engineers are to be submitted to the Plans Approval Committee of the Head Office and will not be scrutinised by the Regional Plans Approval Committee. Similarly, should a Region not have suitably qualified Architects, drawings are to be submitted to the Plans Approval Committee of the Head Office for consideration of approval. Where a Region does not have suitable professional personnel on its Post Establishment, Consultants are to be appointed to undertake all design work.

3.17.2 Composition Of Committee

Chairman	-	Regional Architect Regional Quantity Surveyor Regional Engineer/s Project Manager
Secretariat	-	Administrative member of Professional Services Sub-directorate

3.17.3 Documents To Be Presented

As per paragraph 3.16.4 dealing with those documents to be presented to the Plans Approval Committee of the Head Office for approval.

3.17.4 Procedure For Approval Of Drawings

As per paragraph 3.16.6 dealing with those drawings to be presented to the Plans Approval Committee of the Head Office for approval. The Project Manager is to submit the sketch drawings to the Regional Plans Approval Committee using Form DOW015A

3.18 PROJECT FILE

3.18.1 Opening A Project File

- (i) With each project, a file must be opened to record all correspondence received and generated by the KwaZulu-Natal Department of Public Works. The file is known as the "PROJECT FILE".
- (ii) Once a project has been requested by a client department, the Programme Management Sub-directorate must, on instruction from the Project Manager, arrange to open a Project File (reference number comprises 10 digits), in the following manner.
- (iii) Open Project File (File Number is 10 digits)

First digit - Denotes main series "Project Administration".

Second digit - Denotes "Type of Project" eg. Capital.

Third digit - Denotes "Department".

Fourth to Tenth digit- Denotes the reference number generated by the WIMS for the specific project.

3.18.2 Client Department Authority

- (i) Ensure that the request contains proper authority to plan before filing.
- (ii) If no proper authority exists, request Client to obtain and provide such.
- (iii) Client Department must furnish the following other information to be placed on file:-
 - (a) Planning priority order given to project.
 - (b) Availability of funds from commencement to completion year and year in which maintenance period ends.
 - (c) Appropriate budget approval.

3.18.3 Content Of Project File

The Project File must be eventually kept by the Acquisition Management Sub-directorate and contain the following, in addition to the above:

- (i) Hard copy of WIMS screen WA01PS, ensuring that the project has been properly created.
- (ii) Copy of consultant's request to AOCC and approval together with motivation by AOCC.
- (iii) Copy of each consultant's appointment.
- (iv) Copies of minutes and submissions with approvals from the delegated official/ Bid Evaluation Committee/ Bid Adjudication Committee appointing contractors.
- (v) Copy of letter of acceptance to contractor.

- (vi) Copy of guarantee.
- (vii) Copy of site handover letter.
- (viii) Site meeting minutes.
- (ix) Site instructions.
- (x) Copies of payments (Contractors and Consultants).
- (xi) Consultants Financial / Budget Reports.
- (xii) Copies of variation orders.
- (xiii) Copies of approval for additional funds.
- (xiv) Copies of requests and copies of approval of extensions to construction period.
- (xv) Correspondence relating to termination of the contract, where this may occur.
- (xvi) Copy of Completion Certificate (Practical completion).
- (xvii) Copy of Final Delivery Certificate.
- (xviii) Copy of signed Final Account.

3.19 CONTRACT FILE

The Contract File must be kept by the Acquisition Management Sub-directorate and contain the following records:

- (i) Copy of consultants "appointment letters."
- (ii) Original submissions and approvals from the delegated official/ Bid Adjudication Committee appointing contractors
- (iii) Original letter of acceptance to the Contractor.
- (iv) Copy of guarantee.
- (v) Copy of site handover letter.
- (vi) Original payments.
- (vii) Original variation orders.
- (viii) Original approval for additional funds.
- (ix) Original requests and authority for extensions to construction periods.
- (x) Original correspondence relating to termination of the contract, where this may occur.
- (xi) Copy of Completion Certificate (Practical completion).
- (xii) Copy of Final Delivery Certificate.
- (xiii) Original signed Final Account.
- (xiv) Contract Files may not be removed from the Acquisition Management Sub-directorate. Should information from a Contract File be required, the Acquisition Management Sub-directorate must make the required copies and place such on the Project File for scrutiny / actioning.

3.20 RECEIPT OF CORRESPONDENCE

All correspondence whether it be a letter, recommendation for payment, etc., must be stamped and dated by the Registry and forwarded to the Acquisition Management Sub-directorate who must place it on the appropriate file and forward a copy (if necessary) to the Project Manager for actioning.