

CESA QUALITY MANAGEMENT SYSTEM CONFORMANCE CHECKLIST

The minimum aspects that are required by CESA are highlighted in **yellow**. These aspects should be checked at the relevant level to indicate conformance or not and objective evidence should be available on request.

Name of Firm: _____

Size of Firm: _____

Item	Aspect	Conformance Status		
		Yes	No	Comment

Organisational Management

1	Are there statements of the firm's vision, mission and values?			
2	Do these address quality?			
3	Are these regularly reviewed and updated?			
4	Does the firm have a policy for demonstrating its commitment to meeting requirements and to establish an overall sense of direction and principles of action? (aka Quality Policy)			
5	Are all employees aware of this policy?			
6	Does the firm have a Manual that defines the scope of the quality management system, including a description of the interaction of processes?			
7	Are business objectives established (and cascaded to the relevant levels and functions where required)?			

Risk Management

8	Does a risk management system exist for the firm?			
9	Are significant risks identified and addressed at system, process and product levels?			
10	Are potential risks described in the <i>Risk Management Implementation Guideline for Consulting Engineers</i> (CESA) taken into account?			
11	Are the standards and procedures given in CESA Advisory Notes observed by the firm?			

Responsibility and Authority

12	Is the responsibility for the management of risks placed with a specific principal?			
13	Are the responsibilities, authority and interrelationships of all who manage, perform and verify work clearly defined?			
14	Is there a responsible person to take action on problems?			
15	Do personnel have adequate training and resources to perform verification activities?			

16	Do verification activities include:			
	a. Involvement at the planning stage?			
	b. Review at designated hold-points?			
	c. Checking of the output?			
	d. Review of the adequacy of the constructed product?			
17	Has a senior person been appointed to be responsible for the Quality Management System?			
Documentation				
18	Is there a formal procedure for the control of official documents in the firm?			
19	Are official documents reviewed and approved by authorized personnel prior to issue?			
20	Are current copies of appropriate documents available at all locations where operations require their use?			
21	Is there a master control list that identifies the current version of documents?			
Records				
22	Is there a formal procedure for the identification, storage, filing, protection, retention, and disposition of records?			
23	Do these records objectively demonstrate achievement of requirements?			
24	Are records readily accessible and retrievable?			
Management System Review				
25	Is the management system periodically reviewed/considered to ensure its continuing suitability, adequacy and effectiveness?			
26	Do these reviews include analysis of:			
	a. Results of internal audits?			
	b. Client feedback?			
	c. Status of problems?			
	d. Performance of processes?			
	e. Opportunities for improvement?			
27	Are records of reviews maintained?			
Resource Management				
28	Are the competency requirements for each task (position) defined in terms of appropriate education, training, skills and experience?			
29	Are all employees competent to perform assigned tasks?			
30	Are continuing education, conferences, workshops, seminars, professional societies, on-the-job training and self-study encouraged?			

31	Are appropriate records of appropriate education, training, skills and experience maintained?			
32	Does each employee know and understand what is expected in his/her job?			
33	Are computers and software compatible and standardized?			
34	Is it assured that computer files are protected against unauthorized access?			
35	Is it assured that computer files are regularly backed-up?			
Financial Management				
36	Does the firm manage its finances properly and assure adequate cash flow?			
37	Does the firm have project specific accounting information available?			
38	Is there a formal budgeting mechanism?			
39	Does the budget allow for maintenance of infrastructure?			
40	Does the firm submit its annual tax return timeously to the appropriate authorities?			
41	Is there a mechanism to record production efficiency?			
Processes and Procedures				
42	Are all the processes within the firm identified?			
43	Are these processes modeled into a cohesive management system?			
44	Are there formal checklists for the following project phases to ensure compliance with risk remedies?			
	a. Feasibility phase			
	b. Appointment phase			
	c. Conceptual design phase			
	d. Design phase			
	e. Contract award phase			
	f. Implementation phase			
	g. Commissioning and post contract phase			
Proposals/Contracts				
45	Are proposals/tenders reviewed both technically and legally prior to submission?			
46	Are differences between the initial proposal/tender and the proposed contract resolved prior to acceptance?			
47	Are proposed contracts reviewed to ensure that the capability to meet contractual requirements exists?			
48	Does the firm utilize the standard forms of contracts as published by CESA?			

49	Does the firm qualify its PI requirements prior to the acceptance of work?			
50	Are records of such contract reviews maintained?			
Design (Planning and Performance)				
51	Is there a project plan for contract/work execution?			
52	Are the requisite design quality control, quality assurance and related activities in place prior to initiation of work?			
53	Are organizational and technical interfaces between different groups identified and coordinated?			
54	Is the necessary project information documented and regularly reviewed?			
55	Are effective lines of communication established between internal and external parties?			
56	Are there regular, formal project meetings?			
57	Are input requirements identified and documented?			
58	Are these input requirements reviewed for adequacy?			
59	Are unclear and/or conflicting requirements resolved?			
60	Is the design output documented in terms of requirements, calculations, and analyses (Auditable trail)?			
61	Does verification include formal reviews, checking, qualification tests or demonstrations, alternative calculations or comparisons of the new design with a similar proven design already available?			
62	Are controls in place to ensure applicable drawings, change notices, and specifications are used during production and construction review?			
63	Does the design output contain or reference the acceptance criteria?			
64	Are all changes or modifications to the design formally reviewed and approved prior to implementation?			
65	Are there records of changes or modifications that are made known to all parties affected?			
Purchasing				
66	Are suppliers of essential goods and services to the firm, evaluated and selected on the basis of their ability to meet contractual requirements?			
67	Are records of these evaluations maintained?			
68	Is the risk assessment and availability of suitable professional liability insurance			

	part of the selection criteria for purchasing of essential services?			
Client Satisfaction				
69	Is there an effective and ongoing system of measurement of client satisfaction?			
70	Are adequate client satisfaction records maintained?			
71	Does the firm participate in the independent client satisfaction survey conducted by CESA?			
Internal Assessments				
72	Is there a formal procedure for ongoing self-assessments?			
73	Is the self-assessment process capable of verifying the efficiency and the effectiveness of the management system?			
74	Are self-assessments scheduled on the basis of importance and status of the activity to be assessed?			
75	Are self-assessment results brought to the attention of the responsible personnel in the area assessed?			
76	Are the results of self-assessments documented?			
77	Is corrective action taken on the deficiencies identified during self-assessments?			
Corrective Action				
78	Are there formal procedures for corrective and preventive action?			
79	Are problems/deviations investigated to determine trends as to their common or root causes?			
80	Are action items implemented beneficially?			
Continuous Improvement				
81	Are improvements continually identified and addressed?			
82	Are these evaluated?			