

**Table 1: FIDIC Quality Management COMPLIANCE Checklist**

- Aspects related to Risk Management have been inserted and highlighted in light blue
- The aspects that are required by CESA to be complied with by Single Practitioners are highlighted in yellow
- The aspects that are required by CESA to be complied with additionally by all other non-ISO certified members are highlighted in pink
- The aspects should be checked at the relevant level to indicate compliance or not
- Documented evidence should be presented on request to confirm compliance indicated

Item	Aspect	Compliance	
		Yes	No
<b>Quality Management System</b>			
1	Do the organisation's vision, mission and policies address quality?		
2	Are these values and principles regularly reinforced and updated?		
3	Does a Quality Manual exist which specifies who does what, when and where?		
4	Does the Quality Manual include standard operating procedures for controlling and assuring quality in:		
	• Customer relationships?		
	• Staff relationships?		
	• Assessments and studies?		
	• Design?		
	• Procurement?		
	• Shop drawing review?		
	• Construction observation and review?		
	• Internal quality audits?		
	• Customer satisfaction?		
5	Does a quality plan exist for each area of organisational activity or for each assignment?		
6	Have the requisite quality control, quality assurance and continuous process improvement and training programmes been identified and are they in place?		
7	Is there a method to identify needed improvements?		
<b>Risk Management System</b>			
1	Are risk and quality management guidelines included in the Organisational Plan?		
2	Are significant risks at system, process and product levels identified and addressed?		
3	Are the house rules in the FIDIC Risk Management Manual 1997 implemented and maintained in the organisation?		
4	Are the standards and procedures given in the CESA Advisory Notes observed?		
<b>Strategic &amp; Business Planning</b>			
1	Are the internal and external organisational critical success factors including legal requirements identified and prioritised?		
2	Are the management processes to be controlled and/or improved to satisfy the relevant interested parties, identified?		
3	Are the processes modeled into a cohesive management system?		
4	Are arrangements to ensure legal compliance in place?		

Item	Aspect	Compliance	
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<b>Management Responsibility</b>			
	<b>Leadership</b>		
1	Have the leaders developed and documented the organisation's vision and mission?		
2	Do the leaders facilitate achievement of the vision and mission?		
3	Have the leaders developed and documented the organisation's values for long term success?		
4	Have the leaders implemented these values by appropriate action and behaviour?		
5	Are the leaders involved in the implementation of the business management system?		
	<b>Commitment</b>		
6	Is the CEO committed to ensuring that quality standards are identified?		
7	Do senior executives provide effective leadership and direction in implementing and maintaining quality standards?		
8	Is the responsibility for risk management in the organisation placed with a specific principal?		
	<b>Quality Policy</b>		
9	Is a Policy Manual established to serve as gateway into the management system?		
10	Is the quality policy clearly defined, implemented and maintained?		
11	Does the organisation have a policy or policies demonstrating its commitment to meeting requirements and to establish an overall sense of direction and principles of action?		
12	Do the policies provide a framework for setting the organisation's various objectives and targets?		
13	Are all employees aware of the quality policy?		
14	Are quality objectives established for each employee assignment?		
	<b>Organisational Planning and Structure</b>		
15	Are business performance measurement systems included in the Organisational Plan?		
16	Are change management guidelines included in the Organisational Plan?		
17	Are planned organisational changes conducted in a controlled manner?		
18	Are resource management systems included in the Organisational Plan?		
19	Are adequate human, infrastructural and financial resources in place?		
	<b>Operational Planning</b>		
20	Do the planning arrangements for the operational processes include actions for achieving operational objectives and targets?		
21	Are the arrangements for communication within the organisation and to/from external sources in place?		
22	Is an Operational Procedures Manual for implementation by Functional Managers developed and documented?		
23	Are control measures needed to implement and maintain control of revenue generating processes, operational processes and product risk assessment included in the Operational Procedures Manual?		

24	Is management of employees, contractors and temporary staff including personnel development re awareness & training and performance management/appraisal included in the Operational Procedures Manual?		
25	Are operational management and maintenance of infrastructure, plant, facilities, work environment, finance, etc, included in the Operational Procedures Manual?		
26	Are the arrangements for those who supply and contract their services to the organisation formalised?		
27	Are arrangements to manage Joint Ventures with other consultants and to manage Construction Contract processes and procedures (including tendering, evaluation and supervision controls, quality systems, health and safety, environmental controls, commissioning, documentation, etc) included in the Operational Procedures Manual?		
28	Is the management of documents that are essential to the successful implementation and operation of the management system (including authority, issue, review, backup, record keeping, etc) included in the Operational Procedures Manual?		
	<b><i>Organisational Responsibility and Authority</i></b>		
29	Are the responsibility, authority and interrelationships of all who manage, perform and verify work, clearly defined?		
30	Is a responsible person(s) to identify and take action on quality problems appointed?		
31	Is an authorised person(s) to develop improvement systems appointed?		
32	Is a clearly defined way to verify the implementation and results of the proposed systems for improvement available?		
33	Is an authorised person(s) to standardise successful improvement systems appointed?		
	<b><i>Verification Resources and Personnel</i></b>		
34	Are verification requirements identified?		
35	Do personnel have adequate training and resources to verify activities?		
36	Do verification activities include:		
	• Review at designated benchmarks?		
	• Checking of the output?		
	• Review of the adequacy of the constructed product?		
	• Audits of the quality system processes & products?		
	<b><i>Quality Management Staff</i></b>		
37	Has a quality leader been appointed to be responsible for the quality management system?		
38	Does the quality leader report directly to senior management or serve as part of the senior management team?		
	<b><i>Control of Documents</i></b>		
39	Are documented procedures for controlling all documents and data required for the quality management system, including output documents available?		
40	Are all documents required for the quality management system reviewed and approved by authorised personnel prior to issue?		
41	Are current copies of appropriate documents available at all locations where operations require their use?		

42	Have personnel who review and approve document changes access to pertinent data upon which to base their decisions?		
43	Where sets of preliminary or status documents are submitted do these documents have a unique identification?		
44	Is there a master control list that identifies the current version of documents?		
	<b>Quality Records</b>		
45	Are documented procedures for the identification, collection, indexing, filing, storage, maintenance, and disposition of quality records available?		
46	Are quality records being generated and maintained?		
47	Do these records demonstrate achievement of the required quality and the effective operation of the quality system?		
48	Are quality records easily accessible?		
49	Have retention times of quality records been defined and recorded and agreed to by client?		
50	Where necessary are quality records available for evaluation by customers?		
	<b>Management Review</b>		
51	Is the quality management system periodically reviewed to ensure its suitability, adequacy and effectiveness?		
52	Do these reviews include analysis of results of internal quality audits?		
53	Does management act on these reviews?		
54	Are records of these reviews kept and maintained?		
55	Are the organisation's requirements to monitor and measure customer perception and critical processes and procedures included in the review process?		
<b>Resource Management</b>			
	<b>Employees</b>		
1	Is information on an individual's skills and experience recorded, maintained and updated?		
2	Is this information communicated?		
3	Do employees, whose activities affect quality, have appropriate education, training and experience for the assigned tasks?		
4	Are continuing education, conferences, workshops, seminars, professional societies, on-the-job training and self-study encouraged to develop the employees' skills and knowledge in needed areas?		
5	Are appropriate training records kept & maintained?		
6	Does compensation and recognition for groups and individuals reinforce work effectiveness and quality assurance?		
7	Does each employee know and understand what is expected in his/her job?		
	<b>IT Equipment</b>		
8	Is purchased computer software verified prior to use?		
9	Are computers and software compatible and standardised?		
10	Is it assured that computer files are regularly updated and backed-up?		
11	Are bugs in software and "workarounds" properly handled?		

Item	Aspect	Compliance	
		Yes	No
<b>Financial Management</b>			
1	Does the firm manage its finances properly and assure adequate cash flow?		
2	Does the firm have project specific accounting information?		
3	Does the firm share accounting information with its department and project managers?		
4	Is accurate accounting information in the form of profit and loss statements made available within days of closing regular accounting cycles?		
5	Does the firm submit its accounts and operations to an independent outside financial audit once a year?		
<b>Product/Service Realisation</b>			
<i>Processes and Procedures</i>			
1	Have the service providing processes, which directly affect quality, been identified?		
2	Have the primary process characteristics, which affect quality, been identified?		
3	Are documented procedures for each of these processes available and do they address these primary process characteristics?		
4	Are the procedures up to date and in use?		
5	Do procedures ensure qualified personnel to perform the activities constituting a process?		
6	Do the procedures ensure that personnel have adequate resources and equipment to adequately perform their jobs?		
7	Are formal documented criteria for output requirements and processes available?		
8	Are standard check sheets or checklists used to ensure conformance to requirements?		
9	Are documented checklists for the following project phases ensuring completeness and compliance with all risk remedies available?		
	• Feasibility phase		
	• Appointment phase		
	• Conceptual design phase		
	• Design phase		
	• Contract award phase		
	• Implementation phase		
	• Commissioning and post contract phase		
<i>Proposals/Contract Review</i>			
10	Are criteria for determining what constitutes a contract available?		
11	Is a proposal/contract reviewed both technically and legally?		
12	Is proposal/contract review a coordinated activity?		
13	Are proposal/contracts reviewed for adequately defined and documented requirements?		
14	Are differences between the initial proposal and the proposed contract resolved?		
15	Are proposals/contracts reviewed to ensure that the capability to meet contractual requirements exists?		
16	Are records of such contract reviews maintained?		

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	<b>Planning</b>		
17	Are the necessary activities for performing the services identified?		
18	Is responsibility for each activity identified?		
19	Is this responsibility updated as the work evolves?		
20	Are verification activities integrated into the planning?		
	<b>Organisational and Technical Interfaces</b>		
21	Are organisational and technical interfaces between different groups identified and coordinated?		
22	Is the necessary project update information documented, transmitted and regularly reviewed?		
23	Are effective lines of communication established between different internal groups and with external parties?		
24	Are regular, documented project meetings held?		
	<b>Input</b>		
25	Are input requirements identified and documented?		
26	Are these input requirements reviewed for adequacy?		
27	Are unclear or conflicting requirements resolved?		
28	Are the conflict resolutions coordinated with those responsible for establishing the requirements?		
	<b>Output</b>		
29	Is output documented in terms of requirements, calculations, and analyses?		
30	Is output reviewed for conformance with input requirements?		
31	Does the output contain or reference acceptance criteria?		
32	Is the output reviewed for conformance to regulatory requirements regardless of whether these are specified in the input information?		
33	Are characteristics crucial to the safe and proper functioning of the final product identified?		
	<b>Verification</b>		
34	Is it verified that the output conforms to input requirements?		
35	Does verification include documented reviews, checking, qualification tests or demonstrations, alternative calculations, or comparisons of the new design with a similar proven design already available?		
36	Are controls in effect assuring applicable drawings, change notices, and specifications in use during production and construction review?		
37	Are the checklists for potential risks in the following project phases duly completed and action taken where necessary?		
	• Feasibility phase		
	• Appointment phase		
	• Conceptual design phase		

	• Design phase		
	• Contract award phase		
	• Implementation phase		
	• Commissioning and post contract phase		
	<b>Changes</b>		
38	Are all changes or modifications of the services provided reviewed and approved?		
39	Is documentation that changes, or modifications that are made known to all parties affected available?		
	<b>Purchasing</b>		
40	Are subcontractors and suppliers evaluated and selected on the basis of their ability to meet contract requirements, including quality?		
41	Is the result of this evaluation of subcontractors and suppliers documented?		
42	Is the risk assessment and availability of professional liability insurance part of the selection criteria for purchasing?		
<b>Measurement, Analysis and Continuous Improvement</b>			
	<b>Client Satisfaction</b>		
1	Is there an effective an ongoing system of measurement of client satisfaction?		
2	Are adequate client satisfaction records maintained by the firm?		
3	Have follow-up procedures been developed and effectively implemented?		
	<b>Internal Quality Audits</b>		
4	Has a documented, comprehensive system been developed for conducting internal quality audits?		
5	Is the internal quality audit system capable of verifying the efficiency and the effectiveness of the quality management system?		
6	Are audits scheduled on the basis of importance and tests of the activity?		
7	Are audit procedures and follow-up actions defined and documented?		
8	Are audit results brought to the attention of the responsible personnel in the area audited?		
9	Are audit results documented?		
10	Are audit result brought to the attention of the appropriate management so that corrective action may be taken?		
11	Is corrective action taken on the deficiencies found in the audits?		
	<b>Corrective Action/Control of Non-Conformances</b>		
12	Are documented procedures for corrective and preventive action available?		
13	Are non-conformances investigated to search for trends, as to their common or root cause?		
14	Are action items implemented and evaluated?		
	<b>Continuous Improvement/Kaizen</b>		
15	Are employees empowered to seek improvement?		

