

PROCEDURE: CESA MANAGEMENT SYSTEM DECLARATIONS (MSDs)

(13 November 2020)

1 INTRODUCTION

- 1.1 Purpose:
To provide guidance to member firms when completing the CESA Management System Declarations.
- 1.2 Key Words & Acronyms:
Consulting Engineers of South Africa (CESA)
International Federation of Consulting Engineers (FIDIC)
Quality Management System (QMS)
FIDIC Integrity Management System (FIMS)
Project Sustainability Management System (PSM)
Management System Declaration (MSD)
School of Consulting Engineers (SCE)
Notice of Assessment
Confirmation of Assessment
- 1.3 Disclaimer:
The contents hereof are published for general information only and are not intended as specific professional advice, legal or otherwise.

2 OVERVIEW OF MSDs

- 2.1 It is a condition of CESA membership, that all member firms implement the following, three mandatory management systems:
- 2.1.1 Quality Management System
2.1.2 FIDIC Integrity Management System
2.1.3 Project Sustainability Management System
- 2.2 The requirements of these three management systems are based on the following FIDIC Management System guidelines. These guidelines are available to member firms and can be purchased through CESA.
- 2.2.1 FIDIC Guide to Quality Management in the Consulting Engineering Industry (copyright 2001)
2.2.2 FIDIC Guide to the interpretation and application of the ISO9001:2015 standard for the Consulting Engineering Industry (copyright 2017)
2.2.3 FIDIC Guidelines for Integrity Management in the Consulting Industry Part I – Policies and Principles 1st Edition 2011
2.2.4 FIDIC Guidelines for Integrity Management in the Consulting Industry Part II – FIMS Procedures 1st Edition 2015
2.2.5 FIDIC Project Sustainability Management Applications Manual Second Edition 2013
- 2.3 In order to assess the level of development of the management systems, CESA has developed a Management System Declaration (MSD) for each mandatory management system.
- 2.4 Member firms are required to complete these MSDs on an annual basis and submit the completed MSDs to CESA. CESA will be able to evaluate the level of development of each management system for the relevant member firm based on the completed MSD.
- 2.5 CESA will conduct verification reviews on randomly, selected member firms in order to confirm the contents of the completed MSDs.

3 **AIM OF MSDs**

There are three primary aims for the implementation of the CESA Management System Declarations:

- 3.1 To provide CESA and the industry in general with the confidence that member firms are implementing effective management systems in line with the FIDIC Management System guidelines.
- 3.2 To allow CESA to assist member firms in reaching desired levels of development of the CESA Management Systems and in so doing reduce risk, increase quality, maintain integrity, and promote sustainability within the CESA member firms.
- 3.3 To allow CESA to verify results of the completed MSDs and if required, take necessary action against the member firm.

4 **SUBMISSION & EVALUATION OF MSDs**

- 4.1 CESA will notify members firms on an annual basis regarding the requirements of completing and submitting the three MSDs.
- 4.2 Firms will be required to complete and submit the MSDs within the required timeframe as stipulated in the CESA notification. Failure to submit within the prescribed period may be regarded as a breach of the conditions of membership / CESA Code of Conduct and the member firm will be sanctioned accordingly.
- 4.3 Member firms should ensure that the MSDs are completed by the relevant functional heads / managers for quality, integrity and sustainability or similar competent persons. Misrepresentation in the completion of the MSDs, will be regarded as a breach of the conditions of membership / CESA Code of Conduct and the member firm will be sanctioned accordingly.
- 4.4 Should the member firm require assistance in completing the MSD, the member firm may contact CESA directly and CESA will provide a resource to assist the member firm in completing the MSD. Such firms will be required to bear the cost of the additional resource.
- 4.5 In cases where a member firm has a valid ISO9001:2015 certificate, issued by a recognized, independent external certification body, the member firm may submit the certificate in lieu of the completed QMS MSD.
- 4.6 Once the completed MSDs have been submitted to CESA, CESA will assess the level of development of each management system based on a predetermined scoring system. CESA will then issue a Notice of Assessment indicating this level of development.
- 4.7 Based on the level of development as indicated on the Notice of Assessment, CESA will be able to make recommendations to the member firm on how to improve the level of development of the relevant system with associated milestones. Failure to meet these milestones in follow up submissions may be regarded as a breach of the conditions of membership / CESA Code of Conduct and the member firm will be sanctioned accordingly.
- 4.8 Member awareness of management systems and the status of levels of development as indicated in the Notice of Assessments, will be communicated through the CESA electronic newsletter, CE-news, and on the CESA website.

5 **VERIFICATION OF SUBMITTED MSDs**

- 5.1 CESA retains the right to verify the contents of the submitted MSDs with randomly selected member firms. Although random, the selection of firms will be across a representative sample in terms of location, firm size, and discipline type, at the discretion of CESA. CESA will visit the selected member firm, together with an independent, external consultant to verify the contents of the submitted MSDs. These consultants will be suitably trained by CESA prior to verification reviews.

- 5.2 CESA will notify the selected member firms of the pending visit, two weeks prior to the proposed verification review. Should the timing not suit the member firm, the firm will be required to submit an alternative date which must be agreed with CESA.
- 5.3 Member firms must ensure that the relevant functional heads / managers for quality, integrity and sustainability or similar competent persons, who completed the MSDs, are available at the verification review.
- 5.4 During the verification review, the member firm will be asked to present evidence or justification to verify each declaration made on the MSD by the member firm.
- 5.5 Once the verification review is complete, and CESA has verified the contents of the MSDs, CESA will issue a Confirmation of Assessment. This confirmation letter can be used by the member firm to confirm the level of development of their relevant management system with external, third parties.
- 5.6 Should it be established that member firms have misrepresentation themselves in the completion of the MSDs, this will be regarded as a breach of the conditions of membership / CESA Code of Conduct and the member firm will be sanctioned accordingly.
- 5.7 Member firms not selected for verification, can request a Confirmation of Assessment by contacting CESA and arranging for a verification visit. Such firms will be required to bear the cost of the verification review.
- 5.8 In the case that complaints are received from external, third parties (such as clients/interested parties, whistle-blowers, insurance brokers/similar), regarding the performance of a member firm relating to quality, integrity and/or sustainability, CESA may together with an independent, external consultant investigate the complaint. CESA together with the member firm should identify the underlying issue for the complaint and CESA should report back to the external, third party what rectification measures will be taken by the member to address the complaint. Such firms will be required to bear the costs resulting from this investigation.

6 MSD CONTENT, SCORING AND LEVELS OF DEVELOPMENT

- 6.1 All MSDs consist of a range of requirements which are posed as questions. The responses to these questions are used to assess the level of development of the associated management system.
- 6.2 Each question on the MSD refers back to a reference in the FIDIC Management System guideline documents which provide additional information regarding the requirements of the question. In addition, a short explanation of what is required for each question has been included on the MSD.
- 6.3 Each question requires one the of the following responses:
- Yes – indicates requirement is fulfilled and evidence can be demonstrated
 - No – indicates requirement is not fulfilled
 - NA – indicates the requirement is not applicable and a valid justification must be provided
- 6.4 Scoring of MSDs
- Yes – score 1 point
 - No – score no points
 - NA – reduces overall number of assessment points
 - Level of development score – score achieved/total assessment points (%)
- 6.5
- | Level of development | Score |
|---|--------------|
| 1. Commencement of systems development | 0 to 19% |
| 2. Actively engaged in systems development | 20 to 39% |
| 3. Substantially engaged in systems development | 40 to 59% |
| 4. Nearly completed systems development | 60 to 79% |
| 5. Fully developed systems development | 80 to 100% |

6. Certified system by ISO / similar
 - Certification confirmed by external, accredited body
7. Leader in systems development
 - Engaged with CESA in developing member firms

7 ADDITIONAL ASSISTANCE PROVIDED BY CESA

- 7.1 Firms wishing to implement or improve their management systems can contact CESA for the following assistance:
 - Purchasing of the FIDIC Management System Guidelines
 - Attend CESA SCE training on the relevant management system
 - Contact a CESA-approved external consultant for assistance
- 7.2 CESA also provides the following assistance during the MSD process:
 - Assistance in completing the MSDs for submission
 - Independent Confirmation of Assessment
 - Independent investigation of complaints received by external third parties
- 7.3 All additional assistance provided by CESA will be for the member firm's own cost.

8 RELATED PRACTICE NOTES

- 8.1 PRACTICE NOTE **PN44 (QRM/qual/2)**
Quality and Risk Management – Quality Aspects (Qual)
IMPLEMENTING AND MAINTAINING A QUALITY MANAGEMENT SYSTEM
- 8.2 PRACTICE NOTE **PN64 (QRM/risk/8)**
Quality and Risk Management – Risk Management (Risk)
CONSULTING ENGINEER'S RESPONSIBILITY & LIABILITY FOR POLLUTION AND ENVIRONMENTAL DAMAGE
- 8.3 PRACTICE NOTE **PN91 (QRM/qual/5)**
Quality and Risk Management – Quality Aspects (Qual)
TRANSITION TO ISO9001:2015

9 ADDITIONAL LITERATURE

- 9.1 *CESA Code of Conduct*
https://www.cesa.co.za/uploads/20190715_-_CESA_Code_of_Conduct.pdf
- 9.2 *CESA Disciplinary Procedure*
[https://www.cesa.co.za/sites/default/files/110728%20-%20Revised%20CESA%20Disciplinary%20Procedure%20-%20November%202010%20\(1\).pdf](https://www.cesa.co.za/sites/default/files/110728%20-%20Revised%20CESA%20Disciplinary%20Procedure%20-%20November%202010%20(1).pdf)
- 9.3 *CESA Quality Management Implementation Guideline QMIG*
<https://www.cesa.co.za/sites/default/files/QMIG%20final%20December%202002-2011.pdf>
- 9.4 *CESA Risk Management Implantation Guideline RMIG*
<https://www.cesa.co.za/sites/default/files/20141120%20-%20W52469%20-%20CESA%20-%20RMIG%20Booklet%20-%20NEW%2018%20Nov%202014.pdf>
- 9.5 *CESA Business Integrity Management Guideline*
https://www.cesa.co.za/public_downloads/100119%20-%20CESA%20Business%20Integrity%20Management%20System%20-%20October%202009.pdf
- 9.6 *CESA Guideline to Sustainability and Sustainability Reporting*
https://www.cesa.co.za/sites/default/files/20131001_CESA%20Sustainability%20Framework_0.pdf

9.7

UN Sustainable Development Goals

<https://www.un.org/development/desa/disabilities/envision2030.html>