

**Checklist for Annual Management Assessment**

**1. Organizational Structure**

**Auditee(s):**

- 1.1** Is there an Organization Chart?
  - is it approved by relevant persons?
  - how is it published in the company?
  - how well does the chart reflect the actual situation?
- 1.2** To what extent are personnel in the Company aware of the Organization Structure?
- 1.3** Are there Job Descriptions for each of the positions on the chart?
  - how are they published to the staff?
  - how fully do they detail the responsibilities and authorities for each position?
  - how clearly do they show the reporting line?
- 1.4** How well are the financial authorities for each position established, documented and advised to each individual?

**2. Technical Resources, Staff and Equipment**

**Auditees:**

- 2.1** To what extent do the human resources of technical staff meet the needs of the company for:
  - current workload?
  - anticipated workload?
- 2.2** To what extent do the resources of office space meet the needs for:
  - current work load?
  - future work load?

- 2.3** To what extent do the resources of technical equipment, i.e.:
- CAD?
  - desk computers?
  - laptop computers?
  - networks?
  - software applications?
- meet the current and anticipated work load requirements?

**3. Client and Regulations Requirements**

**Auditee(s):**

- 3.1** List the clients of major projects currently running and obtain Project Manager's and Business Development Manager's assessment of client satisfaction on meeting their requirements, in a scale of 1 (low) to 10 (high).
- 3.2** Get Manager Environmental and Authority Engineer to list major regulations to be met, and to score compliance in scale of 1 to 10.

**4. Quality System and New Technology etc.**

**Auditee(s):**

- 4.1** List new technologies that have been introduced and obtain department/discipline manager's comment on the need for revision of or additional procedures, etc.
- 4.2** List new quality concepts, market strategies and social or environmental conditions that have been introduced and obtain comment from discipline managers on the need for revision of procedures, etc.

**5. Previous Management Assessments**

**Auditee(s):**

**5.1** List recommended actions from the previous management assessment and indicate whether or not actions have been taken.

**5.2** List actions taken and rate the success of implementation on a scale of 1 to 10.

**5.3** How has the follow-up and the reporting of implementation been organized?

**5.4** Why have one or more recommended action items not been acted upon?

**6. Surveillance and Audit Results**

**Auditee(s):**

**6.1** Comment on LRQA's latest QA surveillance/audit results.

**6.2** Is the Quality System suitable and effective in satisfying ISO 9001 requirements according to LRQA?

**6.3** Comment on LRQA's latest VCA surveillance/audit results.

**6.4** Which questions that did not score during the audit should be considered for further attention?

**6.5** Review and comment on the internal department audit program and the clearance of non-conformances found.

**6.6** Review and comment on the internal project audit program and the clearance of non-conformances found.

**7. Preventive Action Process and Results**

**Auditee(s):**

- 7.1 Review and comment on the preventive action process.
- 7.2 Review and comment on quality improvement activities.
- 7.3 How is the lessons learned process organized?
- 7.4 To what extent are key personnel familiar with and have they access to documented lessons learned?
- 7.5 To what extent have lessons learned contributed to minimizing repetitive (human) errors?

**8. Corrective Actions**

**Auditee(s):**

- 8.1 List non-conformances found during internal audits in the last 12 months with the number of days until clearance.
- 8.2 Review and comment on project audit recommendations together with the time required for full implementation.

**9. Indoctrination and Training**

**Auditee(s):**

- 9.1 Comment on quality awareness induction including coverage and effectiveness.
- 9.2 Comment on safety awareness induction including coverage and effectiveness.
- 9.3 Comment on ethics awareness induction including coverage and effectiveness.
- 9.4 Comment on IT security awareness induction including coverage and effectiveness.
- 9.5 List general company training programs and their progress

**10. Client Surveys**

**Auditees(:)**

**10.1** Describe the client satisfaction activities conducted in the past 12 months.

**10.2** How well were the requirements, defined in CM-MA-704, implemented?

**10.3** Describe the post mortem activities conducted in the past 12 months.

**10.4** How well were the requirements, defined in CM-MA-705, implemented?

**11. Corporate Quality Policy**

**Auditee(s):**

**11.1** Does the Quality System meet the RE&C corporate quality policy and objectives?

**11.2** Have all corporate standards been evaluated for their applicability in The Hague office?

**11.3** How are the corporate standards made know to the organization?

**12. Additional Questions**

(state auditee per question)