



Peer Review Luncheon Presentation  
Friday, April 20, 2012

Peer Review Process Overview  
Presented by: ASFE Peer Review Committee  
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# Eight Peer Review Core Components

1. Business Management
2. Facilities and Technical Resources
3. Human Resources Management
4. Professional Development
5. Project Management
6. Financial Management
7. Marketing Practices
8. Electronic Resources Management

## PEER REVIEW PROCESS CHART

Company CEO is contacted by Terra (Terra insured) or decides to do a Peer review (non-Terra insured). The Peer Review User's Guide is available on the ASFE website along with the application. CEO selects a Peer Review Team Captain (PRTC) to lead the process by using the ASFE website or using personal contacts from ASFE meetings. ASFE charges \$500 to facilitate the service.

### TERRA INSURED TRACK

PRTC contacts ASFE for control number. The PRTC also notifies Terra Insurance Company and discusses any non-traditional review subjects.

CEO sends a copy of the Peer Review report to Terra for review.

CEO requests reimbursement for Peer review from Terra.

Follow-up action is the responsibility of CEO. Terra also requires a written action plan to address recommendations before reimbursing firms for Peer review costs.

### NON-TERRA INSURED TRACK

PRTC contacts ASFE for control number.

Follow-up action is the responsibility of CEO.

### COMMON ELEMENTS BOTH TRACKS

PRTC and CEO discuss Peer Review to identify specific issues to be addressed. Business issues are separated into eight major components. The Peer Review can address all (suggested for a firm's first Peer Review) or any one or more in particular.

PRTC prepares a formal engagement letter, including a detailed scope of service and budget. Once the CEO signs the agreement, the PRTC selects Peer Review Team Members (with the consent of the CEO) and all team members execute confidentiality agreements.

The PRTC and CEO establish a time and date for firm on-site visit. Travel and lodging arrangements completed.

PRTC issues correspondence to staff and client representatives, encouraging them to complete on-line questionnaires.

Company data provided to PRTC. PRTC reviews and assembles questionnaire responses and issues to Team Members as background information along with other Company data.

Peer Review Team visits firm's offices and interviews staff (includes multiple offices, when applicable).

Peer Review Team meets to evaluate findings and observations. Peer Review Team's comments, observations, and recommendations are presented during an exit interview to CEO and firm's senior-management staff.

PRTC formalizes Peer Review Team findings and recommendations in a letter report to CEO.

All material collected during the process is returned to the firm or destroyed by Peer Reviewers.

PRTC and Peer Review Team Members issue invoices to CEO for reimbursement.

CEO completes and forwards Peer Review Team critique to ASFE HQ

PRTC completes and forwards PR team member(s) assessment(s) to ASFE HQ.

ASFE recognizes Peer Reviewed firms during semi-annual meetings and through other activities.

# Company Data Requested/ Reviewed

- Organization Chart
- Mission, vision, goals and objectives of the Company
- Employee list with titles
- Strategic plan
- Annual business plan
- Ownership and leadership transition planning
- Job Descriptions
- Explanation of employee performance evaluation system
- Business management and financial policies and procedures
- Health & Safety plan
- Document Retention plan
- Employee personnel procedures
- Continuing education policies
- Registration and certification policies
- Standard contracts
- Quality Assurance and Control procedures
- Project management and job costing system and controls
- Financial budgeting system
- Financial reporting system information
- Billing and collection procedures
- Backlog tracking and reporting
- Marketing plan and approach
- Procedure regarding responding to requests for proposals
- Example marketing brochures and other literature including website
- Procedures for selecting and screening clients
- Description of hardware and software used
- Software licensing policies
- Policy regarding maintaining electronic data files and backup
- Procedures manuals

Questions/ Comments

Thank You!