Management Review –
Your
“State of the Laboratory” Address

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QUALITY MANAGER, AASHTO RE:SOURCE
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Learning Objectives

1) Understand the management review requirements in AASHTO R 18.
2) Understand how management reviews differ from internal audits.
3) Learn how to effectively implement management reviews for maximum benefit to your organization.
4) See how AASHTO re:source handles its own management reviews.
Management Review ISN’T...

• A mind-numbing, time-sucking exercise in futility
• A review of a laundry list of requirements…and nothing more
• Complicated
• The same as an internal audit!
It IS...

• A great way to measure the effectiveness of your QMS!
Your “State of the Laboratory” Address!

Report on the state of your organization’s health related to quality.
Definition

• Routine evaluation by management to determine if your QMS is performing effectively and producing desired results
In a Nutshell...

• Is your QMS working for you?

• What are your desired results?
  ➢ What things are important to you and your customers?
  ➢ Carefully considered, specific & reasonable goals related to quality are essential.
Quality Policy & Objectives
Quality Policy

• Overall intentions and direction of an organization with regard to quality

• QMS backbone

• PACT...

➢ Provide products and services that are Professional, Accurate, Competent, and Timely.
Is a Quality Policy Enough?

• Are the words in PACT specific? Measurable?
• How do you really know how you’re doing?
Quality Objectives

• Goals related to quality
  ➢ KPIs

• Consistent with quality policy

• We have 22...
Quality Policy (PACT) and Objectives

Timely

Provide timely services to our customers by:

• Maintaining an average report life cycle of 20 days or less for final on-site assessment reports
• Providing 100% of proficiency sample reports to customers within 15 days of the sample closing date
• Completing corrective action reports and complaint reports within 30 days of issuance
Example Goals for a Testing Laboratory

• At least **90% customer satisfaction** (feedback form)
• Meet agreed upon **client deadlines 95% of the time**
• Meet equipment **c/s/c/m deadlines 95% of the time**
R 18 Requirements

- The laboratory’s top management shall review its QMS at planned intervals at least every 12 months to ensure its continuing adequacy and effectiveness in satisfying the relevant requirements, including those specified in this standard.
  - Strategic plan/direction and goals are also relevant requirements
- The results of the management reviews shall be recorded.
Positive Approach

• Keep **improvement** in mind
• Discuss the good, bad, and ugly but...
  ➢ No finger-pointing
• Review the parts AND the **big picture**
• A look back...and a look ahead
  ➢ Strategic planning
# Internal Audit vs. Management Review

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Planning
Who Should Participate?

• “Top management”:
  ➢ Most senior level of laboratory management
  ➢ Decision-makers for policies & resources

• Don’t include too many...or too few...people
  ➢ Dependent on the size of the organization
Format

• YOU decide - formal or informal, but need a record

• Ideally a group discussion
  ➢ Email isn’t great

• Structure meeting so it’s value-added

• Weekly production/management meetings suffice?

hmmm...
Management Meetings vs. Management Reviews

MEETINGS:
➢ Address day-to-day problems, production, resources, staffing issues, etc.
➢ Consistent/required topics?
➢ Records?

REVIEWS:
➢ Focus solely on QMS
Scheduling

• R 18 = at least every 12 months

• Avoid scheduling immediately before/after internal audits
  ➢ Audit results are inputs to management review.
  ➢ Let things breathe a bit
Scheduling (cont’d)

• (Similar to internal audit…)
• Designate responsibility (quality manager)
• Choose date
• Invite participants
• Prepare agenda
The Wringer
<table>
<thead>
<tr>
<th>Month</th>
<th>2018 Activity</th>
<th>2019 Activity</th>
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<tbody>
<tr>
<td>Jan</td>
<td>DEKRA ISO 9001 audit; All programs management review - recap of 2017</td>
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<tr>
<td>Feb</td>
<td>Safety internal audit</td>
<td>Safety internal audit**</td>
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<tr>
<td>March</td>
<td>TECHNICAL EXCHANGE</td>
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<td>April</td>
<td>LAP management review*</td>
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<tr>
<td>May</td>
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<td>June</td>
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<td>Quality internal audit</td>
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<td>PSP/Safety management review*; LAP internal audit</td>
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<tr>
<td>Nov</td>
<td>CCRL audit</td>
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<tr>
<td>Dec</td>
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Collect Data

• Previous management review notes
• **Data related to quality goals**
• Customer feedback/complaints
• Internal/external audit results
• Proficiency sample results
• Open corrective action reports (CARs)
• Etc.
Inputs
Inputs Required by AASHTO R 18

THERE ARE SIX. FOCUS ON THE TRENDS.
Input #1

• Results of internal & external audits
  ➢ General overview (what/who/when)
  ➢ Big picture – as expected or not?
  ➢ Internal audit of value?
  ➢ Trends? Repeat findings? Why?
  ➢ Goals met?
  ➢ What’s happening next year?
  ➢ How can you improve?
Input #2

- **Proficiency sample performance**
  - General overview (providers/programs)
  - Big picture – as expected or not?
  - Testing bias? **Trends**? Performance charts
  - Repeat low ratings? Why?
  - Goals met?
  - What’s happening next year?
Input #3

• **Status of corrective actions**
  - All corrective action reports closed? (Audits, proficiency testing, complaints)
    ✓ If not, why?
  - Corrective actions effective? **Trends?**
    ✓ Root cause analysis
    ✓ Repeat findings?
Input #4

• **Staffing changes & training needs**
  ➢ Promotions, resignations, new positions created, vacancies filled
  ➢ Personnel resources adequate?
  ➢ Professional development opportunities
  ➢ Training new staff
  ➢ Training for new test methods
Input #5

• QMS updates
  ➢ General review of QMS findings from internal & external audits
  ➢ Are key policies/procedures/processes adequately documented?
  ➢ Info reviewed/updated regularly?
  ➢ Upcoming changes that affect QMS documented?
  ➢ Quality policy & objectives reviewed?
    ✓ All goals met?
    ✓ Revisions needed?
Input #6

• **Complaints**
  - General overview
  - What are customers complaining about? *Trends?*
  - Complaints adequately addressed?
Inputs **Not** Required by R 18...

BUT WORTH CONSIDERING.
Additional Inputs

• Follow-up actions from previous review
  ➢ “Action Items”

• Changes in volume/type of work
  ➢ Big projects? New scopes?

• Resource needs (beyond personnel)
  ➢ Equipment, computers, software, etc.

• Performance of external providers
  ➢ Calibration, training/cert, re:source, etc.

• Staff feedback
  ➢ TINYpulse (https://tinypulse.com)
Outputs
Three Main Outputs – Decisions/Actions

1. **Effectiveness of QMS**
   - Goals-met, appropriate, align w/quality policy?

2. **Resource Needs**
   - Need anything to meet goals?
   - Personnel, equipment, money

3. **Improvement Opps**
   - Who will implement them?
   - How? When?
Records

• R 18 template

• re:source example...
EXAMPLE MANAGEMENT REVIEW RECORD

Date:

Attendees:

Summary of Follow-up Actions from Previous Management Review:

Internal Audit(s):

Summary of audit findings over past year:

External Assessment(s):

Summary of assessments and assessment findings over past year.

Proficiency Sample Testing:

Summary of results over past year.

Corrective Actions:

Have all corrective actions been closed?
If not, list status of open corrective actions.

Changes in the Volume and Type of Work:

Suitability of QMS Policies and Procedures/Revisions Needed:

Resource Needs (staffing, training, equipment, computer hardware and software, etc.):

Complaints:

Summary of complaints received over past year.

Improvement Recommendations:

Other:

Figure X1.6—Management Review Record
External Audits (DEKRA)

- Surveillance #1 audit conducted Jan. 9-10, 2019
- Three minor nonconformities were noted, one of which was specific to AAP
  1) Root cause of CAR 16-19 (document control) not effectively determined
  2) QMS states 90-day deadline (rather than 60 days) in one AAP procedure
  3) PSP maintenance procedures not consistent
- Next DEKRA audit is scheduled for Jan. 8-9, 2020
  ➢ Surveillance #2 audit
  ➢ 1 ½ days, Wed./Thurs.
  ➢ Tracy put this date in Outlook for everyone back in January
Ready, Set, Action!

• Goals not met? That’s a nonconformity.

• Action Items?

• IMPLEMENT improvement opportunities!
• The feedback link isn’t easy to find on the website – it’s accessed through the “About Us” link

  Tracy will ask Troy and Kim to add a more visible feedback link – /DONE, they took care of this today
Benefits

Is this worth doing if I die tomorrow?
Benefits

• Get everyone together, focus solely on QMS
• Open up lines of communication
• Learn from each other
• Improved consistency in the work
• Meaningful discussion
• Focus on continual improvement
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