

**QUALITY PLAN IMPLEMENTING MATRIX  
 CRITERION 9, “MANAGEMENT ASSESSMENT”**

Item No.	Requirement	Source Document*	Implementation Location
<b>General Requirements</b>			
1.	Ensure managers assess their management processes and identify and correct problems that hinder the organization from achieving its objectives.	10CFR830.122(i) AND DOE O 414.1C(4)(b)(9) AND	ISD 322-1.0, <i>Management Assessment</i> , Section 3.0, Responsibilities, addresses this requirement.
2.	Management shall regularly assess the adequacy and effective implementation of the quality assurance program. AND Assessments must be planned and performed to verify compliance with selected aspects of the quality program and to determine its effectiveness. AND Management assessments must be conducted at intervals in accordance with approved procedures, and must include those projects or programs lasting less than one year.	ASME NQA-1-2000, Requirement 2, Quality Assurance Program, 100 Basic (C) AND IP 330.0, LANL Quality Assurance Program, Subsection 9.2.1, Performance Objectives AND IP 330.0, LANL Quality Assurance Program, Subsection 9.2.2, Management Assessments	ISD 322-1.0, <i>Management Assessment</i> , Section 4.1, Management Assessment states “Assessments are one of managers’ primary means for systematically observing work and analyzing performance to enhance overall success. Two responsibilities that managers have in this regard are annual planning of assessments and planning individual management assessments to implement their annual plans.”
3.	Management assessment results must be: documented through a corrective action process (e.g., ISD 322-4, <i>Issues and Corrective Action Management</i> ), reported to, and reviewed by senior management.	IP 330.0, LANL Quality Assurance Program, Subsection 9.2.1, Performance Objectives	ISD 322-1.0, <i>Management Assessment</i> , Section 4.1.4, Reporting Management Assessments, addresses this requirement.
4.	Responsible managers must perform these assessments in accordance with written procedures or checklists (ISD 322-1, <i>Management Assessments</i> , and ISD 322-7, <i>Management Observation and Verification</i> ).	IP 330.0, LANL Quality Assurance Program, Subsection 9.2.1, Performance Objectives	ISD 322-1.0, <i>Management Assessment</i> , describes the formal process. ISD 322-7.0, Management Observation and Verification, describes management walk-arounds.

\*Black Type = Mandatory QA requirements from Contract DE-AC52-06NA25396: LANL/NMED Order on Consent; DOE Order 414.1C; 10 CFR 830, Subpart A; ASME NQA-1-2000; and LANL QA Program IP 330.0.

\*\*Requirement is not currently in the location specified; however, it will be included within the next revision of the document.

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5.	Feedback and continuous improvement processes must include trend analysis and Lessons Learned Reports.	IP 330.0, LANL Quality Assurance Program, Subsection 9.2.1, Performance Objectives	ISD 322-1.0, <i>Management Assessment</i> , Attachment 4, Management Assessment Report Format, contains a Section D, Lessons Learned, "Identify lessons learned from the management assessment and describe how those lessons will be communicated and implemented." ISD 322-1.0, <i>Management Assessment</i> , Section 3.7, states that CAO-AM analyzes management assessment reports for trends.
6.	Responsible managers must conduct objective and thorough management assessments representative of all work they are responsible for, including the activities required by this QAP.	IP 330.0, LANL Quality Assurance Program, Subsection 9.2.2, Management Assessments	ISD 322-1.0, <i>Management Assessment</i> , Section 3.0, states that a graded approach would be used for management assessments.
7.	Results from management assessments must be formally documented and reported to the next level of management.	IP 330.0, LANL Quality Assurance Program, Subsection 9.2.2, Management Assessments	ISD 322-1.0, <i>Management Assessment</i> , Section 4.1.4, Reporting Management Assessments, states "Managers – submit the management assessment report to the AD through their management chain and forward a copy to CAO-AM."
<b>LANL Self-Assessment Processes</b>			
8.	LANL managers must be responsible for verifying and assessing: <ul style="list-style-type: none"> <li>• Events classified as reportable occurrences and other operating anomalies;</li> <li>• Authorization basis issues, including USQs and hazards analyses;</li> <li>• Data provided by external assessments;</li> <li>• LANL Prime Contract management self-assessments; and</li> <li>• Proposed and existing activities to ensure health and safety requirements are met.</li> </ul>	IP 330.0, LANL Quality Assurance Program, Subsection 9.2.3, LANL Self-Assessment Processes	**ISD 322-1.0, <i>Management Assessment</i> , addresses this requirement.

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