



SOP TITLE	TNI Management Review
SOP NO.	1-133
REVISION NO.	0
PROGRAM	Administration

SOP Approval Dates

	Initial Approval	Last Revision Date	Last Review Date
Committee: Policy	04/04/2025		
Program	NA		
Policy Committee Review	NA		
TNI Board of Directors Endorsement	05/14/2025		
Effective Date	04/04/2025		

Management Review

1.0 Purpose and Applicability

This document describes the process for conducting a periodic management review of key governance, financial, and programmatic activities of TNI.

2.0 Summary

This SOP summarizes the process by how TNI performs a management review.

3.0 Related Documents

TNI Quality Management Plan
TNI Strategic Plan

4.0 Definitions

Term	Definition
Board Assessment	A survey of the Board of Directors to evaluate the Board's Performance
TNI Management Review	A formal and structured process to independently review TNI's governance, financial, and programmatic activities to ensure ethical practice and good governance.

5.0 Procedure

The management review conducted by TNI consists of reviewing information in four main topic areas:

- 1) Legal Compliance and Public Disclosure
- 2) Effective Governance
- 3) Financial Oversight
- 4) TNI Programs

The purpose of this review is to ensure the effectiveness and suitability of TNI's internal processes and to introduce any needed changes or improvements. In addition, this SOP describes a Board Assessment to solicit feedback from each Director on their perspective on the Board's performance.

Sections 5.1 through 5.4 discuss the four topic areas above, section 5.5 discusses the Board Assessment, and section 5.6 describes the process for conducting the review.

Appendices A-E provide the content of the items for review. Checklists are used to document the results of the review. Dates are appended to each item in the checklist to show progress.

5.1 Review of Legal Compliance and Public Disclosure Activities

As a 501(c)3 non-profit organization, TNI has legal and ethical obligations to manage itself according to generally accepted practices for non-profit organizations and to inform the membership and the public at large on the activities, including financial statements, of the Institute.

While many of these activities are routinely reviewed during the monthly meetings of the Board of Directors, a formal review of each of these elements is conducted every five years. Appendix A lists the activities that are reviewed as part of this obligation.

5.2 Review of Governance Activities

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The TNI Board of Directors is responsible for reviewing and approving the organization's mission and strategic direction, annual budget, and fiscal and governance policies that enable it to fulfill its stated purpose.

While many of these activities are routinely reviewed during the monthly meetings of the Board of Directors, a formal review of each of these elements is conducted every five years. Appendix B lists the activities that are reviewed as part of this obligation.

5.3 Financial Oversight

TNI keeps complete, current, and accurate financial records and uses an independent Certified Public Accountant to generate financial statements. The Board receives and reviews a summary report of the organization's financial performance quarterly.

The Finance Committee reviews more detailed information quarterly and recommends adjustments to the budget as needed. The Finance Committee performs an audit of the General Ledger generated by the accountant annually.

A formal review of the elements in Appendix C is conducted every five years.

5.4 Program Reviews

Each core program will evaluate key risk factors found in Appendix D annually.

5.5 Board of Directors assessment

Each member of the TNI Board of Directors completes the assessment survey found in Appendix E every five years. The results of the survey are included in the report described in Section 5.6.1. The survey is used to identify the Board's strengths and areas in need of improvement.

5.6 Management Review Process

5.6.1 Annual review of Key Programmatic Risk Factors

Every Program Administrator of a Core Program provides evidence that the key risk factors in Appendix D were managed appropriately. As discussed in SOP 1-101, this review includes a review of committee charters that have changed as a result of "upon implementation of a new TNI Strategic Plan or Quality Management Plan or new directive from the Board of Directors." This review is conducted beginning September 1 and to be completed by December 15.

Using the information from this management review, the TNI Executive Director prepares an annual report summarizing the accomplishments from the current year and objectives for the next year. As discussed in SOP 1-101, the TNI Board reviews this information and approves the report for publication.

Appendix D is updated when a new core program is added.

5.6.2 TNI Five-Year Management Review

At least once every five years, the TNI Executive Director starts the management review process by providing a proposed schedule to the Board of Directors for their review and approval, typically at the end of year four of the strategic planning cycle. The Board then forms a Review Committee to collect data for the items in Appendices A and B. The TNI Finance Committee collects data for the items in Appendix C. The TNI Executive Director then prepares a comprehensive report documenting compliance with each of the elements - legal compliance and public disclosure, effective governance, and financial oversight found in Appendices A through C. The results of the Board Assessment survey (Appendix E) are appended to this report and the complete report is provided to the Board of Directors who then performs

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the management review for the purposes stated in Section 5.0. This management review must be completed before a new strategic planning effort begins.

6.0 References

IRS Form 990
TNI Bylaws
SOP 1-101, Operation of TNI Committees

7.0 SOP Approved Changes

Revision	Effective Date	Description of Change
0	4/4/2025	New SOP

Appendix A – Activities Reviewed for Legal Compliance and Public Disclosure

TNI complies with all applicable federal laws, regulations, and related obligations. These include:

- 1) Filing an annual IRS Form 990,
- 2) Notifying the Texas Secretary of State of any changes to the TNI Articles of Incorporation,
- 3) Complying with the ANSI Essential Requirements for standards development,

TNI has a written code of ethics with which all of its directors, staff, and volunteers are familiar and to which they adhere. New board members and staff receive a full orientation to the code and all related policies, including processes for addressing violations. Every TNI member must affirm to abide by the code when they join the organization.

TNI has adopted and implemented policies and procedures to ensure that all conflicts of interest (real and potential), or the appearance thereof, within the organization and the governing board are appropriately managed through disclosure, recusal, or other means.

TNI has established and implemented “whistleblower” policy to enable individuals to come forward with information on illegal practices or violations of organizational policies.

TNI has established and implemented policies and procedures to protect and preserve the organization’s important data, documents, and business records.

TNI maintains general liability and directors’ and officers’ liability insurance.

TNI establishes and implements sound policies and procedures for the organization’s governance, financial operations, and programs. The board is responsible for approving those policies and procedures and reviewing them periodically to ensure they are up-to-date and properly enforced.

TNI makes information about its operations, including its governance, finances, programs, and activities, widely available to the public by the publication of an Annual Report as well as the IRS Form 990, available at [irs.gov](https://www.irs.gov). TNI’s website is also used for communicating the organization’s work and progress. The website provides key organizational policies such as its code of ethics and policies on conflicts of interest, whistleblower protection, and travel.

Appendix B – Activities Reviewed for Effective Governance

The Board is responsible for selecting, overseeing, and, if necessary, terminating the Executive Director. The Executive Director is responsible for hiring and supervising all other staff within the budget approved by the board.

Regular meetings of the Board provide the chief venue for Directors to review their organization's financial situation and program activities, establish and monitor compliance with key organizational policies and procedures, and address issues that affect the organization's ability to fulfill its mission. Minutes from these meetings accurately convey the decisions and actions taken and provide sufficient documentation to address any future questions or challenges about how a particular decision was reached.

The Board establishes its size and structure, consistent with the TNI Bylaws, and review these periodically. The Board strives to have members representing various interests that allow for full deliberation and diversity of thinking on governance and other organizational matters.

The Board strives to include individuals with expertise in budget and financial management, governance, advocacy, and leadership, as well as members knowledgeable about the TNI's programs, or who have a special connection to a significant agency.

No Director receives directly or indirectly material financial benefits from the organization.

The Board evaluates the performance of the Executive Director routinely during the course of its activities. The Board must conduct a formal performance evaluation prior to any change in that individual's compensation or scope of activities.

The positions of Executive Director, Board Chair, and Board Treasurer are held by separate individuals.

The Board has an effective, systematic process for educating and communicating with Directors to ensure they are aware of their legal and ethical responsibilities, are knowledgeable about the programs and activities of the organization and can carry out their oversight functions effectively. This process includes an initial Board orientation training, on-going (monthly) reports on the accomplishment of various programs.

Every Director receives a copy of the organization's Bylaws during orientation as well as links to the organization's governing policies and practices, finances, and program activities. Every Director is made aware of the broad oversight responsibilities of the Board and of the specific legal and ethical responsibilities of individual Directors. The orientation includes clear guidelines for the duties and responsibilities of each Director, including meeting attendance, preparation and participation; committee charters, and the kinds of expertise Directors are expected to have or develop in order to provide effective governance.

Agendas and background materials are distributed far enough in advance of all Board meetings so that all Directors can reasonably be expected to read and consider the issues prior to attending the meeting.

Directors evaluate their performance no less frequently than every three years and have clear procedures for removing Directors who are unable to fulfill their responsibilities.

TNI's Bylaws clearly set the length of a term for an elected Director at three years and allow Directors to serve unlimited terms.

The TNI board reviews its Bylaws at least every five years.

At least once every five years, the Board reviews the organization's mission, programs, goals and activities to be sure they advance its mission and make prudent use of its resources.

Directors serve without compensation, other than reimbursement for expenses incurred to fulfill their board duties.

Appendix C – Activities Reviewed for Financial Oversight

The Board reviews and approves the organization's annual budget and monitors actual performance against the budget.

TNI spends a significant amount of its annual budget on programs that pursue its mission while ensuring that the organization has sufficient administrative support to deliver those programs responsibly and effectively.

TNI reports separately on their annual IRS Form 990 the amounts they expend on program services, and management and governance.

TNI has clear, written policies for paying or reimbursing expenses incurred by anyone conducting business or traveling on behalf of the organization, including the types of expenses that can be paid for or reimbursed and the documentation required. Such policies require that travel on behalf of the organization is to be undertaken cost-effectively and include procedures for properly documenting expenses incurred and their organizational purpose.

TNI does not pay for nor reimburse travel expenditures for spouses, dependents or others who are accompanying someone conducting business for the organization unless they, too, are conducting such business. This obligation does not apply to *de minimis* expenses such as the cost of a meal at a function for which participants are invited to bring a guest.

Appendix D - Programmatic Risk Factors

Applicable to all Programs

- Review previous years review. Have all deficiencies been corrected? Is corrective action still effective?

POL 1-108	Procedures for handling and addressing complaints have been developed by the program and are being appropriately used.
	Committee appropriately documented all votes made in meeting minutes.
	All Policies and SOPs are current.
	Meeting schedules were posted on the TNI website.
	Meeting minutes posted in a timely manner on TNI website.
SOP 1-105	Guidance documents developed and posted on the Committee or Program website followed the TNI procedures for developing guidance documents and they were approved by the Policy Committee.

CSDP

- Provide a copy of any external audits (e.g. ANSI) and corrective action correspondence.

SOP 2-100	<p>If new or updated Standard is in development:</p> <ul style="list-style-type: none"> - CSDP EC approved development of Standard. - Notice of Intent (NOI) prepared and posted. - Project Initiation Notification System (PINS) submitted to ANSI. - DRAFT Standard approved by 2/3 of Committee Voting Members. - DRAFT Standard was posted on the TNI website for comment. - BSR-8 submitted to ANSI for public review. - Comments of all interested parties were reviewed and evaluated. - Response to Comments prepared and commenters notified of resolution to comments. - Process for Revising a Standard followed. - Appeals process followed. - Final Standard reviewed by CSDP EC for previously undetected issues of enforceability, implementation, for errors made in the review process, or for items that commenters thought had been resolved in a different manner. - BSR-9 (Board of Standards Review) submitted to ANSI when Standard development complete. - Standard development records archived.
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NEFAP

SOP 7-101	ABs are evaluated initially and at a minimum of once every four (4) years.
	Certificates of Recognition are issued annually to NEFAP ABs
	Current ISO/IEC 17011 evaluation reports are on file for all ABs that chose this option instead of a TNI on-site evaluation and were submitted to the Evaluation Coordinator within 2 weeks of receipt.
	<p>If AB Evaluations were performed:</p> <ul style="list-style-type: none"> - All Evaluation Team (ET) members meet minimum requirements for training and professional qualifications defined in this SOP. - All ET members have successfully completed the appropriate TNI AB evaluator-training course. - The role and qualifications of each evaluator are documented by the Evaluation Coordinator.

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	<ul style="list-style-type: none"> – All members of the Recognition Committee are impartial to the evaluation for recognition and have a Qualification and Conflict of Interest form completed. – The AB was observed conducting an onsite assessment. – The appropriate sections of the Technical Checklist completed. – The Recognition Committee prepared a recommendation letter after reviewing the evaluation information and voting. The letter was submitted to the Evaluation Coordinator and Executive Committee. – The Executive Committee endorsed the recommendation unless it felt the Recognition Committee did not follow the required process. – Records associated with the evaluation are stored in accordance with the TNI procedure for records management (SOP 1-104).
SOP-5-106	Standard Interpretation Request (SIR) procedures are followed if an SIR received.

PT Program

POL 7-100	Certificates of Recognition are issued annually to PTPAs
SOP 4-107	Documented evidence is available that the required frequencies of FoPT limit reviews are met.
	Records of PTPEC approval of FoPT tables are maintained.
	Records associated with FoPT Table management are stored with the TNI procedure for records management (SOP 1-104).
	Changes to the FoPT Tables are posted to the TNI Website for comment prior to finalization.
SOP 4-101	<p>If new or revised FoPT tables are developed:</p> <ul style="list-style-type: none"> – Procedures for calculating FoPT limits are followed. – PT Provider data is masked to preserve the confidentiality of the PT Providers and participant laboratories before it is provided to the FoPT Subcommittee for use in developing limits. – Records are kept of all deliberations and determinations of the PT acceptance limits and any subsequent revisions.
SOP 7-101:	<p>If AB Evaluations were performed:</p> <ul style="list-style-type: none"> – All Evaluation Team (ET) members meet minimum requirements for training and professional qualifications defined in this SOP. – All ET members have successfully completed the appropriate TNI AB evaluator-training course. – The role and qualifications of each evaluator are documented by the EC. – All members of the RC are impartial to the evaluation for recognition and have a Qualification and Conflict of Interest form completed. – The AB was observed conducting an onsite assessment. – The appropriate sections of the Technical Checklist completed. – The Recognition Committee prepared a recommendation letter after reviewing the evaluation information and voting. Submitted to Evaluation Coordinator and Executive Committee. – The appropriate Executive Committee endorsed the recommendation unless it felt the Recognition Committee did not follow the required process in this section. – Records associated with the evaluation stored in accordance with the TNI procedure for records management (SOP 1-104).

NELAP

SOP 1-102, 3-105	Standard Interpretation Request (SIR) procedures are followed if an SIR received.
SOP 3-102	An evaluation is performed at a minimum of once every 3 years.
POL 3-102	Certificates of Recognition are issued annually to NELAP ABs

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POL 3-101	NELAP ABs notify the Chair of the NELAP AC and its Program Administrator (PA) of changes in the AB's environmental lab accreditation program in the areas specified in Section 4, items 1-6 within 30 days of the change.
SOP 3-104	Records of disputes are retained in accordance with the requirements of the Management of TNI Documents SOP 1-104.
SOP 3-102	<p>If AB Evaluations Performed:</p> <ul style="list-style-type: none"> - The members of the ET met the team member qualifications. - A QA Peer reviewer reviewed the final report. - An on-site observation of the ABs assessor(s) was performed for new applications - Any interim recognitions granted were for no longer than one year. - The correct TNI checklist was used to perform the evaluation. - Records associated with the evaluation are stored in accordance with the TNI procedure for records management (SOP 1-104).
SOP 3-108	Any Provisionally Recognized AB is identified on the TNI website as such.
SOP 3-103, 3-106	<p>If new Standard is being considered for adoption:</p> <ul style="list-style-type: none"> - Prior to adoption of a new Standard, the LASEC reviews the Standard for suitability. - Prior to adoption of a new Standard, the NELAP AC reviews the Standard for implementation with respect to their individual program requirements to confirm there are no barriers to implementation. - Decisions regarding individual AB adoption and implementation schedules were made within 60 days after the vote that adopted the new standard.

Appendix E – Board Assessment Survey

Please rate your assessment of the Board of Directors' performance on a scale of 1 – 5, with 1 = Not At All Confident, and 5 – Very Confident.

How confident are you that as an effective governing body, the board:

1. Monitors and evaluates the performance of the executive director on a regular basis?
2. Ensures legal compliance with applicable federal, state, local regulations, other?
3. Ensures that government contract obligations are fulfilled?
4. Monitors financial performance and projections on a regular basis?
5. Has a strategic vision for the organization?
6. Has adopted an income strategy to ensure adequate resources?
7. Has a clear policy on the responsibilities of board members?
8. Has adopted a conflict of interest policy?
9. Currently contains an appropriate range of expertise and diversity to make it an effective governing body?
10. Regularly assesses its own work?

How confident are you that most or all board members:

11. Understand the mission and purpose of the organization?
12. Are adequately knowledgeable about the organization's programs?
13. Are appropriately involved in board activities?

Please comment:

14. What information—whether about the organization, the field (accreditation), nonprofit management or nonprofit boards—would you like to get to help you be a better board member?

15. What suggestions/questions do you have for the board chair or the executive director about the board, your own role, or any other aspect of the organization?