

TEMPORARY CHANGE REQUEST TCR NO. **TCR-QA-005,R3-001**

(e.g., TCR-ENG-021,R1-001)

The Temporary Change Request (TCR) Form is to be used to process urgent or minor changes for PPPL Policies, Organization/Mission Statements and Procedures. The TCR should be used when changes are:
1) urgent, and can not wait the 2-4 week period for Department Head review/comment, or
2) minor, and do not warrant Department Head review.

Person Requesting Change: Frank Malinowski

Department Name: Best Practices & External Affairs Phone Ext: 2203

Document Number: QA-005 Revision No.: 3

Document Title: Control of Nonconformances

Reason for change: To have Supplier nonconformances transmitted by Procurement.

Change description: (Summarize and attach changed pages, with changes clearly indicated)

Section B Steps 1 & 2 allow for NCR's to come to QA or Procurement.
Steps 6 & 7 change transmittal from QA to Procurement.

1. Does this TCR significantly alter the intent or scope of the document? YES: NO: X

2. Does this TCR significantly impact **ES&H**? YES: NO: X

If 1 or 2 is **YES**, Explain why the changes should not be routed for Department Head review:

J. Malsbury
Department/Division Head Approval

07/8/08
Date

J. DeLooper
Associate Director, Best Practices and External Affairs

07/11/08
Date

Release/Effective date of this TCR: 7/11/08

Incorporate this TCR into next revision of this document? Yes X No

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|-------------|--|---|---|
| PPPL | PRINCETON PLASMA PHYSICS LABORATORY | PROCEDURE | No. QA-005 Rev 3 Page 1 of 5 |
| | Subject: Control of Nonconformances | Effective Date: March 30, 2007 | Initiated by: Head, Quality Assurance |
| | Supersedes: TCR QA-005-001, QA-005 Rev. 2 | Approved: Director | |

Applicability

This procedure provides guidelines for items and services that fail to meet specified standards.

Introduction

Items, services, or activities that fail to conform to specified requirements shall be controlled to prevent their inadvertent installation or continued use. Provisions shall be made to identify, evaluate, and disposition such nonconformances. Provisions shall also be made to segregate the item or to stop the specific nonconforming activity or condition causing the nonconformance. Organizations affected by the discrepant item or activity shall be notified.

Section A addresses processing of PPPL-generated nonconformances, both those associated with items and services provided by suppliers and those associated with work performed in-house. Section B addresses processing of supplier-generated nonconformance documentation.

Reference Documents

Institutional QA Plan.
DOE O 414.1, *Quality Assurance*
10 CFR 830.120, *Quality Assurance*
QA-004 *PPPL Site Inspection Program*

Definitions

Refer to Attachment 1 for definitions of terms used within this procedure.

PROCEDURE**Section A: PPPL-generated Nonconformance Reports****Responsibility****Action****Any PPPL Employee**

1. Identifies a potentially nonconforming condition. Notifies Quality Assurance (QA).

Quality Assurance

2. Reviews potential nonconformances for validity and, if valid, notifies Cognizant Individual of the nonconformance. Generates a Risk Assessment Plan (RAP), also known as a Quality Inspection Plan, if one does not already exist for the work in question, a Nonconformance Report (NCR) and, when determined by QA to be appropriate, a “Hold” tag(s).

Note: Documentation for the NCR should include any relevant photographs, sketches, references to specifications, or engineering requirements. Supporting evidence should also include a description of the method of inspection.

3. Issues NCR to the Cognizant Individual. Includes appropriate Procurement and Accounting representatives on the distribution for supplier-related nonconformances.

Procurement

4. If supplier-related, notifies the appropriate supplier of any nonconforming conditions. Requests the supplier’s recommended disposition and forwards it to the Cognizant Individual and QA. If required, negotiates NCR resolution with supplier, Cognizant Individual, and QA.

Cognizant Individual

5. Reviews NCR and evaluates the nonconforming condition. If a supplier-related NCR, either concurs with the supplier’s recommendation or discusses concerns with QA and Procurement. If an NCR related to internal work, provides a disposition within 10 working days. If a disposition cannot be provided within 10 working days, notifies QA and provides an estimated time to complete the disposition. The disposition must include technical justification and fall into one of the following categories, as defined in Attachment 1:
 - a. Rework (reprocessing to bring the item back into conformance – see Attach. 1)
 - b. Reject (not suitable for be use in the intended application)
 - c. Repair (added processing to bring the item acceptably close to conformance – see Attach. 1)
 - d. Use-as-is

Note: The justification, if related to an item or process, must identify the governing document, specification, or technical reference supporting the Cognizant Individual’s disposition.

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| Cognizant Individual | <p>6. Considers and includes, when applicable, actions to prevent recurrence. Considers and addresses, when applicable, similar items that should be checked for the same condition(s). Lists any documents that require revision as a result of the disposition and ensures that these revisions are made.</p> <p>7. Provides a cost estimate for dispositions requiring rework or repair by PPPL staff. Signs and dates NCR.</p> <p>8. Forwards the NCR to the Responsible Line Manager (RLM). If the RLM is the Cognizant Individual, forwards to next higher level manager for signature.</p> |
| Responsible Line Manager | <p>9. Reviews the disposition and ensures that both the action to correct and the action(s) to prevent recurrence are appropriate. Ensures that the disposition complies with steps 5, 6, & 7 above. Indicates approval by signing and dating the NCR.</p> <p>10. Forwards NCR to the Head of Engineering & Technical Infrastructure. Note: In some instances additional management reviews are required prior to obtaining Head of Engineering concurrence. For example, NCR’s related to, but not limited to NCSX, radwaste shipments, or fire protection systems (including penetrations) require additional review, approval and or distribution. These additional requirements can be found at http://www-local.pppl.gov/QA/MiscPub/AddlMgmtRvw.pdf</p> |
| Head, Engineering and Technical Infrastructure | <p>11. Reviews NCR’s disposition and indicates approval by signing and dating the NCR. Forwards the NCR to QA.</p> |
| QA | <p>12. Reviews the disposition for inconsistencies. If inconsistencies are identified, addresses them with the Cog. If disposition is acceptable, signs the NCR.</p> |

QA

13. For Use-As-Is disposition, removes any Hold tag(s). For rejected items the QA inspector determines if there is a benefit to applying a Reject tag. Unless not practical, rejected items retained for use shall be tagged or marked with the NCR number to ensure awareness of the nonconforming condition.
14. Verifies, for internal work, that the nonconformance has been satisfactorily resolved. Removes any Hold tag.
15. When satisfactorily resolved, closes the NCR and maintains official version in associated RAP folder on the QA Server. When the RAP and all associated NCR's are closed, forwards paper copies of the RAP and NCR's to the Operations Center to be maintained as backup copies.
16. Provides, as a minimum, copies of the closed NCR to the Cognizant Individual, his/her supervisor, Engineering Department Head, Senior QA Inspector and the Quality Assurance Division Head. Additional requirements regarding distribution of NCR's, including those that are supplier-related, can be found at <http://www-local.pppl.gov/QA/MiscPub/AddlMgmtRvw.pdf>

Section B: Supplier-generated Nonconformance Reports

Responsibility

Action

QA or Procurement

1. Receives NCR (supplier designations will vary and may include Deficiency Report, Request for Waiver, or similar form names) documenting a nonconforming condition identified during processing or inspection. Forwards NCR to Cognizant Individual and QA or Procurement. **TCR-QA-005, R3-001**

QA

2. Tracks PPPL processing of NCR. **TCR-QA-005, R3-001**

Cognizant Individual 3. Reviews nonconforming condition against requirements and evaluates the Supplier’s disposition. Either concurs with the supplier’s recommendation and signs NCR or discusses concerns with QA and Procurement, who will work with the supplier and Cognizant Individual to get an acceptable resolution.

Cognizant Individual 4. Forwards the signed NCR to the Responsible Line Manager (RLM). If the RLM is the Cognizant Individual, forwards to next higher level manager.

**Responsible Line
Manager** 5. Signs indicating concurrence with the disposition or returns NCR to Cognizant Individual to obtain an acceptable disposition. Forwards signed NCR to QA.

Note: Supplier forms will vary and may not have clearly delineated spaces for two customer signatures. Signatures should be identified as PPPL Concurrence and added wherever there is space on the form, preferably near the disposition.

QA 6. Reviews the disposition for inconsistencies. If inconsistencies are identified, addresses them with the Cog. If disposition is acceptable, forwards the NCR to Procurement. **TCR-QA-005, R3-001**

Procurement 7. Returns signed NCR to Supplier for inclusion in the Processing History.

Cognizant Individual 8. Provides a copy of the NCR, with the Processing history, to the Operations Center or Project’s designated records repository.

Attachments

- 1. Definitions
- 2. Sample NCR Form
- 3. Sample Hold and Reject Tags

DEFINITIONS

| | |
|------------------------------------|--|
| HOLD Tag: | A means of identifying that an item is not to be used until the nonconforming condition is corrected. |
| Risk Assessment Plan (RAP): | The RAP, also known as Quality Inspection Plan, is a document used by QA/QC to plan inspections. It is generated using the QA RAP/NCR/PQA Database. The structure of this database requires that a RAP exist for all NCR's. See procedure QA-004 for further information and a sample RAP. |
| Reject: | An unacceptable item that is subject to be scrapped or returned to the supplier. A rejected item may also be used, with or without modification, for a different application. |
| REJECT Tag: | The reject tag indicates that the item is "Rejected" and is not to be used. |
| Repair: | The process of restoring an item's nonconforming characteristic to a condition such that the capability of that item to function reliably and safely is unimpaired, even though the item might still not conform to the original requirement. |
| Rework: | The process by which an item is made to conform to original requirements by completion or corrective action. |
| Use-as-is: | A disposition permitted for a nonconforming item when it can be established that the item is fully satisfactory for its intended use. |

Sample Nonconformance Report Form

Attachment 2

TCR-QA-005, R3-001

| | | | |
|---|------------------------|--|---------------------|
| PPPL NONCONFORMANCE REPORT NO: _____ | | Rev # _____ | Open Date _____ |
| Status _____ | Trend _____ | | |
| Department _____ | Division _____ | | |
| Source/Org _____ | | | |
| Item Drawing/Part# _____ | Procurement # _____ | Cost Center _____ | |
| RAP # _____ | Job Doc# _____ | Vendor _____ | |
| RAP Title: _____ | | | |
| <input type="checkbox"/> Hold Tag Applied | | | |
| <u>Nonconforming Condition include requirements violated:</u> | | | |
| | | | |
| Lot Size Recd _____ | Sample Size Insp _____ | <input type="checkbox"/> Lot Rejected | # Rejected _____ |
| Reported By _____ | Validated By _____ | Validated Date _____ | |
| Disposition: Rework*___ Repair*___ Use As Is*___ Return To Vendor*___ Scrap*___ | | | |
| | | | |
| For rework or repair of vendor supplied equipments, fill in information below: | | | Distribution |
| #Hours _____ | \$Est Labor _____ | \$G&A _____ | Cog _____ |
| \$Material _____ | \$Burden _____ | \$Total _____ | Insp _____ |
| Disposition By _____ | Date _____ | Proj. Doc Control (when closed) QC Files Malsbury J Boscoe J | |
| Supervisor's Concur _____ | Date _____ | | |
| Eng. Dept. Head Concur _____ | Date _____ | | |
| Other(WCO) Concur _____ | Date _____ | | |
| PQA/QC Mgr Dispo _____ | Date _____ | | |
| QC Field Verification By _____ | Date _____ | | |

| | |
|-------------------------------|---------------|
| QA INSPECTION HOLD | |
| Date _____ | NCR No. _____ |
| SPEC/DW'G/P.O.# _____ | |
| COMMENTS _____ | |
| _____ | |
| _____ | |
| QA _____ | Engr. _____ |

(Yellow) HOLD Tag

| | |
|---------------------------------|---------------|
| QA INSPECTION REJECT | |
| Date _____ | NCR No. _____ |
| SPEC/DW'G/P.O.# _____ | |
| COMMENTS _____ | |
| _____ | |
| _____ | |
| QA _____ | Engr. _____ |

(Red) REJECT Tag