

TEMPORARY CHANGE REQUEST

TCR NO. TCR-QA-005-R2-001

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: J. Malsbury _____

Department Name: ES&H/IS Support _____ **Phone Ext: 2415** _____

Document Number: QA-005 _____ **Revision No.: 2** _____

Document Title: Control of Nonconformances _____

Reason for change:

To provide linkage to additional NCR management reviews that may be required.

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

Replace QA-005 Rev. 2 with TCR-QA-005-R2-001. A reference was added to a web location that lists additional management review requirements for NCRs.

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:

Judith Malsbury _____

Department/Division Head Approval

3/3/03

Date

J.W. Anderson _____

Head, ES&H and Infrastructure Support/designee

3/3/03

Date

Release/Effective date of this TCR: 3/3/03

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

PPPL	PRINCETON PLASMA PHYSICS LABORATORY	PROCEDURE	No. QA-005 Rev 2 Page 1 of 4
Subject: Control of Nonconformances	Effective Date: January 17, 2003	Initiated by: Head, Quality Assurance	
	Supersedes: TCR QA-005-001, QA-005 Rev. 1	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 non-conforming 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) if one does not already exist for the work in question, a Nonconformance Report (NCR) and, when determined by QA to be appropriate, “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 Procurement and Accounting 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. Keeps cognizant individual and QA apprised of status.

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
 - b. Reject (scrap or return to supplier)
 - c. Repair
 - 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.

6. Identifies and lists any documents that require revision as a result of the disposition and assures revisions are made.

7. Provides a cost estimate for dispositions requiring rework or repair by PPPL staff. Signs and dates NCR.
8. Forwards the NCR to the Responsible Line Manager (RLM). The RLM is the supervisory manager responsible for the work for which the NCR was generated. Typically, the RLM is a Division Head.
- Responsible Line Manager** 9. Reviews the disposition and ensures that it has been completed in accordance with the definitions used in this procedure. Indicates approval by signing and dating the NCR.
- Responsible Line Manager** 10. Forwards NCR to the Head of Engineering & Technical Infrastructure.
Note: Individual Projects or Departments may require additional management reviews prior to obtaining Head of Engineering concurrence, i.e., the dispositions for NCRs involving containers, packaging, and shipments for NTS shall require the approval of the Waste Certification Official (WCO). Additional management review requirements can be found at:
<http://www-local.pppl.gov/qa/MiscPub/Add'lMgmtRvws.pdf>
- Head, Engineering and Technical Infrastructure** 11. Assures consistent disposition. Indicates approval by signing and dating the NCR.
12. Forwards the NCR to QA.
- QA** 13. Reviews the disposition for inconsistencies and signs the NCR. Removes the hold tag(s), if any. Applies a Reject tag if repair or rework is required, if the item is to be scrapped, or if the item is to be returned to the Supplier, and the action will not be completed within 24 hours.
14. Verifies, for internal work, that the nonconformance has been satisfactorily resolved. Removes any Reject tag, if applied.
15. Closes the NCR. Forwards the original signed copy of the NCR to the Operations Center as the official record with the RAP, when the RAP is closed.
16. Provides, as a minimum, copies of the closed NCR to Cognizant Individual and, if supplier-related, to Procurement.

Section B: Supplier-generated Nonconformance Reports

<u>Responsibility</u>	<u>Action</u>
QA	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. Tracks PPPL processing of NCR.
Cognizant Individual	2. 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.
	3. Forwards the signed NCR to the Responsible Line Manager (RLM). The RLM is the supervisory manager responsible for the work for which the NCR was generated.
Responsible Line Manager	4. 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	5. Returns signed NCR to Supplier for inclusion in the Processing History.
Cognizant Individual	6. 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

PPPL	PRINCETON PLASMA PHYSICS LABORATORY	PROCEDURE	No. QA-005 Rev 2 Page 1 of 1
	Definitions		Attachment 1

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, reworked, or returned to the supplier.
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.

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