University of California

Lawrence Livermore National Laboratory

YUCCA MOUNTAIN PROJECT

Page 1 / Of 2 0 12/5/91

CHANGE NOTICE

CN No.: 15.0-2-3 Effective Date: 12/5/91

Affected Document: 033-YMP-QP 15.0, "Nonconforming Items"

J. Blink
Prepared by:

N/A
Approved by: (Technical Area Leader) Date

Approved by: (YMP QA Manager) 12/4/91 Date

Approved by: (YMP Leader) Date

Training Required: Yes [X] No [ ] Major Changes [X] Minor Changes [ ]

Reason for Change:

Extend the use of the QA Action Item List to include communication of adverse conditions and lessons learned to affected managers. Consolidate the QA Action Item List and QA Status Report.

1. Replace page 4 of 7 (See attached)

   Section 15.0.7, replace the section.

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT

CHANGE NOTICE

CN No.: QP 15.0-2-2 Effective Date: 10/23/91

Affected Document: 033-YMP-QP 15.0, "Nonconforming Items"

J. Blink
Prepared by:

N/A
Approved by: (Technical Area Leader) Date

Approved by: (YMP QA Manager) 10/11/91 Date

for Approved by: (YMP Leader) 8 Oct 91 Date

Training Required: Yes [X] No [ ] Major Changes [✓] Minor Changes [ ]

Reason for Change:
1. To consolidate definitions in Tab C and to cross-reference a related procedure.
2. To clarify the NCR form.
3. To delete the option of following up an NCR with a CAR; CARs for repetitive nonconformances are allowed.

1. **Section 15.0.3, Revise the section to read:**

"See Tab C, "Terms and Definitions", for definitions that particularly apply to this procedure:

Condition Adverse To Quality
Item
Nonconformance
Repair
Rework
Use-As-Is

The relationship between Nonconformance Reports (NCRs) and Corrective Action Reports (CARs) is shown in Exhibit C of Procedure 033-YMP-QP 16.0."

2. **Section 15.0.5.2, paragraph 2, line 4, Change the paragraph to read:**

"... documented on a continuation to the NCR, and the preparer of the NCR, the YMP Leader, and the appropriate Technical Area Leader and Task Leader (or other appropriate manager) are notified. If ... issued to the Director, QA Division - YMP."

3. **Section 15.0.5.3, paragraph 2, Revise the paragraph to read:**

"... nature, and so indicates the determination in item 7 of the NCR. If the QAM determines that significant nonconforming conditions are repetitive, the QAM will also initiate a Corrective Action Report (CAR) in addition to an NCR. CARs are processed using procedure 033-YMP-QP 16.0, "Corrective Action". For NCRs requiring prompt action ..."

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT

4. **Section 15.0.5.4B, replace the text to read:**

   "For nonconformances assessed to be "Significant to Quality", the extent of the deficiency and root cause are described in Block 13 of the NCR. In addition, proposed remedial action for the condition causing the nonconformance and corrective action to prevent recurrence are described in Block 14."

5. **Section 15.0.6, Change to Read:**

   "...QA Action Item List (see procedure 033-YMP-QP 16.0)."

6. **Exhibit A - Change the Nonconformance Report form (see attached).**

7. **Delete Exhibit B**

UNIVERSITY OF CALIFORNIA
Lawrence Livermore National Laboratory

YUCCA MOUNTAIN PROJECT

Page _____ of _____

NONCONFORMANCE REPORT

PART I ORIGINATOR COMPLETES ITEMS 1 THROUGH 4 **QA COMPLETES ITEMS 5 THROUGH 6**

1. Originator	2. Date Discovered:	5. Date reported to QA	6. NCR No.

3. Reference Documents (if applicable):

4. Nonconforming Condition:

PART II COMPLETED BY YMP QA MANAGER

7. ( ) Significant to Quality ( ) Not Significant ( ) Voided	8. YMP QA Manager Signature:	9. Date:

PART III COMPLETED BY YMP LEADER

10. Assigned for Disposition	11. Signature of YMP Leader:	12. Date:

PART IV COMPLETED BY ASSIGNED TASK LEADER/QUALITY ASSURANCE

13. Cause:

14. Proposed Remedial Action and Corrective Action to Prevent Recurrence:

15. Hardware Disposition ( ) Reject ( ) Repair ( ) Rework ( ) Use-as-is	16. Justification:

17. Estimated Completion Date of Corrective Action

PART V COMPLETED BY YMP LEADER AND YMP QA MANAGER

18. YMP Leader's Signature:	19. Date:

20. YMP QA Manager's Signature:	21. Date:

PART VI COMPLETED BY QUALITY ASSURANCE

22. Verified by (Printed Name, Signature):	23. Date:

University of California
Lawrence Livermore National Laboratory

YUCCA MOUNTAIN PROJECT

Page 1 Of 1

CHANGE NOTICE

CN No.: 15.0-2-1

Affected Document: 033-YMP-QP 15.0 "Nonconforming Items"

Prepared by: J. Blink/D. Short

Approved by: N/A
(Technical Area Leader) (Date)

Approved by: David W. Short 10-5-90
(YMP QA Manager) (Date)

Approved by: Robert J. Loveline 10/8/90
(YMP Project Leader) (Date)

Training Required: Yes ☐ No ☒

Currently Read as Follows:

1. 15.0.5.1, paragraph 2, first sentence:

   "The individual (orginator) who discovers a nonconforming item, prepares or notifies the QA Engineer who will prepare a Nonconformance Report (NCR), see Exhibit A, to report this information."

CHANGED TO READ:

1. 15.0.5.1, paragraph 2, first sentence:

   "The individual (originator) who discovers a nonconforming item prepares (or notifies a QA Staff Member who prepares) a Nonconformance . . .".

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT

Subject:

NONCONFORMING ITEMS

Approved by: L. J. Jardine for L. J. Jardine 9/13/90 Yucca Mountain Project Leader

Approved by: David D. Stuart 9/13/90 YMP Quality Assurance Manager

15.0.1 PURPOSE

This procedure describes the methods for documenting, reporting, controlling, and the disposition of nonconforming items. This procedure also establishes control measures for nonconforming items to prevent their inadvertent installation and use.

15.0.2 SCOPE

This procedure applies to all YMP activities at LLNL and to all LLNL-YMP contractors.

15.0.3 TERMS AND DEFINITIONS

Condition Adverse to Quality: An all-inclusive term used in reference to any of the following: failure, malfunction, deficiencies, defective items, and nonconformance. A significant condition adverse to quality is one which, if uncorrected, could have a serious effect on safety or operability.

Item: An all-inclusive term used in place of any of the following: appurtenance, assembly, component, equipment, material, module, part, structure, subassembly, subsystem, system, or unit.

Nonconformance: A deficiency in characteristics, documentation, or procedures that renders the quality of an item unacceptable or indeterminate.

Repair: The process of restoring a nonconforming characteristic to a condition such that the capability of an item to function reliably and safely is unimpaired, even though that item still does not conform to the original requirement.

Rework: The process by which an item is made to conform to original requirements by completion or correction.

Use-as-is: A disposition permitted for a nonconforming item when it can be established that the item is satisfactory for its intended use.

15.0.4 RESPONSIBILITIES

All individuals assigned to the LLNL-YMP are responsible for reporting nonconforming items to the LLNL-YMP Quality Assurance Manager.

The LLNL-YMP QA Manager is responsible for monitoring the disposition of nonconformances and maintaining this procedure.

The LLNL-YMP QA Manager and the LLNL-YMP Project Leader have specific responsibilities, detailed in this procedure, for resolution and closure of nonconformances.

The LLNL-YMP Project Leader is responsible for implementing and assuring the effectiveness of this procedure.

15.0.5 PROCEDURE

15.0.5.1 Reporting

A suspected nonconforming condition should be brought to the immediate attention of the responsible Task Leader.

The individual (originator) who discovers a nonconforming item, prepares or notifies the QA Engineer who will prepare a Nonconformance Report (NCR), see Exhibit A, to report this information. The originator completes the applicable blocks of Part I of the form and submits the original to the LLNL-YMP QA Manager.

15.0.5.2 Logging Nonconformances and Distribution of Nonconformance Reports

A QA staff member assigns a sequential identification number (NCR-LLNL-001, 002, etc.) to the NCR, creates a file folder to maintain documentation relevant to the NCR and forwards a copy of the NCR to the LLNL-YMP QA Manager. Prescribed information regarding the NCR is entered into the QA Action Item List, Exhibit B.

The LLNL-YMP QA Manager reviews the NCR to determine if the matter is, by definition, a nonconformance. He consults with the responsible Task Leader, technical personnel and others as part of this initial review. If the nonconformance does not exist, the NCR is voided, the grounds for voiding the report are documented on the NCR, and the preparer of the NCR, the LLNL-YMP Project Leader, and the appropriate Task Leader or other LLNL-YMP leader are notified. If the NCR is valid, a copy of the nonconformance report is issued to the Director of Quality Assurance Division - YMP.

15.0.5.3 Evaluating and Segregating Suspected Nonconforming Items

Items that are suspected of not conforming are tagged, and if possible, segregated by the responsible Task Leader until disposition of the nonconformance is complete. Items or their containers are tagged by the responsible Task Leader, using Exhibit C. If tags are used, they are securely attached to avoid loss during handling. Tagging does not adversely affect the end use of the item. When segregation is impractical or impossible because of physical conditions, such as size, weight, or access limitations, other precautions are taken to preclude inadvertent use of a nonconforming item. Further processing, delivery, installation, or use of a nonconforming item is controlled pending an evaluation and an approved disposition by authorized personnel.

The LLNL-YMP QA Manager reviews the report to determine if the matter is of a significant nature. If a significant condition adverse to quality exists, a Corrective Action Report is generated promptly in accordance with quality procedure 033-YMP-QP 16.0, "Corrective Action." For NCRs requiring prompt action, disposition information and approvals may be obtained verbally and documented as verbal communications which are attached to the NCR. Subsequently, written disposition and approvals are documented on the NCR itself by the individuals who were contacted verbally.

15.0.5.4 Disposition

Conditional release of nonconforming items is not authorized.

Nonconformance reports are forwarded to the YMP Project Leader who assigns, by completing Part III of the NCR form, the LLNL-YMP QA Manager, appropriate Task Leader, or other individual to evaluate the nonconformance and provide an acceptable disposition. The Project Leader assigns individuals who have demonstrated competence in the specific area they are evaluating, an adequate understanding of the requirements, and access to pertinent background information.

Proposed dispositions are provided to the Project Leader within 30 days after assignment.

The assigned individuals assure items A through H are accomplished.

A. The nonconformance is adequately identified and described in the nonconformance report.

B. The cause of the nonconforming condition is correctly described.

C. The appropriate justification for the disposition of the nonconformance is documented. Nonconforming items are dispositioned: repair, rework, use-as-is, or reject/scrap. A technical justification is prepared for repair and use-as-is dispositions. When the proposed disposition is "repair", the DOE Project Office approves the proposed disposition prior to implementation. When a proposed disposition is "use-as-is", the NCR is forwarded to the DOE Project Office for approval after all actions necessary to support the technical justification of the disposition is completed.

D. For "rework", the disposition references approved design documents, procedures, plans, work orders, etc. to be used to correct the nonconforming condition.

E. The technical details for correction of the nonconforming condition are adequate for the recommended disposition.

F. For "repair", the disposition complies with regulatory requirements and denotes changes to existing design documents, test plans or procedures, reports, etc. Any changed documents are cross-referenced to the NCR.

G. The disposition identifies the organization responsible for implementation.

H. The date by which corrective action will be completed.

If the LLNL-YMP Project Leader concurs with the proposed disposition, the LLNL-YMP Project Leader completes Part V of the NCR form and forwards it to the LLNL-YMP QA Manager for review and approval. The LLNL-YMP QA Manager's approval of the proposed disposition is indicated by signature in Part V of the NCR form.

The LLNL-YMP Project Leader resolves disagreements among the Task Leader, other LLNL-YMP leaders, and the LLNL-YMP QA Manager concerning the disposition of an NCR.

After approval of the disposition by the LLNL-YMP Project Leader and the LLNL-YMP QA Manager, the NCR is forwarded to the responsible organization to implement the disposition. If more than one organization is responsible for implementing the disposition or corrective action as assigned, copies of the NCR are forwarded to each organization for appropriate action.

A QA staff member conducts a verification of the completion of the corrective action. Repaired or reworked items are examined to verify compliance with the approved disposition. The verification is documented in Part VI of the NCR form. The QA staff member distributes the completed NCR form to the originator, the LLNL-YMP Project Leader, and the appropriate Task Leader or other YMP leader. Copies of completed nonconformance reports are sent to the Director of QA Division, YMP.

The NCR file remains open until verification that the disposition and specified corrective action have been implemented and documented in Part VI of the NCR. The completed NCR is submitted to the Local Records Center in accordance with procedure 033-YMP-QP 17.0, "Quality Assurance Records."

15.0.6 CHANGES TO NONCONFORMANCES REPORTS

Changes to the information contained in NCRs are documented in a memorandum to the NCR file. If the change involves, or affects, the approved disposition of the Nonconforming Condition, the change is approved by the same level of management that approved the original disposition.

15.0.7 QA ACTION ITEM LIST

The QA Organization monitors the status of open NCRs until satisfactory resolution through the use of a "QA Action Item List" which lists the status of CARs, NCRs, YMPO CARs, and delinquent receipt acknowledgements. The QA Action Item List also notifies affected managers of significant conditions adverse to quality and lessons learned.

This list is issued to the Project Leader, Associate Project Leader, Assistant Project Leaders and all Technical Area Leaders and Task Leaders.

Task Leaders and other managers consider the applicability of significant conditions adverse to quality and lessons learned to their areas of responsibility.

15.0.8 RECURRING NONCONFORMANCES

When repetitive or recurring nonconforming conditions are identified, a QA staff member reviews the need for further programmatic corrective action to preclude repetition. Such corrective action is beyond the scope of the action taken for the disposition of the existing NCRs and is processed in accordance with procedure 033-YMP-QP 16.0, "Corrective Action."

15.0.9 QUALITY ASSURANCE RECORDS

NCRs and supporting documents are quality assurance records. These records are collected, stored, and maintained in accordance with procedure 033-YMP-QP 17.0, "Quality Assurance Records."

UNIVERSITY OF CALIFORNIA
Lawrence Livermore National Laboratory

YUCCA MOUNTAIN PROJECT

Page ____ of ____

NONCONFORMANCE REPORT

PART I ORIGINATOR COMPLETES ITEMS 1 through 4 QA COMPLETES ITEMS 5 and 6

1. Originator	2. Date Discovered:	5. Date reported to QA	6. NCR No.

3. Reference Documents (if appicable):

4. Nonconforming Condition:

PART II COMPLETED BY YMP QA MANAGER

7. ( ) Voided ( ) Valid ( ) Significant	8. YMP QA Manager Signature:	9. Date:

PART III COMPLETED BY YMP PROJECT LEADER

10. Assigned for Disposition	11. Signature of YMP Project Leader:	12. Date:

PART IV COMPLETED BY ASSIGNED TASK LEADER/QUALITY ASSURANCE

13. Cause:

14. Proposed Disposition:

15. Hardware Disposition ( ) Reject ( ) Repair ( ) Rework ( ) Use-as-is	16. Justification

17. Estimated Completion Date of Corrective Action

PART V COMPLETED BY YMP PROJECT LEADER AND YMP QA MANAGER

18. YMP Project Leader's Signature:	19. Date:
20. YMP QA Manager's Signature:	21. Date:

PART VI COMPLETED BY QUALITY ASSURANCE

22. Verified by (Printed Name, Signature):	23. Date:

YMP 015 REV 2

EXHIBIT A - NONCONFORMANCE REPORT

QA ACTION ITEM LIST

LLYMP#	Doc. No.	Resp. Indiv.	Doc. Title/Subject	Date Due	Status

STATUS:
- Closed — C
- Overdue — O
- Response with D. Short — X

EXHIBIT B - ACTION ITEM LIST

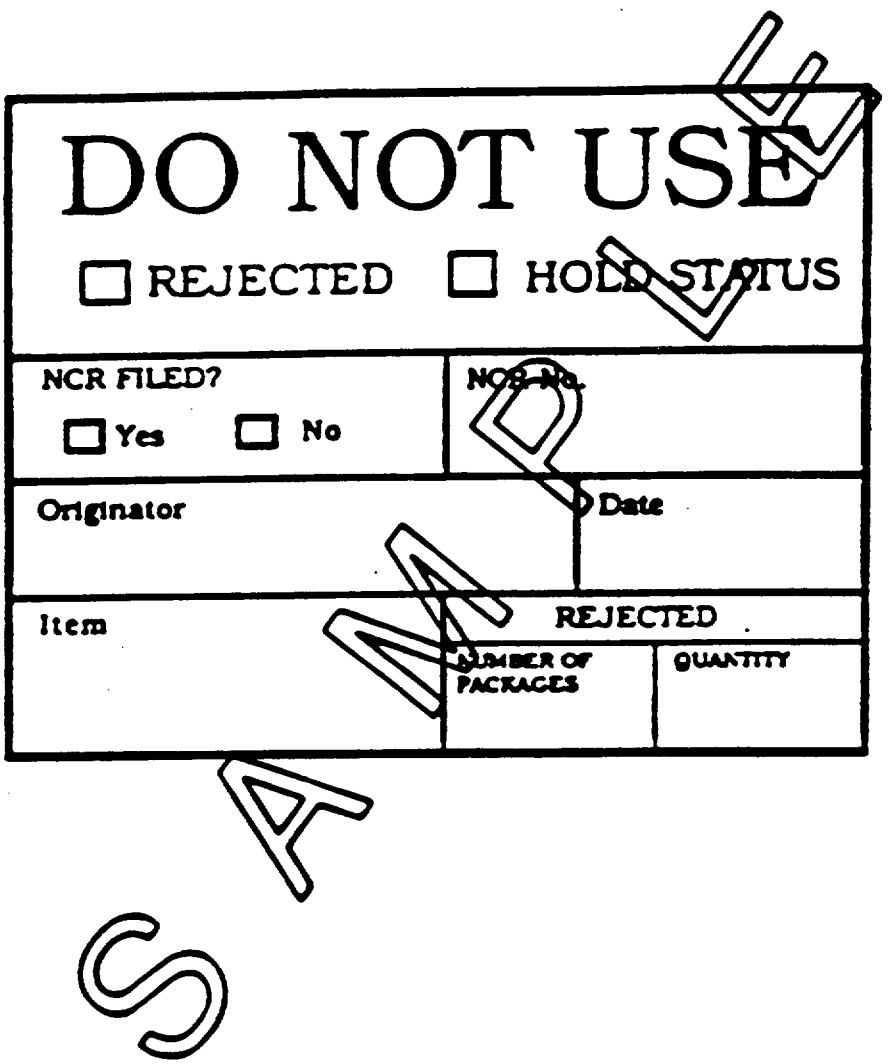

EXHIBIT C - NONCONFORMING MATERIAL TAG