PUBLISHING SERVICES SUB-DIVISION

QUALITY ASSURANCE INSTRUCTIONS
PSS-02 Non-Conformance

OWNER: **Mario Hudon**
APPROVED: **February 18, 2004**

1.0 PURPOSE

1.1 The purpose of this document is to describe the process utilized for managing corrective and preventive actions as they relate to control and disposition of non-conforming products, the Quality System or learning.

2.0 SCOPE

2.1 The scope of this document is to provide all employees and clients of ESSInfo Publishing Services a method to identify conditions adverse to quality, apply corrective action and preventive action from recurrence.

3.0 RESPONSIBILITIES

3.1 All Publishing Services Subdivision employees are responsible for having a working knowledge of this QAI.

3.2 Publishing Services Subdivision employees are responsible for issuing Quality System Improvement Requests for any non-conforming products, the Quality System or learning.

3.3 The Production Coordinator, Cartographic Applications Specialists and Technical Photography Supervisor are responsible for all non-conformances and observations related to products.

3.4 The Head of the Publishing Services Subdivision is responsible for all non-conformances and observations related to the Quality System and learning.

3.5 The designated manager of this QAI is responsible for considering all DCRs and NCRs issued against this QAI, writing new instructions when necessary and informing end-users of the changes made.

3.6 The Webmaster is responsible for updating the controlled version of this QAI on the Internet in a timely manner.

3.7 Publishing Services Subdivision employees and other users of this QAI are encouraged to provide feedback to the Quality Management Representative, Production Coordinator, and Head Publishing Services on its accuracy, completeness, simplicity, and usefulness by issuing a Document Change Request or Quality System Improvement Request.

4.0 INSTRUCTIONS

4.1 GENERAL

- All employees or clients of the Publishing Services Subdivision may request a change/improvement to a product, the Quality System or learning plans by initiating a Quality System Improvement Request.
- The Lead Reviewer, Internal Reviewer or designated representative may fill out a Quality System Improvement Request for each non-conformance or observation raised during the Internal Review.
- The NCR or observation should be brought to the attention of the designated manager responsible.
- NCRs or observations may also originate from:
  - A Publishing Services Subdivision Quality Council meeting
  - A Publishing Services Subdivision production meeting
  - Quality Control recommendation
  - Application Development meeting
  - Internal and External Review of the Quality System
  - Client observation or complaint
  - Quality Council recommendation
  - Learning requirements
- NCRs and observations are controlled utilising a Quality System Improvement Request form. This form is an on-line PDF document linked to a database. It can be accessed from the Publishing Services Subdivision website.
- The information of each NCR and observation that is filled out on-line is automatically entered into a database with a tracking number and forwarded to the QMR. Each time the NCR or observation is accessed by the applicable personnel responsible for the next section, it automatically enters the information into the database and forwards it the next person until the NCR or observation is completed.
- Any NCR or observation requested without using the on-line PDF version will be accepted by the QMR who will transfer the information to the online PDF form in behalf of the originator so all information is in the database.
- The Quality System Improvement Request form is divided into 4 sections. The description of each section follows.

4.2 SECTION 1 – SUBMISSION

- The originator (employees or clients) will fill only section 1 of the Quality System Improvement Request. The originator will supply the requested information as indicated on the form.
- The originator completes SECTION 1 of the Quality System Improvement Request as follows:
  - Submitted by: *Originator's name*
  - Date submitted: *Current date mm/dd/yyyy*
  - Address: *Originator's address*
  - Phone: *Originator's phone number*
  - Email: *Originator's email address*
  - Source: *Client/Author* or *Internal Review* or *Publishing Services employee*
  - Subject: *Identify the subject matter*
  - Description: *Provide a brief description of the problem*
- Upon completion of section 1, the Quality System Improvement Request will be forwarded to the QMR. Supporting information (if required) should be supplied to the QMR as well.

4.3 SECTION 2 – CLASSIFICATION

- The QMR receives SECTION 1 of the Quality System Improvement Request including any supporting information (if required).
- The QMR will classify the Quality System Improvement Request as a non-conformance or an observation, and will associate the corresponding ISO 9001 requirements.
- The QMR (with assistance from the originator if required) completes SECTION 2 of the Quality System Improvement Request as follows:
  - Classified by: *QMR's name*
  - Date Classified: *Current date mm/dd/yyyy*
  - Classification: *Is it a NCR or an observation and if it applies to the product, the Quality System or learning.*
  - Affected documentation: *List of the affected quality documentation.*
  - Designated manager: *The QMR will forward the NCR or observation the to owner responsible for the document.*
- A copy of the NCR is placed in a Non-Conformance Status Log binder.
- The designated manager is identified on the Quality System Improvement Request Form or can be designated by the Quality Council.
- Upon completion of section 2, the NCR or observation and supporting information will be forwarded to the designated manager for justification.

4.4 SECTION 3 – ACTION

- The designated manager and/or Quality Council Representative completes SECTION 3 of the Quality System Improvement Request as follows:
  - Action: *Corrective*, *Preventive* or *None*
  - Action Decided by: *Designated manager* or *Quality Council*
  - Root cause(s): *Description of the root cause of the NCR or observation*
  - Treatment(s): *Description of the action or treatment performed by the designated manager.*
  - Completed by: *Designated manager name*
  - Date completed: *Current date mm/dd/yyyy*
- The designated manager indicates the action to be taken (Corrective, Preventive or None) and who made the decision (Designated Manager or the Quality Council). The designated manager initiates the resources to find and indicate the root cause of the NCR or observation. The root cause of a NCR or observation can also be established during a Quality Council meeting.
- If the Corrective and Preventive action taken is accepted, the designated manager and/or the Quality Council monitors the action taken and ensures there is continuous improvements of the product, the Quality System or learning.
- If the Corrective and Preventive action taken is rejected, the designated manager and/or the Quality Council determine new or additional actions to be taken. The new or additional actions to be taken will be reviewed until it is acceptable.
- The QMR ensures that a follow-up is maintained during the course of the non-conformance or observation and is responsible to oversee it being properly closed.
- The QMR reports on all outstanding non-conformances and observations during the Quality Council meeting.

4.4.1 NCRs related to the product

- The designated manager (assisted by the originator or any other employees) places the product on hold and determines the proper treatment of the non-conforming product. The non-conforming product is isolated, labeled or destroyed and the corrections are done immediately (if required by the client). If the client specifies no deadline, it is corrected later.
- For a non-conforming product, one of the following actions will be taken:
  - Discard the product
  - Rework the product to satisfy the client demands
  - Accept product to "Use As Is"
  - Return to supplier
  - Recall

4.4.2 NCRs related to the Quality System or learning

- The Head of the Publishing Services Subdivision (assisted by the originator or any other employees) determines the proper treatment of the non-conformance. Corrections are done immediately to the non-conformances (if required by the client). If the client specifies no deadline, it is corrected later.

4.5 SECTION 4 – REVIEW

- The Lead Reviewer, Internal Reviewer or designated representative completes SECTION 4 of the Quality System Improvement Request as follows:
  - Reviewed by: *Reviewer name*
  - Date reviewed: *Current date mm/dd/yyyy*
  - Status: *Satisfactorily closed* or *Additional action required*
  - Comments: *Reviewer may comment on the additional actions required*
- If any additional actions are required, the non-conformance or observation will still be active and closed during the following internal review.
- Non-conformances or observations which actions have been accepted and completed properly can be closed during an Internal Review.

5.0 REFERENCES

- Document Change Request (DCR)
- Quality System Improvement Request (NCR)
- Publishing Services Subdivision website

6.0 WORKFLOW CHART