DCMA NSEO QUALITY PROCESS SURVEILLANCE (QPS) CHECKLIST #12

NON-CONFORMING MATERIAL CONTROL

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| **SUPPLIER & CAGE:**  |  |
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| **LOCATION:** |  |
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**Program Type:**

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|  | Level I/SUSBAFE (LI/SS) |  | Navy Propulsion Program (NPP) |  | Deep Submergence Systems/Scope of Certification Program (DSS-SOC) |
|  | Nuclear Plant Material (NPM) |  | Naval Nuclear Propulsion Program (NNPP) |  | Aircraft Launch & Recovery Equipment (ALRE) |
|  | Fly By Wire Ships Control Systems (FBWSCS) |  | Ships Critical Safety Items (SCSIs) |  | Other: |

**Contractual Requirement(s) for this process:**

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**Supplier Procedure Number(s), Title(s) & Revision Level(s)/Date(s):**

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| Surveillance Performed By:  |  |
|  |  |
| Date(s) of Surveillance: |  |
| Contract Number(s): |  |
|  |  |
| Part Number(s)/Serial number(s)/NSN: |  |
|  |  |
| Part Nomenclature(s): |  |
|  |  |
| Supplier Personnel Contacted and Titles: |  |
|  |  |
| Drawing Number & Revision: |  |

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**Process Concerns and Guidance:**

* Non-Conforming Material (NCM) may be re-introduced into the manufacturing or assembly process leading to a rejection further on in the process or a rejection when it reaches the final user.
* NCM may be consumed leading to failure of future testing or failure of component during use. For example: NC weld- wire or fasteners may be used during assembly/manufacturing.
* NCM may not be properly identified, segregated and controlled in accordance with established procedures.
* NCM not identified to the applicable rejection document (e.g. nonconforming material report, corrective action report) Mil-I-45208, Mil-Q-9858 and ISO-9001 require contractors to maintain inspection records, identifying the type of deficiency found, and further require contractors to take timely action to prevent reoccurrence.
* Failure to properly perform corrective action to both correct the defect and determine the “cause” can lead to repeat of non-conformance or introduction of NCM into the manufacturing/assembly process, and it may also lead to shipment of NCM. While some causes of NC material (a.k.a. – Quality Escapes) may be due to human error, the majority of such causes are systemic in nature due to a break-down in the manufacturer’s Quality System.
* Authorization to use what was previously identified as NC material not given by authorized/trained personnel and may not include disposition documentation such as waiver/deviation approval
* During normal walk-through, look for NC material that has not been properly controlled, segregated and identified in accordance with established procedures.
* Examine NC material identification to ensure the applicable documents are referenced (e.g. nonconforming material report, corrective action report).
* Review NC material reports or CA reports to ensure they identify persons with authority and/or responsibility for performing preliminary and/or material review dispositions on NC material.
* Check to see if a disposition request has been sent to the Government for a given NC piece of material. If NC material has a disposition by the Government, ensure that material identification includes disposition results (e.g. “use as is”, waiver/deviation).

QARs should use the “BASIS OF DETERMINATION” column to document the objective quality evidence and/or clarify the rationale used to support their decision. (eg. direct observation, documents verified etc.)

S = Satisfactory U = Unsatisfactory

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| **SURVEILLANCE QUESTIONS** | **S** | **U** | **BASIS OF DETERMINATION** |
| 1. Has the supplier's NCM procedure been updated or changed since last audit (i.e. MPR, MPS, QMS)? List date and revision.
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| 1. Does the supplier’s procedure identify and/or list the authorized personnel for disposition of NCM? Is rejection documentation assigned disposition by authorized personnel only? If available, record and verify a sample of NCM.
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| 1. Does the supplier maintain an area for the segregation of NCM? Is rejected material identified, segregated and controlled in accordance with established procedures, and is the area secured to prevent unauthorized removal?
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| 1. Is nonconforming material identified to the applicable rejection document (e.g. nonconforming material report, corrective action report, positively identified as NCM)?
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| 1. Does nonconforming material documentation include waiver/deviation results? (i.e. DD Form 1694 or the other required contractual documentation to document results)
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| 1. Have “use as is" and/or repair dispositions been submitted to the government/customer for concurrence/approval as required? (i.e. DD Form 1694 or the other required contractual documentation to document results) Do supplier's procedures and practices comply with specific requirements for submittal of non-conformances?
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| 1. Has investigation taken place which included investigating and recording the root cause of non-conformances related to product, processes, and the quality system?
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| 1. Does the supplier evaluate the effectiveness of corrective/preventive action?
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| 1. Are there any continuously repeated non-conformances being dispostioned?
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| 1. Have parts been screened to ensure they are not counterfeit?
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| 1. Have suspected counterfeit parts been reported and quarantined? (if applicable)
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| Other Observations: |  |  |  |
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| **Overall QPS Results:** | **SATISFACTORY** |  | **UNSATISFACTORY** |  |

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| **Corrective Action Generated?** | **No** |  |  | **Yes** |  |  | **CAR#** |  |

**FOLLOW-UP ACTION REQUIRED?**

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**SUMMARY/NOTES/COMMENTS/CONCERNS**:

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