



Pages 1 to 11

PROCEDURE FOR NON-CONFORMANCE MANAGEMENT

ESCC 12102

ISSUE 2

July 2003



Document Custodian: European Space Agency - see <https://spacecomponents.org>

LEGAL DISCLAIMER AND COPYRIGHT

European Space Agency, Copyright © 2003. All rights reserved.

The European Space Agency disclaims any liability or responsibility, to any person or entity, with respect to any loss or damage caused, or alleged to be caused, directly or indirectly by the use and application of this ESCC publication.

This publication, without the prior permission of the European Space Agency and provided that it is not used for a commercial purpose, may be:

- copied in whole, in any medium, without alteration or modification.
- copied in part, in any medium, provided that the ESCC document identification, comprising the ESCC symbol, document number and document issue, is removed.

DOCUMENTATION CHANGE NOTICE

(Refer to <https://spacecomponents.org> for ESCC DCR content)

DCR No.	CHANGE DESCRIPTION
65	Document upissued to incorporate editorial changes per DCR.

TABLE OF CONTENTS

<u>1.</u>	<u>INTRODUCTION</u>	<u>5</u>
<u>2.</u>	<u>SCOPE</u>	<u>5</u>
<u>3.</u>	<u>DEFINITIONS AND ABBREVIATIONS</u>	<u>5</u>
3.1	Definitions	5
3.2	Abbreviations	5
<u>4.</u>	<u>RELATED DOCUMENTS</u>	<u>6</u>
4.1	Applicable Documents	6
4.2	Reference Documents	6
<u>5.</u>	<u>RESPONSIBILITIES</u>	<u>6</u>
5.1	Executive	6
5.2	CTB	7
5.3	SCSB	7
<u>6.</u>	<u>PROCEDURE</u>	<u>7</u>
6.1	Local NRB (Level 1 NC)	7
6.1.1	Administration by the Executive	7
6.1.2	Executive Member	8
6.2	ESCC NRB (Level 2 NC)	9
6.2.1	Administration by the Executive	9
6.2.2	Executive Member	9
6.2.3	CTB, SCSB, ESA	10
6.3	Documentation Change requests	10
6.4	Work Flow Tracking	11
6.5	Status Reports	11
<u>7.</u>	<u>RECORDS AND REPORTING</u>	<u>11</u>
7.1	Records	11
7.2	Reporting	11

1. INTRODUCTION

This procedure specifies the administrative operation of the ESCC Non-conformance Control System.

The requirements placed on qualified manufacturers are defined in ESCC Basic Specification No. 22800. When a non-conformance is detected it is reported to the Executive. The Executive then manages the non-conformance to close out. Records of non-conformances are maintained and associated with the qualification records for each qualified manufacturer. The Executive reviews the records each time a qualification is renewed.

2. SCOPE

This procedure applies to the Executive in their role of managing and administering the ESCC Non-conformance Control System. It also applies to the CTB with regard to their management of the ESCC AQP, to the SCSB for policy issues and to ESA as the Qualification Authority.

3. DEFINITIONS AND ABBREVIATIONS

3.1 DEFINITIONS

None

3.2 ABBREVIATIONS

The following abbreviations are used in this document:

AQP	Annual Qualification Programme
CTB	Component technology Board
DCR	Document Change Request
ESA	European Space Agency
ESCC	European Space Components Coordination
ESCIES	European Space Components Information Exchange System
Executive	ESCC Executive
NRB	Non-conformance Review Board
NC	Non-conformance
NCCS	Non-conformance Control Sheet
NCR	Non-conformance Report
QML	ESCC Qualified Manufacturers List
QPL	ESCC Qualified Parts List
Secretariat	The ESCC Executive Secretariat

SCSB Space Components Steering Board

4. RELATED DOCUMENTS

4.1 APPLICABLE DOCUMENTS

The following documents are applicable to the extent specified herein:

ESCC 10200	Organisation and Basic Rules of the Executive
ESCC 12002	Procedure for ESCC Document and Specification Management
ESCC 12003	Procedure for ESCC Document and Specification Administration
ESCC 20800	New ESCC Specifications and Specification Change Requests
ESCC 22800	ESCC Non-conformance Control System

This procedure shall be read in conjunction with ESCC Basic Specification No. 22800.

4.2 REFERENCE DOCUMENTS

ESCC 00000	Charter of the European Space Components Coordination
------------	---

5. RESPONSIBILITIES

5.1 EXECUTIVE

The Executive shall:

- Manage the implementation of the ESCC Non-conformance Control System as defined in ESCC Basic Specification No. 22800.
- Monitor the occurrence of NCRs.
- Determine if the assigned NC number and level are correct.
- Monitor the outcome of Local NRBs.
- Initiate an ESCC NRB when a Local NRB does not successfully close out the NC or the NC level is deemed to be incorrectly set at Level 1.
- Appoint a member of a Local NRB when the NC merits it or at the request of the manufacturer.
- Appoint a member to an ESCC NRB with acceptance authority.
- Determine if an NCR should trigger an Alert.
- Coordinate the processing of DCRs arising from an NRB with the close out of the NC.

- Involve the CTB and inform the Qualification Authority, ESA, when an ESCC NRB fails to close out the NC or the NRB cannot reach consensus.
- Post, maintain and remove NC information in ESCIES.
- Maintain a record of all NCs.
- Review NC history periodically to support the validity or otherwise of the qualification status and to trigger audits.
- Include a summary of NCs in the Executive's periodic reports as required by ESCC 10200.

5.2 CTB

The CTB shall:

- Provide advice to the Executive when an ESCC NRB fails to reach consensus or the NC cannot be fully resolved. Bring the matter to the attention of the SCSB when a policy issue is involved or it is otherwise deemed necessary.
- Review the NC data on ESCIES and raise questions arising with the Executive.
- Review the NC sections of Executive periodic reports and raise questions arising with the Executive.

5.3 SCSB

The SCSB shall:

- Deal with any NC brought to their attention by the CTB.
- Review the NC sections of Executive periodic reports and raise questions arising with the CTB or Executive as appropriate.

6. PROCEDURE

6.1 LOCAL NRB (LEVEL 1 NC)

6.1.1 Administration by the Executive

The Executive shall:

- On receipt of an NCR:
 - assess the contents of the NCCS.
 - verify the Chief Inspector's signature.
 - verify the assigned number.
 - verify the assigned level.

- confirm to the Chief Inspector receipt of the NCCS and advise whether an Executive member will participate in the NRB.

Missing NCCS:

- contact the Chief Inspector for further details of the NCR.

NCR from a user:

- forward the NCCS (if received) or NCR (in whatever form) to the appropriate Chief Inspector requesting a formal initiation of the NC procedure and the issue of a signed NCCS.
-
- Register received NCCS numbers in a log.
 - File received NCRs in a filing system organised by NCCS number.
 - Add all received correspondence and reports to the NCCS file.
 - Enter an NCCS summary in ESCIES.
 - On receipt of the NCCS close out:
 - assess the contents of the NCCS.
 - resolve any questions with the Chief Inspector. In cases where the NC resolution is not adequate or additional non-conformances have been uncovered request the Chief Inspector to reopen the NC or initiate new NCCSs.
 - update the NCCS file and the data entries in ESCIES.
 - In monitoring the NCR, the NCCS content, the Local NRB deliberations and NCCS close out, where it becomes necessary, and the Local NRB fails to do so, instruct the Chief Inspector to reclassify the NC to Level 2 and proceed with an ESCC NRB.

6.1.2 Executive Member

When an Executive member participates in a Level 1 NRB, the member shall:

- Advise the Chief Inspector, as necessary, on the conduct of the NRB.
- Act principally as an observer offering advice as needed.
- Participate in the consensus arrived at by the NRB.
- Advise the NRB should reclassification to Level 2 be required.
- Report back to the Executive Manager on the conduct and outcome of the NRB.

6.2 ESCC NRB (LEVEL 2 NC)

6.2.1 Administration by the Executive

The Executive shall:

- On receipt of an NCR:
 - assess the contents of the NCCS.
 - determine if an Alert should be raised and if so forward the NCCS to the Alert system(s) administration.
 - verify the Chief Inspector's signature.
 - verify the assigned number.
 - verify the assigned level.
 - confirm to the Chief Inspector receipt of the NCCS and advise which Executive member will participate in the NRB.
 - provide the assigned Executive member with all available NC details.

Missing NCCS:

- contact the Chief Inspector for further details of the NCR.

NCR from a user:

- forward the NCCS (if received) or NCR (in whatever form) to the appropriate Chief Inspector requesting a formal initiation of the NC procedure and the issue of the signed NCCS.
- Register received NCCS numbers in a log.
- File received NCRs in a filing system organised by NCCS number.
- Add all received correspondence and reports to the NCCS file.
- Enter an NCCS summary in ESCIES.
- On receipt of the NCCS close out:
 - assess the contents of the NCCS.
 - resolve any questions with the Executive member appointed to the NRB.
 - update the NCCS file and the data entries in ESCIES.
 - where there is a change to QPL or QML status update the documents accordingly.

6.2.2 Executive Member

The Executive member appointed to an ESCC NRB shall:

- Advise the Chief Inspector, as necessary, on the conduct of the NRB.

- Fully participate in the deliberations of the NRB and the consensus arrived at.
- Monitor the NRB deliberations with regard to the need for an Alert. Advise the Chief Inspector accordingly and ensure, when necessary, that the NRB communicates pertinent information to the Alert System(s) administration.
- With regard to the parts affected by the NC, exercise an acceptance role on behalf of the System, ensuring that:
 - only fully compliant parts are marked with the ESCC part number and qualified symbol.
 - parts which do not comply are, either scrapped, or have the marking obliterated or removed.
- Advise the Executive in the event that the NRB cannot close out the NC, either because there is dissent, or the technical problems cannot be fully established, explained or resolved.
- Assist the Chief Inspector when the NRB is unable to conclude and decisions or advice are provided indirectly by ESA, the SCSB or the CTB through the Executive.
- Report back to the Executive Manager on the conduct and outcome of the NRB.

6.2.3 CTB, SCSB, ESA

When a Level 2 NC is brought to the attention of the CTB, SCSB or ESA as the result of an NRB being unable to successfully close out the NC, the respective body shall:

- Review the information available.
- Advise the Executive on the course of action.
- Determine if the qualification status is to change in which case ESA shall instruct the Executive accordingly.

6.3 DOCUMENTATION CHANGE REQUESTS

When a DCR, raised in accordance with ESCC Basic Specification No. 20800, is received by the Secretariat as the result of a NC and an associated NRB decision, the Executive shall:

- Verify that the DCR is a valid change in its own right rather than an expedient means of rendering a particular batch of non-conforming parts acceptable. Where there is concern resolve the issue with the Chief Inspector directly or via the Executive member of the NRB, when there is one.
- Monitor the progress of the DCR through the approval process in accordance with ESCC 12002 and ESCC 12003.
- Inform the Chief Inspector directly or via the Executive member of the NRB, when there is one, immediately the DCR disposition is complete so that the NRB may proceed.

6.4 WORK FLOW TRACKING

The Executive shall:

- Keep track of each NC activity from receipt of the NCR to NC close out and completion of all administrative tasks.
- Utilise standard routing sheets or similar means for moving copies of the NCCS and supporting information to the next step in the work flow. This is particularly the case when NCs are to be referred to the CTB, SCSB or ESA for review and decision.
- Implement the work flow by paper and wherever possible electronic means.

6.5 STATUS REPORTS

The Executive shall:

- Operate a status report on ESCIES which summarises the existence of each NC, its description and current status.
- Periodically report on NC issues to the SCSB.

7. RECORDS AND REPORTING

7.1 RECORDS

The following records shall be maintained:

Record	Responsibility	Retention Period
NCCS and associated documentation.	Executive	10 years.
NCCS Log.	Executive	10 years.

7.2 REPORTING

The Executive shall include NCs as a topic within each periodic report to the SCSB, as required by ESCC 10200.