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| Scope |
| The effective management of nonconformities and subsequent corrective action is an essential element of the Quality Management System and, although reactive, is one method by which continual improvement of the system can be demonstrated.  In the absence of any contractual client specific system, this procedure describes the process for addressing nonconformities and implementing corrective action within the BB Quality Management System and should be read in consultation with the BB Product Defect & Service Nonconformance Procedure [QUA-PR-0200](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-1396).  Nonconformities arising from the supplied material inspection and testing activities carried out at Painter Brothers, Kintore and Sri Lanka are excluded from this procedure. |

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| Purpose |
| The purpose of this procedure is to describe the process by which nonconformities are identified, addressed and where remedial action is taken and corrective action implemented to eliminate their cause(s), in order to prevent recurrence. |

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| Abbreviations / Definitions | |
| **AMP** | Audit Management Program |
| **BBA** | BBUK Auditor |
| **BBPTD** | Balfour Beatty Power Transmission & Distribution |
| **BMS** | Business Management System |
| **Helpline** | BB Reporting Portal *(utilised by BB Power T&D)* |
| **iSMS** | BB Group Accident/Incident Database |
| **MOP** | Member of the Public |
| **NCR** | Nonconformity Report |
| **SQA** | Senior Quality Advisor |
| **QM** | Quality Manager |
| **QMT** | Quality Management Team |
| **PM** | Project Manager |

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| INPUTS | | |
| **Reference** | **Type** | **Title** |
| ISO 9001:2008 | External Standard | Quality Management Systems Requirements |
| [POLICY](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-168) | Policy | BBUK Quality Policy |
| [QUA-PR-0200](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-1396) | Procedure | BBUK Product Defect & Service Nonconformance Procedure |
| [QUA-RM-0200-PTD](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-5926) | Reference Material | NG Defects (Snagging) Register Process |
| [AUD-PR-0001](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-842) | Procedure | UK Operational Audit |

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| OuTPUTS | | | |
| **Reference No.** | **Document Title** | **Responsibility** | **Retention Period** |
| [QUA-SF-0200a-PTD](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-6731) | Quality (Product & Service) Nonconformity Report | **QMT** | 12 years |
| [QUA-SF-0200b-PTD](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-6731) | Quality (Product & Service) ‘on-site’ Investigation Report | **PM** | 12 years |
| [QUA-SF-0200c-PTD](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-6732) | Quality (Product & Service) ‘on-site’ Nonconformity Register | **PM** | 12 years |
| [QUA-SF-0200d-PTD](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-6733) | NG Defects Register | **PM** | 12 years |

Procedural Requirements

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| **1** | **IDENTIFICATION OF A NONCONFORMITY** |
|  | Nonconformities can arise from the following sources:   * Internal / external audits * Complaints (client or customer / member of the public) * BB PTD installation/construction problems * Plant & transport problems * Supplied material problems * Subcontractor problems |
| **a** | **Internal / External Audits** |
|  | An NCAR will be raised on the AMP system for all audit nonconformities identified by the auditor.  The Findings Log issued by the external Certification Body, Det Norske Veritas (DNV), will be used to address DNV Audit nonconformities. |
| **b** | **Complaints (Client or Customer / Member of the Public)** |
|  | A complaint is defined as a written or verbal notice of an actual or perceived nonconforming product, service or nuisance, received from the client or a third party. |
|  | In the execution of any contract, comments are expected from the client at various stages of the realisation processes. These are inherent parts of the process, accepted as so by the client and are therefore, NOT client complaints. |
|  | The need for corrective action will be determined by the Quality Manager. |
|  | All customer / MOP complaints will be captured and recorded by the BB ‘Helpline’ (based at Sheffield). |
| **c** | **Installation / Construction Problems** |
|  | Installation/construction nonconformities can be identified at any stage during product realisation or operation of QMS processes and a site investigation is required when the impact on the project is classified as Major or Minor as identified in the Quality (Product & Service) Nonconformity Report [QUA-SF-0200a-PTD](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-6731). |
| **d** | **Supplier / Subcontractor / Plant & Transport Problems** |
|  | Supplier, subcontractor and plant & transport problems are generally identified during the goods receipt or execution of works processes. The need for corrective action will be determined by the Quality Manager. |
|  | Nonconformities relating to suppliers and subcontractors may also be initiated as part of a supplier/subcontractor audit. |
| **2** | **GENERATION OF NCR AND REMEDIAL ACTION** |
| **a** | **Internal Audit Nonconformities** |
|  | Internal audit nonconformities will be entered onto the ‘Audit Management Program - AMP’ by the BBA and an Audit NCR generated automatically. |
|  | Wherever possible, the remedial action taken to correct the nonconformity will also be recorded. |
|  | Where there is an associated risk relating to the nonconformity the raw risk grade should be indicated on the AMP by the BBA. |
|  | The BBA will determine the person responsible (action owner) for investigating the nonconformity and implementing any corrective action and forward a copy of the Audit NCR accordingly. |
|  | If no corrective action is to be taken, the AMP will be updated by the BBA with the reason and closed off. |
| **b** | **Complaints / Installation / Supplier / Subcontractor and Plant &Transport Problems** |
|  | Complaints, installation, supplier, subcontractor and plant & transport problems will generally be reported through the BB Helpline, who will then record the details on iSMS. |
|  | Alternatively, a hard copy or electronic Nonconformity Report ([QUA-SF-0200a-PTD](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-6731)) can be completed and sent to the Quality Management Team (or directly to the Helpline), who will then enter the details onto iSMS. |
|  | Wherever possible, the remedial action taken to correct the nonconformity will also be recorded by the originator to the Helpline and/or QMT. For supplied material, this may include:   * Scrap/ Replace * Repair/Rework * Accept under concession |
|  | iSMS will generate an automatic notification of nonconformities to members of the Power T&D Quality Management function |
|  | Where these reports are not specifically in relation to the activities to either the Procurement or Plant & Fleet departments, the QM will allocate the ‘event’ to an appropriate member of the Quality Team to co-ordinate the investigation into the nonconformity and implementing any corrective action and forward a copy of the Nonconformity Report accordingly. |
|  | If no corrective action is to be taken, iSMS will be updated with the reason and closed off. The originator of the Nonconformity will be notified by a member of the QMT. |
|  | Details of nonconformities identified on the project and subsequent corrective action should be recorded in the Quality (Product & Service) ‘on-site’ Nonconformity Register [QUA-SF-0200c-PTD](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-6732) by the Site Management Team. |
| **3** | **INVESTIGATION & DETERMINATION OF THE CAUSE OF NONCONFORMITY** |
|  | The action nominee, with support from a nominated member of the QMT, is responsible for determining the cause(s) of the nonconformity and evaluating the need for corrective action to ensure that the nonconformity does not recur. This will be recorded on the iSMS event or ‘local database’. |
|  | All nonconformities requiring action should be interrogated and disciplines such as ‘5 Why’ analysis may be employed to determine the cause(s). Where the nonconformity appears to be of a more complicated nature, a ‘Cause & Effect’ diagram will be employed. |
|  | For site based Installation/construction nonconformities, the Quality (Product & Service) ‘on-site’ Investigation Report [QUA-SF-0200d-PTD](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-6733), may be used to record the results of the investigation and subsequent corrective action. |
|  | An initial response to a nonconformity (to specify an agreed planned completion date) will be as follows:   * Major Nonconformity - 1 week * Minor nonconformity - 3 weeks |
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| **4** | **DETERMINATION & IMPLEMENTATION OF CORRECTIVE ACTION** |
|  | The action nominee will determine and implement the corrective action needed to prevent recurrence of the nonconformity, in line with the planned completion date. |
|  | The iSMS event or ‘local database’ should be updated by the action nominee to include the results of the action taken by the report ‘owner’. |
|  | After a suitable period following implementation of any corrective action, a review will be carried out by the action nominee and/or the QMT to ensure that the action taken to ensure that it has been effective in preventing a recurrence of the nonconformity. |
|  | If the review is unsatisfactory, further analysis of the nonconformity will be carried out by the action nominee and the need for further corrective action evaluated. |
|  | Evidence obtained during the corrective action process should be maintained ‘locally’ by the department or function responsible for the nonconformity and where appropriate this information is to be shared with the QMT for trending purposes.  Where the Quality Team have ‘led’ these investigations, an electronic ‘file’ should be developed on the ‘Quality Drive’ and maintained as such;   * Internal & supplier audit nonconformities – a sub-folder will be established for each audit, referenced with the audit title and reference number. * All other nonconformities – a ‘Helpline Nonconformities’ folder is established containing sub-folders for each nonconformity type. A specific sub-folder will be established for each nonconformity which states the reference number and contains the evidence. |
|  | Details of the action taken shall be recorded in the Quality (Product & Service) ‘on-site’ Nonconformity Register [QUA-SF-0200c-PTD](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-6732) by the Site Management Team. |
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| **5** | **ANALYSIS OF NONCONFORMITIES** |
|  | The QMT is responsible for reviewing the status of nonconformities and tracking progress against planned completion dates, the Helpline Tracker maintained by the Quality Management team will be used for this purpose. |
|  | The QMT is also responsible for analysing nonconformities to identify trends across the QMS and processes, thus creating opportunities for preventive action and improvement. This will normally be carried out as part of the Quality Management System Review. |
|  | Failure to respond to a nonconformity or meet the planned completion date will result in the escalation of the nonconformity as follows:   * Failure to meet the initial planned completion date – SQA to contact the action owner to resolve and agree a further completion date, if necessary. * Failure to meet revised completion date – SQA/QM to contact the Regional Manager / Functional Head to resolve and agree a further completion date, if necessary. * Failure to meet 2nd revised completion date – QM to discuss with the Director of Engineering & Safety and agree action to be taken. |
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| **6** | **Defect Reporting** |
|  | In addition to the Power T&D classification of nonconformities, some clients will also require projects to maintain a register of defects or ‘snags’ which are usually determined to be ‘in-process’ issues which can be resolved by the delivery teams before formal handover of works. These items will usually be highlighted internally by the operational ‘gangs’ or Engineers to the project management team, although they can also be identified during an ‘informal’ review of works by the client and may include items such as ‘incomplete paintwork’, missing ID signage (colour plates), incomplete ground reinstatement etc. |
|  | It is the responsibility of the Project Manager with the support of the delivery team to ensure that all defects are suitably actioned and where applicable closed out to the satisfaction of the client before any formal handover of works (sectional or otherwise). |
|  | Where there is a client requirement to maintain such a register a suitable template has been developed to capture requirements as agreed currently with National Grid (NG Defects Register – [QUA-SF-0200d-PTD](https://home360.balfourbeatty.com/ghoreferencecentre/Group%20BMS/_layouts/DocIdRedir.aspx?ID=2KHUWT73P6SE-1572-6733)) and this can be utilised by the wider Power T&D business either as is, or as a baseline for development of further client specific registers. |