Documented procedure
«The procedure for managing non-compliant products»
DP.10.04/2021

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CONTENTS

1 PURPOSE AND SCOPE OF APPLICATION

1.1 This documented procedure of the quality management system has been developed in accordance with the requirements of the ST RK ISO 9001:2016 and regulates the procedure for dealing with products found to be non-compliant with the requirements set out in the regulatory documentation (hereinafter RD) in the divisions of the University.

1.2 The requirements of this documented procedure apply to descriptions of processes dealing with the results of processes and its inconsistencies.

2 REGULATORY REFERENCES

The following regulatory documents were used in the development of this documented procedure:

ISO 9000:2017 Quality Management Systems - Basic provisions and vocabulary.

ST RK ISO 9001:2016 Quality Management Systems- Requirements.

DP.10.03/2018 Procedure for managing quality records

DP.10.05/2018 Internal audit procedure.

3 DOCUMENTS RELATED TO THE PROCEDURE

F 01 - DP.10.04/2018 Classifier of typical non-compliances

4 DEFINITIONS OF TERMS, DESIGNATIONS AND ABBREVIATIONS

4.1 Terms and definitions

The terms and their definitions from ISO 9000:2017 are used in this documented procedure, as well as the following:

Products **-** the result of the process.

Non-compliant products **–** products that do not meet the requirements of RD.

Identification **-** recognition of an object by criteria, attributes (identifiers) established in the RD.

Identification of non-compliant products **-** the application of an inscription on the non-compliant products (or in the accompanying documentation), confirming its non-compliance, in order to prevent its unintentional use.

Disposal of non-compliant products – an action in relation to non-compliant products taken to prevent its initial intended use (cancellation, cancellation of action, etc.).

Release **-** permission to move to the next stage of the process.

4.2 Abbreviations

RD – regulatory documentation;

MI - measuring instruments;

FP - final products;

EMD - Educational and Methodical Department;
RW - research work.

5 RESPONSIBILITY

The owner of the process is responsible for working with non-compliant products, as a result of which non-compliant products appeared.

The Head of the Department for Academic Affairs is responsible for the implementation of this documented procedure.

6 DESCRIPTION OF THE PROCESS

6.1 This description of the procedure for dealing with non-compliant products regulates the requirements for working with non-compliant products.

6.2 The description of actions with non-compliant products is intended for:

а) in order that materials and information that do not meet the established requirements could not be used unintentionally during the preparation or development of products (for example: working programs that do not meet the requirements of the standard sample of the program could not be used);

б) analysis of inconsistencies and obtaining quality data for the development and implementation of corrective and preventive actions with non-compliant products (for example: development of measures to adjust the content of work programs);

в) disposal of products deemed inappropriate and unsuitable for corrective actions (for example: incorrectly filled out forms of strict reporting documents);

г) records of non-compliant products (for example: recording of damaged university letterheads).

6.2.1 The procedure for dealing with non-compliant products includes:

– identification of non-compliant products;

– separation of such products from the corresponding ones;

– analysis of the causes and possible consequences of non-compliance;

– making a decision on the further use of products;

– actions in case of non-compliance detection after the product is put into operation;

– disposal and recording of products recognized as non-compliant and inappropriate for carrying out corrective actions with it.

6.2.1.1 Identification of non-compliant products.

All products found to be non-compliant with RD standards must be identified. The identification method is chosen based on the type of product and should exclude the possibility of unintentional use of non-compliant products. For identification, as a rule, inscriptions, stamps, marks in the accompanying documentation, etc. are used.

The identification method should give a clear idea of the status of the product.

The product status can have the following types:

1) the products are in the process of approval (for example: new methodological guidelines for the discipline have been developed, but so far they are under ap-

proval and the old edition of the methodological guidelines for this discipline is used in the educational process).

In this case, the following method of status identification takes place:

the products are accompanied by the inscription "Under approval", "Project" or a mark in the accompanying documentation, etc.;

– the products are in the process of adjustment (for example: adjustment by the developer of the Regulations on the division for non-compliances identified during the norm control).

2) the products are recognized as non-compliant and are awaiting a decision (for example: if the flow of lectures is incorrectly formed during the preparation of the schedule, the teacher must submit his claims to the person responsible for the formation of flows).

In this case, the way to identify the status is the inscription on the products, the marks in the accompanying documentation for the products recognized as non-compliant by the consumer. The decision on such products is made after analyzing the consumer's claim (for example: in the case of incorrect flow formation, the dispatcher draws up a report addressed to the head of the EMD).

6.2.1.2 Separation of non-compliant products.

Products found to be non-compliant with RD standards can be separated from the corresponding ones to exclude the possibility of unintentional use (for example: withdrawal from the educational process of a working curriculum that does not meet the requirements of the SCES).

6.2.1.3 Conducting an analysis of the causes and possible consequences of non-compliance and making a decision on the further use of products.

To make a decision on measures to eliminate the causes of the detected non-compliance of products, a classifier of possible non-compliances is provided in the annexes according to the form F 01-DP.10.04/2021, where typical types of non-compliance are indicated.

Decisions on the further use of products may include:

- separation of non-compliant products from the corresponding ones (for example, placement of invalid documentation in a specially designated place – in a folder labeled "Canceled, for information only");

- conducting additional verification (control) (for example: it was revealed that the work plan for one of the disciplines of the specialty does not correspond to the state educational standard. In this case, it is necessary to conduct an additional check of the remaining disciplines);

- obtaining the consent of the consumer on the supply (application) of products with a deviation from the norms of RD (for example: obtaining the consent of the developer of the working curriculum to use the draft state standard of the specialty - because the project is an unapproved document, then there may be inconsistencies in it).

- the decision to cancel the product (or recognize it invalid) due to the impossibility of further use (for example, the prohibition of the use of the document due to the expiration of its validity and the absence of a new one);

- the decision to return to the supplier the material, information, etc., the non-compliance of which was detected during the initial control or in the process of development or preparation (for example: when drawing up the exam schedule, it was found that the schedules of the educational process, according to which the schedule is drawn up, have not been approved – in this case, the schedules are returned for approval);

- permission to release (put into effect, use) products (material) with an insignificant deviation from the norms of RD, authorized by the rector (for example: a student for a valid reason did not pass the session in time. In this case, he can get the rector's permission to extend the session) and others.

6.2.1.4 Actions in case of detection of non-compliance after delivery of products to the consumer (introduction, start of application).

In case of detection of non-compliance after the delivery of products to the consumer (the beginning of the use of non-compliant incoming materials), actions should be described on the immediate identification of such products, notifying the consumer about what happened, analyzing the causes and consequences of the deviation and, if necessary and possible, replacing the products with the appropriate one (for example: after the start of classes, the dispatcher found that the schedule was made incorrectly. It is necessary to notify teachers and students about this and adjust the schedule).

In case of detection of non-compliance of products by the consumer in the process of application and presentation of quality claims, actions should be described to immediately obtain the necessary information from the consumer, an analysis of the non-compliance was carried out, the result of the analysis and the decision made were reported to the consumer and, if necessary, the products were replaced with the appropriate one (or other actions agreed with the consumer) (for example: during classes, teachers had complaints about overlaps in the schedule. The compilers of the schedule should receive information from the teachers about the existing overlaps, analyze the current situation and report the results of the analysis to the teachers). If it is appropriate to carry out corrective actions, the products are modified and returned to the consumer.

6.2.1.5 Disposal and recording of non-compliant products. Where appropriate, a system for recording the quantity and/or types of non-compliant products should be described. The number of cases of non-compliance, the volume of non-compliant and cancelled (and invalidated) products should be included in the performance indicators of the process.

6.2.1.6 After non-compliant products have been corrected, they must be re-checked.

7 DOCUMENTATION AND ARCHIVING

7.1 The original of the documented procedure after expiration, cancellation or replacement is stored in the Department of Academic Affairs.

7.2 The quality records generated in the course of work under this documented procedure include:

№	Document name	Form	Storage location	Storage period
1	Internal audit checklist	F 02 – DP.10.05/2021	Archive of structural divisions	3 years
2	Others, set in the documentation describing the process and the operation of the process			

7.3 Quality records are kept in accordance with the requirements of the documented procedure DP.10.03/2021 "Quality records management procedure".

8 INCOMING AND OUTGOING INFORMATION

8.1 Incoming information

№	Document name	Responsible for drafting	Term of provision	Note
1.	For non-compliances found in the consumer – a report from the consumer to the owner of the process, as a result of which non-compliant products appeared	Consumer of non-compliant products	As inconsistencies are discovered	
2.	For non-compliances detected during control - non-compliant QMS documentation necessary for process management or the functioning of a structural unit or other types of products	Responsible for process control	After the control	

8.2 Outgoing information

№	Document name	Responsible for providing	Term of provision	Note
1.	Act of non-compliance identified during an internal audit	The owner of the process, as a result of which non-compliant products appeared. Chairman of the Internal Audit Commission	As the analysis of non-compliances is carried out and a decision is made on the further use of non-compliant products	

9 ANNEXES

F 01-DP.10.04/2021
Classifier of typical non-compliances

Name of the process	Typical discrepancy
1. Teaching	1.1 Non-compliance of the working curricula with the SCES. 1.2 Non-compliance of the academic calendar with the approved curriculum. 1.3 Non-compliance with the curriculum in the distribution of educational pedagogical load. When making changes to the load distribution, the head of the department does not inform dispatchers and the leading specialist of the EMD in a timely manner. 1.4 Non-compliance of annual work plans with approved end-to-end plans. 1.5 Non-compliance of the training of qualified specialists with the requirements of social partners.
2. Research	Non-compliance of documents (on registration) with the requirements: 2.1 Non-compliance of applications for participation in the competition of scientific projects with the requirements of the competition documenta-

	tion. 2.2 Non-compliance of annual research reports with the requirements. 2.3 Non-compliance of the reports submitted to the conference with the requirements. 2.4 Non-compliance of the research works submitted to the student research competition with the requirements.
3. Educational	3.1 Low percentage of students' participation in the work of youth organizations. 3.2 Failure to implement the action plan of youth organizations.
4. Library Management	4.1 The non-compliance between the number of seats in the reading rooms and the normative indicators. 4.2 Non-compliance of material and technical support with the requirements of internal consumers. 4.3 Low book availability in disciplines 4.4 Non-compliance of staffing with the requirements of regulatory documents.
5. Infrastructure	5.1 Non-compliance of the condition of the premises with fire safety requirements. 5.2 Non-compliance of the condition of the premises with the requirements of sanitary norms and rules.
6. Material and technical support	Non-compliance of material resources with RD requirements

10 CHANGE REGISTRATION SHEET

Sequence number of the change	Section, paragraph of the document	Type of change (replace, cancel, add)	Number and date of notification	The change was made	
				Date	Surname and initials, signature, position
