Non-Conformance Reporting (NCR)

• Non-Conformance

• Corrective Action- is the action taken to eliminate the causes of an existing nonconformity, effect, or other undesirable situation in order to prevent reoccurrence (TNI 2009)
Non-Conformance Reporting (NCR) System

• History
• Security
• Implementation
NCR System Flow Chart
Step 1: Create NCR Request

Reported By: Jeanette Hernandez

Section Id:
- Field
- Lab
- Storm Water & Investigations
- Data Management & Quality Assurance
- BCRAGD

Samples Affected:
- Field

Date of Occurrence:

Description:

Action Taken:

Next
Step 2: Parameters Affected

- Nitrate, Total (as N)
- Nitrite, Total (as N)
- Nitrite, Nitrous (as N)
- Nitrate, Nitrous (as N)
- Nitrogen, Total Kjeldahl (TKN) (as N)
- Nitrate, Total Residue (RDN)
- Nitrite, Total Residue (RN)
- Nitrate, Total Residue (RDN)
- Nitrite, Total Residue (RN)
- Nitrogen, Total Residue (RDN)
- Nitrite, Total Residue (RN)
- Ammonia (as NH₃) (Non-Distilled)
- Ammonia (as NH₃) (Distilled)
- Chlorine, Total Residual
- Specific Conductance
- Hardness, Total
- Inorganic Anions
- Carbonate (as CO₃)
- Bicarbonate (as HCO₃)
- Sulfate
- Chloride
- Fluoride
- Sulfide
- Turbidity
- Sodium, Total (as Na)
- Bromide
- Chloride
- Fluoride
- Sulfide
- Carbonate (as CO₃)
- Bicarbonate (as HCO₃)
- Chlorine, Total Disolved
- Orthophosphate (as PO₄) Dissolved
- Residue, Total (Aqueous)
- Residue, Nonfilterable (TES)
- Residue, Filterable (TDS)
- pH
- Calcium
- Sodium, Total (as Na)
- Potassium
- Magnesium
- Sodium, Total (as Na)
- Potassium
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- Sodium, Total (as Na)
- Potassium
- Magnesium
- Sodium, Total (as Na)
### Step 3: Projects Affected

- NA
- CRP
- SARA_3M
- WPD
- SAR_LTCP
- TXDOT_STORM
- Contract Utilities
- SARA Utilities
- Public Drinking Water
- IPSW
- Proficiency Test
- BTD
- Data Integrity
- City of San Antonio
- APAL
- Customer Complaint
- EIA
- Cold_Storm
- USTAR_WPD1
- Martinez_Neutert
- SARA_LM2UV
- COSA_ML
- COSA_BMP
- GUENTHER_STORM
- Leon_LAM
- NPS
- SARA_SM_BSI
Non-Conformance Report Detail

Report ID: 3123

CSD Section: Lab

Parameter(s):
- Alkalinity,
- Organic Carbon, Total (TOC),
- Specific Conductance,
- Hardness, Total,
- pH,
- Nitrates, Filterable (NTNS),
- Turbidity,
- Solids, Total (Solids),
- Bromide,
- Chloride,
- Fluoride,
- Nitrate (as N),
- Nitrite (as N),
- Sulfate,
- Metals, Metal Equivalents

Sample(s) Affected:
- AA94059, AA54034, AA94113,
- AM94111, AM94115, AM94118,
- AM94263, AM94254, AM94268,
- AM94266, AM94257, AM94289, AA04452

Date of Occurrence: June 1, 2015

Project(s) Affected: Proficiency Test

Date Submitted: June 1, 2015

Severity Level: Results not being reported

Description:
The results for the drinking water WQM/PT study were not submitted by the closing date of 5/28/15. Since all the PT samples were completed by 5/15/15, I printed out and intended to report all the PT samples listed at the same time.

- NPW chemistry WP216 for the lab
- NPW micro WP150 for the lab
- new chemistry program (for SW, upper N., and main H.)
- NPW micro for DMR (SA, Upper N., and Main H.)
- DW chemistry WS102 for the lab.

Submit Potential Non-Conformance within 2 days of discovery

QM/DQM Comments
Assigns Level of Severity

SAN ANTONIO RIVER AUTHORITY
Leaders in Watershed Solutions
The results for the drinking water WS102 PT study were not submitted by the closing date of 5/28/15. Since all the PT samples were completed by 5/15/15, I printed out and intended to report all the PT samples listed at the same time.

NPW chemistry WP216 for the lab, NPW micro MP150 for the lab,
NPW chemistry DMRQA35D (for Sal., Upper M. and Mart. II)
NPW micro for DMRQA35 (for Sal., Upper M. and Mart. II)
and DW chemistry WS102 for the lab.

But, inadvertently discarded the WS102 final PT report thinking it was reported and as a result, the drinking water data were not reported.

The TFCQ was informed of the situation and data could not be submitted post closing date. PT express samples were ordered for the metals and TOC. The remaining analyses will be not reported and therefore

Non-Conformance Report

Required:

Non-Conformance Report

Gregory Mateo
Submit

Quality Manager/Deputy Quality Manager Comments

date submitter comments
June 9, 2015 Jeanette Hernandez Per GHM, Action Taken continued: ...Not Acceptable. But, will be analyzed the next go around as we are still in compliance by passing the last 2 of 3 PTs. The department and the lab staff were informed of the situation.
Corrective Action Report

Root Cause Investigation
The results for the drinking water WS102 PT study were not submitted by the closing date of 5/15/15. Since all the PT samples were completed by 5/15/15, I printed out and intended to report all the PT samples list at the same time.

June 14, 2015

New distribution charts for the lab. New chart for the lab.
New chemistry distribution chart.
New chart for the lab.

But inadvertently, I did not submit the WS102 final PT report thinking it was not required and as a result, the drinking water data were not reported. Having reported the multiple samples, correcting the errors, setting a reminder too early in the morning/day, and discarding the report, I overlooked the final PT report and did not report the results.

Corrective Action to Address a Finding
I apologized to the lab supervisor and each lab staff personally for not meeting the deadline. I expressed that I recognize how hard they work to organize and schedule the PTs on top of their normal workload, as I have also been in that same situation. This was also discussed at a recent staff meeting.

As for the parameters, we are currently trying to achieve some parameters of the study by purchasing PT Express samples. We purchased TOC and all the metals, except for sodium, potassium, calcium, magnesium, and uranium (since they were not NELAC PTAs). The others are currently still passing the root cause tests of the last 3 PT requirements. Results are now printing and will be submitted to NIST by July 15, 2015.

Corrective Action to Prevent a Re-occurrence
During my discussions with the lab supervisor and each lab staff, I was in favor of suggestions to prevent this from happening again for future studies. I will either block out the entire day with reminders, maybe even several days ahead of time and possibly designate another person to verify results have been uploaded into the website.

June 11, 2015

Yes

No

QMDQM and Supervisor Review

QMDQM and Supervisor Review

Yes

Root Cause and CA approved by ESD staff or supervisor

Root Causes and CA accepted by supervisor within 30 days of CA notification

 Supervisor Assigns Responsible Party; email notification to designated staff member
The corrective actions have been accepted by Jeanette Hernandez on June 19, 2015.

30 Day Follow-up Report

Date    Submitter     Comments

July 22, 2015    Jeanette Hernandez    Select parameters were salvaged with a PT Express, with exception of Molybdenum, see NCR 3160. A copy of the results were received and filed. Information is still being used for OGP purposes, documented on OGP forms. Oversight has been addressed. Supervisor will block off time, daily when compiling data for the report. Additional time will be set aside when submitting for approval. Additional parties will be notified to serve as reminders to ensure task is completed in a timely manner.

Reviews and Sign-offs

QM Accepted on August 19, 2015 by Patricia Carvajal
Supervisor Accepted on August 19, 2015 by David Hernandez

This report was closed by Patricia Carvajal on August 19, 2015.
<table>
<thead>
<tr>
<th>Report ID</th>
<th>Description</th>
<th>Date of Occurrence</th>
<th>Section</th>
<th>Project(s) Affected</th>
<th>Parameter(s)</th>
<th>Level of Severity</th>
<th>Status</th>
<th>Action Accepted</th>
<th>Reporter</th>
<th>Assigned To</th>
<th>QM Supervisor</th>
</tr>
</thead>
<tbody>
<tr>
<td>3321</td>
<td>Sample AA97687 was not checked for chlorine during the E. coli MPN analysis. Analyst thought it was one of the utility samples that didn’t need to be checked for chlorine.</td>
<td>10/14/2015</td>
<td>Lab</td>
<td>SARA Utilities</td>
<td>Escherichia coli</td>
<td>Results not being reported</td>
<td>Corrective Action</td>
<td>Pending</td>
<td>Patricia</td>
<td>No one assigned</td>
<td></td>
</tr>
<tr>
<td>3320</td>
<td>AA97647- and AA97649- A were scratched when analyst was notified that the 24 hour hold time had been exceeded. Samples were to be incubated by 1610 on 10/13/15. Samples were incubated at 1644 on 10/13/15.</td>
<td>10/13/2015</td>
<td>Lab</td>
<td>Contract Utilities</td>
<td>Coliform, Total Escherichia coli</td>
<td>Results not being reported</td>
<td>Corrective Action</td>
<td>Pending</td>
<td>Raquel</td>
<td>No one assigned</td>
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</tr>
<tr>
<td>3319</td>
<td>Samples AA97683-B, AA97684-B, AA97729-B, and AA97730-B tested positive for chlorine during MPN analysis. PAI notified the Lab Manager and continued with analysis.</td>
<td>10/14/2015</td>
<td>Lab</td>
<td>NA</td>
<td>Escherichia coli</td>
<td>Results being reported with qualifier(s)</td>
<td>Review and Closure Pending</td>
<td>No</td>
<td>Hillary</td>
<td>No one assigned</td>
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<tr>
<td>3318</td>
<td>Sample AA97662-A was positive for chlorine during MPN analysis.</td>
<td>10/13/2015</td>
<td>Lab</td>
<td>NA</td>
<td>Escherichia coli</td>
<td>Results being reported with qualifier(s)</td>
<td>No</td>
<td></td>
<td>Patricia</td>
<td>No one assigned</td>
<td></td>
</tr>
</tbody>
</table>
Electronic NCR System

Benefits
• Paperless
• Automatic
• Tracking
• Custom
• Management
• Inclusive
• Consistency
• Transparency

Issues
• Maintenance
• Updates
Jeanette Hernandez
jherandez@sara-tx.org
210-302-3283