Certification Body Quarterly Data Submission Instructions
QFE-016 Version 1.0

This document is a product of the Oversight Work Group of the QuEST Forum. It is subject to change by the Oversight Work Group with the latest version always appearing on the tl9000.org website.

1. PURPOSE

CBs are required to provide the data outlined in this process on a quarterly basis per QFP-034 Third-Party Effectiveness Verification Program. These work instructions outline how to submit the data and provides answers to frequently asked questions for Certification Body ("CB") data submission.

2. SCOPE

This submission process is used by Certification Bodies accredited for TL 9000 certifications

3. RESPONSIBILITIES

QuEST Forum requires CBs to provide data to analyze and identify patterns of performance. CBs are required to submit the audit data to QuEST Forum within seven (7) weeks of the close of each calendar quarter.

Failure to do so shall result in immediate suspension by their Accreditation Body ("AB"). The AB shall work with the CB to understand that root cause analysis for the lack of data submission has been performed and corrective action was effectively implemented before removing CB from suspension status.

The TL 9000 Administrator provides the framework for the CBs to input the data. Once the data is gathered, the TL 9000 Administrator provides the data to the AB Approval Team.

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5. REFERENCES

Code of Practice (current version)
TL 9000 Auditor Time Chart (current version)
QFP-034 Third Party Effectiveness Verification Program

6. PROCESS

6.1 QuEST Forum Notifications:

A. Initial Notification:

QuEST Forum notifies all CB contacts to input audit data for the previous quarter. The email "To" list includes all the CB contacts who have permission to upload audit data. The "cc" list copies the designated CB contacts. This first email notification is sent one (1) month after the end of the quarter, i.e. for quarter Jan - Mar, email is sent by May 1st.

B. Late Reminder:

If the data is not received, QuEST Forum reminds CB contacts to input audit data. The reminder notifies the CB to input data for the previous quarter as soon as possible and is sent to the CB contacts with a copy to the appropriate AB.
This second email is sent one (1) day after the data for the quarter is due.

C. Suspension Notification:

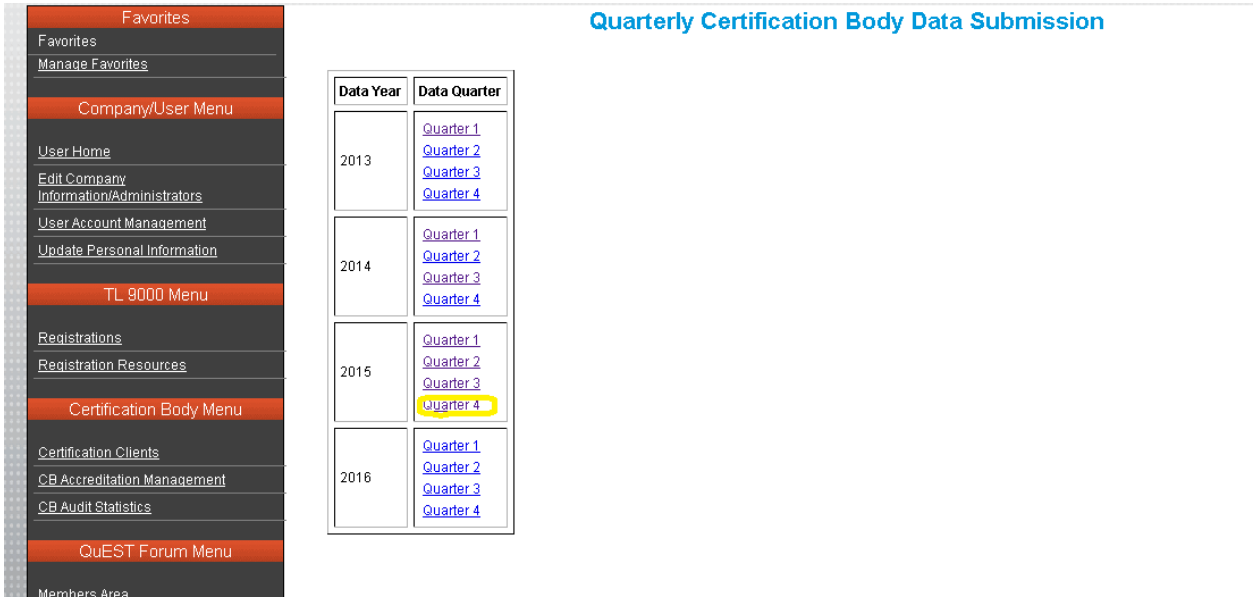
If the CB has still not submitted the data, an email is sent to notify the AB with a copy to the corresponding CB to suspend the CB for missing audit data input.

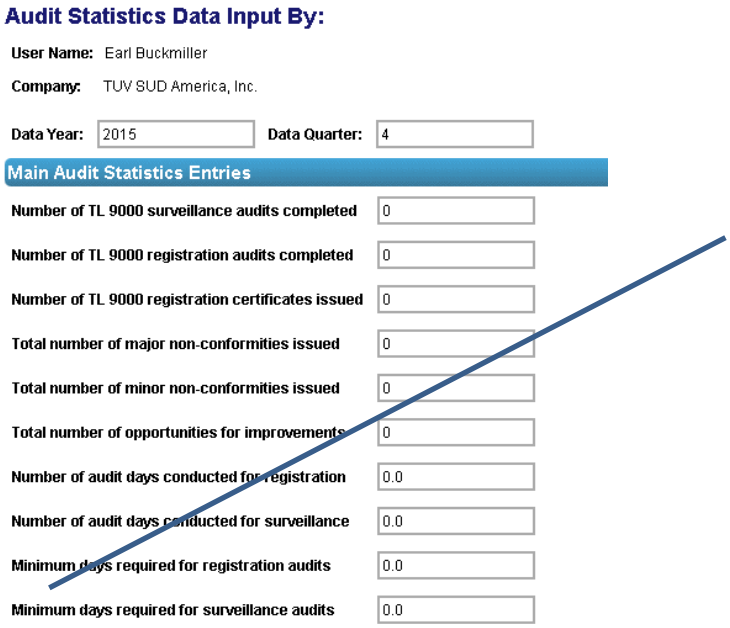
This suspension email is sent two weeks after the data was due.

6.2 CB Submission Templates:

The CB compiles the audit data and submits it by logging on to the QuEST Forum website and completing the templates as noted below.

Templates:





CBs define the calculated minimum days based on the audit days chart and table for ISO and TL minus justified/approved reductions. (See below)
Registration means initial certification and re-certification.

Minimum Audit Days and Actual Audit Days: QuEST Forum requires each CB to submit the following audit day data quarterly. Every quarter, they submit two sets of two totals. The first set is associated with the combination of Registration and Recertification Audits completed in the quarter, while the second set is for Surveillance Audits completed in the quarter.

Minimum Audit Days: This figure is the total number of days for all audits completed in the quarter as defined by the IAF MD-5 (IAF Mandatory Document for Duration of QMS and EMS Audits) Annex A less all allowable reductions from that figure. The time required by the TL 9000 Auditor Time Chart shall be added to this total.

Actual Audit Days: This figure is the actual number of days involved with all audits completed in the quarter.

Quest Forum reviews this information to help determine how comprehensively TL 9000 audits are being performed. It's understood that many TL 9000 organizations are complex, constantly changing, and utilize multiple processes as a result of acquisitions and consolidations. We review this audit day information to understand whether audits are only utilizing only the minimum number of days in their assessments or are being expanded to cover the Organizations' supplemental complexity.

Example: A CB completed two audits in the quarter.
The first audit is re-certification for a single site Organization that designs, manufactures, and services multiple ICT products. They have an HSV registration, reporting to 2 product categories. Per IAF MD-5 Annex A, 10 days are required. The TL 9000 Auditor Time Chart identifies 2.5 additional days for this audit. The organization has a mature QMS, extensive

automation, simple processes, and all key suppliers are TL 9000 registered. As a result of the maturity and automation, the CB felt it appropriate to reduce the minimum audit days for the ISO 9001 assessment by 10% (1 day). They also noted, however, that the organization has 6 different products in one of their product categories and each of those products utilize different processes to collect and verify their TL 9000 measurements. As a result, the CB felt it necessary to add 1.5 audit days to the plan in order to fully assess the Organizations TL 9000 measurement system. For this audit the minimum audit days is = 10 – 1 + 2.5 = 11.5 days. After executing their plan, the actual audit days is = 10 – 1 + 2.5 + 1.5 = 13 days.

The second audit is an initial certification for a small contract manufacturer. They do not do any design but their process for manufacturing is very complex. Per IAF MD-5 Annex A, the ISO 9001 assessment requires 5 audit days. The TL 9000 Auditor Time Chart requires an additional 1.5 audit days. Since there is no design, the CB allowed the ISO 9001 figure to be reduced 20% (1 audit day). But since the manufacturing process is very complex, and dependent on individual operators, the CB required an additional 2 audit days to properly audit the QMS. As a result, the Minimum Audit Days = 5 – 1 + 1.5 = 5.5 days. After executing their plan, the actual audit days = 5 – 1 + 2 + 1.5 = 7.5 days.

For the quarter, the CB reports (for Certification/Recertification Audits):

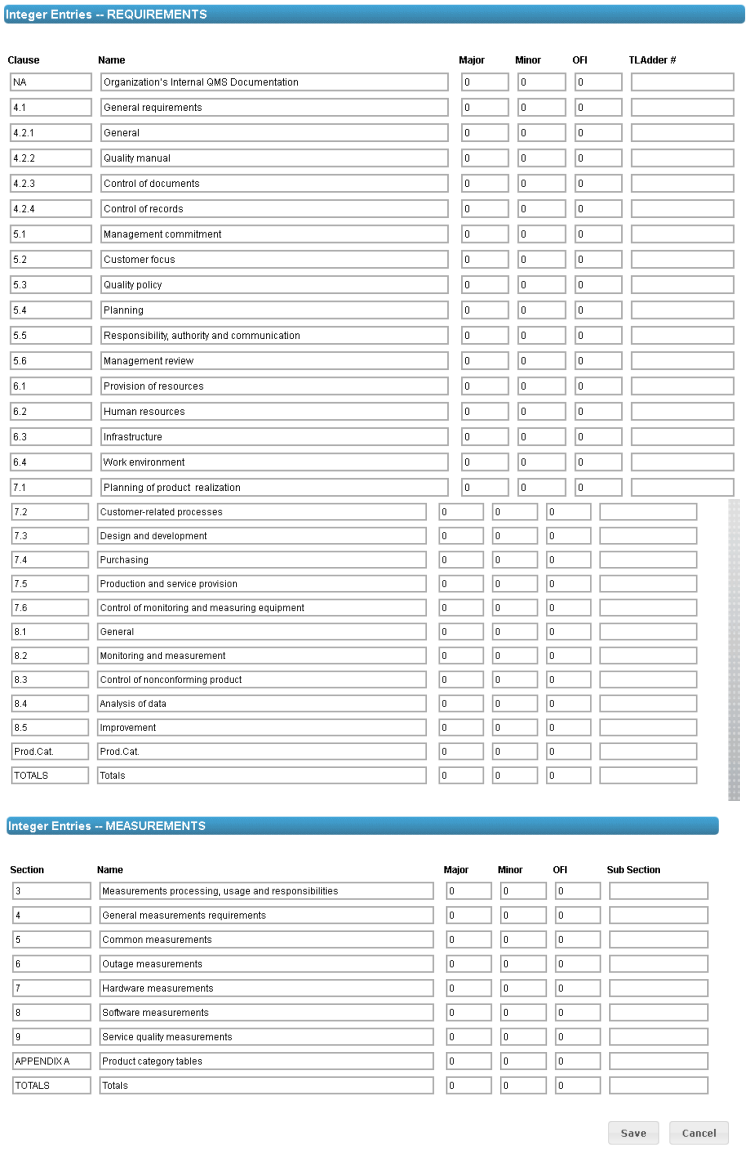
Minimum Audit Days: 17 Days
Actual Audit Days: 20.5 Days

6.3 Optional Identification of TL 9000 Requirements and Measurements Section:

Identification of requirements and measurement is optional. If submitting this data, see below for details.

A. If you are identifying nonconformities (Major and/or Minor) for TL 9000 Requirements, in the "TL Adder #" cell to the right, please be sure to identify which specific requirement or requirements are not in compliance.

B. If you are identifying nonconformities (Major and/or Minor) for TL 9000 Measurements, in the "Sub Section" cell to the right, please be sure to identify which specific measurement requirement or requirements are not in compliance.



Integer Entries -- REQUIREMENTS

Clause	Name	Major	Minor	OFI	TLAdder #
NA	Organization's Internal QMS Documentation	0	0	0	
4.1	General requirements	0	0	0	
4.2.1	General	0	0	0	
4.2.2	Quality manual	0	0	0	
4.2.3	Control of documents	0	0	0	
4.2.4	Control of records	0	0	0	
5.1	Management commitment	0	0	0	
5.2	Customer focus	0	0	0	
5.3	Quality policy	0	0	0	
5.4	Planning	0	0	0	
5.5	Responsibility, authority and communication	0	0	0	
5.6	Management review	0	0	0	
6.1	Provision of resources	0	0	0	
6.2	Human resources	0	0	0	
6.3	Infrastructure	0	0	0	
6.4	Work environment	0	0	0	
7.1	Planning of product realization	0	0	0	
7.2	Customer-related processes	0	0	0	
7.3	Design and development	0	0	0	
7.4	Purchasing	0	0	0	
7.5	Production and service provision	0	0	0	
7.6	Control of monitoring and measuring equipment	0	0	0	
8.1	General	0	0	0	
8.2	Monitoring and measurement	0	0	0	
8.3	Control of nonconforming product	0	0	0	
8.4	Analysis of data	0	0	0	
8.5	Improvement	0	0	0	
Prod.Cat.	Prod.Cat.	0	0	0	
TOTALS	Totals	0	0	0	

Integer Entries -- MEASUREMENTS

Section	Name	Major	Minor	OFI	Sub Section
3	Measurements processing, usage and responsibilities	0	0	0	
4	General measurements requirements	0	0	0	
5	Common measurements	0	0	0	
6	Outage measurements	0	0	0	
7	Hardware measurements	0	0	0	
8	Software measurements	0	0	0	
9	Service quality measurements	0	0	0	
APPENDIX A	Product category tables	0	0	0	
TOTALS	Totals	0	0	0	

Save Cancel

6.4 Clarification Questions and Answers:

A. What happens if a Stage 1 is conducted on one quarter and the Stage 2 doesn't take place until the following quarter? The statistics will be skewed (i.e. number of days delivered versus certificates issued)

ANSWER: The CB is to provide data (on audit days and findings) for the audits completed in the quarter. A certification audit is not complete until the stage 2 activity is complete. Therefore, the total planned and actual audit days (inclusive of stage 1 and stage 2) and the associated findings for that audit are to be included in the data for the quarter that the audit is completed. The same guidance is true for an on-site or multi-site audit that spans multiple

quarters. The audit days and findings are to be included in the data submitted in the quarter the audit completes.

B. For certificates issued, do we include those issued because of changes / corrections (e.g. name or address change)

ANSWER: The number of certificates issued should be the number of certificates issued for certification or re-certification audits, not for changes or corrections to an active certificate. The intent here is to understand the number of certificates issued when all requirements of the standard have been assessed as opposed to audits where only a subset of requirements have been reviewed.

C. What about the other audits that may be conducted? Should these also be captured – i.e. Special audits, extension to scope, etc.

ANSWER: All TL 9000 audits should be included in the data submitted. Scope extensions and/or follow-up audits when nonconformities are to be reviewed are to be included in the surveillance category for data submissions. Special visits to closeout nonconformities are considered part of the original audit.

D. What does suspension mean for the CB and for the CB's clients?

ANSWER: Suspensions are managed by the AB's policies for their CBs. But when a CB is put on suspension, they can continue to support existing certificates. They cannot, however, issue new certificates until the suspension is lifted. If the CB has not satisfactorily addressed the problem within the period defined by their AB, the CB's accreditation for TL 9000 will be withdrawn and their customers will need to be transitioned to an accredited CB. This policy was introduced to assure that all CBs submit their data within the time period defined and QuEST Forum stands behind this approach. It should be noted that prior to issuing suspension letters to the CB and their AB, the CB has received two reminder notices that their data has not yet been received.

7. QUALITY RECORDS

Data submission records are on the QuEST Forum website.

8. REVISION HISTORY

Latest Date Reviewed (Version update not required if document not revised):

Change to Revision	Description/DCR Number	Effective Date	Name
1	Initial Release	April 15, 2016	Ken Koffman, Laura Coplon