TL 9000 Late Data Submission Process

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PURPOSE

1.1   The TL 9000 Measurements Handbook requires certified registrations to submit their TL 9000 measurements data no later than seven weeks after the end of the month.

1.2   To enforce this requirement, this process was put in place starting with the September 2006 data submission.

PROCESS

Abbreviations used in this document:

RMS – Registration Management System
MRS – Measurements Repository System
CB – Certification Body (sometimes called Registrar)

Note: In the following paragraphs and charts automated e-mails are sent from the RMS when certain events occur. Data submission reminder e-mails are sent to the Primary and Alternate contacts for the registration as well as anyone who is authorized to make a data submission for that registration. Probation and Suspension placement and removal e-mails are sent to the Primary and Alternate contacts for the registration as well as the primary contact of the registration's CB.

2.1   The RMS sends an e-mail to every certified registration that has not submitted their data one week prior to the due date. See http://tl9000.org/alerts/data_submissions.html for a list of the due dates.

2.2   A second notification e-mail is sent the day before the data is due if it still has not been received.

2.3   The probation and suspension process will be disabled if there are systemic problems within the MRS preventing data submission. Note that such problems must be with the TL 9000 administrator's systems and not with the organization's systems.

2.4   Any organization experiencing submission difficulties should contact the TL 9000 Administrator via the Contact Us function on the TL 9000 (http://tl9000.org) website as soon as possible. This contact must be initiated prior to the data due date to prevent the data submittal from being considered late.

2.5   Two days after the data submission due date the system sends probation and suspension e-mails to all registrations placed on probation or suspension as determined by the rules shown later in this document.

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2.6 The public can view the registration profile of any TL 9000 certified organization through the TL 9000 web site. Registrations put on probation or suspension will show such status to the public until such time as the probation or suspension is removed.

2.7 Registrations placed on probation can continue to make data submissions and all such data submissions will be marked as 'Certified to TL 9000.' The Data Submission Receipt will also show the status as 'Certified to TL 9000.'

2.8 Registrations placed on suspension can continue to make data submissions and all such data submissions will be marked as 'Not Certified to TL 9000.' The DSRs of these submissions will also show as 'Not Certified to TL 9000.' Data submissions made while on suspension can be changed to 'Certified to TL 9000' only by the TL 9000 Administrator after direction by the Certification Body.

2.9 Sixty days after a registration is placed on suspension, the public profile of the registration will not be visible to the public until the suspension is removed. The registrant will still be able to make data submissions and the certification body will continue to have access to the registration records.

2.10 Each month, registrations which have been on suspension for 90 days or more with no indication of activity to address resolving the suspension will be de-certified. This is handled via an automated system process.

USE

This Late Data Submission Process document is effective immediately on release and remains in effect until modified by TIA QuEST Forum.
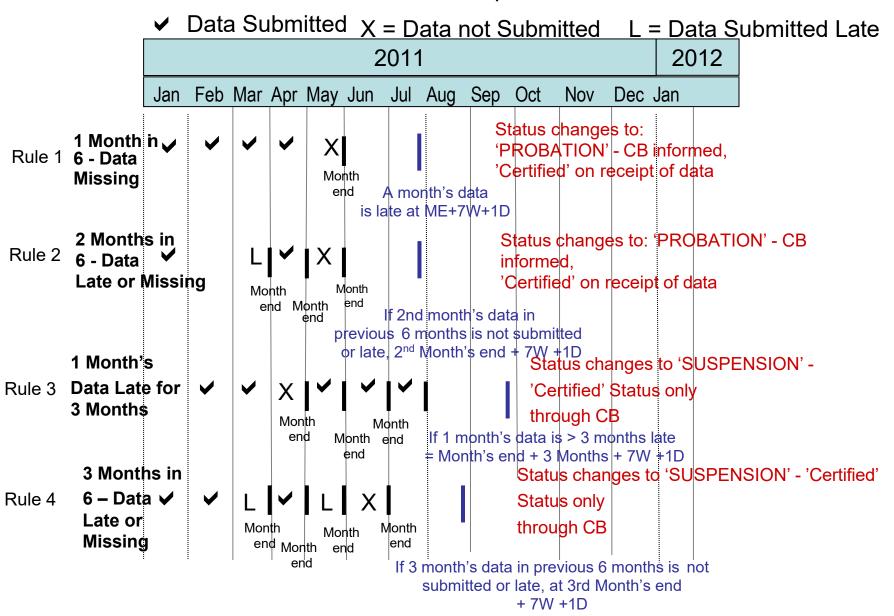
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This chart covers the criteria for TL 9000 Certification 'Probation' and 'Suspension' and the responsibilities of the parties involved.

TL 9000 Certified Registration	Certification Status	RMS/MRS System	Certification Body
1) One late** monthly measurement data submission (within a 6 month rolling calendar) – Status in RMS changed to 'Probation.' A notification e-mail is sent automatically by the RMS.	Probation	On receipt of late measurements data the registration is returned to 'Certified' status. A notification e-mail is sent automatically by the RMS.	Notified via e-mail of Probation and also when status revised to 'Certified.' Incorporate assessment of delay into next surveillance audit.
2) Two late monthly measurement data submissions (within a 6 month rolling calendar) – Status changed to 'Probation.' A notification e-mail is sent automatically by the RMS.	Probation	On receipt of late measurements data the registration is returned to 'Certified' status. A notification e-mail is send automatically by the RMS.	Notified via e-mail of Probation and also when Status revised to 'Certified.' Incorporate assessment of delay into next surveillance audit.
3) One monthly data submission over 3 months late – Status changed to 'Suspended.' A notification e-mail is sent automatically by the RMS.	Suspension	CB sent a suspension notification by e-mail.	Is responsible for resolving 'Suspension' with the registration. This may be done via a "Special" Assessment or through other means (to be determined between the CB and the TL 9000 registration). On successful resolution of the issue, the CB will reinstate the 'Certified' Status. If the issue cannot be resolved satisfactorily, the Certification may be decertified by the CB or deleted by the organization. Notification e-mails are sent by the RMS for the actions taken.
4) If there are three or more late monthly measurement data submissions (within a 6 month rolling calendar) the registration status is changed to 'Suspended.'	Suspension	CB sent a suspension notification by e-mail.	Same as item 3 above

**Late submissions are defined as being 7 weeks + 1 day, past the end of the month.

Data Submission Suspension Process
Examples

✔ Data Submitted   X = Data not Submitted   L = Data Submitted Late

2011												2012
Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan

Rule 1   **1 Month in 6 - Data Missing**

✔ ✔ ✔ ✔ X
Month end

A month's data is late at ME+7W+1D

Status changes to: 'PROBATION' - CB informed, 'Certified' on receipt of data

Rule 2   **2 Months in 6 - Data Late or Missing**

✔   L ✔ X
Month end   Month end   Month end

If 2nd month's data in previous 6 months is not submitted or late, 2nd Month's end + 7W +1D

Status changes to: 'PROBATION' - CB informed, 'Certified' on receipt of data

Rule 3   **1 Month's Data Late for 3 Months**

✔ ✔ X ✔ ✔ ✔
Month end   Month end   Month end

If 1 month's data is > 3 months late = Month's end + 3 Months + 7W +1D

Status changes to 'SUSPENSION' - 'Certified' Status only through CB

Rule 4   **3 Months in 6 – Data Late or Missing**

✔ ✔ L ✔ L X
Month end   Month end   Month end   Month end

If 3 month's data in previous 6 months is not submitted or late, at 3rd Month's end + 7W +1D

Status changes to 'SUSPENSION' - 'Certified' Status only through CB

T
I
M
E

Normal Submission Date period start

7 days before deadline Month end)	→	Automatic notification e-mail to

1 day before "late"	→	Automatic notification e-mail to

Late - Measurements
Submission missed
(Reporting period end + 7 weeks)

1st month or 2nd month's data "Late" + 1 day within previous 6 months	→	**RMS shows 'Probation'**	→	**Automatic e-mail to CB and Organization**

For any submission Difficulties - Use the Contact Us function on the web site to resolve and/or prevent automatic "Status" change

Data submission received OK (1st or 2nd month in past 6 that were late) - Automatic 'Certified' status on RMS and automatic e-mails to Organization and CB

1 month "Late" by 3 months + 1 day *or* 3rd month's data "late" in last 6 months	→	RMS shows **'Suspension'**	→	Automatic e-mail to CB and Organization

RMS changed to show Suspended status
Once data submission(s) received OK
'Certified' status only through CB, e-mails inform CB