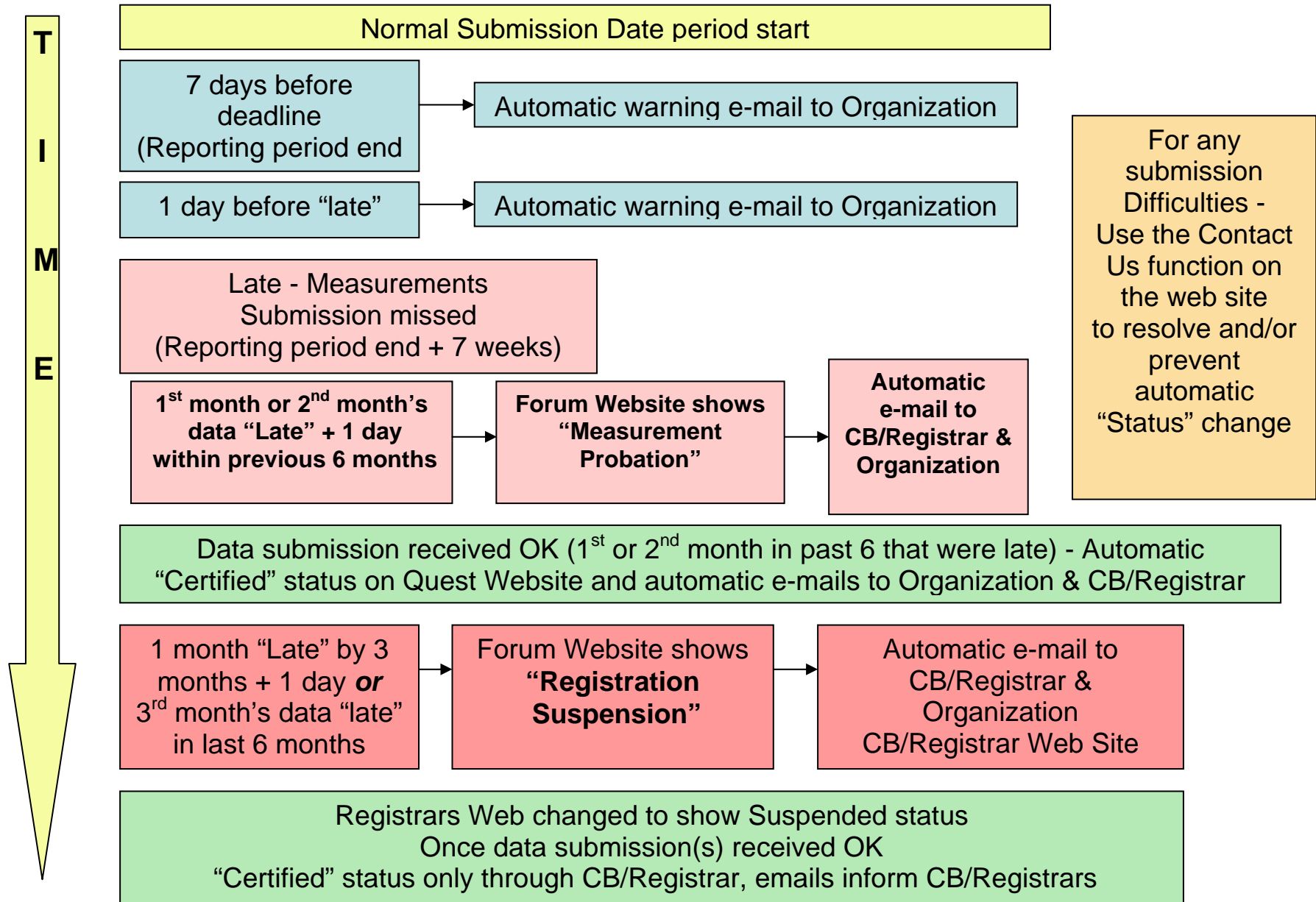




TL 9000 Informational Alert

1. Originating Workgroup: Workgroup: Oversight Contact: Tom Yohe (Thomas.f.yohe@alcatel.com) Or contact@questforum.org	2. Alert Number: 06-003A
3. Documentation Affected: None	4. Issue Date: 2006/11/14
5. Reason for Alert: Notification of implementation of automated enforcement of data submittal timeliness rule	
6. Description: <p>The TL 9000 Measurements Handbook requires certified organizations to submit data no later than seven weeks after the end of the reporting period. To enforce this requirement new processes are being put in place commencing with the fourth quarter 2006 data submission. Organizations that are late with their data submittal will be shown in "Measurement Probation" status on the QuEST Forum web site listing of certified organizations. This status will be changed back to "Certified" if the late data is submitted within three months of the due date. Failure to do so or repeated occurrences of missing the due date for data submittal will result in the suspension of the organization's TL 9000 certification. Action by the organization's registrar will be required before the certification suspension can be removed. Please see the following document for full details on the process being implemented.</p>	
7. Comments: <p>An e-mail will be sent to any organization whose data has not been received one week prior to the reporting due date. This will be followed by an e-mail the day before the data is due if it has still not been received. The measurement probation and suspension process will be disabled if there are systemic problems within the MRS preventing data submission. Any organization experiencing submission difficulties should contact the TL 9000 Administrator via the Contact US function on the Quest Forum (questforum.org) or TL 9000 (tl9000.org) website as soon as possible to resolve them. This contact must be initiated prior to the data due date to prevent the data submittal from being considered late.</p>	

Late Data Submittal Rule Enforcement Process



Data Submission Suspension Process Quarterly Data Submissions

✓ Data Submitted X = Data not Submitted L = Data Submitted Late

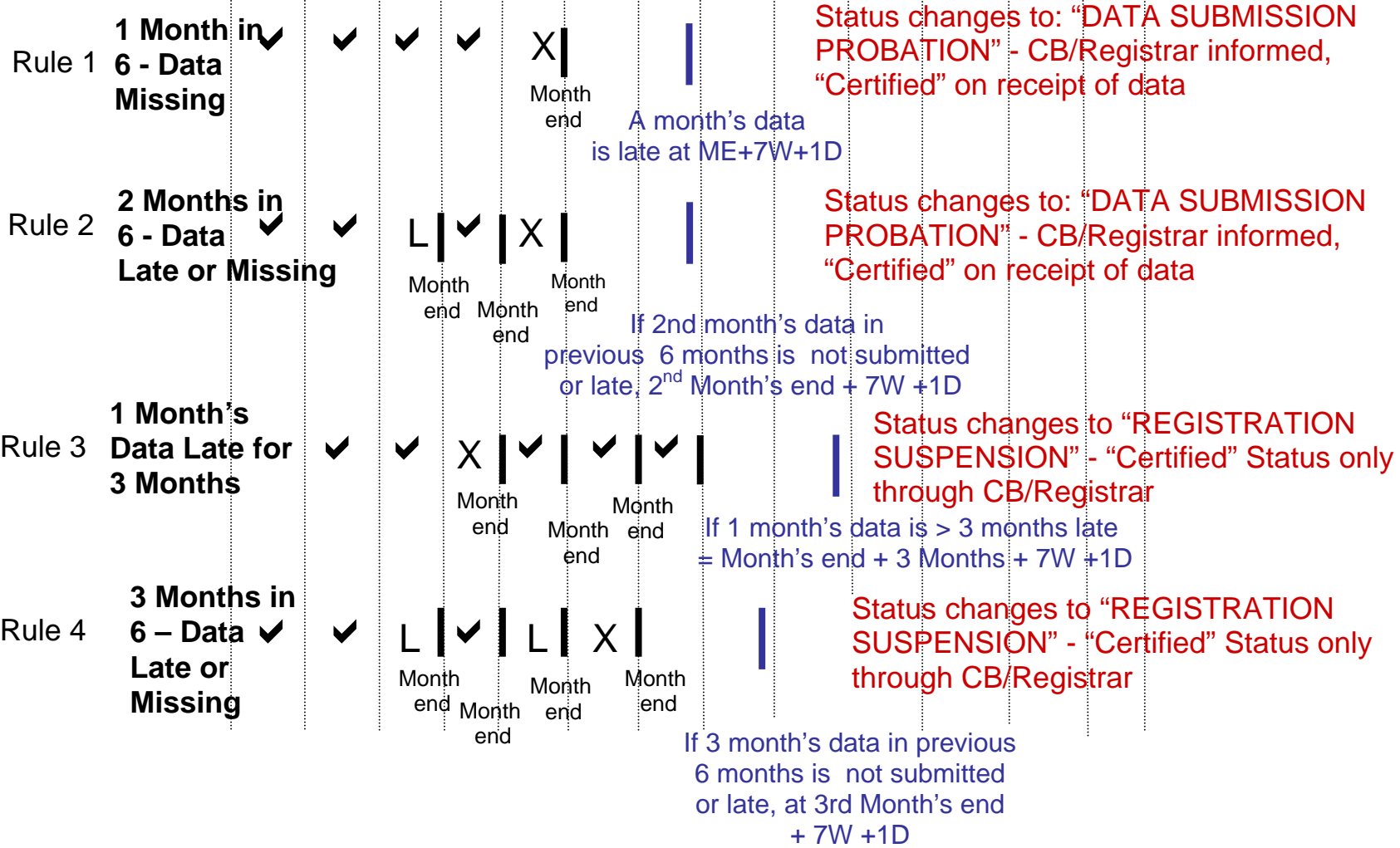
2006										2007						
Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	
Rule 1			X	X	X											<p>Status changes to: "DATA SUBMISSION PROBATION" - CB/Registrar informed, "Certified" on receipt of data</p>
						Quarter end										<p>If ≥ 1 month in quarter late, QE+7W+1D</p>
Rule 2	✓	✓	L		✓	X	✓									<p>Status changes to "REGISTRATION SUSPENSION" - "Certified" Status only through CB/Registrar Action</p>
			Quarter end			Quarter end										<p>If ≥ 1 month in previous quarter late,</p>
Rule 3	✓	X	✓		✓	✓	✓									<p>Status changes to "REGISTRATION SUSPENSION" - "Certified" Status only through CB/Registrar</p>
		Quarter end			Quarter end											<p>If a month from a previous quarter's data is still not</p>

Data Submission Suspension Process

Monthly Data Submissions

✓ Data Submitted X = Data not Submitted L = Data Submitted Late

2007												2008
Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan



Proposed Suspension Process (Effective through December 2007) – TL 9000 Registered Companies & Late Measurements Data Submission

Note: The Measurements Repository System clock is set to UTC (GMT) and the time of data submittal is the time at the MRS, not the submitter’s local time.

This chart covers the criteria for TL 9000 Certification “Measurement Probation” or “Suspension” and the responsibilities of the parties involved, from introduction of these rules until monthly submissions are mandated (January 2008).

***A Process of reminder/warning e-mails will automatically be sent to company contacts prior to the data being “late”.**

1st E-mail – 7 days before the “Late” date is reached

2nd E-mail – 1 day before the “Late” date is reached

TL 9000 Registered Company	Certification Status	QuEST Forum	Registrar
<p>1. Three consecutive months (one quarter) of data being late for submission – Status on QuEST Forum Website changed to “Data Submission Probation”.</p> <p>(Quarter end date + 7 weeks + 1 day for quarterly and monthly submissions)</p>	<p>Data Submission Probation</p>	<p>On receipt of late measurements data - reinstate “Certified” Status. Will notify the Registrar via e-mail of change of status to “Data Submission Probation” and, if applicable, change of status to “Certified”.</p>	<p>Notified via e-mail of “Data Submission Probation” and also when Status revised to “Certified”. Incorporate assessment of delay into next surveillance audit.</p>
<p>2. Any month’s data being greater than three months late (this translates to any month’s data within a calendar quarter being later than the close of the calendar quarter + 3 months + 7 weeks + 1 day) – Status on QuEST Forum Website set to “Registration Suspension”.</p>	<p>Registration Suspension</p>	<p>Will notify Registrar via e-mail of the “Registration Suspension” status.</p>	<p>Is responsible for resolving “Registration Suspension” with Company. This may be done via a “Special” Assessment or through other means (to be determined between the Registrar and the TL 9000 Company). On successful resolution of the issue, the Registrar will reinstate the “Certified” Status. If the issue cannot be resolved satisfactorily, the Certification may be withdrawn. The Registrar will notify the QuEST Forum of the outcome of the suspension.</p>

<p>3. Late for 4 or more consecutive months (spanning 2 consecutive quarters) - this equates to 4 or more consecutive months where the data submission either doesn't occur or occurs greater than one month + 7 weeks + 1 day from the close of the associated calendar quarter) – Status on QuEST Forum Website set to "Registration Suspension".</p>	<p>Registration Suspension</p>	<p>Will notify Registrar via e-mail of the "Registration Suspension" status.</p>	<p>Same as item 2 above</p>
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Proposed Suspension Process (Effective January 08 – Based On Monthly Submissions) – TL 9000 Registered Companies & Late Measurements Data Submission

This chart covers the criteria for TL 9000 Certification "Measurement Probation" and "Suspension" and the responsibilities of the parties involved.

TL 9000 Registered Company	Certification Status	QuEST Forum	Registrar
<p>1) One late monthly measurement data submission (within a 6 month rolling calendar) – Status on QuEST Forum Website changed to "Data Submission Probation".</p>	<p>Data Submission Probation</p>	<p>On receipt of late measurements data - reinstate "Certified" Status. Will notify the Registrar via e-mail of change of status to "Measurement Probation" and, if applicable, change of status to "Certified"</p>	<p>Notified via e-mail of Probation & also when Status revised to "Certified". Incorporate assessment of delay into next surveillance audit.</p>
<p>2) Two late monthly measurement data submissions (within a 6 month rolling calendar) – Status on QuEST Forum Website changed to "Data Submission Probation".</p>	<p>Data Submission Probation</p>	<p>On receipt of late measurements data - reinstate "Certified" Status. Will notify the Registrar via e-mail of "Data Submission Probation" status and, if applicable, change of status to "Certified"</p>	<p>Notified via e-mail of Probation & also when Status revised to "Certified". Incorporate assessment of delay into next surveillance audit.</p>

<p>3) One monthly data submission over 3 months late – Status on QuEST Forum Website changed to “Registration Suspension”.</p>	<p>Registration Suspension</p>	<p>Will notify Registrar via e-mail of the “Registration Suspension” status</p>	<p>Is responsible for resolving “Registration Suspension” with Company. This may be done via a “Special” Assessment or through other means (to be determined between the Registrar and the TL 9000 Company). On successful resolution of the issue, the Registrar will reinstate the “Certified” Status. If the issue cannot be resolved satisfactorily, the Certification may be withdrawn. The Registrar will notify the QuEST Forum of the outcome of the suspension.</p>
<p>4) Three or more late monthly measurement data submissions (within a 6 month rolling calendar) – Status on QuEST Forum Website changed to “Registration Suspension”.</p>	<p>Registration Suspension</p>	<p>Will notify Registrar via e-mail of the “Registration Suspension” status</p>	<p>Same as item 3 above</p>

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