

Certification Body Quarterly Data Submission Instructions
BPCE-016 Version 2.0

This document is a product of the Oversight Work Group of the TIA BPC. 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 document on a quarterly basis per BPCE-034 Third-Party Effectiveness Verification Program. These work instructions outline how to submit the data and provide answers to frequently asked questions re: Certification Body data submission.

2. SCOPE

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

3. RESPONSIBILITIES

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

Failure to do so shall result in immediate suspension by their Accreditation Body. 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 infrastructure for the CBs to input the data. Once the data is gathered, the TL 9000 Administrator provides the data to the AB Approval Team.

6. ABBREVIATIONS

AB – Accreditation Body
BPC – Business Performance Community
CB – Certification Body
RMS – Repository Management System
TIA – Telecommunications Industry Association

5. REFERENCES

Code of Practice for the TL 9000 Certification Process
IAF MD 5 Determination of Audit Time of Quality and Environmental Management Systems
Third Party Effectiveness Verification Program
TL 9000 Auditor Time
(current versions of References are to be consulted in all cases)

6. PROCESS

6.1 Notifications:

A. Initial Notification:

The RMS notifies all CB contacts to input audit data for the previous quarter. The email distribution list includes all the CB contacts who have permission to upload audit data, and copies other designated CB contacts. This first email notification is sent one (1) month after the end of the quarter; e.g., for Q1 (Jan-Feb-Mar), the email is sent by May 1st.

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B. Late Reminder:

If the data is not received, the RMS reminds the 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 in to the RMS at tl9000.org and completing the templates as noted below.

Templates:

Quarterly Certification Body Data Submission

Data Year	Data Quarter
2013	Quarter 1
	Quarter 2
	Quarter 3
	Quarter 4
2014	Quarter 1
	Quarter 2
	Quarter 3
	Quarter 4
2015	Quarter 1
	Quarter 2
	Quarter 3
	Quarter 4
2016	Quarter 1
	Quarter 2
	Quarter 3
	Quarter 4

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Audit Statistics Data Input By:

User Name: Earl Buckmiller

Company: TUV SUD America, Inc.

Data Year: **Data Quarter:**

Main Audit Statistics Entries

Number of TL 9000 surveillance audits completed	<input type="text" value="0"/>
Number of TL 9000 registration audits completed	<input type="text" value="0"/>
Number of TL 9000 registration certificates issued	<input type="text" value="0"/>
Total number of major non-conformities issued	<input type="text" value="0"/>
Total number of minor non-conformities issued	<input type="text" value="0"/>
Total number of opportunities for improvements	<input type="text" value="0"/>
Number of audit days conducted for registration	<input type="text" value="0.0"/>
Number of audit days conducted for surveillance	<input type="text" value="0.0"/>
Minimum days required for registration audits	<input type="text" value="0.0"/>
Minimum days required for surveillance audits	<input type="text" value="0.0"/>

Minimum Audit Days and Actual Audit Days: TIA BPC requires each CB to submit audit day data quarterly, comprising two sets of two totals: the first set is for Registration Audits (the combination of Initial Certification 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 required number of days for all audits completed in the quarter as calculated per the IAF MD 5 and TL 9000 Auditor Time references, less any justified reductions.

Actual Audit Days: This figure is the minimum audit days plus any added time deemed appropriate by the CB to address any areas or elements of added complexity.

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

6.3 Optional Identification of TL 9000 Measurements Section:

For TL 9000 Measurements, if you are identifying any major or minor nonconformities for a given section, then, in the "Sub Section" cell to the right, you may identify which specific requirement(s) are not in conformity. See screenshot examples below.

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Integer Entries -- MEASUREMENTS

Section	Name	Major	Minor	O/I	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	

6.4 Clarification Questions and Answers:

- A. What happens if a Stage 1 is conducted in 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 (including both 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 in which the audit completes.

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

ANSWER: The number of certificates issued should be the number of certificates issued for certification or recertification 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 are to be included in the surveillance category for data submissions. Special visits to close out nonconformities are considered part of the original audit in which the nonconformities were raised.

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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. 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 ensure that all CBs submit their data within the time period defined and TIA BPC 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.

8. QUALITY RECORDS

Data submission records are retained in the RMS.

9. 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
2	Minor housekeeping and rebranding updates; document # changed to BPCE-016	Dec. 10, 2018	AB/CB Subteam