

Validation Audit Measurement Checklist Tool

Question Type	Question	Look For	Evidence
3.1.a Requirements for Measurement Usage	Show examples for how you use TL 9000 measurement data internally as part of your continual improvement program	Time Est: 10 min to pull up examples and discuss. If consistently not able to demonstrate, then a major. This is based on the TL purpose to drive continuous improvement and this is a key requirement in TL.	
3.1.b Requirements for Measurement Usage	Show examples for how you use TL 9000 measurement performance data as part of your customer-organization exchanges	Evidence of TL measurement results in customer report cards, strategic customer meetings. If no records available, Organization needs to explain why the data would be inappropriate (they probably can't). Time Est: 5-10 min	
3.2 Principles of Measurement Reporting & 4.1.2 Applicable Product Categories	How do you map your products to product category(ies)? How do you know you have selected the proper product categories for your products?	List of products under certification and the associated Product Category Table entry mapping. Is it the correct mapping? Use new Product Category Selection and Validation Guidelines paper as a resource. Time Est: 5-10 min If clear mismapping or improper aggregation, it would be a major non-conformity	
3.2 Principles of Measurement Reporting & 4.1.2 Applicable Product Categories	If you submit data for multiple product categories, how does your data collection system assure that the data is segmented properly for the different product categories?	Time Est: 15 min-20min Goes to the heart of data collection. Could take a while to demonstrate. Mistakes here could lead to systemic issues in the data reported.	
3.4.2 Customer Base & 4.2.5 Product Exclusions	Do you exclude any customers and/or products from any measurements? Where is it documented and how does your measurement system support this? Do your customer's use a 3rd-party repair agency? Is that 3rd-party repair agency providing data to your organization?	Time Est: 5 min - 10 min Look at exclusion documentation. If rational sound, great. Should ask how 3rd parties are used, if applicable.	
3.5.2a) Organization Responsibilities	Show me the documented procedure(s) you use for capturing and validating your TL 9000 measurement data	Time est: 5 - 15 min The process must be documented. Pay particular attention to how validation of data is performed.	
3.5.2i) Organization Responsibilities	Does your org use TL performance results and compare to industry performance? Show me an example(s)?	Time Est: 5 min	

Validation Audit Measurement Checklist Tool

3.5.2j) Organization Responsibilities	How do you share your TL 9000 performance results with your management team?	Time Est: 5min	
3.5.2e); k) Organization Responsibilities	Review the submission history report on the QuEST Forum website and Data Submission Receipts submission reports for monthly submittals, paying particular attention to any submissions that were late and/or were not submitted.	Time Est: 5 - 10 min Green entries indicate on time submission; red indicates late submission; blue indicates resubmission (on time), Majenta indicates resubmission (late), black indicates no data submitted. If there was a probation, discuss whether there were changes to the data collection / verification / submission process to avoid future recurrence. If there was a suspension, review basis for restoring registration.	
3.5.2e); k) Organization Responsibilities	Review the submission history report on the QuEST Forum website and Data Submission Receipts submission reports for monthly submittals, paying specific attention to any submittals with advisories.	Time Est: 5 - 20 min Any submission with an advisory is noted with a ** in the data submission summary. If one is observed, then the actual DSR should be reviewed to identify which advisory or advsaries were flagged. The Organization should then be asked to show what they did to verify their data as a result fo the advisory. Records should be available for this. If the review identified that the data was inaccurate, a resubmission of that month's data must be seen.	
3.5.2e); k) Organization Responsibilities	Review the submission history report on the QuEST Forum website and Data Submission Receipts submission reports for monthly submittals, paying particular attention to any re-submissions.	Time Est: 5 - 20 min Blue entries indicate resubmission (on time), Majenta indicates resubmission (late). If there are frequent resubmissions (regardless of whether the original submission is on time or not), this should be probed to understand whether the Organization's process for collection, validation, and submission is sound. Frequent resubmissions is often a symptom of poor data validation	
3.5.2k) Organization Responsibilities	How are data discrepancies handled? Have you encountered a situation where there was data submitted to the QuEST Forum that was later found to be in error? If so, how did you handle that situation?	Time Est: 10 -15 min Must resubmit for data found inaccurate going back 2 years	

Validation Audit Measurement Checklist Tool

3.5.2l) Organization Responsibilities	Do you have any TL 9000 registered suppliers? If so, how did/do you know what data they require for their TL 9000 submissions? Show me how you provide the data.	Time Est: 5 -10 min	
3.5.1g) Organization Responsibilities and 4.2.6 Product Measurement	When in the product life cycle do you start counting TL Measurements (problem reports, shipments, outages, returns, etc.)? How does your data collection system support this?	Time Est: 5 - 15 min	
4.2.7 Calculation of Normalization Units	How do you capture/validate your NU data used for TL 9000 measurements? How is this data aligned with your defined customer base on a per measurement basis? How does it assure that you only include products from the GA phase/retirement phase?	Time Est: 10 - 15+ min. Lots of things to be answered in this question. Could spend quite a bit of time just on this line item alone. Mistakes here could greatly alter the final metric. A systemic or broadly found issue in this area would be a Major	
3.2b) Principles of Measurement Reporting, 4.2.8b) Data Submission and Exemptions	Do you have any measurement exclusions? If so, show me the documented rationale that has been approved by your CB. Sample 3 random data submission receipts and look for "EXEMPT" - if found, make sure proper exemption documentation exists.	Time Est: 5 - 10 min if search for documentation required	
NPR_5.1.4b6	NPR-Data Collector Question: How is it insured that problem reports are counted in the month received?	Time Est: 5 min Problem reports are counted in the month they are received and only in the month they are received.	
NPR_5.1.4c4	NPR-Data Collector: What is excluded from the counting for NPR measurement?  Are Training, Info Given, Customer Fault, RMA issue and External Equipment, sw upgrades filtered out of the problem reports? Show records.	Time Est: 5 min Exclude: information request, feature request, customer reports of routine events such as Expected Maintenance, Training, Info Given, Technical Assistance, Customer Fault, RMA issue and External Equipment, sw upgrades, or no expectation from customer to investigate or take action are filtered out of the problem reports.	
FRT_5.2.4b5	Data Collector: FRT shall be reported in the severity classification at the time the problem report is due to be closed	Time Est: < 5min Data Collector question.	

Validation Audit Measurement Checklist Tool

FRT_5.2.4b7	FRT-Date Collector: If Organization didn't have access to the information due to Customer issues, how is the delay time incorporated into the calculation for FRT? How is this condition documented?	Time est: < 5min This is asking how do we account for customer delays when determining the fix response time. Requirement mandates seeing record of specific start and stop times for customer delay. Make sure this is captured. Not being able to get access to a customer facility to resolve a problem report. (Data Collector)	
FRT_5.2.4b9	FRT-Data Collector: When the customer requires case closure only when the fix available/delivered, how is the wait time handled in the FRT calculation FRT reports? What happens to FRT if the solution is not delivered when committed by the Organization or the solution doesn't work?	Time est: 5 - 10 min (Data Collector) If, with customer consent, the implementation of a fix is deferred, such as waiting for the next software update versus a patch, then the deferral interval shall not be included. This deferral may be to an agreed scheduled date when the fix is to be delivered or simply to a specific new product release that will contain the fix. In either case, the effect is to move the date the fix is due to the date the fix is delivered to the customer in accordance with any agreed commitment for delivery of the fix.	
FRT_5.2.4d1	FRT-Select three majors and review the records and correct incorporation into fix response time. Verify if it was due and addressed in 30 calendar days it is reported in FRT numerator. If the fix was delivered after 30 calendar days, verify the OFR is reported per 5.3.4b rules for counting or 5.3.4c rules for exclusions. (Product Categories 1, 2, 3, 4, 5, 6, and 9).	Time est: 10 - 15 mins 30 calendar days for major problem reports.	
5.2.4b3 FRT	FRT-When case is closed and later gets reopened, how does it impact FRT reporting? This time is required to be counted.	Time est: 5 min This intervening time is required to be counted.	

Validation Audit Measurement Checklist Tool

FRT_5.2.4b11	FRT-Do you have an incident where the customer approves that the time between the temporary/interim fix and the commitment date for the permanent fix? How does this impact the fix response time calculation? Show me how this is tracked and reported?	Time est: 15+ min With customer approval, the time between the application of a temporary or interim fix and the commitment date for a permanent fix may be excluded in the fix response time calculation. The customer must agree that the temporary fix meets their needs. Failure to provide an acceptable resolution with a permanent fix by the negotiated commitment date will result in the restoration of all the excluded time. This could take quite a bit of time to look for and provide an example or determine that there isnt an example. You might ask ask them to provide the evidence prior to the closure of the Validation Audit. Watching them search for an example could eat up the entire interview.	
FRT_5.2.4b2	FRT-How are SLA's identified? If there is a customer requirement more stringent or different than that defined in FRT, how are these requirements and times tracked, verified?	Time Est: 10 min The start of the interval for calculating FRT shall be the date (and time when required by an SLA) the problem is reported to the organization. If the severity of a problem report is modified, the FRT interval shall still start at the receipt of the problem report.	
SONE_Exclusions_6.2.4b5	SONE-Data Collector Question: How do you determine the % of the Normalization Unit impacted in an outage? How is this informtion captured? Show me examples. If no data exists to determine the % of the system out, how is the % calculated?	Time est: 5 min Provision network capacity will provide what the system was configured as at the time of the outage. Such as DS1s, DS3s, OC-192s, OC-148s. This allows Organization to configure the percentage of the system out at the time of the outage.	
OFR_5.3.4b2	OFR-Select three majors that have been overdue and review the records vs the fix response time/overdue fix responsiveness	Time est: 10 min	
OFR_5.3.4b2	OFR-Select three minors that have been overdue and review the records vs the fix response time/overdue fix responsiveness	Time est: 10 min	
3.5.2b) Organization Responsibilities	How are NPR, FRT, and OFR results validated?  Review records of validation. What is the retention time? Where are they maintained?	Time est: 5 - 15 min	

Validation Audit Measurement Checklist Tool

OTD - MHB_3.5.2.a Organization Responsibilities	Is there a documented process that outlines how the data is captured and validated?	Time est: 5 min Utilize documented processes to capture and validate applicable measurement data such that source data records are available	