

SCS 9001 Late Data Submission Process

This document is a product of the Oversight Working Group of the TIA QuEST Forum. It is subject to change by the Oversight Working Group with the latest version always appearing here.

PURPOSE

1.1 The SCS 9001 Supply Chain Security Management System Handbook requires certified registrations to submit their SCS 9001 measurements data no later than four weeks after the end of the calendar quarter.

1.2 The process detailed in this document was put in place to enforce this requirement.

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 emails 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://scs9001.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 SCS 9001 administrator's systems and not with the organization's systems.

2.4 Any organization experiencing submission difficulties should contact the SCS 9001 Administrator via the Contact Us function on the SCS 9001 (<http://scs9001.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.

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- 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.
- 2.6 The public can view the registration profile of any SCS 9001 certified organization through the SCS 9001 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 SCS 9001.' The Data Submission Receipt will also show the status as 'Certified to SCS 9001.'
- 2.8 Registrations placed on suspension can continue to make data submissions and all such data submissions will be marked as 'Not Certified to SCS 9001.' The DSRs of these submissions will also show as 'Not Certified to SCS 9001.' Data submissions made while on suspension can be changed to 'Certified to SCS 9001' only by the SCS 9001 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 quarter, registrations which have been on suspension for 180 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.

This chart covers the criteria for SCS 9001 Certification 'Probation' and 'Suspension' and the responsibilities of the parties involved.

SCS 9001 Certified Registration	Certification Status	RMS/MRS System	Certification Body
1) One late** quarterly measurement data submission (within a 12-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.

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2) One quarterly data submission over 3 months late – Status changed to 'Suspended.' A notification email 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 SCS 9001 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.
43 If there are two or more late quarterly measurement data submissions (within a 12month rolling calendar) the registration status is changed to 'Suspended.'	Suspension	CB sent a suspension notification by e-mail.	Same as item 2 above

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

