IEC Quality Assessment System for Electronic Components (IECQ System)

Rules of Procedure –
Part 4: IECQ ECMP Scheme – Avionics Assessment Program Requirements

WITHDRAWN
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FOREWORD

This publication has been prepared by the Management Committee (MC) of the IEC Quality Assessment System for Electronic Components (IECQ).

Although developed for Electronic Components Management Plan (ECMP), this publication may serve as a model for other areas with similar ECMP considerations.

This second edition of IECQ 03-4 replaces the first edition IECQ 03-4. Main changes to the second edition include:

- Exclusion of the Subclause 5 of IECQ 03-1 Ed.2, requirements for organizations operating from more than one location (site).
- Requested changes from WG4.

The text of this publication is based on the following documents:

<table>
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<td>IECQ MC/234A/CA</td>
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Full information on the report of MC approval of this publication can be found in the report indicated in the above table.
INTRODUCTION

Taking into account the object of the International Electrotechnical Commission (IEC) as given in Article 2 of the Statutes, the particular object of the IECQ System, operated in conformity with the Statutes and under the authority of the IEC, is to facilitate international trade in electronic components of assessed quality, by providing a global framework for independent assessment and certification.

The object is achieved by the implementation of quality assessment procedures in such a manner that organizations, processes, and components certified as conforming to the requirements of an applicable standard or specification, are acceptable to all participants.

The IECQ System provides manufacturers with a “Supply chain verification tool” for seeking assurance that electronic components, assemblies, processes and related materials conform to declared technical Standards and Specifications.

The IECQ ECMP Avionics Assessment Scheme Requirements are designed to evaluate commercial, military and aerospace (avionics) equipment manufacturers and related organizations’ processes for compliance with IEC/TS 62239-1 Electronic Component Management Plans (ECMP) and/or GEIA/ANSI 4899 Standard for preparing an Electronic component Management Plan. The avionics industry requirements allow the use of either IEC/TS 62239-1 or GEIA 4899 at the option of the OEM. Such plans are used to develop, document, and implement plan owners’ processes for managing the selection and use of electronic components in avionics equipment. Concerned parties may elect not to implement all elements of IEC/TS 62239-1 or GEIA/ANSI 4899, according to the justifications allowed in that document, in which situation the IECQ assessment and Certificate of Approval will be limited to those elements actually implemented.

The assessment is to be conducted in accordance with the requirements of IEC/TS 62239-1 and/or GEIA/ANSI 4899. Neither of these specifications imposes a requirement on the entity being assessed to have ISO 9001 and/or AS 9100 approval. In addition, both these Standards are specifically intended to exclude the component manufacturers from their scope. The assessment will be conducted under IECQ basic rules, rules of procedure and policies, the assessment itself will specifically address the requirements of IEC/TS 62239-1 and/or GEIA/ANSI 4899 and any additional customer requirements.
1 Scope & Application

This publication contains the Rules of Procedure of the Scheme of the IECQ, hereinafter referred to as the "Rules", for the ECMP Avionics Assessment Scheme Requirements Scheme (IECQ ECMP Scheme).

This IECQ ECMP Rules of Procedure provides the requirements specific to this scheme and is to be used in conjunction with applicable IECQ System management Basic Rules (IECQ 01), General Rules of Procedures (IECQ 03-1) and Operating Documents as listed in Clause 2 below, as applicable.

In the event of conflict between the provisions of these rules of procedures and any other requirements contained in referenced documents, the requirements of these rules of procedure and IEC/TS 62239-1 and/or GEIA/ANSI 4899 shall apply.

2 Normative references

The following publications contain provisions, which, through reference in this text, constitute provisions of these Rules. At the time of publication, the editions indicated were valid. The IECQ Management Committee shall decide the timetable for the introduction of revised editions of the publications for the IECQ publications.

The IECQ basic rules and procedures proscribed in the following documentation shall be used for the ECMP assessments where applicable.

Nothing in these rules and procedures will be considered justification for conducting any or all of an ISO 9001 or AS9100 requirement assessment on the entity being assessed as part of an IECQ ECMP assessment. In the event of conflict between the provisions of this document and any other directly or indirectly referenced provisions, the provisions of this document shall take precedence.

In the event of conflict between the provisions of this document and any other directly or indirectly referenced provisions, the provisions of this document and IEC/TS 62239-1 and/or GEIA/ANSI 4899 apply.

IECQ 01, IEC Quality Assessment System for Electronic Components (IECQ System) – Basic Rules

IECQ 02, General Requirements for the Acceptance of IECQ Certification Bodies into the IECQ System

IECQ 03-1, General Requirements for all IECQ Schemes

IECQ OD 701, Principles for the Implementation of an ECMP Plan

IECQ OD 702, ECMP Assessment – Evidence of Compliance Summary and Assessment Reporting form

IECQ OD 703, Assessment Procedures for Acceptance of Candidate Electronic Component Management Plan (ECMP) Subject Matter Experts (SMEs) in the IECQ System
IECQ OD 704, Witness Assessment of IECQ ECMP Assessors

ISO/IEC 17025, General requirements for the competence of testing and calibration laboratories

IEC/TS 62239-1, Process management for avionics – Preparation of an electronic components management plan

GEIA/ANSI 4899, Standard for Preparing an Electronic Components Management Plan

3 Terms and Definitions

The basic definitions concerning conformity assessment contained in ISO/IEC 17000 apply.

For the purpose of the IECQ ECMP Scheme the terms and definitions given in IECQ 01, IECQ 03-1 and the following apply.

3.1 IECQ ECMP Scheme

Scheme of the IECQ enables the independent conformity assessment for compliance with IEC/TS 62239-1 Electronic Component Management Plans (ECMP) and/or GEIA/ANSI 4899 Standard for preparing an Electronic component Management Plan.

3.2 Avionics

electronic equipment, for use in commercial, military and aerospace applications, containing discrete electronic components (e.g. capacitors, resistors, semiconductors, integrated circuits, printed circuit boards, etc.) and their assemblies including the final system, and including the design, test and manufacturing processes used to produce the system

3.3 Common ECMP

an ECMP that address all requirements of IEC/TS 62239-1 and/or GEIA/ANSI 4899 and is utilized by all sites (locations) of an applicant organization.

3.4 Multiple Site Certification

a multiple site (location) IECQ ECMP Certification is one IECQ ECMP Certificate of Conformity that covers multiple sites (locations) of a single organization that uses a common ECMP.

4 Principles of the IECQ ECMP Scheme

IECQ ECMP Certificate of Conformity

For the purpose of ECMP the requirements for Principles of IECQ Schemes contained in Subclause 5 of IECQ 03-1 do not apply and are replaced by the following:

4.1 The IECQ ECMP Scheme provides the means for organizations including equipment manufacturer, subcontractor utilized to develop and/or implement the system(s) required to obtain an IECQ ECMP Certificate of Conformity that is intended to provide the international market with confidence that such organizations have verified processes for managing the selection and use of electronic components in avionics equipment in accordance with the technical and quality management system requirements of the IECQ ECMP Scheme. This is ensured through independent conformity assessment and ongoing surveillance by an IECQ CB of an organization’s business and quality management systems and site assessments to
confirm the development, documentation and implementation, by manufacturers and subcontractors of a plan owners' processes for managing the selection and use of electronic components in avionics equipment.

4.2 IEC/TS 62239-1 and/or GEIA/ANSI 4899 form the basis of the IECQ ECMP Scheme requirements.

4.3 An organization capable of demonstrating that it complies with the requirements shall be entitled to an IECQ ECMP Certificate of Conformity in accordance with these IECQ ECMP Rules of Procedure and supporting IECQ Operational Documents.

4.4 Single Site (Location) certification shall:

Have a separate IECQ ECMP Certificate of Conformity issued for each site (location) for which an organization submits a separate application and ECMP.

An ECMP and associated assessment is required for each location to be certified.

Under the surveillance plan for maintenance of a single site certification the IECQ CBs issuing IECQ ECMP Certificates of Conformity shall conduct on-site assessments of each location (site) on an annual basis.

4.5 Multiple Site (Location) certification shall:

Have a multiple site IECQ ECMP Certificate of Conformity issued to cover all nominated sites (locations) for which an organization submits an application and common ECMP for multiple sites (locations).

Employ a common ECMP across all locations to be eligible for a multiple site (location) certification. The same ECMP processes and procedures shall be utilized by all sites (locations) of the organization. Process commonality shall be verifiable by the IECQ CB.

An ECMP and associated assessment is required for each certified site (location) for which an IECQ ECMP Certificate of Conformity is issued.

An initial ECMP on-site assessment shall be done for each location to verify compliance with the common ECMP.

An existing ECMP single site (location) certification may be used to satisfy an initial ECMP assessment for a site (location) to be added to a multiple site (location) certification provided the IECQ CB can confirm the site utilized the multiple site certification organization's common ECMP to comply with IEC/TS 62239-1 requirements in the previous site's ECMP assessment.

The IECQ CB shall conduct an on-site audit of all IEC/TS 62239-1 and/or GEIA/ANSI 4899 requirements once in a three-year period for multiple site (location) certification renewals.

If one site (location) of a multiple site certification no longer complies with the IECQ ECMP Scheme requirements the IECQ ECMP Certificate of Conformity for all sites (locations) is subject to suspension or cancellation.

For sites (locations) that have not had any noncompliance's for previous audits, the scope of the surveillance audits may be reduced for sites (locations) on a multiple site (locations) certification as long as the IECQ CB has verified compliance of common process execution at all sites and that all ECMP requirements are assessed annually. Over the course of a three-year certification cycle all ECMP requirements shall be assessed by the IECQ CB at each site (location).
For multiple sites served under a common IECQ ECMP plan, when all sites have successfully passed their initial assessment, it is acceptable to conduct the annual surveillance of the OEM’s sites at one location with coverage of the other sites via electronic communication. The IECQ CB shall be responsible for the random selection of one or more locations (sites) at which they will perform annual surveillance. The IECQ CBs selection of sites (locations) shall be based on past performance and shall ensure that all sites (locations) are assessed equally during the three-year cycle of the IECQ ECMP certification.

4.6 The IECQ ECMP Certificate of Conformity may be issued for a specific area of operation of an organization, as clearly defined in the scope of activity.

4.7 An organization's right to use the IECQ ECMP Certificate of Conformity is not transferable.

5 Organizational structure

The Organization (Client)

An Organization shall have the responsibilities, specified in Subclause 7.2.3 of IECQ 03-1 and the following:

a) the organization shall at all times comply with the requirements of the IECQ ECMP Scheme;

b) when an OEM utilizes a subcontractor to procure and supply the components in accordance with the requirements of IEC/TS 62239-1 and/or GEIA/ANSI 4899, the following special considerations shall apply:

   1) the Subcontractor cannot assume responsibility for all Clauses in IEC/TS 62239-1 and/or GEIA/ANSI 4899 because some of the requirements of IEC/TS 62239-1 and/or GEIA/ANSI 4899 can only be validated at the system level;

   2) a clear delineation of responsibilities between the OEM and the Subcontractor shall be in place and available for the ECMP assessment;

   3) if the tasks of the Subcontractor include component testing, applicable aspects of ISO/IEC 17025 shall be validated during the IECQ ECMP assessment;

   4) if the tasks of the Subcontractor include component testing, there shall be a specific component test plan and test requirements available for each component. During the initial and all surveillance assessments the SME shall validate, revalidate that the test plan and requirements are adequate and appropriate for the specified end use in the avionics equipment;

   c) if the equipment manufacturer or associated subcontractor(s) has a requirement to document and maintain a quality management system in accordance with the requirements of AS9100 and/or ISO 9001 or equivalent standard(s) then evidence of the registration of that documented quality management system shall be supplied to the IECQ CB during the initial certification and on-going surveillance assessments;

   d) the OEM, equipment manufacturer or associated subcontractor(s) shall not significantly vary the QMS or IECQ ECMP and its related processes under which any IECQ ECMP Certificate of Conformity is issued during the period of the certification unless it has given the IECQ CB notice in writing of its intentions to do so, and has received confirmation in writing from the IECQ CB that such variations do not render the Certificate invalid. It is expected that changes may be made as a result of continuous improvement practices. However, when such changes result in significant changes to the QMS or ECMP system and its related processes, the IECQ CB shall be notified;

   e) the equipment manufacturer or associated subcontractor(s) shall give representatives of the IECQ CB access, during normal working hours, to the premises and/or sites in which work being performed within the scope of their certification is being carried out, for the purpose of examining systems, processes, methods of test, and records. These access rights shall include, where necessary, any agreed visits needed to verify that the procedures for the termination of certification described below have been carried out. The organization shall facilitate any arrangement allowing the IECQ CB to conduct assessment of subcontractors involved in the design, manufacturing, testing of the product.
6 IECQ ECMP Certification

6.1 IECQ ECMP Certificate of Conformity for an Organization (Client)

Subclause 8.1 of IECQ 03-1 applies except as follows:

6.1.1 Issue

An IECQ CB, on the basis of a satisfactory IECQ ECMP worksheet, ECMP Assessment, Evidence of Compliance Summary and Assessment Reporting Form (IECQ OD 702) issues an IECQ ECMP Certificate of Conformity certifying that the organization has developed and implemented ECMP procedures and processes which conform with the applicable requirements for IECQ ECMP organization certification which is in accordance with the Basic Rules IECQ 01, these Rules of Procedure and with respect to IEC/TS 62239-1 and/or GEIA/ANSI 4899.

6.1.2 Multiple Site (location) IECQ ECMP Certificate of Conformity

An IECQ ECMP Certificate of Conformity for a multiple site (location) certification shall identify each site (location) that has been evaluated for inclusion on the certification.

– There shall be one primary site (location) listed on the certificate in the “Organisation, Address & Country” fields provided.

– Each additional site (location) shall be listed by “Organization, Address & Country” in an attached Schedule of Scope using the official IECQ ECMP Schedule of Scope template.

– The associated IECQ ECMP Schedule of Scope shall be controlled and attached, in PDF format, to the definitive On-Line version.

– Each printed copy of an IECQ ECMP Certificate of Conformity for a multiple site (location) certification shall consist of the main certificate page along with the attached IECQ ECMP Schedule of Scope.

6.2 ECMP Assessment, Evidence of Compliance Summary & Assessment Reporting Form

6.2.1 Content

An IECQ ECMP Assessment, Evidence of Compliance Summary and Assessment Reporting Form (IECQ OD 702) shall be prepared and issued by an IECQ CB recording the assessment of an applicant organization’s implemented management system and procedures for compliance with the IECQ ECMP Scheme requirements. The assessment includes assessing conformity of the organization’s documented management system with the requirements of the IECQ ECMP Scheme to the extent that they are required by IEC/TS 62239-1 and/or GEIA/ANSI 4899 in addition to assessing the implementation of the technical processes used.

If the applicants ECMP program includes performing an ECMP assessment of applicable subcontractors, the subcontractor assessment shall be done by an auditor qualified to IECQ OD 703 and IECQ OD 704.

If the applicants ECMP program assumes the subcontractors will have their ECMP audit done by a qualified IECQ CB, that audit shall be successfully completed prior to an applicants IECQ ECMP Certificate of Conformity being issued.
6.2.2 Layout

The Secretariat in consultation with the IECQ CABC, Subject Matter Experts and the approval of the IECQ MC shall prepare a document detailing technical requirements for the Scheme and the layout and content of ECMP Assessment, Evidence of Compliance Summary and Assessment Reporting Form (IECQ OD 702).

6.2.3 Restrictions

The IECQ ECMP Assessment, Evidence of Compliance Summary and Assessment Reporting Form is a document used in the preparation of IECQ organization's Certificate of conformity and basis for on-going surveillance of the organization, they shall not be used in any form of advertising or sales promotion in a way that the information may be misrepresented.

7 IECQ ECMP Certification procedure

7.1 General

IECQ ECMP assessments for compliance with IEC/TS 62239-1 and/or GEIA/ANSI 4899 involve a technical and detailed focus beyond that normally required for an AS 9100 and/or ISO 9001 QMS, EMS and/or ISO/IEC 17025 audit and hence initial and surveillance IECQ ECMP assessments shall not be substituted by being included as an integral assessment of an AS 9100, ISO 9001 and/or ISO 14001 and/or ISO/IEC 17025 audit. For this reason the IECQ CB shall limit non-conformance reporting to those areas where a non-conformance is directly related to a requirement of IEC/TS 62239-1 and/or GEIA/ANSI 4899.

7.2 Applicant

For the purpose of ECMP the requirements for Applicants contained in Subclause 9.2 of IECQ 03-1 applies except for:

"The organization shall have developed and implemented an AS 9100 and/or ISO 9001 quality management system (QMS) or equivalent QMS."

Organizations shall submit the most recent 3rd party QMS Certification report and a copy of the registration Certificate detailing the scope of registration, covering a complete cycle of assessments (all elements of the standard assessed) to the CB for review if requested. The IECQ CB shall determine what, if any, elements of the standard need to be assessed for the IECQ ECMP certification. QMS registrations awarded by unaccredited bodies shall not be taken into account for the purposes of IECQ certification.

Organizations not registered to AS 9100 and/or ISO 9001 or equivalent QMS requirements shall be required to demonstrate compliance with the requirements of the applicable standard prior to an IECQ ECMP initial assessment and all on-going surveillance assessments.

7.3 Application

The organization seeking approval shall submit or make available the following documentation (non exhaustive) for review by the assessment team in addition to that specified in IECQ 03-1:

a) Master Electronic Component Management Plan (ECMP) with applicable flow down requirements included

b) Evidence of compliance with the requirements of IEC/TS 62239-1 and/or ANSI/EAI 4899, as requested by the assessment team

c) ECMP documented requirements
7.4 Assessment Team for IECQ ECMP Assessments

The assessment team for IECQ ECMP assessments shall be comprised* as follows:

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<th>Assessment team members</th>
<th>Function</th>
<th>Qualifications</th>
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<tr>
<td>IECQ CB assessors</td>
<td>Assessment of general IECQ ECMP elements; and management of audit process</td>
<td>IECQ Lead Assessor – Quality Systems and Electronic Components and Systems. Qualified to IECQ OD 010 and IECQ OD 704</td>
</tr>
<tr>
<td>Avionics technical expert</td>
<td>Subject matter expert</td>
<td>In accordance with IECQ SME Requirements (IECQ OD 703 and IECQ OD 704)</td>
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*The presence of an SME is mandatory for both initial certification and surveillance assessments.

The number of assessors and assessment days is dependent on the size of the enterprise and the complexity of the assessment. See clause 7.5 Assessment of IECQ ECMP Applicant Site(s).

An IECQ ECMP qualified IECQ CB lead assessor shall lead the assessment with responsibility for assuring all elements of the assessment plan are covered including the IECQ requirements and applicable IECQ ECMP processes.

7.5 Assessment of IECQ ECMP Applicant’s Site(s)

Subclause 9.6 of IECQ 03-1 applies and the following.

An IECQ recognized CB Assessor shall lead the assessment with the responsibility of assuring all elements of the assessment plan are covered including applicable ECMP processes. The SME is responsible for validating ECMP procedures including any applicable component up-rating procedures and all technical issues related to compliance with IEC/TS 62239-1 and/or GEIA/ANSI 4899. An IECQ CB recognized and suitably qualified SME may also lead the assessment.

While conducting the assessment, the SME’s charter is to conduct the detail assessment of the process and the auditor is to support the SME at his direction/discretion and generate the evidence record and ancillary supporting documentation.

The assessment shall be conducted in accordance with the Principles for the implementation of an ECMP Plan. See IECQ OD 701 for reference. The procedures and policies as defined in the following IECQ documents, for conducting the assessment, subject to the limitations of this document and IEC/TS 62239-1 and/or GEIA/ANSI 4899:

a) IECQ 01, IEC Quality Assessment System for Electronic Components (IECQ Scheme) – Basic Rules
b) IECQ 03-1, General Requirements for all IECQ Schemes

During an IECQ ECMP assessment, it is permissible for the assessment team and/or SME to review areas of potential non-compliance or alternate technical approaches implemented in accordance with IEC/TS 62239-1 or GEIA 4899 to demonstrate compliance with the OEM.

For an OEM/client with multiple site IECQ ECMP certification, present or planned, the Assessment Team and/or SME shall discuss assessment results involving the applicable sites included in the certification.
To ensure the integrity of the ECMP assessment the following sequence of events shall be followed unless otherwise justified in writing:

1) On-site “pre assessment” review with the OEM. This will allow interaction between the OEM and the assessment team and identify potential issues.
2) Off-site review of the OEM ECMP documentation.
3) On-site ECMP assessment.
4) Annual surveillance assessments.

The IECQ CB may modify the sequence and staffing of an IECQ ECMP assessment to accommodate specific OEM requirements, however changes shall be documented to provide evidence of compliance to the requirements.

A copy of the IECQ ECMP worksheet IECQ OD 702, ECMP Assessment, Evidence of Compliance Summary and Assessment Reporting Form (or the CB’s IECQ approved equivalent document) shall be used to record the findings of the assessment in the right columns titled “ECMP assessment Compliance Record”. At the completion of the assessment, a copy of this worksheet shall be supplied to the organization being assessed, as part of the assessment report.

7.6 Surveillance

7.6.1 General

For the purpose of ECMP the requirements for Surveillance contained in subclause 4.4 and 4.5 of this document and in Subclause 9.8.1 of IECQ 03-1 applies except for:

“Such frequency shall take into account whether the organization holds current ISO 9001 certification/registration by a competent body.”

7.6.2 Special Surveillance

Subclause 9.8.2 of IECQ 03-1 applies.

7.7 Changes

Subclause 9.9 of IECQ 03-1 applies.

7.8 Ensuring conformity

Subclause 9.10 of IECQ 03-1 applies.

7.9 Documentation retained

Subclause 9.11 of IECQ 03-1 applies.

7.10 Changes

Subclause 9.9 of IECQ 03-1 applies with the addition of the following requirement.

Changes to an ECMP shall be submitted to the CB with conformation of acceptance from the ultimate customer.
8 Acceptance of IECQ Certification Bodies (IECQ CB)

8.1 General

New IECQ CBs or existing IECQ CBs seeking to participate in the IECQ ECMP Scheme shall comply with the general requirements of IECQ 02 along with the following additional requirements.

8.2 Specific requirements for IECQ ECMP

IECQ CBs shall be assessed for their competence to comply with these Rules, which shall be demonstrated by an IECQ assessment. The general competence, efficiency, experience, familiarity with IEC/TS 62239-1 and GEIA/ANSI 4899, IECQ ECMP, IECQ System rules, IECQ ECMP Scheme requirements and competence to carry out quality management system assessments as well as compliance with ISO/IEC 17021 shall be assessed. Acceptance in another IECQ Scheme or accreditation by a recognized national accreditation body shall be taken into account. In those cases, the IECQ MC shall decide upon the extent of the assessment that is necessary. A satisfactory assessment as documented in an IECQ Assessor Report (IECQ OD 13) shall be approved by the IECQ CABC and accepted by the IECQ Management Committee (IECQ MC).

Where an IECQ CB assessment involves witness assessment document IECQ OD 704 shall be used.

9 Bibliography

IECQ OD 010, Qualification Criteria for Assessors and Lead Assessors according to IECQ (third-party assessment)

AS 9100, Aerospace Quality Management System Standard

ISO 9001, Quality management systems – Requirements

ISO/IEC 17021, Conformity Assessment – Requirements for bodies providing audit and certification of management systems

ISO/IEC 17000, Conformity assessment – Vocabulary and general principles

IEC TR 62240, Process management for avionics – Use of Semiconductor devices Outside Manufacture Specified Temperature Range
Withdrawn