

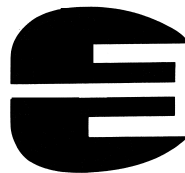


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**CERTIFICATION
OF ELECTRONIC COMPONENTS**

IEC Quality Assessment System IECQ

CERTIFICATION REGULATIONS
Edition n° 13



This document is a translation of the French edition. In case of conflict, the French edition will prevail.
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CERTIFICATION of ELECTRONIC COMPONENTS In the IEC Quality Assessment System IECQ

CERTIFICATION REGULATIONS

This issue cancels and replaces the issue 12, Sept 2009.

INTRODUCTION

The European Quality Assurance System for Electronic Components CECC of CENELEC has merged with the International equivalent System IECQ of IEC on 2003, and is now integrated into the unique and global IECQ International System. The CECC certificates remain valid until their expiration.

1 OBJECT AND SCOPE OF APPLICATION

The present Certification Regulations are established in order to implement the Rules of Procedures of the Electronic Component Quality Assurance System IECQ, to which the applicant of the right to use the Mark commits to accept.

The scope of application relates to the electronic component, including design and development, manufacturing and sales, and their relative processes and materials.

When applied to the electronic components, defined by their associated detail specifications, the Mark, under designation of "IECQ Electronic Component Mark", has the aim of certifying that:

- the companies are certified within the framework of a quality management system, in conformity with the ISO 9001 standard, with complementary requirements applicable to the electronic components defines by their applicable detailed specifications,
- these certified components belong to batches accepted in accordance with the European or international applicable standards,
- these batches were inspected according to European or international quality assurance rules for electronic components.

In this frame, LCIE, founding member of IECQ, grants approvals recognized at the international level.

The present document is available at the LCIE Direction for Certification secretariat, and on the LCVIE Web site (www.lcie.fr). It is also sent to the any applicant asking for certification. The up-dates are addressed to the certified companies for consideration.

2 REFERENCE DOCUMENTS

The reference documents used for IECQ certification are detailed in appendix 1 to the present Certification Regulations.

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

- IECQ 03-1 IECQ Rules of Procedure Part 1: General Requirements for all IECQ schemes,

Note 1: This specification replaces the specification IECQ QC 001002-3 clause 2.3

Note 2: The specification IECQ 03-1 includes the following standards while adding some specific requirements for managing quality of electronic components:

- ISO 9001 for the manufacturers and the distributors,

- ISO/CEI 17025 for the independent testing laboratories of electronic components.

- IECQ 03-2 IECQ Rules of Procedure Part 2: IECQ Approved Process Scheme,

Note: this specification replaces the specification IECQ QC 001002-3 clauses 4, 5, 6

- IECQ 03-3 IECQ Rules of Procedure Part 3: IECQ Approved Component Products, related Materials and Assemblies Scheme,

Note: this specification replaces the specification IECQ QC 001002-3 clause 3

- IECQ 03-6 IECQ Rules of Procedure Part 6: IECQ ITL Scheme, Independent Testing Laboratory Assessment Program Requirements

Note: this specification replaces the specification IECQ QC 001002-3 clause 2.4

- IECQ QC 001002-2 IECQ Rules of Procedure - Documentation

- The standard EN 100114-1 is cited as reference to the previous European CECC Quality Assurance system for electronic components, for historical reasons, and to facilitate the transitional period. It is replaced by the IECQ 03x series.

- The standard ISO/IEC 17021: 2006 "Conformity assessment – Requirements for bodies providing audit and certification of management systems".

- The standard ISO 19011:2002 "Guidelines for quality and/or environmental management systems auditing". It provides guidance in auditing and auditor qualification.

- The IAF MDs – International Accreditation Forum – Mandatory Documents.

3 MARKING REQUIREMENTS

The conditions for reproducing the logotype for the IECQ Mark must be respected as soon as the right to use the Mark is granted.



- *The graphic charter of the CECC logotype is defined in the Rule of Procedure CECC 00-108, available at LCIE on request.*

- The graphic charter of the IECQ logotype (previous CECC logo designed above) and the usage of it are defined in the Annex 2 of the present document.

The certification holder is required to indicate, upon request by LCIE-SNQ or by the IECQ System secretariat, any support bearing the IECQ Mark.

Note: the “double square” IEC/IECQ logo must not be used as a Product Certification Mark. It may be used on literature only.



4 PROCEDURE FOR OBTAINING THE IECQ APPROVALS

4.1 General Conditions

Before applying for certification of an Organization Approval and/or Product Approval in the IECQ system, the applicant must make sure that it meets the conditions defined in document IECQ 03-1 concerning his quality management system and his manufacturing unit at the time of the application.

By his application, the applicant commits himself to:

- maintain the same conditions of operation during all the period of validity of the certification,
- set up and maintain a Quality Management System in conformity with the ISO 9001: 2008 standard requirements, or equivalent,
- facilitate access to buildings and installations by the audit team, into the usual opening time of work of the company, to allow it to carry out the evaluation, object of the application,
- use his certificate only for the range and perimeter defined,
- accept observers mandated by the Certification Body for evaluating the auditor in situation of audit.

The applicant commits also to the following:

- comply with the Certification Body requirements when he refers to the situation of his certification through his communication means, such as internet, brochures or advertisement, and any other documents,
- do not make false declaration concerning his certification,
- do not make improper use of any document of certification, in total or partial,
- cease immediately, in case of suspension or withdrawal, usage of the certificate, any communication referring to the statement of a certified system,
- modify any object of publicity in case of reduction of his perimeter of certification,
- do not let use the reference to the certification of his quality management system for letting supposed that a product or a process is approved by the certification body,
- do not let understand that the certification applies to any activities out of the perimeter of certification,
- do not use his certification in a manner which causes degradation of the reputation of the certification body and impacting the confidence the public has in it.

The program of certification of the QMS includes an initial audit in two phases, some surveillance audits during the first and second year and a renewal audit during the third year before expiration of the certification. The cycle of 3 years begins with the decision of certification or renewal of the certification.

The program of certification of products or processes includes a phase of initial approval and a surveillance program during all the certification period.

4.2 Application for certification and file

The application (Organization Approval and/or Product Approval) must be presented in accordance with the conditions and models given in Appendix 4.

The applicant must fill in an Application Form which shall specify

- the perimeter aimed for the certification
- the general characteristics of the organism, including the name, address of the site(s) concerned with certification, significant aspects of its processes and operations, and any legal applicable obligation
- the activities to be certified, the population of each site,
- the information relative to the process which may be subcontracted having an impact on the management system,
- the reference standard chosen by the company for the certification,
- any information relative to any individuals/companies having providing consultancy to the company in relation to the management system.

A representative of the company to be audited is designated to be the permanent interface with the Certification Body (this person is called "DMR", Designated Management Representative).

Case of Multi-site Organizations

As per IAF MD1, a multi-site organization is defined as an organization having an identified central function at which certain activities are planned, controlled and managed, and a network of offices or branch (sites) at which such activities are fully or partially carried out.

The companies with multiple sites may be certified with a unique certificate for all the sites, titled "Company certificate" when some required conditions listed hereafter apply.

- a) All sites shall have a legal or contractual link with the central office of the organization and be subjected to a common management system
- b) The common Quality Management System must be settled, managed in a central manner and be audited internally periodically, on all sites, according to the ISO 9001 requirements,
- c) The Quality Management System must comply with ISO 9001 requirements,
- d) The activities which can be centralised includes the following:
 - 1- The document system and management of the system changes,
 - 2- The management review of the QMS,
 - 3- The customer claims,
 - 4- Planning of quality and continuous improvement actions,
 - 5- Planning of internal audits and measurement of their results,
 - 6- Evaluation of Corrective Actions Efficiency,And, according to the structure of the company:
 - 7- Design activities,
 - 8- Supplier qualification
 - 9- Evaluation of Training needs
 - 10- Customer order review (out of local order acceptance).

In order to audit the Quality Management System totally, it is needed to audit each site.

The number of man-days per site, including the central office, shall be calculated for each site using the calculation man-days table of IAF MD5. Reduction can apply to take into account the clauses that are not relevant to the central office or local site(s). Reasons for justification shall be documented.

The total time spent is the total sum of the time spent at each site plus the central office and should never be less than that which would have been calculated for the size and complexity of the operation if all the work has been undertaken at a single site (all employees on 1 site).

For companies having multiple offices doing the same operations, like the commercial agencies of distributors, when they have all the same structure and the same activity, sampling of sites may be decided by the Certification Body according to the IAF rules.

The Application for Certification prepared by the applicant must explicit the company situation in detail, for allowing a clear understanding of the CB.

Case of Certification Transfer

Transfer of Certification already got from another Certification Body (CB) is possible. The previous certification must not be suspended or withdrawn by the previous CB; the non conformities detected by the previous CB must be closed.

The Certification Transfer file is evaluated and a decision of certification is taken like for a new certification. The transfer of certification is usually performed after an on-site audit (renewal or specific surveillance audit).

The Application for Certification must explicit the company situation as far as possible.

4.3 Review of the Application

Before planning the audit, the Certification Body shall make a review of the application and of the information provided, in order to be sure that:

- information provided are sufficient to proceed with the audit,
- the requirements relative to the certification are clearly defined and documented,
- any discrepancy in understanding between the certification body and the candidate organism a been solved,
- the certification body has competency and capacity to perform the certification mission,
- the perimeter, the site(s), the duration required to perform the audits, and any other points having an impact on the certification tasks are taken into account,
- the records of the justification of the decision to perform the audit are kept.

On the basis of this review, the Certification Body determines the needed competences for the audit team and the decision of certification.

The Certification Body decides upon the audit team according to the competence and availability of the auditors.

The person in charge of deciding to accept the Application for Certification is the Certification Manager of Electronic Components

Certification procedure

The procedure for certification includes:

- examination of the file, (examination of QMS documents and technical file of the product/process to be certified)
- audit of the manufacturing unit, (audits phases 1 and 2)
- testing of electronic components and associated processes
- evaluation of the results and decision of certification.

4.4 Initial Certification Audit

4.4.0 Tender and Order

- A commercial offer is drawn up and submitted to the company. Once agreed, it is asked to place an order for invoicing purposes.
- A "Certification Contract" is sent to the company in duplicate for signature by the applicant. One approved copy must be returned to the Certification Body.

4.4.1 Initial Audit phase 1

Evaluation of the Quality Management System to be audited:

- Audit of the documentation of the QMS implemented by the applicant (Quality manual, procedures, organisation chart, etc.)
 - Evaluation of the location and specific conditions relating to the site and, exchange with the applicant for appreciating the degree of preparation for the audit phase 2,
 - Review of the situation of the client company and of its understanding of the standards regarding performance, processes, objectives and application of the QMS,
 - Definition of the perimeter, processes, applicable lawful and regulatory requirements
 - Review of resources allocation for the audit phase 2, and organization of it,
 - Preparation of the planning for the audit phase 2,
 - Review if the internal audits and management review have been performed and if the QMS is ready for being certified.
- An audit “phase 1” may be performed on the site(s) to be certified, in order to evaluate maturity of the quality management system implemented and to complete the documentation review. A questionnaire may be used to collect data from the company. The audit is used to determine any corrections or additions to be made to the quality management system before the certification audit “phase 2”.
The results of the audit phase 1 are communicated to the customer.
 - Preparation of the audit « phase 2 »:
 - The audit plan and the list of the audit team members are sent to the company at least two weeks before the scheduled audit date.
 - A form used to assess the auditor’s performance is sent to the company either with the audit plan or with the report. This form should be returned to the LCIE’s quality department.

4.4.2 Initial Audit phase 2

- Carrying out the audit
 - The audit is carried out according to the requirements of ISO 19011. It aims to collect information and proofs of conformity regarding all the requirements of the applicable reference standards, notably regarding surveillance, measurement, review report and performance review of the QMS in relation to the objectives of the organism.
 - All the sections of the ISO 9001 standard are taken into account.
 - In case of discrepancies to the requirements (non conformances), a Corrective Action Request is drawn up, indicating the requirements which are not respected, and the non conformity observed.
 - The non conformity(ies) is/are communicated to the auditee and the CAR (s) is /are provided at the end of the audit allowing the auditee to complete with the corrective actions he decides to implement to solve the non conformity reported.
 - The audit is summarised at the closure meeting.

4.4.3 Testing of Electronic Components

See Annex 4

4.5 Audit and Product testing Conclusion

- An audit report is drawn up, incorporating the Corrective Action Requests issued during the audit and completed by the audited company with the corresponding corrective action. The report is delivered to the audited company.
- 90 days are allowed to the auditee for returning the Corrective Action Requests to the Lead Auditor, and for providing evidence that the corrective actions are implemented. Beyond this time, the audit should to be performed again.
- A proposal of certification is prepared by the lead auditor.
- The testing results are evaluated by the Engineer in charge of the file, in respect to the applicable standards and specifications.
- A proposal of product certification is prepared by the Engineer.

4.6 Certification decision (QMS / Product)

- The information transmitted by the audit team and the Engineer in charge of the product file is examined by a competent Evaluation Officer having not participated to the audit. Those information concerns at least the following:
 - The audit report,
 - Observations relative to the non conformities and corrective actions undertaken by the client organism,
 - Confirmation of the information provided to the certification body and used for the application review
 - Proposal relative to the decision to grant or not the certification, with any reserves or remarks,
 - And any complementary document useful for making the decision of certification,
 - The conclusion of the Engineer in charge of the product file.
- The decision of certification is never made by the personnel involved in the audit.
- The Evaluation Officer recommends a certification decision (QMS and product).
- From the elements gathered by the audit, the Director for Certification takes one of the following decision:
 - certification (QMS and product) is granted, taking into account that the QMS certification may be granted alone, in case of adjournment of the decision relative to the product certification,
 - decision is adjourned until after complementary audit or supplementary of testing on the product,
 - certification is refused (QMS and/or product).
- In case of positive decision, the Organization Approval and Product Approval certificate(s) is/are issued and sent to the audited company.
- In case of adjournment or refusal, a motivated letter is sent to the applicant.

4.7 Surveillance of the Certification

4.7.1 Surveillance Audit

- The surveillance activities are made of surveillance audits mainly. Other activities may include surveys of the certified organism, review of customer declaration regarding its operations, request made to the client to get documents or records, or other surveillance methods.
- Surveillance audits are held regularly to ensure that the quality system still complies with the requirements of the IECQ 03-1 or 03-6 specification.
- The surveillance audits are prepared, performed and concluded in the same way as for the initial audit and the certification decision as well.
- The program of the surveillance audit of the QMS includes at least the following:
 - Internal audits and management review,
 - Review of the corrective actions implemented according to the non conformities identified during the previous audit,
 - Treatment of complaints,
 - Efficiency of the QMS regarding the objectives,
 - Statement regarding the continuous improvement actions,
 - Control of the daily operations,
 - Review of the any changes impacting the QMS,
 - Usage of logos and marks, and any reference to the certification.
- The program of the surveillance of the product certified is performed according to the Quality Plan (“Convention Particulière”) settled, and according to the surveillance of the testing, measuring and control equipment.

4.7.2 Frequency of the surveillance audits

- The certification of Organization Approval is renewed every three years. This implies that verification of the effectiveness of the system requirements has been demonstrated, and complies with the requirements of the IECQ 03-1 or 03-6
- The surveillance audits shall be scheduled once a year at least. The date of the first surveillance audit following the initial certification shall be fixed in 12 months maximum after the last day of the audit phase 2.
- For electronic components, the normal frequency of surveillance shall be 2 visits per year (typical 6 months between consecutive visits).
At the discretion of the Certification Body, the frequency of surveillance of an organization may be reduced to one visit per year per site if no significant non-conformity has occurred after two years (typical 12 months between consecutive visits).
- After the first year, upon company request, and proposal to the LCIE Director for Certification for review, flexibility of -2 months / +4 months maximum is allowed around the target date of the audit, without effect on the target date for the following years (the target date stays the same all over the years, unless otherwise decided independently of the flexibility). Over this period of time, the certification is suspended and can only be reactivated by performing the planned audit. Some exceptional circumstances may be taken into account and drive for concession by the LCIE Director for Certification. In any case, suspension may last more than 6 months.

4.7.3 Decision for maintenance of the certification

The information transmitted by the audit team and the Engineer in charge of the product file is examined by a Review Committee made of competent people having not participated to the audit. Information The Review Committee recommends a certification decision, and the Director for Certification takes one of the following decisions:

- maintenance of the certification (QMS and Product),
- adjournment of the decision and request for a complementary action of evaluation,
- maintenance is refused and request for suspension or withdrawal (QMS and Product) in case of significant lack of observance of the conditions of certification.

In any case, a motivated letter is sent to the client and complementary actions are undertaken.

4.8 Renewal of the certification

4.8.1 Planning of the renewal audit

A renewal audit is planned and performed for evaluating conformity to all the IECQ 03-1 or 03-6 clauses requirements, and also evaluating efficiency of the global QMS, pertinence and permanent applicability for the perimeter of certification.

The renewal audit concerns the performance review of the QMS over the certification period and includes review of the previous surveillance audit reports.

When significant changes occurred for the QMS, the company or the context of operation, the renewal audit activity may require to performing again an audit phase 1.

In the case the certification covers several sites the renewal audit is planned for assuring that on site audits cover the sites sufficiently to provide confidence in the certification.

The Renewal Audit is scheduled 2 months before the expiry date of the current certificate, approximately.

When, for exceptional reasons, the realization of the renewal audit or the treatment of the non conformities, makes that the expiry date of the certification is over, LCIE may decide of the following:

- reduce the expiry date of the new certificate for keeping the new cycle aligned with the previous one,
- perform a complementary audit (before the certification decision) or supplementary audit (after the certification decision),
- plan more complete surveillance audits,
- perform a complete initial audit.

4.8.2 On site Audit

The renewal audit implies the following points:

- Efficiency of the QMS in its totality, regarding internal or external changes, its pertinence and applicability for the perimeter of the certification,
- Proof of commitment to maintain and improve the QMS in order to increase the global performances,
- Verification that the operations in the QMS contribute to reaching the objectives fixed in the quality policy of the audited company,

The non conformities identified are documented onto non conformity sheets. The audited company has 90 days maximum for implementing the corrective actions needed to solve the non conformities.

During the renewal audit of QMS certification, the surveillance of product is also performed, in similar conditions as a surveillance product audit.

4.8.3 Decision for renewing the certification (Organization Approval)

The decision for renewing the certification is taken considering the results of the renewal audit, the results of the review of the QMS over the period of certification, and complaints received from users of the certification.

4.8.4 Decision for renewing the certification (Product, Process and Technology Approvals)

In case of positive results of the product surveillance, the certificate relative to product is renewed for 3 years, based on evaluation and decision of the Certification Manager.

In case of evolution of standards or products, testing may be needed for validating compliance to the standards or specifications. The product certificate is issued after positive evaluation and decision of the Certification Manager.

4.9 Particular audits

4.9.1 Extension of the perimeter of certification

In case of request for extension of the certification perimeter already granted, review of the application shall determine any audit activity needed for deciding or not to grant the extension. This extension may be made during a surveillance audit.

4.9.2 Audit with short notice

It may be needed to plan an audit with short notice, in order to instruct a complaint or following changes or to make a follow-up of suspended customers.

In this case, the audit date is fixed by common agreement with the company, taking care to the audit team designation which cannot be refused by the audited company.

This audit is concluded by an audit report like another audit. The corresponding decision is taken in the current conditions of the Certification Body (as initial, surveillance, renewal).

5 COMMITMENT OF THE APPLICANT OR CERTIFICATION HOLDER

5.1 Quality Management System requirements

The applicant or the certification holder applying for a Manufacturer, Distributor or Laboratory Approval in the IECQ System is required to implement and maintain a Quality Management System in conformity with the IECQ 03-x series requirements.

5.2 Requirements for the Designated Representative for IECQ of the company

The applicant or the certification holder commits themselves to designate a permanent representative for the IECQ System to the Supervising Inspectorate (SI/OS). This representative is so-called DMR (Designated Management Representative).

The organization's Designated Management Representative and, if applicable, the organization's Local DMR, shall be acceptable to the SI as both technically and administratively competent for the needs of the System. In addition to the fact of being responsible for maintenance of the connection with the SI, the DMR shall have a definite authority allowing ensuring that the organization complies with the requirements of the System.

The DMR attributions are detailed in IECQ 03-1, Annex A.

5.3 Specific Product requirements

The applicant or certification holder must have at his disposal the means required for the inspections and tests defined by European or international standards (and additional specifications); those are recalled in the Particular Conventions – or Special Agreements - (see Appendix 4).

The inspections and tests as well as their frequency are specific to each product, and must be carried out in accordance with the standards and specifications in force, except particular agreement has been made with the SI/OS as specified in the Special Agreement.

No product shall be delivered until all the checks of conformity to the standards and additional specifications have been carried out in a satisfactory manner and the data and documentation associated with it are available and have been approved.

The applicant/certification holder must record the results of the various inspections and tests performed. These records must be made available at any time to the SI/OS auditor.

6 ORGANIZATIONS INVOLVED IN THE PROCEDURE FOR GRANTING OR RENEWING OF THE RIGHT TO USE THE IECQ MARK

This chapter introduces the various participants in the management of the IECQ Electronic Component Mark.

6.1 National Authorized Institution (NAI/ONH) in the IECQ System

UTE/CEF (Union Technique de l'Electricité / Comité Electrotechnique Français), member of CENELEC and IEC, is designed as National Authorized Institution for the IECQ system in France.

6.2 The National Certification Body (NCB/ONC) Laboratoire Central des Industries Electriques (LCIE)

The NAI appoints the LCIE as National Certification Body to manage the IECQ certification (IECQ Mark) in France and countries declared under its jurisdiction by the IECQ.

Therefore, the LCIE, Direction of Certification, assumes responsibility for the application of the present Certification Regulations and for all decisions made within the framework of the latter.

6.3 The Supervising Inspectorate (CB or SI/OS) Laboratoire Central des Industries Electriques - LCIE-SNQ

LCIE-SNQ is a department of the Direction of Certification. It is the Certification Body CB or the Supervising Inspectorate SI in charge of application of the present Certification Regulations in respect to all requestors, without discrimination.

It is responsible for the following operations:

- a) - preparation of the Certification Regulations defining the procedures of evaluation of conformity in the requirements of the provisions taken by the requestor in terms of Quality Management System of the company, and quality of products,
- obtaining approval of the Certification Regulations by the LCIE Director, after advisory opinion of the Director for Certification,
- and application of these Regulations,
- b) instruction of the applications for approval of manufacturers, independent distributors, independent test laboratories and manufacturers' test laboratories, and examination of application for admission of products to the Marks, and performing all operations of permanent surveillance,
- c) establishment with the company of a Contract of Certification defining mutual duties of the parties, and a Particular Convention (CP, Convention Particulière) for each component or family of components. The Particular Convention specifies for each component or family of components the conditions for application of the procedures. Appendix 4 specifies the minimum contents of the Particular Convention,
- d) performing the audits and certification operations
- e) issuing of certificates of Organization Approval (Quality Management System) and/or Qualification/Capability/Technology Approval, after decision of Certification (see § 7),
- f) drafting, edition and distribution of the list of the companies and products certified to IECQ (LCIE C 00-191),
- g) connection between the manufacturers and users of components, in particular in the event of dispute regarding the conformity to the standards of the delivered products,
- h) connection with the National Standards Organization (NSO/UTE - appropriate Commissions), in particular for the establishment of Quality Assurance procedures incorporated in the standards and the effect of these procedures on the costs,
- i) financial follow-up of the revenues and expenditures envisaged by the present Regulations,

6.3.1 Auditors

The auditors in charge of Certification operations have qualifications, competencies and experience in the audited field. They are approved by the LCIE.
They commit to respect a code of ethics with respect to confidentiality, potential conflict of interest and methodology rules.

6.4 Certification Management Committee

Note: Mission, composition and mode of operation of the Certification Management Committee of LCIE are detailed in the internal procedure CERT N°73 (editi on in force).
Information set forth below is an abstract only.

6.4.1 Mission of the Certification Management Committee

The Certification Management Committee has the following functions, relative to the certifications delivered by the LCIE:

- On a strategic level, and of a general nature:
 - It formulates principles of actions concerning the operation of certification,
 - It supervises the application of the policy defined, including the promotional actions of certifications,
 - It supervises the financial situation.
- Moreover, it is the authority of recourse.

6.4.2 Composition of the Certification Management Committee

The Certification Management Committee is made of three colleges:

A- "Manufacturers"

B- "Users" including representatives of final users, installers, operators, etc.

C- "Others" including representatives of Public Authorities, Standard institutions, LCIE.

The LCIE ensures the secretary charges of the Certification Management Committee.

6.5 Confidentiality

All these members are committed to the professional secrecy.

The members must guarantee the protection of the documents which are entrusted to them against duplication and the unauthorized diffusion.

The information data relative to the client which are made publicly available are those from the certificate.
Other information is considered as confidential.

However, any information data of the certification file are accessible to the Accreditation Body (i.e. COFRAC) or Peer Assessment bodies, which are themselves committed by confidentiality.

7 APPEALS AND RECOURSE

In case of dispute for any reason, the requestor has 15 working days deadline after notification of a decision or knowing about the contested situation for submitting his observations by writing to the Director of Certification.

The appeals and recourses are not suspensive.

If the contestation cannot be resolved kindly, the litigation is transmitted to the Certification Management Committee which makes examination. The object of the dispute is sent to the Committee members with the meeting agenda for allowing them to take note about it. The proxies provided by the absent members are explicit to this object.

In any case, a non solved dispute is submitted to the IECQ secretary for applying the procedure as per IECQ 01 by the Board of Appeal. The IECQ MC decides at the end.

Information of end of treatment of the appeal and the decision are communicated to the company.

People implied in the process of treatment of appeals are different from those having performed the audits and taken the decision of certification.

Appeals are recorded and managed according to the corresponding applicable general procedure of LCIE. The appropriate corrective actions are also managed according to this procedure.

Notes

The application of the present Certification rules is subjected to the French law; the unresolved disagreements or litigations may be carried in justice to the courts of Paris, only qualified.

8 CLAIMS AND COMPLAINTS

Claims and complaints are recorded and managed according to the corresponding applicable general procedure of LCIE.

The appropriate corrective actions are also managed according to this procedure.

When the claim concerns a certified company, the customer is notified in due time and the claim is examined regarding efficiency of the QMS of this client.

The claimer is acknowledged about reception and consideration of his claim, and about progress and completion as well.

The decision concerning the claim is taken by a person being not involved in the subject of the claim. In general, this person is the Quality Director of LCIE.

The LCIE, the customer and the claimer decide all together if the object of the claim and its solution may be made publicly available, and how far it is.

9 PROCEDURE TO BE FOLLOWED IN CASE OF MODIFICATIONS HAVING INFLUENCE ON THE IECQ APPROVAL GRANTED

Any changes to the conditions of obtaining the right to use the IECQ Mark shall be notified to the LCIE in writing by the holder.

Changes may concern the following:

- The legal or commercial status, its owners or the organization
- The organization and management (i.e. key people such as managers, decision-makers or technicians),
- Name and address of the person to be contacted and the main sites,
- The perimeter of operations made in the frame of the management system certified,
- The important changes made to the Quality Management System and to the processes.

9.1 Modification concerning the certification holder

The certification holder shall indicate to the LCIE-SNQ in writing any legal change made to its company or any change in its business name.

In the case of a merger, winding-up, or take-over of the certification holder, all rights to use the Mark that it may hold shall be suspended by rights.

9.2 Modification concerning the manufacturing site

Any transfer, whether complete or partial, of the manufacturing site for an IECQ certified product to a different manufacturing site shall result in the immediate interruption of the mark of conformity by the certification holder of the products transferred.

The certification holder shall notify the LCIE-SNQ of this transfer in writing.

The LCIE-SNQ shall notify the certification holder within a period of 15 days of the inspections, if any, it intends to carry out on the new manufacturing site, so that the certification holder can still be entitled to use the IECQ Mark.

In the event of a transfer of a declared manufacturing site to a different manufacturing site, which is also declared, the certification holder shall inform the LCIE-SNQ accordingly.

9.3 Modification concerning the production unit's quality organization

The certification holder shall indicate to the LCIE-SNQ in writing any modification relative to its quality system, in particular any modification likely to impact on the compliance of the products with the requirements of the present Regulations and its appendices.

Any temporary interruption in the internal monitoring of an IECQ certified product shall oblige the certification holder to stop marking this product immediately.

Any temporary interruption of production, or of the tests during in-house inspection, of the products eligible to receive the Mark which is deemed of excessive duration by the Committee for Certification of Electronic Components may entail, after an investigation has been made, a measure of suspension or withdrawal of the right to use the Mark for this product.

9.4 Modification concerning IECQ approved products

Any modification to a characteristic of an IECQ approved product defined in appendix 1 and in particular any change in sub-contractor is subject to written notification of the LCIE-SNQ, who begins the procedure specified in appendix 4.

The LCIE-SNQ must be notified in writing of any permanent discontinuance of manufacturing of an IECQ approved product or any renunciation of the right to use the Mark, with specification of the length of time required to sell the stock of products marked IECQ. At expiration of this time period, the LCIE-SNQ pronounces the suspension or withdrawal of the right to use the IECQ Mark and notifies the certification holder.

10 CERTIFICATES, VALIDITY, RENEWAL

10.1 Certificates

Standard models of certificates and information required for approval certificates are given in the document IECQ QC 001002-2.

The date of issue of the certificate is the date of decision of certification, unless otherwise decided by the Director for Certification of LCIE.

10.2 Validity, renewal

The system and product certificates are valid for a maximum of 3 years, and all of the system and product requirements shall be met for this same period of time.

The renewal of the certification is made after a renewal audit. It is performed on all the applicable requirements of the Quality Management System and product certification. (see Appendix 5: LCIE-SNQ surveillance monitoring methods).

11 SUSPENSION / WITHDRAWAL OF CERTIFICATION

The decision of stoppage of the certification may be taken

- either by the company which can decide it. The request is managed by the Certification manager and a notification of withdrawal is sent to the company.
- or by the Certification Body in case of serious failure of the company to its commitment to maintain the conditions of certification, and possibly after recall of the Certification Body remained without effect, notably when
 - o the QMS does not respect the certification requirements critically, including the requirement for efficiency of the QMS,
 - o the customer has not allowed the realization of the surveillance or renewal audits according to the frequency required,
 - o It can also occur if the company does not pay the invoices duly emitted for covering the charges of the certification.

When the certified company is unable to fulfil its commitments relative to the certification temporarily, it must inform the Certification Body which pronounces a temporary suspension of certification. The Certification Body is committed to verify the return of the satisfactory conditions of certification before withdrawn the suspension.

A suspension lasting more than 1 year is turned to a withdrawal.

In case of suspension or withdrawal, the holder is committed to return the certificate immediately to the Certification Body which has emitted it.

The applicant cannot make state of its certification any longer.

Any wrong reference to the system of certification and any deceptive usage of the certificates or marks allow the Certification Body to treat this failure as an infringement to the Rules of Certification. The actions are decided by the Director of Certification according to the gravity of the situation, which can be a formal notice or taking the case to court.

On a simple of a third, the LCIE is require to communicating the status of the certification of a customer, as valid, suspended, withdrawn or reduced.

12 IMPROPER USE OF CERTIFICATE GRANTED BY LCIE

The improper use of the certification granted by LCIE, the withdrawal request is documented by the Certification Manager, and the decision is taken by the Director for Certification. The certificate is withdrawn immediately and the offender is notified for stopping and solving the improper situation.

13 RECORDS RELATIVE TO THE REQUESTORS AND TO THE CUSTOMERS

The records relative to the QMS certification activity are kept by LCIE, according to the relevant applicable general procedure

The records include:

- Information relative to the application, review of application and audit reports,
- Certification contract
- In case of multi-site certification, the method used for the sampling,
- Definition of the time allocated to the auditors,
- Verification of the Corrective Actions,
- Records of the Claims and appeals, including any relevant corrective action,
- Minutes of Certification Committee meetings
- Documentation relative to the decisions taken for the certification,
- Certification documents, including those relative to the perimeter of certification,
- Records relative to the competency and the qualification of the auditors.

Those records are kept in a safe place for confidentiality purpose.

14 FINANCIAL SCHEME

The financial scheme of the IECQ Mark for Electronic Components defines the expenses related to the certification and the methods of recovery are the subject of appendix 6.

15 CHANGE OF ACCREDITATION OR CERTIFICATION RULES

In case of change, and if those changes impact the current contracts, LCIE will inform its clients of the methods linked to the changes.

The maintenance of existing certificates shall be dependent of the respect of transition methods which may be inserted in current certification contracts.

16 APPROVAL - REVISION

The present Certification Regulations (including appendices) and the revisions are approved by the LCIE General Director, after advisory of the Director for Certification.

APPENDIX 1

Reference documents used for IECQ Certification

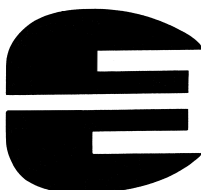
List of Rules of Procedures by field

Domain of Certification	IECQ
Approval of an organization (manufacturers, distributors)	IECQ 03-1 (ex QC 001002-3 - Clause 2.3) and ISO 9001:2000 or 2008
Approval of independent testing laboratories for electronic components	IECQ 03-1 and 03-6 (ex QC 001002-3 - Clause 2.4) and ISO/CEI 17025
Qualification Approval of components	IECQ 03-1 and 03-3 (ex QC 001002-3 - Clause 3)
Capability Approval	IECQ 03-1 and 03-2 (ex QC 001002-3 - Clause 4)
Specialist Contractor Approval (processes and/or products)	IECQ 03-1 and 03-2 (ex QC 001002-3 - Clause 5)
Technology Approval – QML	IECQ 03-1 and 03-2 (ex QC 001002-3 - Clause 6) QC 210000
Electronic Component Management Plan (ECMP)	IECQ 03-4 (ex QC 001002-4)
Hazardous Substances Process Management (HSPM)	IECQ 03-5 (ex QC 001002-5) QC 080000

METHODS OF USING THE IECQ MARK

1 Description of IECQ Electronic component Mark

The Mark consists of the registered monogram shown below:



The following indications are associated with it:

- a) when the logo is used as an attribute of the Quality Management System, the certificate number is indicated below,
- b) when the logo is used as a Product Conformity Mark, it may be completed with:
 - outside of the logotype: the manufacturer's special agreement number or of the independent distributor's special agreement number,
 - near the logotype: all indications stipulated by the specifications and required in particular for identification of the component and the manufacturer.

2 Marking of the component

Components that belong to batches eligible for the Electronic component Marks, and only these, must bear all the indications described, except for dispensations allowed for in the specifications. These dispensations may consist of:

- either marking limited to a monogram,
- or only the letters IECQ,
- or the absence of marking.

3 Marking of the packaging

In any case, the packaging of components that belong to batches eligible for the Electronic component Marks must bear all of the indications described, as well as the batch number and the date of manufacture if it is not included in the batch number.

The packaging must be sealed, by adhesive tape or any other means, and the monogram of the appropriate Electronic Component Mark must appear on the material used for sealing. The other indications described can appear on the material used for sealing or on the packaging itself.

The sealed packaging may be opened by an authorized distributor for distribution of its contents in packages that contain less, the latter in turn being sealed and marked as described above.

APPENDIX 2
(continued)

METHODS OF USING THE IECQ MARKS

4 Additional information

If the manufacturer shows, on the component or on the packaging, indications other than those verified for one of the appropriate Electronic Component Marks, they must be presented with no risk of confusion with the certified information.

5 Liability

Granting of the right to use the Electronic Component Mark and the affixing of this mark on components, in accordance with the present Regulations, may under no circumstances substitute the liability of the IECQ for that which is incumbent upon the holder of this right, in accordance with the law.

Consequently, the certification holder remains responsible for all defects affecting his production as well as for any non-conformity of his components eligible for the Mark in terms of the standards as well as of the characteristics indicated by him.

6 Handing over - Transfers

The right to use the Electronic Component Mark may not be transferred; it is non-transferable and non-distrainable. The Mark may not be subject to a forced execution.

In the case of a merger, winding-up, or take-over of the certification holder, all the rights to use the Electronic Component Mark that it may hold shall be suspended by rights.

It is up to the Electronic Component Certification Technical Committee to examine the terms and conditions for renewing eligibility if it is applied for.

7 Collective advertising

Actions relative to the collective advertising and promotion of the Electronic Component Mark shall not be carried out unless the IECQ has been involved and their approval has been obtained.

APPENDIX 4

PROCEDURE FOR FILING AN APPLICATION FOR THE RIGHT TO USE IECQ MARK

The object of this appendix is to provide the party applying for the right to use the IECQ Mark with all the information necessary for the establishment of its file.

1 TYPES OF APPLICATIONS

An application for the right of use can be:

- a first application,
- an application for extension,
- an application for maintaining,
- an application for withdrawal.

A first application comes from a company, which does not hold any right to use the IECQ Mark for the application concerned. It corresponds to a quality management system in line with ISO 9001 standard, with or without products, and ISO/CEI 17025 standard for laboratories.

An application for extension comes from a certification holder and concerns an extension of the system certification or the extension of the certification to a new product or to a product modified with respect to a product eligible for IECQ Mark. Validation of the modifications made requires partial tests and verifications.

A request for maintaining comes from a certification holder and concerns an IECQ certified product intended to be marketed either under a different trade reference or whose components have undergone changes although without any change in its characteristics.

A request for withdrawal of the right to use the Mark comes from a certification holder who wishes to withdraw itself from the system, or withdraw one or several certified products.

2 PRESENTATION OF THE APPLICATION

Any application to request the right to use the IECQ Mark should be sent to LCIE-SNQ.

In the event that the product originates from a manufacturing facility situated outside the European Union, the applicant shall designate a representative who shall make the application jointly.

Any application that concerns a product which has already received a foreign conformity mark or for which a test report has been issued by a foreign laboratory, shall be processed on the basis of the current recognition agreements, in accordance with the Basic Rules and Procedure Rules governing the IECQ Mark, and which constitute the rules currently in use in France for these Systems.

It is assumed that, in principle, any amendment to these International Rules that is published is applicable in France.

APPENDIX 4
(continued)

**PROCEDURE FOR FILING AN APPLICATION FOR THE RIGHT
TO USE THE IECQ MARK**

The application form for requesting the right to use the Mark, established in French or in English and on headed notepaper, contains the following:

2.1 Case of a first application (manufacturers, distributors, subcontractors)

2.1.1 For the Quality Management System:

- acknowledgement relative to awareness of the Certification Regulations and of the Rules of Procedures applicable to the system,
- designation of the system manager (DMR),
- commitment to indicate any modification in the structure or the process,
- general information sheet concerning the company (business name, address, telephone, fax, SIRET and APE n°; Trade registration, name of the legal representative and of the correspondent (if different)),
- drawing up of a Special Agreement (CP-Convention Particuliere - form 01). Printed form drawn up by LCIE-SNQ.

2.1.2 For the product(s) [does not apply to distributors]:

- identification of the product/range of products,
- standardized and/or trade denomination and reference,
- definition of the characteristics, or of the particular specification,
- filling in of an application for approval (form 02),
- signature of the conformity report (form 03).

2.2 Case of an extension or withdrawal

2.2.1 For the Quality Management System:

- name and address of the site concerned,
- reference of the previous certificate of approval (number and date),
- reason for the request in the case of withdrawal.

2.2.2 For the product(s):

- identification of the product and specification concerned,
- description of the modification made with relation to the previous certificate whose references shall be given (number and date),
- filling in of an application for approval (form 02),
- signature of the conformity report (fiche 03).

2.3 Case of a laboratory performing tests on electronic components

The stipulations are the same as those in paragraphs 2.1.1 of this appendix.

SPECIAL AGREEMENT – Convention Particuliere (CP)

1 Preliminary considerations

A Special Agreement drawn up for each line of components manufactured or finished in the same location, under the "System Manager's"(*) responsibility, defines the conditions for application of the Mark to the production under consideration.

In some cases, it may depart from the stipulations set forth by the applicable standards and reference systems provided that it is proved that the measures taken provide for a quality assurance that is at least equivalent to that which would be achieved through the strict application of the aforementioned standards and reference systems.

2 Drawing up of the Manufacturer's Special Agreement (CP)

The manufacturer draws up a draft of a special agreement, which is finalized in accordance with the LCIE-SNQ directives.

In particular, this document specifies:

- a) the commitment of the applicant and the characteristics of the components covered by the application (see form 02),
- b) the organization of the manufacturer's Quality Assurance, including, if applicable, that concerning subcontractors, raw materials, and manufactured goods,
- c) the manufacturing process and manufacturing control procedure, along with the internal specification references applied,

In the event that certain operations are sub-contracted, the CP specifies the conditions for monitoring of these subcontracted works:

- d) definition of the criteria for forming manufacturing batches, control batches, their identification, methods of model association,
- e) the inspection method, sampling method, levels of sample taking and of acceptable quality that are applied
- f) the special inspection procedures in the event that inspections performed during production are accepted as replacement for certain acceptance tests stipulated by the standard,
- g) the structure of test files,
- h) the methods for setting measuring and testing equipment to the national standards,
- i) the methods of packaging, of marking, of affixing the mark of compliance and of supplying a certificate of compliance for batches subject to quality assurance.

3 Special Agreement without approved components

In the case of certification of a laboratory, distributor or manufacturer which does not have approved electronic components, a Special Agreement adapted only to system certification according to ISO 9001 or ISO/CEI 17025 for laboratories) has been drawn up by the LCIE-SNQ. This agreement uses the stipulations in paragraphs 1 and 4 of the present appendix.

4 Approval of the Special Agreement

The special agreement, once finalized, is approved by the LCIE-SNQ and given to the certified organization (manufacturer, distributor or laboratory).

It may be modified or added to, upon LCIE-SNQ initiative or at the manufacturer's request, as often as necessary.

The LCIE-SNQ considers it a confidential document, which may only be communicated to a third party by the manufacturer himself or with his written permission.

(*) Definition according to IECQ 03-1 Appendix A

**APPLICATION FORM for
ELECTRONIC COMPONENTS APPROVAL**

According to (1) _____ Dated _____

1. The Signatory _____

acting in his capacity as (2) _____

of the Company (3) _____

Registered Office _____

is applying for approval of the components designated in Appendix 1, manufactured in his factory in _____
with a view to their approval for quality assurance.

2. The Signatory states:

- that he knows the regulations for quality assurance procedures for electronic components (LCIE C 00-195 and the associated documents);
- that he meets the conditions set forth in this text, in particular those concerning the organization of production and of the Quality Assurance department, the verification of measuring devices, the manufacturing of the model(s) presented;
- that he undertakes to inform the LCIE-SNQ of any modification in the production defined in the file attached to the present application or in the organization of Quality Assurance.

3. The Signatory undertakes to submit the production of these components to the procedures of Monitoring of Compliance with Quality in the Special Regulations.

(1) Indication and date of recording the reference standard or specification.

(2) Function of the signatory.

(3) Business name.

APPENDIX 4 – FORM 03
(continued)

4. Composition of the approval file

The signatory attaches to the present application an identification file including:

- a production chart listing the manufacturing and inspection operations, with the reference of the internal specifications that define them, and specifying if necessary the locations where these operations are performed;
- a document specifying the materials used for each model (per technological range if necessary), the substrata and coatings, the mechanical characteristics (dimensions, aspect, marking...).

Furthermore, in the case of sub-contracting by a company which has not been approved, a document is attached specifying the Quality Assurance procedures concerning the sub-contracted operations.

5. Sub-contracted tests

The signatory requests to be present at the approval tests designated below:

In _____, on _____

Signature

APPENDIX 4 – FORM 03
(continued)

Information particular to the models of components, which are the subject of the appendix.

POSSIBILITIES OF PRODUCTION (per model)

Current monthly production (average of the three last months)

Maximum monthly capacity possible

PREFACE OF IECQ QUALIFICATION APPROVAL REPORT

for the electronic components indicated below (use one preface for each model of component):

Precise reference of the related QA test report :

Important note :
The overall format of the test report is flexible and any specific style can be chosen to suit individual preferences but its content, in addition to this preface, shall contain the information, and be in line with the requirements, stated in IECQ 03-3 §7.2.1.
 ✓ *For the record, these requirements are related to : Index, page identification and detail specification / Test plan and summary of results / Test equipment and results / Failure identification and analysis*
It is the responsibility of the applicant to fulfill this requirement.

Name and address of the responsible SI (Supervising Inspectorate):

Company name / Manufacturing site address / IECQ manufacturer approval number:

Name, address and status of the testing laboratory:

General type of component:
Generic standard / Intermediate standard:
Detailed specification:
Normalized and/or commercial designation:

Comments (if any):

Overall conclusion of the test (pass/fail):

Declaration of the DMR (Designated Management Representative for the IECQ System):
 I certify that the requirements of the System have been met and that all samples tested were either:
 (a) taken from and are representative of current production, or
 (b) manufactured using current/intended production methods and materials.

	DMR (Designated Management Representative)	CB / SI (Certification Body / Supervising Inspectorate)
Name :		
Date :		
Signature :		

APPENDIX 5

SURVEILLANCE METHODS PERFORMED BY THE LCIE-SNQ

The present appendix defines the monitoring methods exercised by a third party, as much at the stage of examination of an application for the right to use the IECQ Mark, as at that of monitoring of the quality system and of certified products.

1 METHODS USED FOR EXAMINING AN APPLICATION FOR THE RIGHT TO USE THE MARK

1.1 Quality Management System

An audit is carried out by the IECQ auditor to check that the quality organization complies with the requirements of the reference systems ISO 9001 or ISO/CEI 17025 for laboratories.

All the means (premises, installations, equipment) that allow the auditor to perform the mission incumbent upon him must be put at his disposal free of charge, as well as the people competent to implement them.

1.2 Certified products

An audit is performed at the same time only for the quality organization: This audit allows the IECQ auditor to check that the measures implemented for certified products comply with the company's internal measures (procedure, examination) and comply with the standards for certified products.

For these two points, an audit report is drawn up, if possible at the site, signed by the auditor and the company's designated representative.

2 MONITORING METHODS

2.1 Quality Management System

The normal frequency of surveillance shall be 2 visits per year (typical 6 months between consecutive visits).

At the discretion of the SI, the frequency of surveillance of an organization may be reduced to one visit per year per site if no significant non-conformity has occurred after two years (typical 12 months between consecutive visits).

2.2 Certified products

During the same quality system audits, the IECQ auditor validates the tests performed on every batch and the periodic tests, in compliance with the specific standards or specifications.

An audit report is prepared by the Lead Auditor

APPENDIX 6

FINANCIAL SCHEME

The object of the present appendix is to define the expenses relating to the certification of electronic components and to describe the methods of recovery.

1 MANAGEMENT AND PROMOTION EXPENSES

The expenses relating to the management and to the promotion of the Electronic Component Mark are jointly covered by the manufacturers and distributors of electronic components and in certain cases, by some government services, public organizations and user industries that are applicants.

Every year the LCIE-SNQ determines before the end of the year, the amount of dues required for the coming year and applies the methods in paragraph 3 of this appendix.

2 EXPENSES RESULTING FROM THE IMPLEMENTATION OF PROCEDURES

2.1 Administrative and operating expenses of the LCIE-SNQ

The fees, the terms of which are described in paragraph 3, cover the expenses relating to:

- a) the examination of applications, the management of files, the drawing up of certificates and of the register of approvals,
- b) the preparation of inspections/audits and the evaluation of the results of audits and inspections,
- c) the travel and accommodation of the personnel appointed by the LCIE-SNQ for inspections/audits (inspectors, auditors, experts).

2.2 Additional expenses payable by the manufacturer

Not included in the fees previously mentioned are the following services:

- a) supplying of parts for the tests, and of those which are kept as reference models,
- b) performance of all the tests that the manufacturers perform themselves in their laboratories or have performed in an independent laboratory approved by the LCIE-SNQ,
- c) performance of approval tests for eligibility for the Mark and inspection tests,
- d) performance of new tests (or second tests) in the event of a partial failure of the tests,
- e) drawing up of reports of tests performed in their laboratories, or in an approved independent laboratory.

3 RECOVERY OF EXPENSES, FEES

The LCIE bills the manufacturers, distributors and laboratories for the expenses defined in paragraph 2.1 in personalized quotations issued at the end of the year and inclusively covering the annual fee for the following year. The invoices are sent at least three months after these quotations have been sent.

Any approval held on January 1st of the year, or during the course of the year, is subject to a fee. When approval is granted at the end of the year, this fee may be paid the following year.

The applicant or the certificate holder must pay these expenses under the conditions stipulated. Payment of these expenses is not refundable in the event of withdrawal or suspension of the Mark during the course of the year.

The applicants are billed for expenses concerning inspections/audits outside of the metropolitan territory, or inspections/audits for the approval of foreign manufacturers, on a case-by-case basis.

Fees not paid in due time represents a case of cessation of certification.

END