**LCIE C 00-195**
**October 2024**

# IEC Quality Assessment System IECQ

# CERTIFICATION RULES and PROCEDURE
# Edition n° 18

**Approved Process / Approved Component / ITL**

Effective date of implementation: October 2024

This document is a translation of the French edition. In case of conflict, the French edition will prevail.
It was approved by the LCIE President, on October 2024

**Issued by Laboratoire Central des Industries Electriques (LCIE Bureau Veritas)**
**33, avenue du Général Leclerc - 92260 Fontenay-aux-Roses (France)**
**Telephone: +33 (0)1 40 95 60 60**
**www.lcie.fr**

**SOMMAIRE**

**LABORATOIRE CENTRAL DES INDUSTRIES ELECTRIQUES**

**33, avenue du Général Leclerc**

**92260 FONTENAY-AUX-ROSES (France)**

---

# CERTIFICATION of ELECTRONIC COMPONENTS In the IEC Quality Assessment System IECQ

This issue cancels and replaces the issue 17 (June 2023)

## Foreword

*The Rules of Certification LCIE C 00-195 have been updated for considering mainly the following changes:*

- *Evolution of IECQ specifications and documentation.*

## 1 PURPOSE AND SCOPE OF APPLICATION

The present Certification Regulations are established 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 field of electronic component, including LED, including design and development, manufacturing and sales of products, including 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 Organizations have developed and maintained a Quality Management System, in conformity with the ISO 9001 standard, with complementary requirements applicable to the electronic components defines by their applicable specifications,
- the certified components belong to batches accepted in accordance with the European or international applicable standards,
- the controls of these batches are executed 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 publicly available on LCIE Web site (www.lcie.fr) and on request at the secretariat of the Direction of Certification of LCIE. It is also sent to Organizations applying for the certification. Up-dates are sent to each Organization holding an IECQ certificate for acceptation and consideration.

**For the purpose of this document, LCIE France is designated as "Certification Body" or "CB". Also, the terms "LCIE", "LCIE Bureau Veritas" means "LCIE".**

## 2 REFERENCE DOCUMENTS

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

For the undated references, the latest issue of the reference document prevails (including the possible amendments).

| | |
|---|---|
| IEC CA 01 ed 3.0 | IEC Conformity Assessment Systems - Basic Rules |
| IECQ 01-S ed 3.0 | IEC Quality Assessment System for Electronic Components (IECQ System) - IECQ Supplement to IEC Conformity Assessment Systems - Basic Rules IEC CA 01 |
| IECQ 01A ed 4.1 | IEC Quality Assessment System for Electronic Components (IECQ System) – Guidance for the use of the IECQ logo and IECQ Mark of Conformity |
| IECQ 03-1 ed 3.1 | IEC Quality Assessment System for Electronic Components (IECQ System) - Rules of Procedure - Part 1: General Requirements for all IECQ Schemes |
| IECQ 03-2 ed 2.3 | IEC Quality Assessment System for Electronic Components (IECQ System) - Rules of Procedure - Part 2: IECQ Approved Process Scheme |
| IECQ 03-2-1 ed 1.2 | IEC Quality Assessment System for Electronic Components (IECQ System) - Rules of Procedure - Part 2-1: IECQ Approved Process Scheme, IECQ Approved Process - Distributor (IECQ AP-D) |
| IECQ OD 62430:1.2 | Application of IEC 62430 within IECQ for issuing IECQ approved process Certification - IECQ AP-ECD Certification under the IECQ AP Schemes |
| IECQ OD 14067:1.0 | Application of ISO 14067 for issuing IECQ Verification Statements covering Claims concerning Carbon Footprint of Products - IECQ AP-CFPP Verification Statements under the IECQ AP Schemes |
| IECQ 03-3 ed 2.3 | IEC Quality Assessment System for Electronic Components (IECQ System) - Rules of Procedure - Part 3: IECQ Approved Component Products, Related Materials & Assemblies Scheme |
| IECQ 03-3-1 ed 1.2 | IEC Quality Assessment System for Electronic Components (IECQ System) - Rules of Procedure - Part 3-1: IECQ Approved Component Products, Related Materials & Assemblies Scheme, IECQ Approved Component - Technology Certification (IECQ AC-TC) |
| IECQ 03-3-3 ed 1.1 | IECQ Approved Component Products, Related Materials & Assemblies Scheme, IECQ Approved Component – Capability Certification (IECQ AC-C) |
| IECQ 03-4 ed 4.2 | IEC Quality Assessment System for Electronic Components (IECQ System) - Rules of Procedure - Part 4: IECQ ADHP Scheme - Aerospace, Defense, and High Performance (ADHP) Component Management |
| IECQ 03-6 ed 3.1 | IEC Quality Assessment System for Electronic Components (IECQ System) - Rules of Procedure - Part 6: IECQ ITL Scheme - Independent Testing Laboratory Assessment Program Requirements |
| IECQ 03-7 ed 2.2 | IEC Quality Assessment System for Electronic Components (IECQ System) - Rules of Procedure - Part 7: IECQ Counterfeit Avoidance Programme (IECQ AP-CAP) - Programme Requirements |

| | |
|---|---|
| IECQ 03-8 ed 2.3 | IEC Quality Assessment System for Electronic Components (IECQ System) - Rules of Procedure - Part 3-8: IECQ Scheme for LED Component Products |

In addition, the following documents are taken into consideration:

| | |
|---|---|
| ISO/IEC 17021-1:2015 | Conformity assessment - Requirements for bodies providing audit and certification of management systems |
| ISO/IEC 17021-3:2017 | Conformity assessment – Requirements for bodies providing audit and certification of management systems - Part 3: Competence requirements for auditing and certification of quality management systems |
| ISO/IEC 17029:2019 | Conformity Assessment - General principles and requirements for validation and verification bodies |
| ISO/IEC 17065:2012 | Conformity assessment - Requirements for bodies certifying products, processes and services |
| ISO 9001:2015 | Quality Management System – Requirements |
| ISO 19011:2012 | Guidelines for quality and/or environmental management systems auditing used for performing the audits |
| ISO 14065:2020 | General principles and requirements for bodies validating and verifying environmental information |
| ISO 14067:2018 | Greenhouse gases — Carbon footprint of products — Requirements and guidelines for quantification |

The IAF MD1, MD2, MD3, MD4, MD5, MD11 mandatory documents

## 3 MARKING REQUIREMENTS

Marking requirements of the Mark of Conformity IECQ CECC and the definition of the logotypes are defined in the IECQ 01A specification, available on the Website www.iecq.org

**Mark of Conformity « IECQ » for products (with the exception of LED component/product)**

- 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 respect all requirements relative to the usage of the Mark of Conformity and information relative to products.
- The certification holder is required also to communicate, upon request of LCIE or the IECQ System secretariat, any support bearing the IECQ Mark of Conformity.
- The conditions for reproducing the logotype for the IECQ Mark must be respected as soon as the right to use the Mark is granted.

**Graphical Symbol of the IECQ system and its schemes**

Note: The following IECQ logo must not be used as a product (component) or process Certification Mark. It may be used on literature only, for promoting the system and its schemes

# 4 PROCEDURE FOR OBTAINING THE IECQ APPROVALS

The certification process is managed by the Certification Body (LCIE) up to the delivery of the certificate. The audit may be performed either by an auditor of the Certification Body or by a sub-contracting auditor duly qualified by the CB.

## 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 his Quality Management System and his manufacturing site meet the requirements defined in document IECQ 03-1 in conjunction with IECQ 03-2, IECQ 03-3, IECQ 03-4, IECQ 03-6, IECQ 03-7 or IECQ 03-8, including subsequent applicable documentation.

**Overall Certification process**

The certification process includes:
- examination of the Application and File (QMS documents and technical file of the product/process to be certified)
- audit of the manufacturing unit, (audits steps 1 and 2)
- testing of electronic components or component/product LED and associated processes
- assessment of the results and decision of certification
- issuing of the certificate / license

**By his application, the applicant commits himself to:**

- set up and maintain a Quality Management System in conformity with the ISO 9001: 2015 standard requirements, or equivalent, and with the IECQ requirements,
- comply permanently to the certification requirements including control of changes required by the Certification Body,
- take any provision needed for
    1. conducting the assessment and the surveillance (in case maybe), including providing elements to be assessed like documents and records, access to equipment, sites, zones, personnel and sub-contractors of the client concerned,
    2. instructing the customer claims,
    3. accepting participation of observers in case maybe,
- use his certificate only for the scope and perimeter defined.

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 stages, 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 an initial approval and a surveillance program during all the certification periods.

## 4.2 Application for certification and file

### 4.2.1 Certification Application Form and Information relative to the Organization

The application (Organization Approval and/or Product, Process, Technology 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 Organization for the certification,
- any information relative to any individuals/companies having providing consultancy to the Organization in relation to the management system.

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

### 4.2.2 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.*

Multiple sites organizations are defined with the following criteria:
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 centralized 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 Organization:
    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 shall be calculated for each site using the calculation man-days table of annex 6 of this document. The specific case of those Organizations that are not already ISO 9001 certified is also addressed in this annex 6.

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

### 4.2.3 Case of Certification Transfer

As per IECQ 03-1, an Organization holding an IECQ certificate may apply for transferring his certificate issued by a CB to another CB, at the following conditions

- the previous certification must not be suspended nor withdrawn by the previous CB; the non-conformities detected by the previous CB must be closed (IAF MD2)
- an Application Form shall be provided to the new CB, with explaining the situation as far as possible,
- The receiving CB shall review the last Audit report confirming closing of the NCrs and making a technical review of the file.

The review of the Application corresponds to a review of Pre-Transfer (document review, including a visit on the client site normally). This documented review includes:

- Confirmation that the certification perimeter relates to the accreditation of LCIE,
- Reason of transfer,
- Confirmation that the site(s) belong(s) an accredited valid certification in terms of authenticity, duration and scope of activity,
- The status in the current certification cycle,

With this information, the Certification Officer can verify that:

- The certification perimeter is the same as the previous one,
- No non-conformity found during the previous cycle is still in process
- The management provisions for the customer complaints are efficient (as assessed in the audit report),

The Certification Officer decides about consequences to be given in case of unsatisfactory element.

From this pre-transfer review, the certification body determines the competencies needed for the audit team and the appropriate steps of the certification process.

The transfer is done after an on-site audit normally (renewal or specific audit).

The audit file is assessed, and a decision is taken, like for an initial certification.

It belongs to the Organization to inform the previous CB about the transfer for withdrawing the previous certificate.

## 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, 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 considered,
- 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 duration of the audit taking into account the elements noted in annex 6, and the nature and complexity of activities.

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

The review is validated by a Reviewer.

## 4.4 Tender, Certification Contract and Order

- A commercial and technical **"offer of service"** is drawn up and submitted to the Organization. Once agreed, it is asked to place an order for invoicing purposes.

- A **"Certification Contract"** is addressed to the Organization for fixing the mutual obligations of the Parties. The Contract is signed by both Parties.

- The Customer Service is charged of making the Contract review to confirm the order corresponds to the offer. In case of gap, he makes the necessary action to the client for solving the issue.

- The certification process may start only at reception of order and contractual documents for certification (contract).

Before each audit, the lead auditor verifies the conditions of the audit with the nominated Organization representative of the client, takes the offer and the order into consideration and confirms that the conditions of the audit correspond to the offer/order. In case of significant gap, he requires emission of an amendment to the offer.

## 4.5 Initial Certification Audit

### 4.5.1 Initial Audit stage 1

The audit step 1 is done for evaluating the Quality Management System to be audited:

a) Audit the documentation of the Management System,
b) Evaluate the place and specific conditions of the client site, and create opportunity for exchange of information with the personnel of the client to determine level of preparation for the audit step 2,
c) review the client's status and understanding regarding requirements of the standard, with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system
d) collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance (e.g. quality, environmental, legal aspects of the client's operation, associated risks, etc.);
e) review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit,
f) provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's management system and site operations in the context of possible significant aspects,
g) evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.

The stage 1 audit may be performed partially on the site(s) to be certified, for evaluating the reality of the QMS implementation and complete the document review. A checklist may be used for collecting data of the Organization. This audit determines the possible corrections or complements to be done to the QMS before the stage 2 audit of certification.

The results of the stage 1 audit are documented and communicated to the client, including identification of any problem likely to be classified like nonconformity during stage 2.

For determining interval between stage 1 and stage 2, it is needed to consider the time for the client for solving the issues identified during the stage 1 audit.
The conditions scheduled for the stage 2 may be reviewed (tender).

### 4.5.2 Initial Audit stage 2

The purpose of the stage 2 audit is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 audit shall take place at the site(s) of the client. It shall include at least the following:

a) information and evidence about conformity to all requirements of the applicable management system standard or other normative document;
b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
c) the client's management system and performance as regards legal compliance;
d) operational control of the client's processes;
e) internal auditing and management review;
f) management responsibility for the client's policies;
g) links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions;
h) control of conditions of design, manufacture, and control of electronic components to be certified.

- Preparation of the stage 2 audit:

In the case of an Initial audit, the Lead Auditor:

- get the elements of the file defining the applicable reference standard and the scope of the audit,
- determine if the audit is achievable by examining the appropriate documents of the QMS of the applicant. In case maybe, he may ask for complementary documents,
- establishes the planning of the audit with the applicant according to the duration of the audit
- The audit planning and the audit team are communicated to the Organization, at least 2 weeks before the starting of the audit,
- A Customer Satisfaction Questionnaire relative to the auditor mission is sent to the Organization, either with the audit planning or with the audit report, to be returned to the LCIE, Quality department.

- Carrying out the audit
  - The audit is carried out according to the requirements of ISO/IEC 17021. 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.
  - The opening meeting is a formal one, and the participants are registered,
  - All the sections of the IECQ specifications are considered.
  - 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-conformities are communicated to the auditee and the CARs 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 summarized at the closure meeting and the participants are registered. Presence of the Top Management or his representative is required.

The stage 1 and the examination of documentation may be conducted either on- or off-site. If conducted off-site the justification shall be documented, whilst the stage 2 shall be conducted onsite. In case Initial audit Stage 2 is conducted off-site or remotely a special on-site audit must be performed within the next 6 month.

Note: Surveillance audits can be conducted onsite or off-site or as a hybrid under the provisions of IECQ OD 0201 and procedures CERT-GEN "Force majeure" and CERT-GEN "Remote Audit" when invoked.

### 4.5.3 Testing of Electronic Components and/or component/product LED

See Annex 4

### 4.5.4 Certification of Environmentally Conscious Design (ECD)

The certification is done taking into consideration the requirements IECQ OD 62430 (Application of IEC 62430 within IECQ for issuing IECQ approved process Certification - IECQ AP-ECD Certification under the

IECQ AP Schemes). The supporting documentation available on the IECQ documentation base (e.g. SAR 62430) is used.

#### 4.5.5 Verification Statements covering Claims concerning Carbon Footprint of Products

The verification is done taking into consideration the requirements of IECQ OD 14067. The supporting documentation available on the IECQ documentation base (e.g. SAR 14067) is used.

## 4.6 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 Organization with the corresponding corrective action. The report is delivered to the audited Organization.
- 90 days maximum 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 must 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.

- In the case of certification of products, the report includes a declaration signed by the DMR, confirming that tested samples were produced either from regular manufacturing line, or with approved methods and materials

- In the case of IECQ LED certification scheme, a specific checklist dedicated to the review of the certification file shall be completed and validated before any proposition of certification (internal document related to IECQ 3801).

- A proposal of product certification is prepared by the Engineer.

## 4.7 Review and 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 Reviewer recommends a certification decision (QMS and product).
- From the elements gathered by the audit, the Director for Certification takes one of the following decisions:
    - 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 Organization.
- In case of adjournment or refusal, a motivated letter is sent to the applicant.

## 4.8 Surveillance of the Certification

### 4.8.1 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 applicable IECQ 03-x rules.
- The surveillance audits are prepared, performed, and concluded in the same way as for the initial audit and the certification decision as well.
- The audit conditions are verified before starting each audit.

- 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.
  The Lead Auditor verifies:
  - The batch per batch testing results
  - The periodic testing results
  - Testing conditions and qualification of people involved in testing, including the surveillance of the testing, measuring and control equipment.

### 4.8.2a Frequency of the surveillance audits for Approval Processes

- In the frame of Approval Processes according to IECQ 03-1 and IECQ 03-2, the frequency of the surveillance audits is annual

- The date of the first surveillance audit following the initial certification must be fixed in a timing of 12 months maximum after the last day of the initial audit stage 2.

**Certification must be suspended in case of non-respect of audit dates at the target dates required (see chapter « Suspension/Withdrawal/Reduction of scope »).**

### 4.8.2b Frequency of the surveillance audits for Product Approval

- For electronic components, according to IECQ 03-1 and IECQ 03-3 or IECQ 03-8, the normal frequency of surveillance shall be 2 visits per year (typical 6 months between consecutive visits).

- 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) or if the organization provides an ISO 9001 certificate by an accredited body.

### 4.8.3 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 competent Reviewer of the Certification Body having not participated to the audit. He 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, withdrawal, or reduction of scope (QMS and Product).

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

## 4.9 Renewal of the certification

### 4.9.1 Objective of the renewal audit

A renewal audit is planned and performed for evaluating conformity to all the IECQ 03-1, IECQ 03-2, IECQ 03-6 or IECQ 03-8 clauses requirements, as well as effectiveness of the QMS within 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 Organization or the context of operation, the renewal audit activity may require to performing again an audit stage 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.

### 4.9.2 Application for Renewal and Review

Before each Renewal audit, an Application Form may be addressed to the Organization for confirming conditions of the coming Renewal audit (number of people, activity and scope of certification, changes, etc.). Information may be collected by exchange of correspondence too.

Like for the initial audit, analysis of the Application for Renewal is the basis for the commercial Offer for the new cycle of certification. The client is invited to place an order for confirming his acceptance of the service to be done.

### 4.9.3 Scheduling of the Renewal audit

Scheduling of the Renewal audit must be done for having no interruption of the certification.

It is organized 3 months before expiry of the current certificate, approximately.

**When the client certified has not allowed realization of the renewal audits according to the frequency required, the certification body must suspend the certification. (See chapter « Suspension/withdrawal/Reduction of scope »).**

A Renewal audit not realized at the expiry date of the current certification is considered as an Initial audit.

If, for exceptional reasons, the organization of the renewal audit or treatment of non-conformities that the date of expiry of the certificate is expired, LCIE reserves the right to:

- Reduce the expiry date of the new certificate, to readjust the previous cycle,
- Request the performance of additional audit (before certification decision) or additional (after certification decision)
- Ask for stronger surveillance audits
- Carry out a full initial audit.

When the renewal audit is performed before the expiry date of the previous certificate, but the treatment of the corrective actions leads to pass over this date, the lead auditor may propose emission of a temporary certificate for 3 months if he has confidence in the action plan received from the Organization before the expiry date. The final certificate is issued when the decision is taken on the whole file closing the NCs.

#### 4.9.4 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 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 Organization,

The non-conformities identified are documented onto nonconformity sheets. The audited Organization 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.

#### 4.9.5 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.

#### 4.9.6 Decision for renewing the certification (Product, Process, Capability 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.

### 4.10 Particular audits

#### 4.10.1 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.

#### 4.10.2 Audit with short notice

It may be needed to plan an audit with short notice, 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 Organization, taking care to the audit team designation which cannot be refused by the audited Organization.
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 COMMITMENTS 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 Organization

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.

In a general manner, the applicant commits to:
- When the certification relates to a series production, he shall assure that the product certified continue to comply with the product requirements,
- in case of suspension, withdrawal, or at expiration of certification, he shall cease any communication relative to the certification, and fulfil all requirements required by the certification programme (for instance, return of certification documents) and comply with any other measures required,
- If the client provides copies of certification documents to other parties, the holder shall reproduce them in full, or as specified in the certification programme,
- Comply to requirements which may be required by the certification programme concerning using of the Mark of Conformity and information relative to the product,
- Keep records of complaints received relative to the conformity to the certification requirements and make those records available to the CB on request,
- Inform without delay the CB about changes having consequence on his capacity to comply to the certification requirements,
- Facilitate access of the CB to his sub-contractors concerned by design, manufacture and testing of certified products.

# 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 The National Member Body to IECQ

The French National Body, member of IECQ (IECQ Member Body) is the French Electro-technical Committee which has mandated LCIE as delegated « Member Body ».

## 6.2 The National Certification Body (NCB/ONC) for IECQ

The *Laboratoire Central des Industries Electriques* "LCIE" has been accepted by the IECQ scheme as one of French Certification Body, to operate the IECQ certification scheme in France and abroad. In case of multiple National CBs should be designed for operating the IECQ scheme, each settles its own Rules of Certifications as detailed in the FR National Arrangement for Surveillance Arrangement.

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

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 Organization, 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 Organization 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 Organizations and products certified to IECQ

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) AFNOR Normalisation – appropriate Committees, 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 Resources

### 6.3.1 Internal resources

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.

### 6.3.2 External resources

LCIE assumes the full responsibility of all the certification operations.
LCIE may sub-contract some certification operations, like realization of audits. In this case, competence criteria and qualification of external auditors follow the same rules as for the internal auditors and are controlled in the same manner.

Missions are controlled by contract, including impartiality, confidentiality, and absence of conflict of interest.
In case of sub-contracting the client is informed.

## 6.4 Certification Committee

The Certification Management Committee of LCIE fulfils the role and functions of Certification Committee.

Note: Mission, composition, and mode of operation of the Certification Management Committee of LCIE are detailed in the internal procedure CERT DIR CDC (edition 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 Committee for preservation of Impartiality and authority of recourse for certifications delivered by LCIE.

### 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 Impartiality

LCIE manages its activity if strict impartiality relatively to the applicants.

Personnel engaged in the certification process are under contract with LCIE and have no subordination with the client Organization.
The Certification Management Committee is the Committee for the Preservation of Impartiality and in this aspect, performs an annual review of impartiality of processes, assessments, reviews, and decision taking for certification which are proper to LCIE in the frame of QMS and Product certifications.

## 6.6 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.
Confidentiality may also be waived according to a written agreement given by the Organization.

# 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 Organization.

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.

**Note:**
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

Two categories of claims and complaints may be defined:
- From a Tiers against a certified Organization
- From a certified client to a decision taken by LCIE

In all case, 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.

a) When the claim concerns a certified Organization, the client is notified in due time and the claim is examined regarding efficiency of the QMS of this client.
b) When the claim concerns an action taken by LCIE, instruction of the claim is conducted under the Quality department control, according to the LCIE General Procedure "Treatment of Claims, Appeals and Complaints".

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.

In the case of a claim issued by a Tiers against a certified client, LCIE shall charge costs related to the claim instruction to the certified client, when the claim is justified by the instruction led by LCIE.

## 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 without delay 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 in writing any legal change made to its Organization 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 of this transfer in writing.

The LCIE 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 accordingly.

## 9.3 Modification concerning the production unit's quality organization

The certification holder shall indicate to the LCIE 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 any change in sub-contractor is subject to written notification of the LCIE, who begins the procedure specified in appendix 4.

The LCIE 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 period, the LCIE pronounces the suspension or withdrawal of the right to use the IECQ Mark and notifies the certification holder.

# 10 CERTIFICATES, LICENSES AND MARKS OF CONFORMITY

### 10.1 Certificates and licenses

Standard models of certificates and content of certificates are given by the IECQ secretariat.

- The date of issue of the certificate cannot be before the date of decision of certification.
- The IECQ certificates are input and issued from the international IECQ database (www.iecq.org).
- Certificates and other certification documents may be communicated but in full.
- The Certification Body shall control Certificates, Licenses and Marks of Conformity as specified in the certification programme, concerning property, usage, display, any means used for communicating status of QMS and product.

### 10.2 Validity, renewal

The effective date of the certificate is put on it, and the expiration date as well.
The system and product certificates are valid for 3 years, in general.
The date of issue of the certificate cannot be before the date of decision of certification.
The certificate remains valid, as long as the surveillance by the surveillance audits is satisfactory.
Otherwise, it may be suspended or cancelled.

### 10.3 Mark of Conformity

See chapter 3.

## 11 SUSPENSION / WITHDRAWAL/REDUCTION OF SCOPE OF CERTIFICATION

**Suspension** of the certification may be taken

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

The certification body verified the satisfactory conditions before closing the suspension.

**Withdrawal of certification** may be done

- On voluntary request of the Organization to stop the certification,
- After a period of suspension having not allowed to revalidate the certification,
- In case of serious and repeated infringement to the rules, notably in solving issues in the time fixed by the certification body,
- Cease of the activity certified.

**Reduction of the scope of certification**
When the Organization has seriously and repeatedly infringed the rules for certain requirements of the scope certification the LCIE must reduce the scope of certification for excluding the elements which do not comply with the rules. Such reduction of scope must be conforming to the standard requirements used for the certification.

**The certification shall be suspended for non-respect of the dates of audit at the target dates required.**
The suspension may only be cleared by doing the planned audit.
Suspension is pronounced for 6 months only. An extension of 6 other months may be decided exceptionally on justified decision of the Director for Certification. Beyond, certification is withdrawn, and the cycle must restart with an Initial audit.

A suspension not cleared in the required time leads to the withdrawal of the certification.

In case of suspension or withdrawal, the holder of the certificate commits to cease any publicity relative to his status of certified Organization and to return the certificate without delay to the certification body which has granted it.

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 request, the LCIE is required to communicating the status of the certification of a customer, as valid, suspended, withdrawn, or reduced.

## 12 IMPROPER USE OF CERTIFICATE GRANTED BY LCIE

Wrong references to the certification program or misleading use of licenses, certificates, trademarks or any other device that a product is certified, in the documentation or other advertising tools must be corrected by appropriate action

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 and product certification activity are kept by LCIE, according to the relevant applicable general LCIE procedure, respecting the rules for confidentiality.

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.

Records are kept at least for the current cycle and the previous cycle.

## 14 FINANCIAL TERMS

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 5.

The Organization is committed to respect the payment of the bills concerning the certification, admission and/or maintenance. In case of unpaid bills, the Certification Body is empowered to cease the certification or the granting process.

The charges of admission include the fees for the opening and administration of the file, for the document review and the initial audit, and the cost for the emission of the certificate.
The fees for maintenance of certification include the administrative fees for the updating of the file, for the document review and the follow-up audits.
The travel expenses maybe included to the total or not. If not, they have to be refund on receipt.

## 15 CHANGES 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, and its revisions, are submitted to the Certification Director and the Certification Management Committee for consultation, and then approved by the LCIE President.

APPENDIX 1

## Reference documents used for IECQ Certification

List of Rules of Procedures by domain

| Domain of Certification | IECQ |
|---|---|
| Approval of the Process of an organization (manufacturers, distributors) | IECQ 03-1 (ex QC 001002-3 - Clause 2.3) and IECQ 03-2 based on ISO 9001 |
| Specialist Contractor Approval (processes and/or products) | IECQ 03-1 and IECQ 03-2 (ex QC 001002-3 - Clause 5) |
| Approved Process Scheme - Distributor (IECQ AP-D) | IECQ 03-1 and IECQ 03-2-1 |
| IECQ AP-ECD Certification | IECQ 03-1, IECQ 03-2 and IECQ OD 62430 |
| IECQ AP-CFPP Verification Statements | IECQ 03-1, IECQ 03-2 and IECQ OD 14067 |
| Qualification Approval of components<br><br>Including :<br>LED Product/Component | IECQ 03-1 and IECQ 03-3 (ex QC 001002-3 - Clause 3)<br><br>IECQ 03-8 (see details here below) |
| Capability Approval | IECQ 03-1 and IECQ 03-3 (ex QC 001002-3 - Clause 4) |
| Technology Approval – QML | IECQ 03-1 and IECQ 03-3-1 (ex QC 001002-3 - Clause 6) QC 210000 |
| Electronic Component Management Plan (ECMP) | IECQ 03-1 and IECQ 03-4 (ex QC 001002-4) |
| Hazardous Substances Process Management (HSPM) | Out of the scope of this rules – See LCIE C 00-193 |
| Approval of independent testing laboratories for electronic components | IECQ 03-1 and IECQ 03-6 (ex QC 001002-3 - Clause 2.4) and ISO/IEC 17025 |
| Counterfeit Avoidance Programme (IECQ AP-CAP) | IECQ 03-1 and IECQ 03-7 (+IECQ 3702 and 3706-x) |

| | |
|---|---|
| IECQ LED Certification Scheme | IECQ 03-01 IECQ general rules of procedure<br>IECQ 03-03 rules of procedures for approved component scheme<br>IECQ 03-8: Rule of procedure of IECQ scheme for LED lightning<br>IECQ 3801: procedure for issuing certificates for LED component products or associated<br>IECQ 3802: QMS requirements for manufacturers seeking LED component product certificates<br>IECQ 3803: Procedures for development / publication / maintenance of IECQ component/product specifications |

APPENDIX 2

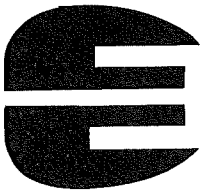
# METHODS OF USING THE "IECQ" PRODUCT MARK OF CONFORMITY

See IECQ 01A

## 1 Description of IECQ Mark of Conformity for Electronic Components

(with the exception of LED component/product)

The Mark logo consists of the registered monogram shown below:



The IECQ Mark of Conformity shall respect proportions shown above. Height recommended is 10 mm minimum.

When the logo is used as a Product Conformity Mark, it may be completed with the following indications:

- 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 IECQ authorized Distributor for distribution of its contents in packages that contain less, the latter in turn being sealed and marked as described above.

## 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 affixing the mark on the components, in accordance with the present Certification Regulations, does not in any way replace the responsibility of the IECQ that which rests with the holder 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, regarding 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 case of a merger, liquidation or absorption of the certification holder, all rights to use the Electronic Component Mark that it may hold expire automatically.

It is the Electronic Component Certification Technical Committee to review the terms and conditions of a new possibly required admission.

## 7 Collective advertising

The cooperative advertising and promotion of the brand Electronic Components cannot be made without the IECQ there was a partner and that his agreement was reached.

## 8 Specificity for LED Component/Product (IECQ 03-8):

The lots shall be released with an IECQ declaration of conformity (« Supplier's declaration of conformity » SDoC)

APPENDIX 3

# PROCEDURE FOR FILLING 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 an Organization, 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/IEC 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.

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 based on 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.

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 Organization Approval (Quality Management System):

- acknowledgement to comply with the Certification Regulations and Rules of Procedures of the system,
- designation of the system manager (DMR),
- commitment to indicate any modification in the structure or the process,
- general information sheet concerning the Organization (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 Particulière - form 01). Printed form drawn up by LCIE.

### 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 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 (form 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.

APPENDIX 4-A

# APPLICATION FORM

## IECQ approved component, process or laboratory certification schemes

As per IECQ rules of procedure IECQ 03-2, IECQ 03-3, IECQ 03-4, IECQ 03-6, IECQ 03-7 and IECQ 03-8
And LCIE Certification Rules LCIE C 00-195

We thank you for choosing Bureau Veritas for your IECQ assessment and certification. Please complete this application form and return it to your contact person in LCIE. Feel free to contact us for further explanations.

### Part 1: APPLICANT INFORMATION

| | |
|---|---|
| **Organization Name** | |
| **Organization Address (main site, or Head Quarter) and Website** | |
| **Legal Status** | |
| **Managing Director Name** | |
| **Contact Name and function** (representative) | |
| **Telephone N°** | |
| **Email address** | |

| | | |
|---|---|---|
| **Type of assessment:** | ☐ **Initial Assessment** | ☐ **Re-Assessment** |
| | ☐ **Transfer from another CB** | ☐ **Other** (Specify): |

**Service requested (type of IECQ certification):**

| | | |
|---|---|---|
| ☐ | IECQ Approved Process scheme (manufacturer / distributor) | IECQ 03-2 (ISO 9001) |
| ☐ | IECQ AP-ECD Certification (Environmentally Concious Design) | + IECQ OD 62430 |
| ☐ | IECQ AP-CFPP Verification Statements (Carbon Footprint) | + IECQ OD 14067 |
| ☐ | IECQ Approved Component product scheme (electronic component) | IECQ 03-3 (product) |
| ☐ | IECQ ADHP Scheme - Aerospace, Defense, and High Performance (ADHP) Component Management | IECQ 03-4 |
| ☐ | IECQ Independent Testing Laboratory assessment (ITL) | IECQ 03-6 (ISO 17025) |
| ☐ | IECQ Counterfeit Avoidance Programme (IECQ AP-CAP) | IECQ 03-7 |
| ☐ | IECQ Approved LED Component product scheme (LED) | IECQ 03-8 (product) |

| | |
|---|---|
| **Target Date for the audit** | |

The Organization demands to the LCIE Bureau Veritas, which accepts it, to proceed to the certification for complying with the applicable legal regulations listed in this document. Assessment is led in prevision of delivery of the certificate(s) in accordance with the Certification Rules LCIE C 00-195 (IECQ "Certification of Electronic Components" covering electronic components, and LED components/products), which have been communicated, and in accordance with the Rules of Procedures or standards applicable. The certificate will be established on the base of the Rules and Standards cited above.

**This application is considered as a new ANNEX to the Certification Contract, when it exists, N°**

| Date: | Signature: |
|---|---|
| Applicant representative Name: | Organization Stamp: |

The present application form has to be filled in and signed. The applicant is committed to respect the certification process requirements, and to provide all useful information for evaluation.

**Part 2: SITE TO BE ASSESSED** (*Please fill-in this part for each manufacturing site)*

| | |
|---|---|
| **Site name** | |
| **Site address** | |
| **Legal Status** | |

| | | | |
|---|---|---|---|
| **Site contact Name** | | **Position** | |
| **Telephone N°** | | **Fax N°** | |
| **E-mail Address** | | **website** | |

| | | | |
|---|---|---|---|
| **Total Area** | | **Operations area** | |
| **Production** (pieces/year) | | **Number of Production Lines** | |

Please describe your products / services (e.g., manufacturing of connectors for electronic industry, etc...)

What is the profile of your main customers? (e.g., electrical / electronic industries, engineering, retailers, etc...)

Is the Organization part of a group?

Is the design and development process included in the assessment perimeter?

Is there a test laboratory supporting operations in the assessment perimeter?
*(if yes, provide details of location)*

Description of the main process of the Organization (ex. production: assembly, surface treatment, assembly of electronic boards, manufacturing of metal parts, etc.)

Critical outsourced Processes (if any):

| | |
|---|---|
| **Is the Organization already certified?** | According to which reference standard(s)?<br>Which Certification Body?<br>Expiry date of the actual certificate(s)? |
| **In case of transfer from a Certification Body, join at least the copy of the last audit report and the current certificate.** | |

Did the Organization be advised by a Consulting agent/company for implementing the Management System?

If yes, please indicate the name of the consultant

**BREAK DOWN OF PERSONNEL** (Please provide allocation of the staff for each site and by main department)

| Department | Number of Full Time employees | Number of Part-time / seasonal employees |
|---|---|---|
| Administration / Management | | |
| Design / Engineering | | |
| Manufacturing / Engineering | | |
| Quality Assurance | | |
| Production / Warehouse / Logistics | | |
| | | |
| **Total Number** | | |

**SHIFT DETAILS** (i.e., split number of employees per shift(s) if applicable)

| | Number of Staff | From (Hours) | To (Hours) |
|---|---|---|---|
| **Normal Shift (day)** | | | |
| **1st Shift (morning)** | | | |
| **2nd Shift (afternoon)** | | | |
| **3rd Shift (night)** | | | |

| | Quality Management System | |
|---|---|---|
| **Organization already Certified to?** | ☐ ISO 9001<br>☐ other QMS Certification (please detail) | |

Note: If the organization is not granted by a QMS certification, the audit time will be increased accordingly

**Part 3: COMMENTS FROM THE APPLICANT** *(Please write down any comments regarding this application)*

**Part 4: DOCUMENTATION LIST** *(to be attached to the application)*

- Quality Management Manual (if existing, if not please mention it)
- QMS processes and description of QMS processes
- List of main QMS procedures (or similar documented information)
- Organization chart(s)

Note: this is the list of documents related to the overall organization and Quality Management System. There are additional documents to be supplied when product approval is requested (see part 5 hereafter)

## Part 5: PRODUCT APPROVAL APPLICATION REQUEST, For Electronic Components (IECQ 03-3) or LED Component / product (IECQ 03-8)

The signatory (see part I here above) is applying for approval of the components designated in the:

- table 1 (electronic components), or
- table 2 (LED components/products)

attached hereafter, that are manufactured in his factory (designated in part 2 here above) in view of getting the IECQ Mark of Conformity.

**The Signatory states:**

- that he knows the Rules of Certification of electronic components LCIE C 00-195 and the associated quality assurance procedures;
- 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 of any significant modification in the production defined in the file attached to the present application or in the organization of Quality Assurance.

The Signatory commits to submit the production of these components to the quality conformance product testing (lot by lot and periodic) defined in the Rules of Certification.

**Composition of the product approval file**

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

- A simplified or full process flow chart listing the manufacturing, test and inspection operations, with the reference of the internal specifications that define them, and specifying the locations where these operations are performed and the primary stage of manufacture. A control plan may be added if available.
- A document specifying the materials used for each model (per technological range if necessary), the mechanical characteristics (dimensions, aspect, marking...). This may be a simplified BOM (Bill of Material).
- any other information that may be useful for the comprehension of manufacturing and test operations
- table 1 or table 2 (see below, depending on products) fully completed

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.

**Table 1 of part 5:**
List of models of electronic components for which approval is requested (rule of procedure IECQ 03-3)

| Models (1) | Commercial Reference (2) | Main characteristics (3) | Standards (4) |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

NB: These table shall contain only products manufactured on the (globally) same manufacturing line. Please use one table for each separate manufacturing line (naming them 1a, 1b etc.)

*(1) Designation of models according to the reference standards or specification.*
*(2) Corresponding commercial designation specific to each manufacturer.*
*(3) Indicate precisely, for each model, the characteristics: range of values, categories, classes, etc.*
*(4) Indicate the particular sheet.*

**Table 2 of part 5:**
List of models of LED component/product for which approval is requested (rule of procedure IECQ 03-8)

| IECQ product specification reference (1) | Commercial Reference (2) | Main characteristics / nominal parameters (3) |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

NB: These table shall contain only products manufactured on the (globally) same manufacturing line. Please use one table for each separate manufacturing line (naming them 2a, 2b etc.)

*(1) IECQ LED product specification (as per IECQ 3803).*
*(2) Corresponding commercial designation specific to each manufacturer.*
*(3) Indicate precisely, for each model, the characteristics: range of values, categories, classes, etc.*

APPENDIX 4-B

## SPECIAL AGREEMENT – Convention Particulière (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 directives. In particular, this document specifies:

a) the commitment of the applicant and the characteristics of the components covered by the application (see the application form),

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, AQL 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/IEC 17025 for laboratories may be drawn up by the LCIE. In this case, this agreement uses the stipulations in paragraphs 1 and 4 of the present appendix.

### 4 Approval of the Special Agreement (CP)

The special agreement, once finalized, is approved by the LCIE and given to the certified organization (manufacturer, distributor or laboratory).
It may be modified or added to by mutual agreement as often as necessary.

The LCIE 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

APPENDIX 4-C

# 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 :***<br>*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.*<br>✓ *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*<br>*It is the responsibility of the applicant to fulfill this requirement.* |

| **Name and address of the responsible Certification Body:** |
|---|

| **Organization name / Manufacturing site address / IECQ manufacturer approval number:** |
|---|

| **Name, address and status of the testing laboratory:** |
|---|

| **General type of component:**<br>**Generic standard / Intermediate standard:**<br>**Detailed specification:**<br>**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 (Certification Body) |
|---|---|---|
| Name :<br><br>Date :<br><br>Signature : | | |

# FINANCIAL SCHEME

The present appendix aims 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 determines the amount of fees 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

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 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,

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.

## APPENDIX 6

## CALCULATION OF THE DURATION OF AUDITS

---

The object of this annex is to define the duration of audits for certification of electronic components (including LED products).

**BASIC RULE**
The audit time includes the total on-site time (actual or virtual) and the off-site time for planning, documentation review, communication with customer and reporting.
The travel time and any break time are not included for on-site duration.

The audit time shall be reviewed at least at each surveillance and renewal audits, to take into account any organization change, context change, etc.... The evidence of these reviews shall be recorded.

The determination of the duration of audits is formalized and recorded in a specific document kept by the CB.

### 1. Case of CECC/IECQ certification for organizations already ISO 9001 certified by another certification body (IECQ 03-1 - § 9.2.1)

For Organizations that have already obtained certification from an ISO 9001 Certification Body that has current accreditation by an accreditation body that is a member of IAF, the calculation of the audit duration is estimated based on the following table.

A manufacturing line is related to a product technology and/or a product family.

- **Basic rule (number of man-days "md"):**

| | Without certified products | With certified products | Comments |
|---|---|---|---|
| For up to 2 manufacturing lines | 1 md | + 0,5 md | All lines, all audits |
| For up to 5 manufacturing lines | 1,5 md | + 0,5 md | All lines on 2 consecutive audits.<br>At least 2 lines in each audit. |
| For more than 5 manufacturing lines | 2 md | +1 md | All lines on 2 consecutive audits.<br>At least 2 lines in each audit. |

- **Specific case : LED (IEC 03-8)**

Note: the frequency for surveillance is define in the paragraph 4.8.2. b) of this document.

| | Initial | Surveillance | Comments |
|---|---|---|---|
| Per site | 1 md for stage 1<br>2 md for stage 2 | 2 md | + 1md for assessing periodical test results |

For a renewal: 0,25 days shall be added as a minimum

Adjustments:
For some reasons, adjustments are possible.
e.g.: Complex processes (e.g.: semiconductors), parts of manufacturing lines common to several processes, big sites, long access times (clean rooms...), knowledge of the activity, new auditor.....
Those adjustments shall be justified, approved and documented

### 2. Case of CECC/IECQ certification for Organization non already ISO 9001 certified

For Organizations that have not obtained certification from an ISO 9001 Certification Body that has current accreditation by an accreditation body that is a member of IAF

- **Basic rule (number of man-days "md"):**

| | Without certified products | With certified products | Comments |
|---|---|---|---|
| For up to 2 manufacturing lines | Refer to LCIE C 00-196 | + 0,5 md | All lines, all audits |
| For up to 5 manufacturing lines | Refer to LCIE C 00-196 | + 0,5 md | All lines on 2 consecutive audits.<br>At least 2 lines in each audit. |
| For more than 5 manufacturing lines | Refer to LCIE C 00-196 | +1 md | All lines on 2 consecutive audits.<br>At least 2 lines in each audit. |

- **Specific case : LED (IEC 03-8)**

Note: the frequency for surveillance is define in the paragraph 4.8.2. b) of this document.

| | Initial | Surveillance | Comments |
|---|---|---|---|
| Per site | 0,5 md +<br>1 md for stage 1<br>2 md for stage 2 | 0,5 md +<br>2 md | + 1md for assessing periodical test results |

### 3 Content of the audit (to be included in the audit report):

For an Organization already ISO 9001 certified, the audit should at least cover the following items:

- Modifications to the product and to the manufacturing/test operations
- Audit of the manufacturing line
- Audit of final test operations
- Audit of product quality inspection operations (by lot and periodical)
- Audit of the test laboratory for components (apart if already ITL certified)
- Audit of periodic tests results related to the test laboratory (for product certification)
- Audit of customer claims and returns (at least for certified products, if any)
- Review of customer feedback data (for certified products, or similar)
- Review of operational KPIs (e.g.: OTD, PPM, CNQ, AOQ, yields…)

For an Organization not already ISO 9001 certified, the audit should cover those same items, in addition to the "system" audit.