IECQ OPERATIONAL DOCUMENT

IEC Quality Assessment System, IECQ

Assessment Procedures for acceptance of Candidate Counterfeit Avoidance Programme (IECQ CAP) Lead Assessors (LA) and Technical Experts (TE) in the IECQ AP Scheme
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IEC QUALITY ASSESSMENT SYSTEM, IECQ

IECQ Operational Document 3707 –
Assessment Procedures for acceptance of Candidate Counterfeit Avoidance Programme (IECQ CAP) Lead Assessors (LA) and Technical Experts (TE) in the IECQ AP Scheme

INTRODUCTION
This Operational Document (OD) sets out the application, assessment and surveillance process for individuals seeking to be accepted and maintain acceptance as IECQ CAP Lead Assessor (LA) or Technical Expert (TE). The requirements of this OD are supplementary to the IECQ Basic Rules, IECQ 01 and Rules of Procedure, IECQ 03-1 and IECQ 03-7.

The following provides an overview of the process:

1. Applicant submits application to the IECQ Secretariat for review and acceptance.
2. Summary report and recommendation presented to IECQ Working Group 06 for consideration.
3. Upon successful review by WG06, applicant approved as an IECQ CAP TE and/or IECQ CAP LA.
4. Maintenance of credentials.

Further information concerning these procedures or any other aspect of the IECQ AP Scheme – Counterfeit Avoidance Programme, may be obtained at: www.iecq.org

Document History

<table>
<thead>
<tr>
<th>Date</th>
<th>Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>June 2013</td>
<td>Edition 1.0 Original issue</td>
</tr>
<tr>
<td>November 2017</td>
<td>Edition 2.0 Updated to include provision for IECQ OD 3702 auditor criteria and document series numbering</td>
</tr>
<tr>
<td>October 2023</td>
<td>Edition 2.1 Admin update to the IECQ title</td>
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IECQ Secretariat c/o IEC Sydney Office
Angel Place, Office 1721, Level 17
123 Pitt Street, Sydney, NSW 2000 Australia
Email: info@iecq.org | Tel: +61 2 4628 4690 | https://www.iecq.org
Assessment Procedures for acceptance of Candidate Counterfeit Avoidance Programme (IECQ CAP) Lead Assessors (LA) and Technical Experts (TE) in the IECQ AP Scheme

1 Flow Chart of LA/TE Credentialing Process

1. IECQ establishes need for additional LA/TE’s

2. IECQ issues formal notification soliciting applications for the LA/TE position.

3. Potential LA/TE applies for position, using form included in OD Annex A (Appendix)

4. IECQ evaluates applications and notifies candidates of decision

5a. Candidate notified of decision

5b. Candidate notified of decision

6. Candidate attends LA/TE training course or demonstrates equivalence

7. Candidate takes exam.

8a. Candidate notified of decision

8b. Candidate notified of decision

9. IECQ decides to interview candidate?

10a. Candidate notified of decision

10b. Candidate notified of decision

11. Candidate interviewed

12a. Candidate added to IECQ registration list of LA/TE’s

13. Candidate sent letter and Certificate

14. New LA/TE participates in one (1) IECQ CAP assessment (See experience gained, item d)

15. Probationary status removed

16. LA/TE furnishes periodic evidence (2 year intervals) to IECQ of compliance with ongoing requirements (IECQ OD-707)?

17. LA/TE maintains certification and continues participating in CAP assessments

Pass?

End

No

Pass?

No

Pass?

End

No

Pass?

End

No

Pass?

End

No

Pass?

End

No

Pass?

End

No

Pass?

End

No

Pass?

End

No

Pass?

End

No

Pass?

End

No

Pass?

End

No

Pass?

End

No

Pass?

End

No

Pass?

End

No

Pass?

End

No

Pass?

End

No
1 Normative references

For dated References, only the revision cited applies. For undated References, the latest revision applies.

IEC 62402, Obsolescence Management - Application Guide.


IECQ OD 3702, IECQ Counterfeit Avoidance Programme Assessment, Evidence of Compliance Summary and Assessment Reporting Form – Anti-counterfeit Traceability audit for any industry segment.


ECIA NIGP 107, Guidelines for the format of Military Certificates of Conformance.

ECIA NIGP 111, Guidelines for the format of Packing Slips.

ISO9001, Quality management systems – Requirements.

JEDEC JESD31, General Requirements for Distributors of Commercial and Military Semiconductor Devices.

SAE ARP6178, Fraudulent/Counterfeit Electronic Parts; Tool for Risk Assessment of Distributors.

SAE AS 5553, Fraudulent/Counterfeit Electronic Parts; Avoidance, Detection, Mitigation, and Disposition

SAE AS6496, Fraudulent/Counterfeit Electronic Parts: Avoidance, Detection, Mitigation, and Disposition – Authorized/Franchised Distribution.

SAE AS 6081, Fraudulent/Counterfeit Electronic Parts: Avoidance, Detection, Mitigation, and Disposition – Distributors.

SAE AS6171, Test Methods Standard; General Requirements, Suspect/Counterfeit Electrical, Electronic, and Electromechanical Parts.

SAE EIASTD4899, Requirements for an Electronic Components Management Plan.
2 Terms and definitions

CAP  counterfeit avoidance programme
LA  lead assessor
TE  technical expert

3 Technical Expert and Lead Assessor Roles and Responsibilities

All IECQ CAP TEs and IECQ CAP LAs (hereafter known as TE and LA respectively) that have been accepted into the IECQ AP Scheme's Counterfeit Avoidance Programme shall undertake the following Roles and Responsibilities when conducting IECQ AP-CAP activities. It is recommended that the LA and TE are both knowledgeable of all the IECQ anti-counterfeit CAP schemes to assist customers in the selection of the most appropriate scheme for their industry, see Table 1 where the IECQ CAP schemes are listed in order of descending complexity. LA and TE’s may apply for one or any or all of the CAP schemes in Table 1. LA and TE’s meeting the requirements of the most complex scheme (IEC/TS 62668-1) are considered to have sufficient knowledge to audit the least complex scheme (IECQ OD 3702).

<table>
<thead>
<tr>
<th>Audit targets</th>
<th>Anti-counterfeit IECQ CAP scheme title</th>
<th>IECQ reference document</th>
<th>External specification</th>
<th>Referenced specifications required to complete the audit</th>
<th>Targeted customer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Any material, mechanical component, electrical and electronic components or assemblies or products or any item</td>
<td>Traceability audit</td>
<td>IECQ OD 3702</td>
<td>ISO9001</td>
<td>ECIA NIGP107, ECIA NIGP111, JESD31, SAE STD-0016, IEC 62402</td>
<td>ISO9001 customers in any market segment in any part of the supply chain including Distributors, OEMs, subcontract assemblers and customers</td>
</tr>
<tr>
<td>Electronic components sold by non-franchised distributors</td>
<td>Assessment, Evidence of Compliance Summary and Assessment Reporting Form (SAE AS 6081)</td>
<td>IECQ OD 3706-2 Ed.1</td>
<td>SAE AS6081</td>
<td>ISO9001 or AS/EN/JISQ9120, SAE AS6171, ECIA NIGP107, ECIA NIGP111, JESD31</td>
<td>Non-franchised Distributors for the supply of electronics components only.</td>
</tr>
<tr>
<td>Electronic components purchased by an OEM</td>
<td>Assessment, Evidence of Compliance Summary and Assessment Reporting Form (SAE AS 5553A)</td>
<td>IECQ OD 3706-1 Ed.1</td>
<td>SAE AS5553</td>
<td>SAE AS6496, SAE ARP6178, SAE AS6171, IEC/TS 62888-2, ECIA NIGP107, ECIA NIGP111, JESD31, SAE EIASTD4899, IEC/TS 62239-1, IEC/TS 62239-2, SAE STD-0016, IEC 62402</td>
<td>Mainly AS/EN/JISQ9100 OEMs but also includes ISO9001 OEMs manufacturing electronic assemblies</td>
</tr>
</tbody>
</table>
### Evidence of Compliance Summary and Assessment Reporting Form (IEC-TS 62668-1 Ed.3)

<table>
<thead>
<tr>
<th>Electronic components purchased by an OEM (where the use of SAE AS5553 can be used) and the repair of electronic components in OEM maintenance facilities and the sale of electronic components as spares.</th>
<th>IECQ OD 3706-3 Ed.1</th>
<th>IECQ OD 3706-4 Ed.1</th>
<th>IEC/TS 62668-1</th>
<th>IEC/TS 62888-2</th>
<th>AS/EN/JISQ9100</th>
<th>AS/EN/JISQ9110</th>
<th>Avionics OEMs operating to AS/EN/JISQ9100 or AS/EN/JISQ9110 manufacturing or repairing electronic assemblies</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>IECQ OD 3706-3-1 Ed.1</td>
<td></td>
<td></td>
<td>SAE AS6496</td>
<td>SAE ARP6178</td>
<td>SAE AS6171</td>
<td>ECIA NIGP107, ECIA NIGP111, JE5D31</td>
</tr>
</tbody>
</table>

#### 3.1 The role of the Technical Expert (TE)

The Technical Expert is to provide to the assessment team, the necessary expertise, knowledge, and experience regarding the selection, qualification and management of components/material, including the associated processes for implementation including anti-counterfeit mitigation, for use by all industries.

The TE must also provide the necessary technical input on any questionable issues involving the subject matter, see Table 1.

The TE shall at all time act in a professional and impartial manner respecting the confidentiality of the organizations the TE have assessed.

In order to allow open access to the IECQ CAP records the organization being audited may require the TE to sign a non-disclosure agreement.

If a TE believe that there is a potential for a conflict of interest or a possibility for confidentiality to have been breached, the TE shall immediately notify the IECQ Certification Body (IECQ CB) for whom they have been engaged by.

The role of the Lead Assessor (LA) is to plan and conduct the IECQ CAP audit.

#### 3.2 The role of the Lead Assessor

The Lead Assessor shall be responsible for:

- Planning;
- preparing the assessment plan;
- Advising the client as to which CAP scheme is appropriate, See Table 1;
- conducting the opening and closing meetings;
- determining compliance to requirements;
- identifying and recording assessment findings, including a compliance evidence trail;
- preparing the assessment report;
- managing corrective actions to close out audit findings;
- having detailed knowledge of this Scheme and its Programme.

The LA shall at all time act in a professional and impartial manner respecting the confidentiality of the organizations the TE have assessed.

In order to allow open access to the IECQ CAP records the organization being audited may require the LA to sign a non-disclosure agreement.
Should an LA believe that there is a potential for a conflict of interest or a possibility for confidentiality to have been breached, the LA shall immediately notify the IECQ Certification Body for whom they have been engaged by.

A LA can also act in the capacity of a TE.

4 Requirements for IECQ CAP Lead Assessor and Technical Expert

4.1 Education Requirements

A relevant engineering or science degree (i.e. Physics, Electrical, electronic) or Higher National Certificate (HNC) and 10 years industrial experience as an AS/EN/JISQ 9100 auditor with basic knowledge of components used on the Avionics industry or 10 years equivalent experience with TS16949 or ISO 9001 knowledge from other relevant industries with component experience. Other relevant industries may include telecommunications, military, aerospace, biomedical and automotive, railway and high tech consumer electronics.

Industrial experience may include electronic components certification activities through auditing and assessment of test data as Lead Assessor (such as IECQ Approved Process and Approved Component Schemes) in an IECQ Certification Body for half of the time (i.e. 5 years out of the requested 10 years).

4.2 LA and TE Experience Knowledge Details

The LA and TE shall demonstrate significant experience in the areas of:

- ISO9001
- AS/EN/JISQ 9100 especially the new clause on anti-counterfeit mitigation (which includes obsolescence management) and traceability of components through the supply chain back to the original manufacturer;
- AS/EN/JISQ 9120 for Avionics Distributors;
- Basic knowledge of supply chain activity and the “grey market”;
- For the SAE AS5553 and IEC/TS 62668-2 CAP schemes: ECMP knowledge in accordance with IEC/TS 62239-1 and/or SAE EIASTD4899, particularly for awareness of component physical part marking techniques and component test methods;
- Detailed knowledge of the standards referenced in Table 1 for each CAP scheme, particularly the terms, definitions and requirements, how they build on one another.
- For the IEC/TS 62668-1 CAP scheme, knowledge of how SAE AS 5553 plans can meet some of the IEC/TS 62668-1 requirements;
- Risk assessments;
- USA NDAA legislation when auditees combine the requirements of this legislation into their anti-counterfeit plans;
- Knowledge of AS/EN/JISQ 9110 for repairs and the sale of spares;
- Knowledge of IP and how OEMS and OCMs protect their designs and products.
- For the SAE AS5553 CAP scheme: Basic knowledge of obsolescence managements (IEC 62402, SAE STD-0016)

4.2.1 ISO9001

The following minimum knowledge:

a) Knowledge of the ISO9001 standard;
b) Risk assessment which should include anti-counterfeit mitigations
c) How traceability is managed in the supply chain and documented on purchase orders;
d) How Distributors and customers operate and manage stock with lot control and traceability back to the OCM and their certifications (ISO9001, AS/EN/JISQ9210, SAE AS6496, SAE AS6081, IECQ OD 3702, ECIA NIGP 107 and ECIA NIGP 111).

4.2.2 Detailed knowledge of IECQ OD 3702

Detailed knowledge of IECQ OD 3702, particularly for awareness of the terms, definitions and requirements, component physical part marking techniques and component test methods:

a) General knowledge of ISO9001
b) General basic knowledge of IECQ OD 3702
c) Knowledge of the terms and definitions;
d) Knowledge of applicability in the supply chain
e) Knowledge of the minimum requirements;
f) Knowledge of (i) OCM physical part marking details, e.g. The use of logos, abbreviated part numbers, lot date codes and other OCM proprietary markings (ii) packing and external labelling e.g. the use of logos, full part numbers, country of origin etc. (ECIA NIGP107, ECIA NIGP111, JESD31);
g) JEDEC, SAE AS6171, MIL standard, AEC-Q100, ASTM material test methods, AEC Council test methods and other industry accepted test methods for material and component (mechanical and electrical) testing which might prove the suspect parts are counterfeit, recycled or fraudulent.

4.2.3 AS/EN/JISQ 9100 especially traceability of components through the supply chain back to the original manufacturer

Minimum detailed knowledge shall include knowledge of AS/EN/JISQ 9100 in particular:

a) selection and approval of suppliers;
b) supplier audits;
c) flow down of requirements to the suppliers;
d) purchase order procedures;
e) traceability in the supply chain;
f) anti-counterfeit mitigation
g) good inwards conformity procedures including part marking verification, lot date codes etc.;
h) non-conformance (MRB) procedures;
i) quarantine and scrap procedures.
j) Obsolescence management

4.2.4 AS/EN/JISQ 9120

AS9120 for Avionics Distributors minimum knowledge shall include:

k) Knowledge of the AS/EN/JISQ 9120 standard;
l) Anti-counterfeit mitigation
m) How traceability is managed in the supply chain and documented on purchase orders;
n) How Distributors operate and manage stock with traceability back to the OCM.

4.2.5 Basic knowledge of supply chain activity and the "grey market"

Basic knowledge of supply chain activity and the "grey market" shall include:

a) Awareness of Supply chains through the world including the Far East market;
b) Knowledge of franchised and non-franchised supply chains and how to find out whether a Distributor is franchised or not;

c) Knowledge of Distributors, how they operate and manage components, the difference between Franchised (Authorised) and non-Franchised (non-Authorised) the certifications they may have (AS/EN/JISQ 9120, ISO 9001, SAE AS6496, SAE ARP6178, SAE AS6081 etc.), when they operate in a non-franchised capacity and when they operate as Brokers;

d) Knowledge of when traceability in the supply chain breaks down and components are sold "as seen" and therefore become "suspect component" which possibly requires risk assessment which may include component testing

e) Knowledge of Escrow purchase schemes etc.;

f) Knowledge of subscription databases which can assist with identifying suspect lots of components and suspect suppliers, e.g. ERAI;

g) Knowledge of regional legal requirements concerning counterfeit, recycled and fraudulent activities i.e. that stock once proven to be counterfeit cannot legally be sold back into the supply chain etc. and how counterfeit stock is destroyed etc.;

h) IDEA-STD-1010 and SAE AS6171 and how the distributor industry uses these;

i) Awareness of SAE AS 6081 and why the Avionics industry is wary of this being used without risk analysis of the supply chain.

j) Awareness of component anti-counterfeit test methods (SAE AS6171, MIL-STDs, IEC/TS 62668-2)

4.2.6 ECMP knowledge in accordance with IEC/TS 62239-1 and/or SAE EIASTD 4899

TE minimum requirements shall include:

a) General basic knowledge of IEC/TS 62239-1 or SAE EIASTD4899;

b) Knowledge of (i) OCM physical part marking details, e.g. The use of logos, abbreviated part numbers, lot date codes and other OCM proprietary markings (ii) packing and external labelling e.g. the use of logos, full part numbers, country of origin etc.;

c) JEDEC, IEC/TS 62668-2, SAE AS6171, MIL standards, AEC-Q100, AEC Council (Automotive Electronics Council) test methods and other industry accepted test methods for component testing which might prove the suspect electronic parts are counterfeit, recycled or fraudulent.

4.2.7 Detailed knowledge of SAE AS 6081

Detailed knowledge of SAE AS 6081, particularly for awareness of the terms, definitions and requirements, component physical part marking techniques and component test methods:

d) General knowledge of IS9001 and AS/EN/JISQ9120

e) General basic knowledge of SAE AS 6081;

f) Knowledge of the terms and definitions;

h) Knowledge of the SAE AS 6081 minimum requirements;

i) JEDEC, SAE AS6171, MIL standard, AEC-Q100, AEC Council test methods and other industry accepted test methods for component testing which might prove the suspect electronic parts are counterfeit, recycled or fraudulent.
4.2.8  Detailed knowledge of SAE AS 5553, IEC/TS 62668-1 and the IEC/TS 62668-2

Detailed knowledge of SAE AS 5553, IEC/TS 62668-1 and the IEC/TS 62668-2 particularly the terms, definitions and requirements, how they build on one another and how SAE AS 5553 plans meet some of the IEC/TS 62668-1 requirements:

a) Knowledge of the terms and definitions of all these specifications;

b) Knowledge of the SAE AS 5553 minimum requirements;

c) Knowledge of the extra IEC/TS 62668-1 requirements and how SAE AS 5553 plans can be used (optional) to satisfy many of the IEC/TS 62668-1 extra requirements.

4.2.9  Detailed knowledge of SAE ARP6178 for use with SAE AS5553 and IEC/TS 62668-1

Detailed knowledge of SAE ARP6178, particularly for awareness of the terms, definitions, techniques and principals used to assist with a Risk Assessment of Distributors:

a) General basic knowledge of SAE ARP6178;

b) Knowledge of the terms and definitions;

c) Knowledge of the SAE ARP6178 techniques and principals.

d) How SAE ARP6178 techniques can be used in SAE AS5553 and IEC/TS 62668-1 anti-counterfeit plans.

4.2.10  Risk assessments

Risk assessments:

a) Review of risk assessment and how they can be carried out and documented;

b) The type of component testing which should be considered and implemented depending on the level of severity of the risk encountered (SAE AS6171 and IEC/TS 62668-1)

c) How risk assessments are summarised and documented;

d) How customers review and approve the outcome of these risk assessments.

4.2.11  USA NDAA legislation

USA NDAA legislation when auditees combine the requirements of this legislation into their anti-counterfeit plans. Minimum knowledge:

a) Knowledge of the USA NDAA legislation and its impact on OEMs who supply into the USA Military programs;

b) Understanding that some OEMs elect to merge compliance to the USA NDAA legislation with compliance to SAE AS 5553 and/or IEC/TS 62668-1 into one anti-counterfeit, recycling and fraudulent OEM process.

4.2.12  Knowledge of AS/EN/JISQ9110

Knowledge of AS/EN/JISQ9110 for repairs and the sale of spares to support IEC/TS 62668-1 CAP scheme.

Minimum requirements:

a) Basic knowledge of AS9110;

b) Anti-counterfeit mitigation

c) Purchase order/invoicing/shipping knowledge of OEM spares and repairs activities.
4.2.13 Knowledge of IP and how OEMs and OCMs protect their designs and products

Knowledge of IP and how OEMs and OCMs protect their designs. Minimum knowledge:

a) Awareness of patents, trademarks, logos, design control techniques, trade secrets, documentation etc.;

b) Product and shipping container marking techniques and product verification practices e.g. all OEMs serialise their products whereas OCMs use Lot Date Codes etc.;

c) How OEMs and OCMs use and select franchised distributors and determine the security of their shipping practices etc.

4.3 Experience gained

4.3.1 For IECQ CAP Technical Expert (TE)

a) Either: Minimum of 10 years' experience gained with an OEM, component manufacturer or distributor, or other suitable background preferably gained in the defence, space or commercial avionics industry with ISO 9001 or TS16949 knowledge. Other relevant industries could include the telecommunications, military, aerospace, biomedical and automotive, railway and high tech consumer electronics industry;

b) or: A relevant engineering degree and or a Higher National Certificate (HNC) and 10 years' experience as an AS/EN/JISQ 9100 auditor;

c) A TE shall not be considered fully accredited until they have participated in at least 3 IECQ CAP assessments and been witnessed (clause 5) in 1 of those IECQ CAP assessments. A TE shall perform at least two IECQ CAP assessments every 36 months to remain accredited. Until accepted the TE shall accompany another accredited TE on any IECQ CAP assessments.

4.3.2 For IECQ CAP Lead Assessor (LA)

d) Either: Minimum of 10 years' experience with TS16949, AS/EN/JISQ 9100 or 9110 or ISO 9001 knowledge in relevant industries with component experience. Relevant industries could include the defence, commercial avionics, telecommunications, military, aerospace, biomedical and automotive, railway and high tech consumer electronics industry;

e) or: A relevant engineering or science degree (i.e. Physics, Electrical, electronic) or Higher National Certificate (HNC) and 10 years industrial experience as an AS/EN/JISQ 9100 auditor with basic knowledge of components used in the high reliability industries. Industrial experience may include electronic components certification activities through auditing and assessment of test data as Lead Assessor (such as IECQ Approved Process and Approved Component Schemes) in an IECQ certification body for half of the time (i.e. 5 years out of the requested 10 years);

f) An LA shall not be considered fully accredited until they have participated in at least 3 IECQ CAP assessments and have been witnessed (clause 5) in 1 of those IECQ CAP assessments. An LA shall perform at least two IECQ CAP assessments every 24 months to remain accredited. Until accredited the LA shall accompany another accredited LA on any IECQ CAP assessments.

4.4 Security Clearance

Some OEMs who wish to operate the IECQ CAP may require background security checks on the assessors and TEs conducting these audits before allowing them access to their campus and records. Details of each assessor’s background, e.g. country of birth, nationality, passport number etc. shall be made available on an as needed basis.

4.5 Registration

A register of accredited IECQ CAP TEs and IECQ CAP LAs and their commercial allegiance, if applicable, shall be maintained by the IECQ Secretariat.
5 Periodic verification of TE or LA credentials

An IECQ appointed TE or LA shall furnish evidence of compliance with the requirements for continuing certification in accordance with clause 3, at 2 year intervals. This evidence along with a completed IECQ MC-266-Q form “IECQ Lead Assessor and TE Application/Reconfirmation or Additional Details Questionnaire” shall be furnished to IECQ Secretariat email: info@iecq.org.

6 Witness Assessment

Witness Assessments shall be recorded on IECQ OD 3708 and submitted to the IECQ Secretariat email: info@iecq.org.
Annex A
(normative)

Technical Expert/Lead Assessor Appraisal Form

As part of the TE selection process, it will be necessary for the prospective TE or Lead Assessor to submit his qualifications to the IECQ for evaluation. To maintain uniformity in this process, the Technical Expert/Lead Assessor Appraisal Form in Annex A shall be used.

NOTE 1 In addition to a high degree of technical expertise; it is also necessary that the TE be accomplished in communicating with other members of the audit team and the employees of the company being audited. At the discretion of the IECQ representatives reviewing the TE applicant’s background and credentials, it may be necessary to have at least a telecom interview with the applicant to access their communication skills.

NOTE 2 If there is inadequate room allowed on the Annex A form to allow the candidate to completely describe their qualifications, either change the form format to Landscape, or attach additional pages.
# Record of Applicant Details

<table>
<thead>
<tr>
<th>Candidate Name</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Postal Address</strong></td>
<td>(either home or employer depending on status and how you wish to be contacted)</td>
</tr>
<tr>
<td><strong>Telephone</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Email</strong></td>
<td>@</td>
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<td><strong>Country of Birth</strong></td>
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<td><strong>Availability</strong></td>
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<tr>
<td><strong>Geographic limitations</strong></td>
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<tr>
<td><strong>Language Skills</strong></td>
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</tr>
<tr>
<td>1 = Totally Fluent</td>
<td>Level</td>
</tr>
<tr>
<td>2 = Formal qualification/not fluent</td>
<td>Level</td>
</tr>
<tr>
<td>3 = Conversation</td>
<td>Level</td>
</tr>
<tr>
<td><strong>Security Clearance</strong></td>
<td>(EG: UKMoD, USDoD)</td>
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<tr>
<td><strong>Indemnity</strong></td>
<td></td>
</tr>
<tr>
<td>Personal</td>
<td>□ Details</td>
</tr>
<tr>
<td>Employer</td>
<td>□</td>
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<tr>
<td>Other</td>
<td>□ Details</td>
</tr>
<tr>
<td><strong>Applying as a LA and/or TE?</strong></td>
<td></td>
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<tr>
<td><strong>IECQ CAP Scheme applying for?</strong></td>
<td></td>
</tr>
</tbody>
</table>
### Record of Assessment

<table>
<thead>
<tr>
<th>TE/LA Experience as required by IECQ OD 707</th>
<th>Requirement</th>
<th>TE/LA Candidate Submission</th>
</tr>
</thead>
<tbody>
<tr>
<td>4. Anti-counterfeit, recycling and fraudulent experience</td>
<td>Knowledge about where the answers are Yes or No with some further details.</td>
<td></td>
</tr>
<tr>
<td>5.2.1 ISO9001</td>
<td></td>
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<tr>
<td>5.2.2 Detailed knowledge of IECQ OD 3702</td>
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<tr>
<td>5.2.3 AS/EN/JISQ 9100 especially traceability of components through the supply chain back to the original manufacturer.</td>
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<tr>
<td>5.2.4 AS/EN/JISQ 9120 for Avionics Distributors.</td>
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<tr>
<td>5.2.5 Basic knowledge of supply chain activity and the &quot;grey market&quot;.</td>
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<tr>
<td>5.2.6 ECMP knowledge in accordance with IEC/TS 62239-1 and/or SAE EIASTD4899, particularly for awareness of component physical part marking techniques and component test methods.</td>
<td></td>
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</tr>
<tr>
<td>5.2.7 Detailed knowledge of SAE AS 6081, particularly for awareness of the terms, definitions and requirements, component physical part marking techniques and component test methods.</td>
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<tr>
<td>5.2.8 Detailed knowledge of SAE AS 5553, IEC/TS 62668-1 and IEC/TS 62668-2 particularly the terms, definitions and requirements.</td>
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</tr>
<tr>
<td>5.2.9 Detailed knowledge of SAE ARP6178 for use with SAE AS5553 and IEC/TS62668-1, particularly for awareness of the terms, definitions, techniques and principals used to assist with a Risk Assessment of Distributors.</td>
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<tr>
<td>3.2.5.2.10 Knowledge of risk assessments including how assurance is provided to ensure the reliability of the delivered item containing the suspect part is maintained.</td>
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</tr>
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<tr>
<td>5.2.11 USA NDAA legislation when auditees combine the requirements of this legislation into their anti-counterfeit plans.</td>
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<tr>
<td>5.2.12 Knowledge of AS/EN/JISQ 9110 for repairs and the sale of spares.</td>
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<tr>
<td>5.2.13 Knowledge of IP and how OEMs and OCMs protect their designs and products.</td>
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<td></td>
<td>Knowledge of Component tests relevant to determining if a suspect component is counterfeit, recycled or fraudulent.</td>
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<td></td>
<td>Past experience of component testing activities.</td>
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</tbody>
</table>

### 5.3 Experience gained

#### 5.3.1 For IECQ CAP Technical Expert (TE)

- a) Either: Minimum of 10 years' experience gained with an OEM, component manufacturer or distributor, or other suitable background preferably gained in the defence, space or commercial avionics industry with ISO 9001 or TS16949 knowledge. Other relevant industries could include the telecommunications, military, aerospace, biomedical and automotive, railway and high tech consumer electronics industry;
- b) Or: A relevant engineering degree and or a Higher National Certificate (HNC) and 5 years' experience as an AS9100 auditor.

#### 5.3.2 For IECQ CAP Lead Assessor (LA)

- a) Either: Minimum of 10 years' experience in relevant industries. Relevant industries could include the defence, commercial avionics, telecommunications, military, aerospace, biomedical and automotive, railway and high tech consumer electronics industry;
- b) Or: A relevant engineering degree and or a Higher National Certificate (HNC) and 5 years' experience as an AS/EN/JISQ9100 auditor.
<table>
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</thead>
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<tr>
<td>Minimum of 5 years direct participation in industry standards generating organization, this activity is allowed to be concurrent with 3.3.1 or 3.3.2.</td>
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<td><strong>On-going education</strong>: Attendance at a minimum of 1 relevant conference/industry standards meeting in any 12 month period is required to maintain status as a TE.</td>
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<tr>
<td><strong>5.3.1 &amp; 5.3.2 c)</strong></td>
<td>A TE or LA shall not be considered for accreditation until they have participated in 3 IECQ CAP assessments and have been witnessed in 1 of those IECQ CAP assessments. Until that time, the unaccredited TE or LA shall be accompanied by an accredited IECQ CAP TE, LA on the assignments. A TE or LA shall perform at least two IECQ CAP assessments every 24 months to remain accredited.</td>
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<tr>
<td><strong>5.4 Security Clearance</strong></td>
<td>Some OEMs who wish to operate the IECQ CAP may require background security checks on the assessors and TEs conducting these audits before allowing them access to their campus and records. Details of each assessor’s background, e.g. country of birth, nationality, passport number etc. shall be made available on an as needed basis.</td>
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</tbody>
</table>

Conclusion: Approved for CAP scheme;