IEC Quality Assessment System for Electronic Components (IECQ System)

IECQ ECMP Assessment, Evidence of Compliance Summary and Assessment Reporting Form SAE EIA-STD-4899 revision C implementation audit
IECQ OPERATIONAL DOCUMENT

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INTERNATIONAL ELECTROTECHNICAL COMMISSION

IECQ OPERATIONAL DOCUMENT –

Part: 3402-2 – IECQ ECMP Assessment, Evidence of Compliance Summary and Assessment Reporting Form SAE EIA-STD4899 revision C Implementation Audit

FOREWORD

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

This publication is directly related to the IECQ System management Basic Rules contained in publications (IEC CA 01 + IECQ 01-S), IEC Harmonised Basic Rules (IEC CA 01) plus the IECQ Supplement (IECQ 01-S) and General Requirements for all IECQ Schemes (IECQ 03-1) and IECQ Aerospace, Defense, and High Performance (ADHP) Component Management Scheme (IECQ 03-4).

IECQ Operational Document IECQ OD 3402-2 has been prepared by IECQ working group WG04, of IECQ Management Committee (IECQ MC).

This 1st edition is effective immediately.

This edition includes the following significant technical changes with respect to the previous edition:

a) Original Edition,

b) Includes align with the newly introduced IEC CA 01, IEC Harmonised Basic Rules Edition 2.0,

c) Update all references to the former IECQ 01 document which is now replaced by combined documents known as IECQ System management Basic Rules (IEC CA 01 + IECQ 01-S), IEC Harmonised Basic Rules (IEC CA 01) plus the IECQ Supplement (IECQ 01-S),

d) Inclusion of Normative references.

The text of this International Standard is based on the following documents:

<table>
<thead>
<tr>
<th>Document</th>
<th>Report on MC Consultation</th>
</tr>
</thead>
<tbody>
<tr>
<td>IECQ MC/395/CA</td>
<td>IECQ/MC/399/MR</td>
</tr>
</tbody>
</table>

Full information on the report of IECQ MC approval of this publication can be found in the report indicated in the above table.
INTRODUCTION

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

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

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

Development of the ECMP Worksheet and reporting form.

In order to assist the ECMP (Electronic Component Management Plan) Development team, the following worksheet table was developed by the ECMP subject matter experts to prepare for ECMP assessments. It is recommended that links to process documentation and compliance data be established for presentation during the ECMP assessment. This worksheet shall be used to record and report the results of the assessment.

For the purposes of illustration, reference will be made to EIA STD-4899 revision C if this is the reference document for the ECMP plan.

Further information concerning these procedures or any other aspect of the IECQ Scheme, may be obtained at: http://www.IECQ.org.

### Document History

<table>
<thead>
<tr>
<th>Date</th>
<th>Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018 - 12</td>
<td>Original Issue</td>
</tr>
</tbody>
</table>

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1 Technical requirements (Objectives) – principals

As defined in SAE EIA STD-4899 revision C, the plan shall document the processes used to address each of the requirements depending on program or product line requirements and the plan owner may, with appropriate justification, amend the stated list of requirements by adding or deleting requirements. If this is done, then the plan shall be assessed according to the amended list of requirements stated in the plan.

SAE EIA STD-4899 revision C states objectives (requirements) to be accomplished; it does not require specific tasks (actions) to be performed, specific data to be collected or reports to be issued. It allows for alternate approaches to be used to meet some of the objectives. Where one of the allowed SAE EIA STD-4899 revision C listed alternate approaches is used to accomplish an objective for the whole plan, the other listed alternatives are no longer applicable.

This Edition 1.0 of IECQ OD 3402-2 now provides for the use of a “☐ NA NA=Non-applicable” option in the “ECMP Assessment Compliance Record” column to indicate where such alternate approaches are not in use.

It is recommended that links to process documentation and compliance data be established for presentation during the ADHP Control Plan assessment. It is recommended that the worksheets developed according to this document be used to record and report the results of the assessment.

The documentation and examples listed in the columns “Documentation Expected” and “Examples of Records of Compliance” are not intended to be a comprehensive tabulation of all the items that must be included in the ECMP plan. It is the prerogative of the OEM to select the amount and type of documentation and justification required to satisfy the requirements of EIA STD-4899 revision C. It is the responsibility of the OEM to justify that the artefacts presented to satisfy various clauses is appropriate and adequate.

The right column, “ECMP assessment Compliance Record” is for the use of the assessment team to record their finding for each of the ECMP requirements during the assessment. The column will also be a permanent record of any “judgement” decisions made by the assessment team during the assessment and should be achieved by the OEM and IECQ CB.

2 Instructions for Use

SAE EIA STD-4899 revision C Clause: Reference to the specific clause in SAE EIA-STD-4899 revision C being addressed.

Requirement: Description of the clause being addressed describing what activity is being evaluated.

Documentation expected: A description of appropriate and acceptable documentation to verify that the clause being addressed has been included in the OEM’s ECMP process and that action has been taken to comply with the requirement.

The documentation listed is not a mandatory technique for satisfying the applicable clause. It is an acceptable and valid approach. The OEM has the option of presenting other evidence to demonstrate compliance with the clause.
Demonstrated by Procedure: It is a requirement that the OEM have a written procedure addressing the clause. The OEM is to enter the reference nomenclature for the appropriate procedure in this column.

Examples of Records of Compliance: Acceptable evidence that the clause is being implemented and appropriate records being kept to demonstrate compliance.

ECMP Assessment Compliance Record: This column is for the ECMP assessment team to record their findings. Since in many cases, it is expected that the OEM will use one of the suggested compliance options listed, a check box is provided to expedite recording satisfactory compliance.

To ensure clarity, when multiple options (i.e. alternate approaches as listed in SAE EIA-STD-4899 rev C) are listed, the correct response is to select the “☐ NA NA=Nonapplicable” option in the “ECMP Assessment Compliance Record column” (column 6) for the options NOT used.

For those situations where the OEM has selected a different approach to compliance, the assessor shall record the approach used in sufficient detail that subsequent assessors have a complete and understandable summary of the reasons for approval.

Acceptance and approval of reports: The ECMP SRF needs to be accepted and approved for issue by consensus of both the assigned IECQ ECMP LA and the assigned IECQ SME.
### 3 IECQ ECMP Worksheet

<table>
<thead>
<tr>
<th>Clause</th>
<th>Requirement</th>
<th>Documentation Expected</th>
<th>Demonstrated by Procedure: (Fill in Your Documentation Procedure numbers in this column)</th>
<th>Record of Compliance (Evidence procedures are followed)</th>
<th>ECMP assessment Compliance report</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Use SAE EIA-STD-4899 revision C Appendix A – Compliance Matrix</td>
<td>An ECMP plan that is compliant with SAE EIA-STD-4899 revision C</td>
<td></td>
<td></td>
<td>Approved Yes No</td>
</tr>
<tr>
<td></td>
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<td></td>
<td></td>
<td>Approved Yes No</td>
</tr>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Approved Yes No</td>
</tr>
</tbody>
</table>

**Appointed IECQ ECMP Lead Assessor accepts and approves this report**

<<IECQ CB Name>>

**Appointed IECQ SME accepts and approves this report**

<<Organisation if applicable>>

<<Person Signing>>

<<Persons title / position>>

<<Day Month Year>>

*** End of Worksheet ***