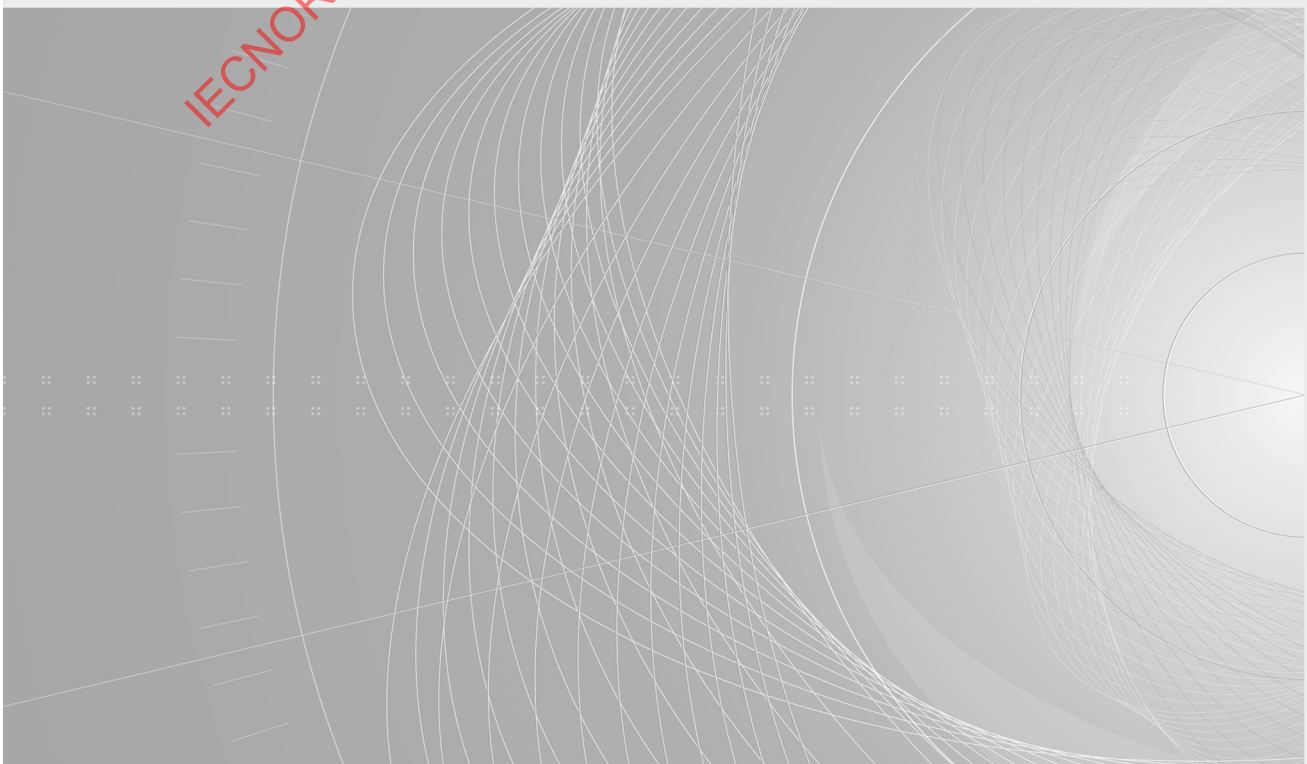
IECQ 03-7

Edition 1.0 2013-05

IECQ PUBLICATION

IEC Quality Assessment System for Electronic Components (IECQ System)

Rules of Procedure –
Part 7: IECQ Counterfeit Avoidance Programme (IECQ AP-CAP) –
Programme Requirements



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INTERNATIONAL
ELECTROTECHNICAL
COMMISSION

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INTERNATIONAL ELECTROTECHNICAL COMMISSION

Rules of Procedure – Part 7: IECQ Counterfeit Avoidance Programme (IECQ AP-CAP) – Programme Requirements

FOREWORD

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

This programme is for use by all organizations that design products, manufacture, sell/distribute and/or purchase components where fraudulent/counterfeit materials, processes and/or components may negatively affect the outcomes.

IECQ CAP Requirements and resulting Certification based on SAE AS 5553A and/or IEC/TS 62668-1, and/or SAE AS 6081 provide an effective international certification programme for all industry sectors including Aerospace, Defence, and High Performance (ADHP) Electronic Components.

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

Document	Report on MC Approval
IECQ MC/280/CA	IECQ MC/284/DL

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

INTRODUCTION

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

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

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

The IECQ CAP Requirements are designed to evaluate equipment manufacturers’ and related organizations’ processes for compliance with SAE AS 5553A and/or IEC/TS 62668-1, *Fraudulent/Counterfeit Electronic Parts; Avoidance, Detection, Mitigation, and Disposition*, and/or SAE AS 6081, *Fraudulent/Counterfeit Electronic Parts: Avoidance, Detection, Mitigation, and Disposition – Distributors*. Such plans are used to develop, document, and implement plan owners’ processes for managing the selection and use of electronic components in equipment. The assessment is to be conducted in accordance with the requirements of SAE AS 5553A and/or IEC/TS 62668-1, and/or SAE AS 6081. The referenced standards do not require further assessment or counterfeit avoidance management planning for original component manufacturers. The assessment will be conducted under IECQ Basic Rules, Rules of Procedure and policies; the assessment itself will specifically address the requirements of SAE AS 5553A and/or IEC/TS 62668-1, and/or SAE AS 6081 and any additional customer requirements.

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Rules of Procedure – Part 7: IECQ Counterfeit Avoidance Programme (IECQ AP-CAP) – Programme Requirements

1 Scope and application

This publication contains the Rules of Procedure of the Certification Programme of the IECQ, hereinafter referred to as the "Rules", for Counterfeit Avoidance, Detection, Mitigation, and Disposition programme (IECQ AP-CAP or IECQ CAP).

This IECQ CAP Rules of Procedure provides the requirements specific to this programme of the IECQ Approved Process Scheme and is to be used in conjunction with applicable IECQ System management Basic Rules (IECQ 01), General Rules of Procedure (IECQ 03-1) and Operational Documents as listed in Clause 2 below, as applicable.

In the event of conflict between the provisions of these Rules of Procedure and any other requirements contained in referenced normative documents, the requirements of these Rules of Procedure shall apply.

2 Normative references

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

The IECQ Basic Rules and Procedures prescribed in the following documentation shall be used for the IECQ CAP Assessments where applicable.

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

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

IECQ 03-1, *General Requirements for all IECQ Schemes*

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

IECQ OD 706-1, *IECQ Counterfeit Avoidance Programme (IECQ CAP) Assessment, Evidence of Compliance Summary and Assessment Reporting Form (SAE AS 5553A and/or IEC/TS 62668-1)*

IECQ OD 706-2, *IECQ Counterfeit Avoidance Programme (IECQ CAP) Assessment, Evidence of Compliance Summary and Assessment Reporting Form (SAE AS 6081)*

IECQ OD 707, *Assessment Procedures for Acceptance of Candidate Counterfeit Avoidance Programme (IECQ CAP) Technical Experts (TEs) and Lead Assessor (LAs) in the IECQ CAP*

IECQ OD 708, *Witness Assessment of IECQ CAP Lead Assessors and Technical Experts*

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

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

IEC/TS 62668-1, *Process management for avionics – Counterfeit prevention – Part 1: Avoiding the use of counterfeit, fraudulent and recycled electronic components*

SAE AS 5553A, *Fraudulent/Counterfeit Electronic Parts; Avoidance, Detection, Mitigation, and Disposition*, or GIFAS/5052/2008, Germany, Italy, France, Austria, Switzerland

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

SAE AS 6171, *Test Method Standard; Counterfeit Electronic Parts*

SAE AS 6462, *AS 5553A Verification Criteria*

3 Terms and definitions

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

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

3.1
IECQ CAP
this programme of the IECQ AP Scheme of the IECQ enables the independent conformity assessment of an organization Counterfeit Avoidance Management Plan

3.2
IECQ CAP Technical Expert (TE)
industry specific technical expert with counterfeit avoidance and supply chain product procurement experience. IECQ CAP TE Requirements IECQ OD 707 and IECQ OD 708

3.3
Suspect Part
refer to SAE AS 5553A the definition of Suspect Part

3.4
Fraudulent Part
refer to SAE AS 5553A for the definition of Fraudulent Part

3.5
Counterfeit Part
refer to SAE AS 5553A for the definition of Counterfeit Part

4 Principles of the IECQ CAP

IECQ CAP Certificate of Conformity

4.1 General

The IECQ CAP provides the means for an organization including any equipment manufacturer or subcontractor it uses to develop and/or implement the system(s) required to obtain an IECQ CAP Certificate of Conformity that is intended to provide the international market with

confidence that such an organization has verified processes for managing counterfeit avoidance in the selection and use of components in equipment in accordance with the technical and quality management system requirements of the IECQ CAP. This is ensured through independent conformity assessment and on-going surveillance by an IECQ Certification Body (IECQ CB) of an organization's business and quality management systems and site assessments to confirm the development, documentation and implementation, by manufacturers, subcontractors and the suppliers referenced in the plan owners' processes for managing counterfeit avoidance in the selection, acquisition and use of components.

The IECQ CAP Certificate of Conformity shall be issued for a specific area of operation of an organization, as clearly defined in the scope of activity by sector.

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

4.2 Requirements

SAE AS 5553A and/or IEC-TS 62668-1, and/or SAE AS 6081 form the basis of the IECQ CAP Requirements.

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

4.2.1 For SAE AS 5553A and/or IEC/TS 62668-1

– demonstrated capability shall be in accordance with the minimum requirements stated in IECQ OD 706-1;

– recommendation for certification cannot be made without the agreement of the TE;

– IECQ CAP Certificate(s) of Conformity in accordance with Clause 6.1.1.1, indicate the degree/level of compliance demonstrated during the assessment in accordance with the minimum requirements in IECQ OD 706-1. The IECQ CB TE shall determine the demonstrated compliance level.

4.2.2 For SAE AS 6081

– Demonstrated capability shall be in accordance with the requirements stated in IECQ OD 706-2.

– The IECQ CB Lead Assessor shall make the final determination of compliance.

– IECQ CAP Certificate(s) of Conformity in accordance with Clause 6.1.1.2, indicate the degree/level of compliance demonstrated during the assessment in accordance with the minimum requirements in IECQ OD 706-2. The qualified IECQ CB Lead Assessor shall determine the demonstrated compliance level.

4.3 Single site (location)

Single site (location) certification shall:

Have a separate IECQ CAP Certificate of Conformity issued for each site (location) for which an organization submits a separate application and Counterfeit Avoidance Management Plan.

A Counterfeit Avoidance Management Plan and associated IECQ CAP Assessment are required for each site (location) to be certified.

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

4.4 Multiple site (location)

Multiple site (location) certification shall:

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

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

A Counterfeit Avoidance Management Plan and associated IECQ CAP Assessment is required for each certified site (location) for which an IECQ CAP Certificate of Conformity is issued.

An initial IECQ CAP on-site assessment shall be done for each location to verify compliance with the common Counterfeit Avoidance Management Plan.

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

For sites (locations) that have not had any noncompliance's for previous audits, the scope of the surveillance audits may be reduced for sites (locations) on a multiple site (location) certification as long as the IECQ CB Assessment Team has verified compliance of common process execution at all sites (locations) and that all Counterfeit Avoidance Management Plan requirements are assessed annually. Over the course of a three-year certification cycle all Counterfeit Avoidance Management Plan requirements shall be assessed by the IECQ CB Assessment Team at each site (location).

For multiple sites (locations) served under a common Counterfeit Avoidance Management Plan, when all sites (locations) have successfully passed their initial assessment, it is acceptable to conduct the annual surveillance of the OEM's sites at one location with coverage of the other sites via electronic communication. The IECQ CB Assessment Team shall be responsible for the random selection of one or more sites (locations) at which they will perform annual surveillance. The IECQ CB Assessment Team's selection of sites (locations) shall be based on past performance and shall ensure that all sites (locations) are assessed equally during the three-year cycle of the IECQ CAP Certification.

5 Organizational structure

The organization (client)

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

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

b) when an OEM utilizes a subcontractor to procure and supply the components in accordance with the requirements of SAE AS 5553A and/or IEC/TS 62668-1, and/or SAE AS 6081, the following special considerations shall apply:

   1) the subcontractor or component supplier cannot assume responsibility for all clauses in SAE AS 5553A and/or IEC/TS 62668-1, and/or SAE AS 6081 because some of the requirements of SAE AS 5553A and/or IEC/TS 62668-1, and/or SAE AS 6081 can only be validated at the system level;

2) a clear delineation of responsibilities between the OEM and the subcontractor, and the OEM and/or subcontractor component supplier shall be documented in the Counterfeit Avoidance Management Plan and available for the IECQ CAP Assessment;

3) if the tasks of the subcontractor and/or component supplier include component testing, conformance to applicable aspects of ISO/IEC 17025 shall be verified during the IECQ CAP Assessment by appropriately qualified IECQ CAP Technical Expert and/or Lead Assessor;

c) if the tasks of the subcontractor and/or component supplier include component testing, there shall be a specific component test plan and test requirements available for each component. During the initial and all surveillance assessments the IECQ CAP Technical Expert and/or Lead Assessor shall confirm, reconfirm that there is a mechanism established to ensure the test plan and requirements are appropriate for the specified end use (SAE AS 5553A and/or IEC/TS 62668-1) or in accordance with customer specification (SAE AS 6081). If the equipment manufacturer or associated subcontractor(s) has a requirement to document and maintain a quality management system in accordance with the requirements of ISO 9001 and any additional industry specific requirements or equivalent standard(s) then evidence of the certification of that documented quality management system shall be supplied to the IECQ CB during the initial certification and on-going surveillance assessments;

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

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

6 IECQ CAP Certification

6.1 IECQ CAP Certificate of Conformity for an organization (client)

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

6.1.1 IECQ CAP Certificate of Conformity contents

The IECQ CAP Certificate of Conformity shall have the listed content as detailed in Subclause 8.1.4 of IECQ 03-1 and the following as a minimum:

6.1.1.1 SAE AS 5553A and/or IEC/TS 62668-1

Indicate the degree/level of compliance demonstrated during the assessment in accordance with Clause 4.2.1.

6.1.1.2 SAE AS 6081

Indicate the degree/level of compliance demonstrated during the assessment in accordance with Clause 4.2.2.

6.2 IECQ CAP Assessment, Evidence of Compliance Summary and Assessment Reporting Form

6.2.1 Content

An IECQ CAP Assessment, Evidence of Compliance Summary and Assessment Reporting Form IECQ OD 706-1, IECQ OD 706-2 (or the CB's IECQ approved equivalent document/system) shall be prepared and issued by an IECQ CB recording the assessment of an applicant organization's implemented management system and procedures for compliance with the IECQ CAP Requirements. The assessment includes assessing conformity of the organization's documented management system with the requirements of the IECQ CAP to the extent that they are required by SAE AS 5553A and/or IEC/TS 62668-1, and/or SAE AS 6081 in addition to assessing the implementation of the technical processes used.

6.2.2 Content and layout

IECQ WG06's industry experts and subject matter experts shall define and prepare the technical requirements (content) and layout of IECQ CAP Assessment, Evidence of Compliance Summary and Assessment Reporting Forms for the IECQ CAP. These documents shall be agreed by WG06 and approved for publication by IECQ MC (e.g. IECQ OD 706-1 for SAE AS 5553A and/or IEC/TS 62668-1, and IECQ OD 706-2 for SAE AS 6081).

6.2.3 Restrictions

The IECQ CAP Assessment, Evidence of Compliance Summary and Assessment Reporting Forms is a document used in the preparation of the IECQ CAP applicant's Certificate of Conformity and bases for on-going surveillance of the organization, it shall not be used in any form of advertising or sales promotion in a way that the information may be misrepresented.

7 IECQ CAP Certification procedure

7.1 General

IECQ CAP Assessments are for compliance with SAE AS 5553A and/or IEC/TS 62668-1, and/or SAE AS 6081. For this reason the IECQ CB shall limit non-conformance reporting to those areas where a non-conformance is directly related to a requirement of SAE AS 5553A and/or IEC/TS 62668-1, and/or SAE AS 6081.

7.2 Applicant

For the purpose of the Counterfeit Avoidance Management Plan the requirements for applicants contained in Subclause 9.2 of IECQ 03-1 applies except for Subclause 9.2.1.

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

Organizations not certified to ISO 9001 and any additional industry specific requirements shall be required to demonstrate compliance with the requirements of the applicable standard prior to an IECQ CAP initial assessment and all on-going surveillance assessments.

7.3 Application

The organization seeking approval shall submit or make available the following documentation (non exhaustive) for review by the Assessment Team in addition to that specified in Subclause 9.3 of IECQ 03-1:

a) Counterfeit Avoidance Management Plan with applicable flow down requirements included;

b) Evidence of compliance with the requirements of SAE AS 5553A and/or IEC/TS 62668-1, and/or SAE AS 6081, as requested by the assessment team.

7.4 Assessment Team for IECQ CAP Assessments

The Assessment Team for IECQ CAP Assessments shall be comprised as follows:

Assessment Team members	Function	Qualifications
IECQ CB Assessors	Assessment of general IECQ CAP elements; and management of audit process.	IECQ CAP Lead Assessor – Quality Systems and Electronic Components and Systems. Qualified to IECQ OD 010, IECQ OD 707 and IECQ OD 708.
IECQ qualified Technical Expert	Necessary expertise, knowledge, and experience regarding the selection, qualification and management of components/ material, including the associated processes for implementation, for use by all industries.	In accordance with IECQ CAP Technical Expert (TE) Requirements IECQ OD 707 and IECQ OD 708.

7.4.1 For SAE AS 5553A and/or IEC/TS 62668-1

The presence of an industry specific TE with counterfeit avoidance and supply chain product procurement experience is mandatory for validating the technical compliance for both initial certification, surveillance and renewal assessments of SAE AS 5553A and/or IEC/TS 62668-1.

7.4.2 For SAE AS 6081

The presence of an industry qualified Lead Assessor with counterfeit avoidance and supply chain product procurement experience is mandatory for both an initial certification and surveillance assessment of SAE AS 6081.

NOTE An SAE AS 5553A and/or IEC/TS 62668-1 TE that is a qualified lead assessor may serve as both the TE and Lead Assessor. However, a qualified lead assessor that is not a recognized TE is not allowed to perform the duties of TE.

The number of assessors and assessment days is dependent on the size of the enterprise and the complexity of the assessment. See assessment of IECQ CAP applicants site(s).

An IECQ CAP qualified IECQ CB Lead Assessor shall lead the assessment with responsibility for assuring all elements of the assessment plan are covered including the IECQ Requirements and applicable IECQ CAP processes.

Recommendation for IECQ CAP Certification to SAE AS 5553A and/or IEC/TS 62668-1 shall be made with the agreement of the TE including the accurate identification, documentation and close of all technical major and/or minor non-conformances.

7.5 Guidance for initial, on-going surveillance and renewal assessment days

The following factors (non exhaustive) should be considered when determining assessment days:

- type of business;
- recent mergers, acquisitions and/or change of management structure;
- complexity;
- logistics;

- multiple or single process (e.g. product related inspection process mechanical vs. electronic);
- language;
- variety of activities, experience and evidence of training undertaken by key employees and/or personnel;
- degree of regulation; and
- stability of the IECQ CAP Certification.

7.5.1 For SAE AS 5553A and/or IEC/TS 62668-1

The IECQ CB Lead Auditor in consultation with the TE shall determine the total man days required for the initial and surveillance assessment based on the number of employees required to demonstrate compliance, technology and the maturity of the system being audited at each of organizations facility/location(s).

7.5.2 For SAE AS 6081

The IECQ CB Lead Assessor shall determine the total man days required for the initial and surveillance assessment based on the number of employees required to demonstrate compliance, technology and the maturity of the system being audited at each of organizations facility/location(s).

For organizations with 150 staff or less, the document review (Stage 1) may be conducted on site immediately prior to commencement of the initial assessment where upon the scope and timetable for the initial assessment shall be agreed between the IECQ CB and the organization. Ideally, organizations with more than 150 staff will have their document review conducted on or off site sometime prior to the planning of the initial assessment. However, those IECQ CBs with confidence of their knowledge of the organization involved may conduct the document review in a similar manner to that arranged for smaller organizations.

For recertification (renewal) purposes audit duration shall be two-third of the initial audit duration.

NOTE Combining IECQ Scheme/Programme Audits may be applicable under some circumstances. For example, IECQ ECMP and IECQ CAP combining IEC/TS 62239-1 and SAE AS 5553A and/or IEC/TS 62668-1 audits.

7.6 Examination

For the purpose of IECQ CAP, the Stage 1 examination of the applicant's documentation to verify its compliance with the applicable requirements, the requirements for examination contained in Subclause 9.5 of IECQ 03-1 apply.

7.7 Assessment of IECQ CAP applicant's site(s)

For the purpose of IECQ CAP, the requirements for assessment of IECQ applicant's site(s) contained in Subclause 9.6 of IECQ 03-1 apply and the following for reporting, Clause 6.2 Report format/use and Clause 7.7.1 below:

7.7.1 Reporting

A copy of the IECQ OD706-1 (SAE AS 5553A and/or IEC/TS 62668-1), or IECQ OD 706-2 (SAE AS 6081), IECQ CAP Assessment, Evidence of Compliance Summary and Assessment Reporting Form (or the CB's IECQ approved equivalent document/system) shall be used to record the findings of the assessment in the right columns titled "IECQ CAP Assessment Compliance Record". At the completion of the assessment, a copy of this worksheet shall be supplied to the organization being assessed, as part of the assessment report.

7.8 Completion (granting of certification)

For the purpose of IECQ CAP, the requirements for completion (granting of certification) contained in Subclause 9.7 of IECQ 03-1 apply and the following:

Upon satisfactory completion of the work and a favourable reviewed by the IECQ CB for a certification decision, the IECQ CB shall:

a) issue the finalized IECQ CAP worksheet, IECQ CAP Assessment, Evidence of Compliance Summary and Assessment Reporting Form IECQ OD 706-1 for SAE AS 5553A and/or IEC/TS 62668-1, and IECQ OD 706-2 for SAE AS 6081 and Site Assessment Report (SAR) to the applicant;

b) issue the definitive IECQ CAP Certificate of Conformity in accordance with Clause 8.1 of IECQ 03-1 and Clause 6.1 of this publication, certifying that the organization has developed and implemented Counterfeit Avoidance Management Plan procedures and processes which conform with the applicable requirements for IECQ CAP organization certification which is in accordance with the Basic Rules IECQ 01, these Rules of Procedure and with respect to SAE AS 5553A and/or IEC/TS 62668-1, and/or SAE AS 6081.

c) where requested by the applicant, issue a printed and signed copy of the definitive IECQ Certificate in accordance with Clause 8.1 of IECQ 03-1.

7.9 Surveillance

7.9.1 General

For the purpose of IECQ CAP, the requirements for surveillance contained in Subclause 9.8.1 of IECQ 03-1 apply except for:

"Such frequency shall take into account whether the organization holds current ISO 9001 and any additional industry specific requirements certification by an accredited certification body."

7.9.2 Special surveillance

Subclause 9.8.2 of IECQ 03-1 applies.

7.10 Changes

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

Changes to a Counterfeit Avoidance Management Plan shall be submitted to the CB with conformation of acceptance from the ultimate customer.

7.11 Ensuring conformity

Subclause 9.10 of IECQ 03-1 applies.

7.12 Documentation retained

Subclause 9.11 of IECQ 03-1 applies and the following:

The IECQ CB shall confirm that the organization has a copy of the applicable OD 706 (Part 1 or 2) associated with each IECQ CAP Assessment for duration of the time the equipment is in service. If there is no definition as to the "in service life" of the equipment, the OD 706 (Part 1 or 2) shall be retained for 7 years. This validation shall take place at each surveillance assessment for the life of the IECQ CAP Certification.