Guidance on JQA/IECQ Certification

September 1, 2017

Japan Quality Assurance Organization

(JQA)

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(Appendix 1) Scope of JQA/IECQ Certification

Reference Figure-1 Flow to JQA/IECQ certification
Reference Figure-2 Flow of continuation of certification for users obtaining the IECQ certification from JQA
Reference Figure-3 Flow of addition and modification to the certification for users obtaining the IECQ certification from JQA

Ⅰ. Introduction

About JQA

Japan Quality Assurance Organization (JQA) was established as an incorporated foundation in accordance with then Article 34 of the Civil Code in 1957, and it was then converted to a general incorporated foundation in accordance with the Three Laws Related to Public Corporation System Reform in April 1, 2011.

JQA is operated with operating revenues derived mainly from service charges and it conducts business as a third-party body for testing, inspection and certification while ensuring fairness and neutrality.

For an overview of JQA and certification, registration and testing, etc. performed by JQA, go to the JQA website: http://www.jqa.jp

About IECQ

IECQ is a quality certification system for electronic components established by the International Electrotechnical Commission (IEC) in 1980. It is operated by the IECQ Management Committee (IECQ MC) under the IEC Conformity Assessment Board (CAB) directly linked to the IEC Statutory Session.

IECQ comprises 12 members of countries in Europe, North America and Asia. As Member body of Japan Japan Industrial Standards Committee (JISC)is participating to IECQ.

For information on IECQ, refer to the IECQ website: http://www.iecq.org

JQA/IECQ Certification

Following review and approval by the IECQ, JQA started the IECQ certification service in April of 2013. JQA is only IECQ certification body in Japan.

Ⅱ. IECQ Certification Covered by JQA

Obtainment of JQA/IECQ certification allows the IECQ logos and marks to be applied.

* The IECQ logos and marks to be applied depend on the obtained certification.
Refer to "Ⅳ. Certification Marks and Logos" on Page 10 in this guide.

JQA provides certification services only for applicants with their factories located in Japan and Asia-Pacific region.

JQA may reject applications or may withhold operations such as audits in the following cases.

- When the Ministry of Foreign Affairs of Japan has issued information about dangers and infectious disease warnings on the region where the factory for the application is located;
- When the applicant failed to settle the debt on JQA (including charges and costs of certification and maintaining certification) by the due date of the payment; and
- In other cases where JQA determines that there is a valid reason.

Types of Certification

JQA conducts the following IECQ certifications.

- Component certification
  Certification for electrical components, related components and materials indicating quality compliance with the standards set by IECQ.
  (Requirements: IECQ 03-1, IECQ 03-3 and applicable product safety standards)

- Process certification
  Certification for systems and managements in business facilities where electrical components, related components and materials are designed manufactured and sold indicating compliance with the standards set by IECQ.
  (Requirements: IECQ 03-1, IECQ 03-2 and applicable product safety standards)

- ESD Process certification
  Certification for systems and managements in business facilities where electrical components, related components and materials are designed manufactured and sold indicating compliance with the standards set by IECQ.
  (Requirements: IECQ 03-1, IECQ 03-2 and RCJS-5-1 (Standard considering Japanese power supply condition based on IEC61340-5-1))

- Laboratory certification
  Certification for laboratories that conduct quality tests related to IECQ certification or IECQ component certification marking.
  (Requirements: IECQ 03-1, IECQ 03-6 and applicable product safety standards)

* Please refer to the Appendix 1 "Scope of JQA/IECQ Certification" for details.
In some case, the testing cannot be conducted due to the product specification, equipment performance, etc. In those cases, JQA may not accept your application for certification. Please contact JQA for inquiries in advance.

[Reference]
IECQ 01 IECQ System Basic Rules

IECQ 03-1	Rules of Procedure - Part 1: General Requirements for all IECQ Schemes
IECQ 03-2	Rules of Procedure - Part 2: IECQ Approved Process Scheme
IECQ 03-3	Rules of Procedure - Part 3: IECQ Approved Component Products, Related Materials & Assemblies Scheme
IECQ 03-6	Rules of Procedure - Part 6: IECQ ITL Scheme – Independent Testing Laboratory Assessment Program Requirements

Data Utilization

The following data can be utilized for JQA/IECQ certification.
Contact JQA for further information.

(1) When ISO 9001 requirements are applied (component certification, process certification):
Certification / registration content of ISO 9001 at a certification body approved by a certification body that is a member of IAF (International Accreditation Forum).

(2) When ISO/IEC 17025 requirements are applied (laboratory certification):
ISO / IEC 17025 certification in a certification body that is a member of ILAC (International Laboratory Accreditation Co-operation).

Rights and Duties of Applicants and Certificate Holders

For rights and duties of applicants, refer to the description in the application form "Terms of Agreement for Application regarding Testing and Certification Services".

Rights and duties of certificate holders are described in the certification contract concluded between the holder and JQA. Refer to the separate "Certification Agreement (format)" for details.

Complaints and Claims Regarding JQA/IECQ Certification

JQA will in good faith and based on the rules, respond to complaints from applicants and others concerning the certification in general, objections against certification judgments, suspension of use of marks, and cancellation of certification, or complaints and so on from other interested parties.

If you have any objection, please lodge it with JQA no later than 45 days after the event occurs. JQA will respond no later than three months after the date when the allegation is received.

When you are dissatisfied with the decision of JQA, you can further appeal to the IECQ Committee in JISC. The IECQ Committee of JISC shall make a final decision on the case, based on the contents of the appeal and the decision of the Appeals Committee, within 60 days from the date that the appeal was made. If your are dissatisfied with the decision of JISC IECQ Committee, the IECQ MB and the CB will assist in the resolution of the matter through communication with the IECQ MC and or IEC CAB.

Ⅲ. Procedures

Ⅲ-1. For first-time applicants

The flow to the issuance of certificate for applicants obtaining IECQ certification from JQA is shown in the referential Figure-1 (P15).

Step 1: Application

Fill in the "IECQ Certification Application Form" and then send it to the following destination by e-mail or FAX.

"IECQ Certification Application Form" is available on the JQA website.

Also send the following documents together with the application form:

Documents related to general information on your company
Documents related to factory (including affiliated factory)
Documents related to DMR (Designative Management Representative)
Quality manual
Documents describing the management review procedure
Documents describing the internal audit procedure
Documents describing corrective/preventive action procedure
Process manual
Certificate that you wish to utilize
Detailed information about production line, checklist for ESD management system (Only for ESD process certification)

Sending destination: Japan Quality Assurance Organization Safety & EMC Center Sales Div.

Fax	:	+81(0)42-679-0170
E-mail	:	jtp-safety-cstm@jqa.jp
Tel	:	+81(0)42-679-0246
Address	:	4-4-4,Minamiosawa,Hachioji-shi,Tokyo, 192-0364, Japan

If additional documentation is required in evaluating the certification, JQA will request the applicant to submit it.

Making the calculation of evaluation costs, JQA will notify the applicant of total estimated amount, scheduled completion date and so on.

JQA will also send the receipt of application, invoice for costs at the time of acceptance, and agreement on IECQ certification.

After JQA receives the costs at the time of acceptance, the procedure will proceed to the next Step.

Step 2: Conclusion of Agreement

JQA will conclude the certification agreement on certification continuation and use of certification marks and logos.

Please carefully read the written agreement that describes rights and duties of the certificate holder.

JQA will send two copies of the written agreement after reception. Please subscribe and set your seal to or sign both of them and send them back.

The written agreement is sent together with the certificate.

Step 3: Assessment and Testing

Assessment

The implementation division will send the assessment implementation plan describing the assessment date, assessment items, examiners, etc.

Permission, modification request, or modification items should be returned within one week.

* If you request a modification, JQA will make an adjustment and then send the modified assessment implementation plan.

After the assessment implementation plan is determined, the JQA examiner will visit your business facility and implement the assessment (on-site assessment).

After the on-site assessment is completed, the examiner will present the confirmation document for items pointed out. The person in charge of witnessed testing should sign it.

If there is an item pointed out, please reply on corrective actions in writing by the date specified by the examiner.

* Depending on the corrective actions, the examiner may visit your business facility for confirmation.
  When the examiner determines that corrective actions are appropriate, JQA will send the corrective action confirmation document.

Testing * Only for component certification

JQA will send the testing implementation plan describing the testing items, testing date (duration), testing location (body), etc.

Permission, modification request, or modification items should be returned within one week.

* If you request a modification, JQA will make an adjustment and then send the modified testing implementation plan.

After the testing implementation plan is established, please send the product for testing to the specified product testing location.

* Product testing can be conducted in the laboratory within JQA, a testing body contracted with JQA, your desirable IECQ independent laboratory, or your business facility.
  Testing in your business facility will be partly witnessed by JQA/IECQ testing staff.
  Testing items and standards depend on the targeted product. Consult with JQA for details.

Step 4: Receipt of Certificate

After deciding on certification, JQA will send the certificate, agreement (for the user), invoice for remaining costs, and final assessment report. Please make the payment.

Ⅲ-2 Continuation of Certification

Flow of continuation of JQA/IECQ certification
Reference Figure-2 (P16) shows the flow of continuation of certification for users obtaining the IECQ certification from JQA.

Step 1: Payment of Annual Maintenance Fee
JQA charges certificate holders the annual maintenance fee in April.

Step 2: Receipt and Confirmation of Surveillance Plan Notification
JQA will notify you of the current certification content, surveillance implementation time and items via the surveillance implementation plan for your confirmation.

* If you change the surveillance implementation time, the change must be notified to JQA. JQA will deal with it within the acceptable range of the IECQ scheme.
* If you wish to modify the contents of the certification described in the surveillance plan, please make an application with reference to "Ⅲ-3 Additions, Modifications and Deletion" (P8).

Step 3: Maintenance Assessment and Testing
Surveillance assessment

* Surveillance assessment will be conducted twice a year in accordance with IECQ rules. (Only for ESD process certification, once a year)
  For certificate holders whose business factories meet the following requirements, however, the assessment can be conducted once a year:
  (1) The certification has been maintained for two years or more, and
  (2) No serious defect occurred in the previous three assessments.

The assessment implementation division will send the assessment implementation plan describing the assessment date, assessment items, examiners, etc. three months before the month when the surveillance assessment is scheduled.
Permission, modification request, or modification items should be returned within one week.
If you request a modification, JQA will make an adjustment and then send the modified assessment implementation plan.
After the surveillance assessment implementation plan is determined, the JQA examiner will visit your business facility and implement the assessment (on-site assessment).
After the on-site assessment is completed, the examiner will present the confirmation document for items pointed out. The person in charge of witnessed testing should sign it.
If there is an item pointed out, please reply on corrective actions in writing by the date specified by the examiner.

* Depending on the corrective actions, the examiner may visit your business facility for confirmation.
  When the examiner determines that corrective actions are appropriate, JQA will send the corrective action confirmation document.

Maintenance testing * Only for component certification
JQA will send the testing implementation plan describing the testing items, testing date

(duration), testing location (body), etc.

Permission, modification request, or modification items should be returned within one week.

* If you request a modification, JQA will make an adjustment and then send the modified testing implementation plan.
  After the testing implementation plan is established, please send the product for testing to the specified product testing location.
* Product testing can be conducted in the laboratory within JQA, a testing body contracted with JQA, your desirable IECQ independent laboratory, or your business facility.
  Testing in your business facility will be partly witnessed by JQA/IECQ testing staff.

Step 4: Receipt of Certification Continuation Notification

After the continuation of certification is determined, JQA will send the notification of the continuation of certification, invoice for surveillance assessment and testing fees, and final surveillance assessment report. Please make the payment.

JQA will also send an updated certificate together every three years after certification.

Ⅲ-3 Addition, Modification and Deletion

Flowchart for addition and modification to the certification

Reference Figure-3 (P17) shows the flow when users obtaining the IECQ certification from JQA makes modification to the certification.

Step 1: Application

Please send the application form and modifications to the certificate to the following:

Destination: Japan Quality Assurance Organization Safety & EMC Center Sales Div.

Fax	:	+81(0)42-679-0170
E-mail	:	jtp-safety-cstm@jqa.jp
Tel	:	+81(0)42-679-0246
Address	:	4-4-4,Minamiosawa,Hachioji-shi,Tokyo, 192-0364, Japan

Step 2: Notification of Documents/Materials to be Submitted and Necessary Procedures/Actions

JQA will notify the necessary procedures and actions, and documents and materials to be submitted.

After receiving the documents and materials, JQA will make the calculation of evaluation costs based on the materials that you send and the certification information that you obtained, and will notify the applicant of the total estimated amount and scheduled completion date, etc.

JQA will also send the application acceptance notification, and documents necessary for the procedure for modifying the certification that you requested.

Step 3: Implementation of Required Actions

Actions involved in requested addition or modification to the certification will be conducted.

If the following actions arise, please address them.

- **When assessment is required:**

The implementation division will send the assessment implementation plan describing the assessment date, assessment items, examiners, etc.

Permission, modification request, or modification items should be returned within one week.

* If you request a modification, JQA will make an adjustment and then send the modified assessment implementation plan.

After the assessment implementation plan is determined, the JQA examiner will visit your business facility and implement the assessment (on-site assessment).

After the on-site assessment is completed, the examiner will present the confirmation document for items pointed out. The person in charge of witnessed testing should sign it.

If there is an item pointed out, please reply on corrective actions in writing by the date specified by the examiner.

* Depending on the corrective actions, the examiner may visit your business facility for confirmation.

When the examiner determines that corrective actions are appropriate, JQA will send the corrective action confirmation document.

- **When testing is required:**

JQA will send the testing implementation plan describing the testing items, testing date (duration), testing location (body), etc.
Permission, modification request, or modification items should be returned within one week.

* If you request a modification, JQA will make an adjustment and then send the modified testing implementation plan.

After the testing implementation plan is established, please send the product for testing to the specified product testing location.

* Product testing can be conducted in the laboratory within JQA, a testing body contracted with JQA, your desirable IECQ independent laboratory, or your business facility.
  Testing in your business facility will be partly witnessed by JQA/IECQ testing staff.

- **When the agreement must be modified:**

JQA will send two copies of the written agreement. Please subscribe and set your seal to or sign both of them and send them back.
The written agreement is sent together with the certificate.

Step 4: Receipt of Procedure Completion Notification

After completing the modification to the certification, JQA will send the certificate or procedure completion notification.
JQA will also send the final assessment report (if implemented) and the invoice for costs (if they occurred).
If an invoice is enclosed, please make the payment.

Ⅳ. Certification Marks and Logos

After obtaining certification, you can use the following marks or logos depending on the type of certification.

Duties and responsibilities for their display are described in the agreement.

JQA will notify details on the conditions and contents of display when issuing the certificate.

Mark/Logo	Meaning
	A mark displayed on a product for which JQA/IECQ component certification has been obtained.
IECQ Approved Component	A logo displayed within the premises of a business facility for which JQA/IECQ component certification has been obtained.
IECQ Approved Process	A logo displayed within the premises of a business facility for which JQA/IECQ process certification has been obtained.
IECQ AP - ESD	A logo displayed within the premises of a business facility for which JQA/IECQ ESD process certification has been obtained.
IECQ ITL Approval	A logo displayed within the premises of a laboratory for which JQA/IECQ laboratory certification has been obtained.

Example of Logo display

IECQ Approved Process

IECQ-P JQA 13.0001

V. Costs

Costs consist of the following items:

(1) Base fee

This is the basic service cost of new applications, revised applications, and updated applications.

(2) Pre-assessment fee

This is the cost of the first step of assessment in the two-step assessment applied in a new application.

(3) Assessment fee

This is the cost of on-site assessment. The fee is calculated based on the number of days for assessment and the number of examiners.

(4) Component testing fee

This is the cost of testing in the component certification. The fee is calculated depending on the case where the testing is conducted in a testing body contracted with JQA, in a manufacture's facility, or in the IECQ independent laboratory.

(5) Certification maintenance fee

This is the cost of annual certification maintenance. The fee is billed at the start of fiscal year. Modifications such as minor one to the certification record are dealt with in the certification maintenance fee.

(6) Fee for business trip

This is the cost of travel for on-site assessment, etc. The fee is calculated based on JQA rules.

Examples of costs

(1) Process/ESD Process/laboratory certification (new application)

Amount billed at the completion of application acceptance : Base fee for new application

Amount billed at the completion of certification : Pre-assessment fee + Assessment fee + Fee for business trip

(2) Process/ESD Process/laboratory certification (modification/renewal application)

Amount billed at the completion of application acceptance : Base fee for modification/renewal application

Amount billed at the completion of certification : Assessment fee + Fee for business trip

(3) Component certification (new application)

Amount billed at the completion of application acceptance : Base fee for new application

Amount billed at the completion of certification : Pre- assessment fee + Assessment fee + Fee for business trip + Component testing fee

(4) Component certification (modification/renewal application)

Amount billed at the completion of application acceptance : Base fee for modification/renewal application

Amount billed at the completion of certification : Assessment fee + Fee for business trip + Component testing fee

(5) Periodic assessment (surveillance)

Amount billed at the completion of assessment : Assessment fee + Fee for business trip (+ Component testing fee: for component certification)

(6) Certification maintenance fee

To be billed at the start of the fiscal year

Actual costs depend on the size of a business facility, the scope to be certified, etc. Please consult with JQA for quotation.

Ⅵ. Assessment

Assessment evaluates whether management system or procedures and processes related to the IECQ scheme in business facility comply with IECQ requirements.

1. There are the following types of assessments.
   - First-time certification assessment
   - Maintenance assessment
   - Renewal assessment
   - Occasional assessment

2. First-time certification assessment

First-time certification assessment is conducted in two steps: paper assessment (1st step assessment) and on-site assessment (2nd step assessment).

2.1 Paper assessment

Paper assessment examines whether management documents meet the specification requirements, and determines whether to go to the on-site assessment.

2.2 On-site assessment

On-site assessment evaluates the operation status (including confirmation of documents and effectiveness) of organizational management system in a business facility.

3 Maintenance assessment (surveillance)

Maintenance assessment evaluates whether management system or procedures and processes related to the IECQ scheme in business facility continuously comply with IECQ requirements.

4. Renewal assessment (recertification assessment)

Renewal assessment examines entire requirements pursuant to first-time certification assessment. If there is a critical modification in the operation status of management system, the same paper assessment is conducted as the first-time certification assessment as required. Renewal assessment is conducted every three years.

5. Occasional assessment

JQA will conduct the occasional assessment when JQA determines its necessity based on the implementation rules and certification agreement.

Ⅶ. Testing

Testing applicable standards

Although we typically use standards established by IECQ for testing, other standards may be used in some cases. Please consult with JQA for details.

Testing location

Product testing can be conducted in the laboratory within JQA, a testing body contracted with JQA, your desirable IECQ independent laboratory, or your business facility.

Testing in your business facility will be partly witnessed by JQA/IECQ testing staff.

In this case, the testing staff checks whether the testing facility satisfies items for ISO/IEC 17025.

Ⅷ. Suspension and Cancellation of Certification

Suspension of certification

If the certificate holder (contractor) fails to fulfill the obligations stated in the agreement, JQA will require the certificate holder to suspend using the marks and to take necessary actions.

Note that the suspension is notified to IECQ and then such information is posted on the IECQ website.

Note: During the suspension, the certificate holder may not use the certification marks and logos.

Cancellation of certification

After the suspension of certification is notified, if necessary actions are not taken within the specified time limit, JQA will cancel the certification. Note that the cancellation of certification will be notified to IECQ and then posted on the IECC website.

Ⅸ. Contact Information

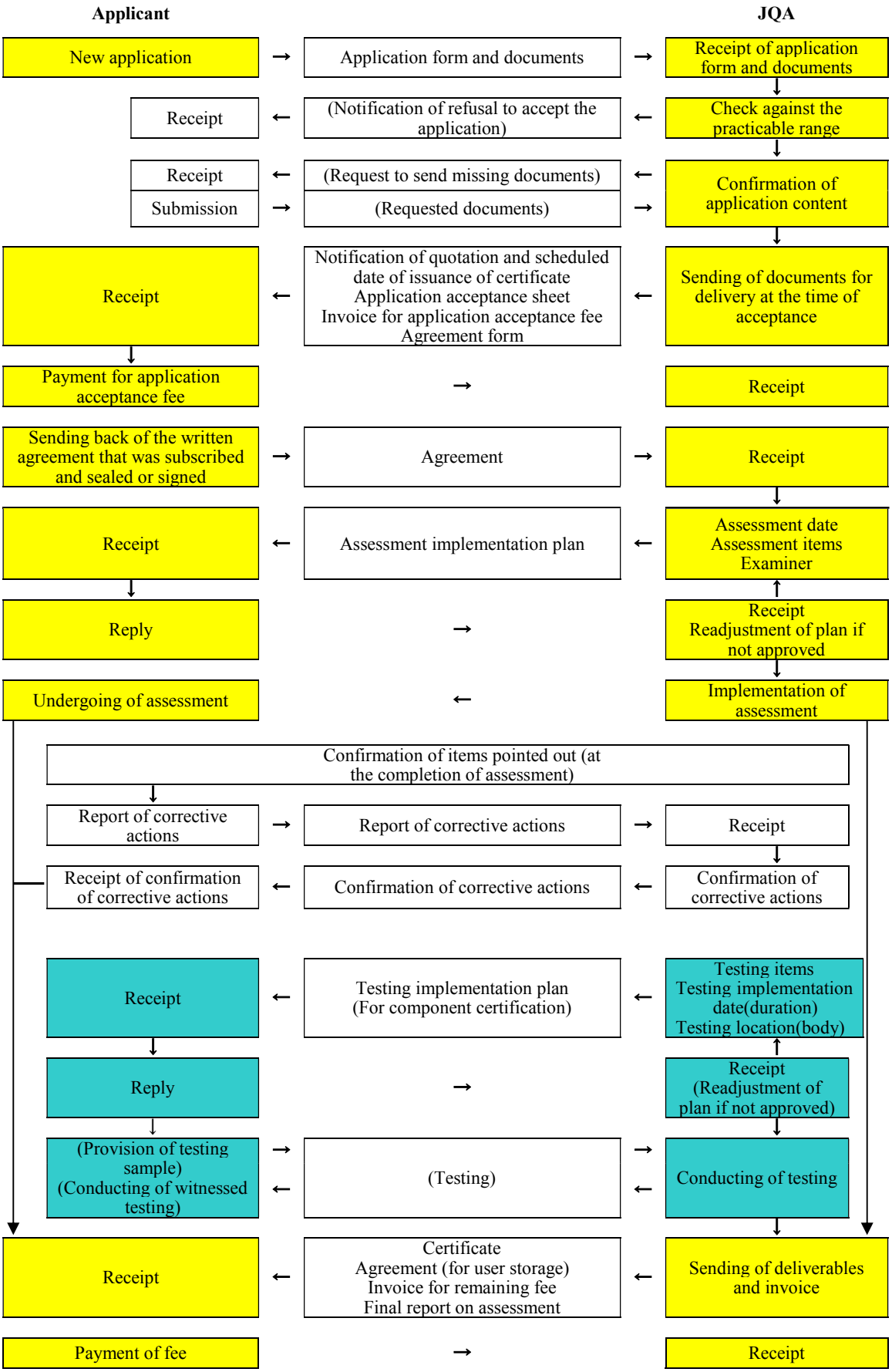
Japan Quality Assurance Organization Safety & EMC Center Sales Div.

Fax	:	+81(0)42-679-0170
E-mail	:	jtp-safety-cstm@jqa.jp
Tel	:	+81(0)42-679-0246
Address	:	4-4-4, Minamiosawa, Hachioji-shi, Tokyo, 192-0364, Japan

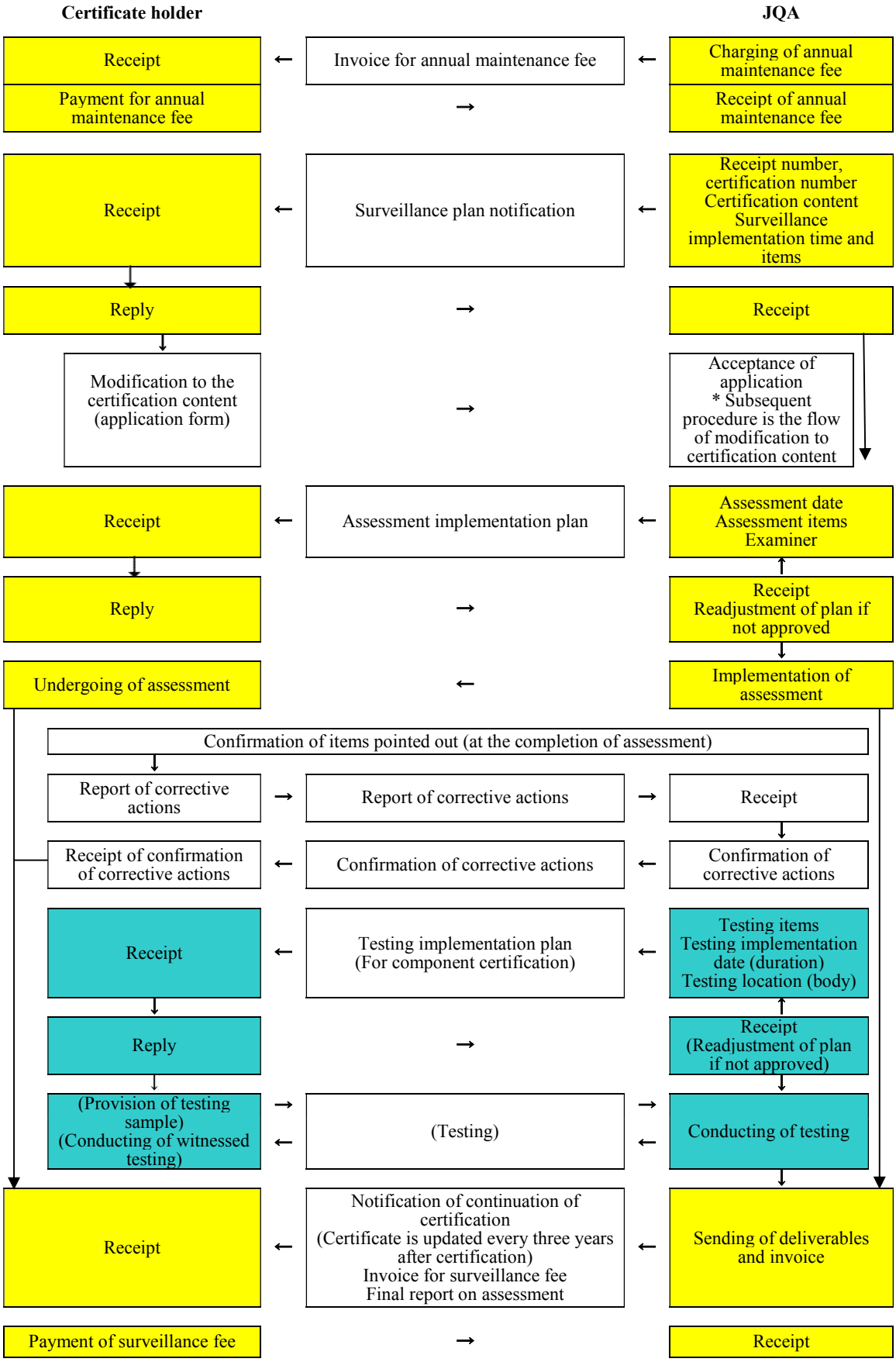
Appendix 1　Scope of component under JQA/IECQ Certification

Classification	Item	Component
1	Passive component	Fixed capacitor　Variable capacitor Surge protective device　Resistance network (capability certification) Fixed resistor　Potentiometer Varistor　Thermistor Filter (piezoelectric element)　SAW filter Ceramic filter　Ceramic oscillator Crystal oscillator　Crystal controlled oscillator
2	Active component	Individual semiconductor components　Integrated circuit
3	Hybrid integrated circuit	Hybrid integrated circuit (capability certification)
4	Electromechanical component	Connector for print circuit board High-frequency connector　Low-frequency square connector Relay　Lead contact unit Switch　Keyboard switch
5	Electromagnetic component	Core (iron core) for inductance and transformer Ferrite core　Transformer and inductance
6	Optical component	Magnetron　Optical semiconductor and liquid crystal device Liquid crystal display　LED　Optical attenuator
7	Electric wire and cable	High-frequency cable
8	Printed circuit board	Printed circuit board

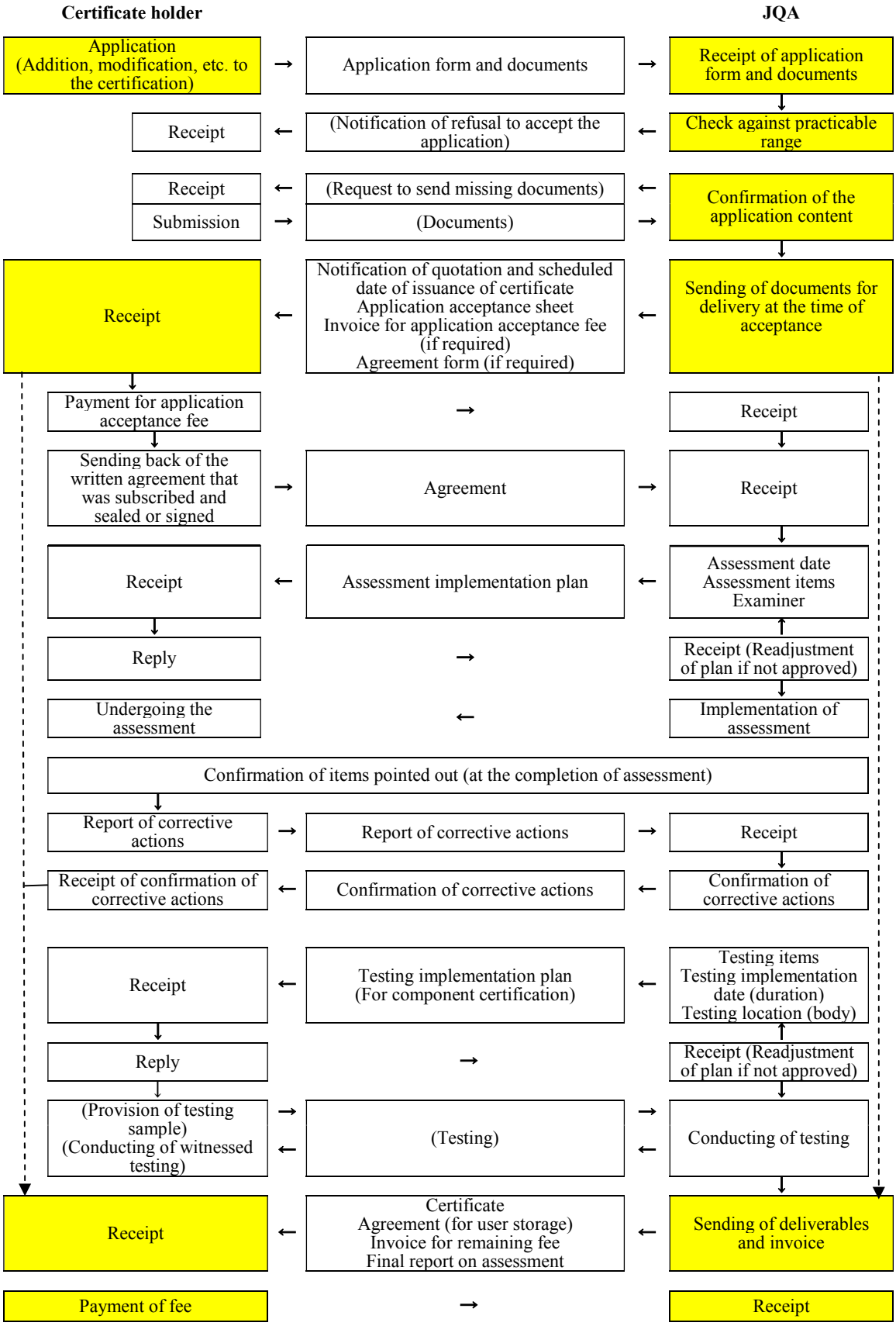
Reference Figure-1 Flow to JQA/IECQ certification



Reference Figure-2 Flow of continuation of certification for users obtaining the IECQ certification from JQA



Reference Figure-3 Flow of addition and modification to the certification for users obtaining the IECQ certification from JQA



Dotted line: Indicates the flow for minor modification requiring no assessment.