SUBJECT: Accreditation Program for Avoidance of Counterfeit Electronic Parts Management Systems (ACEPMS)

APPLIES TO: AS6081 ACEPMS ANAB-Accredited and Applicant Certification Bodies

PREFACE
This Accreditation Rule is to inform certification bodies (CBs) of ANAB requirements for accreditation to certify organizations for ACEPMS conforming with AS6081.

ACCREDITATION RULE
1. Requirement Documents (current versions unless specified)
   1.1. AS6081, Fraudulent/Counterfeit Electronic Parts; Avoidance, Detection, Mitigation, and Disposition – Distributors
   1.2. ISO/IEC 17021-1, Conformity assessment – Requirements for bodies providing audit and certification of management systems
   1.3. MA 5000, ANAB Management Systems Accreditation Manual, and applicable ANAB Accreditation Rules
   1.4. IAF Mandatory Documents as applicable

   Note: The current version of AS6301, Fraudulent/Counterfeit Electronic Parts; Avoidance, Detection, Mitigation, and Disposition – Distributors Verification Criteria, is intended to be used by accredited CBs for certification to AS6081.

2. Prerequisites
   2.1. The CB shall be accredited or attain accreditation concurrently to ISO/IEC 17021-1 to certify organizations for ISO 9001 quality management systems or AS9104/1 to certify organizations for an ISO 9001-based sector-specific standard (e.g., AS9100, AS9120).

   2.1.1. The CB shall issue certificates for ACEPMS only to organizations with valid certification accredited by an IAF MLA signatory (www.iaf.nu) for ISO 9001, or an ISO 9001-based sector-specific standard (e.g., AS9100, AS9120).

   2.2. If the CB’s accreditation for ISO 9001, ISO 13485, or an ISO 9001-based sector-specific standard is suspended or withdrawn, the CB’s accreditation for ACEPMS shall also be suspended or withdrawn.

   2.2.1. If a CB client’s certification for ISO 9001, or an ISO 9001-based sector-specific standard is suspended or withdrawn, the CB client’s certification for AS6081 shall also be suspended or withdrawn.

3. Application Process
   3.1. CBs can obtain applications for informational use at www.anab.org.

   3.2. The application process outlined at www.anab.org must be completed via ANAB’s Enterprise Quality Manager (EQM) database when the CB is ready to apply for accreditation.

   3.3. The application fee includes the cost of one assessor day for the off-site documentation review.
4. Initial Assessments for Accreditation

4.1. An ANAB accreditation assessor shall conduct a full documentation review.

4.2. After the documents are found acceptable for each standard for which the CB has applied, ANAB shall conduct an office assessment and required witnessed audits for each of the standards.

4.2.1. The office assessment shall be conducted on site or remotely (at ANAB’s discretion) and is conducted to ensure the CB’s certification process for ACEPMS conforms with ISO/IEC 17021-1 and is effective.

4.2.2. ANAB shall witness the CB conducting a two-stage audit process (stages 1 and 2) for each standard for which the CB has applied.

4.2.2.1. The ANAB assessment team shall have the same number of members as the CB audit team.

4.2.2.2. Because of the level of expertise needed, ANAB may use technical experts for ACEPMS witnessed audits. ANAB will invoice the CB for the fees and expenses of the technical expert.

5. Surveillance Assessments

5.1. ANAB shall conduct an annual office assessment, and annually witness a CB conducting an ACEPMS audit for each standard for which the CB is accredited.

5.1.1. When possible, the office assessment shall be conducted concurrently with other ANAB accreditation programs for which the CB is accredited.

5.1.2. During the accreditation cycle, for each standard for which the CB is accredited, ANAB shall evaluate the CB’s full system audit process during at least one annual witnessed audit (stages 1 and 2 certification audit or recertification). The additional witnessed audits required in the accreditation cycle are based on the CB’s audit activity and management system findings, and include audit types such as surveillance, special, multi-site, scope expansion, transfer, integrated, ASRP, and/or CAAT. ANAB Accreditation Rule 18 outlines the witnessed audit scheduling process and the process for potentially altering the types of audits witnessed.

5.1.3. Because of the level of expertise needed, ANAB may use technical experts for ACEPMS witnessed audits. ANAB will invoice the CB for the fees and expenses of the technical expert.

6. Re-accreditation Assessments

6.1. ANAB shall conduct a document review and an on-site full system office assessment at approximately six months prior to the expiration of accreditation.

7. Scope of Accreditation

7.1. The scopes of accreditation for AS6081 are:

a. Distribution of electrical, electronic, and electromechanical parts for the aerospace industry.

b. Distribution of electrical, electronic, and electromechanical parts for non-aerospace industry.

7.2. During the initial accreditation process, ANAB will determine the witnessing needed for the scopes sought by the CB.

7.3. Expanding the scope of accreditation

7.3.1. The CB shall provide a completed scope application (via EQM) that includes evidence demonstrating an appropriate level of competence for the desired scope(s).
7.4.2. A competent accreditation assessor or technical reviewer will review the application and documentation, including the CB’s competencies and processes for the specific scope(s), and prepare a written response on the CB’s conformance, which shall result in one of the following recommendations:

a. Require a witnessed audit prior to granting the scope.

b. Grant the scope without a witnessed audit.

c. Grant the scope with a witnessed audit required at the first opportunity after accreditation.

d. Not grant the scope.

8. End User Expected Outcomes of Accredited Certification to ACEPMS

8.1. End users can expect a distributor with a certified AS6081 management system to have processes that eliminates or significantly reduces the risk of distributing fraudulent and/or counterfeit parts.

8.2. The CB shall have processes to ensure that its auditors and other personnel for certification are knowledgeable of the expected outcomes and are consistently reinforcing this with the CB’s clients.

9. Competence of CB Personnel

9.1. The CB shall ensure that personnel meet the additional competence requirements in Annex 1.

10. Other Requirements

10.1. Because a certified distributor may supply parts in accordance with AS6081 and also supply parts not in accordance with AS6081, the CB shall develop processes to ensure an understanding of the distributor’s practices. These CB processes shall ensure that audit teams understand the distributor’s practices and verify that the distributor employs appropriate controls and makes appropriate representations of parts delivered to customers.
Annex 1. Required Knowledge for ACEPMS

This table specifies knowledge (in addition to the knowledge and skills table in Annex A of ISO/IEC 17021-1) the certification body shall define for specific functions.

<table>
<thead>
<tr>
<th>Knowledge</th>
<th>Certification Function</th>
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<tr>
<td></td>
<td>Conducting application, review, determine, select, audit team members, and determine audit time</td>
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<tr>
<td>Electronics component industry</td>
<td>X (A.3.1)</td>
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<td>Factors related to scope determination</td>
<td>X (A.3.2)</td>
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<tr>
<td>Risk assessment and risk mitigation of electronic assemblies and supply chain management</td>
<td>X (A.2.3)</td>
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<td>Counterfeit electronic parts control plans</td>
<td>X (A.2.4)</td>
</tr>
<tr>
<td>Purchasing, receiving, inspection, and testing techniques or methods (A.1.5)</td>
<td></td>
</tr>
<tr>
<td>Required reporting agencies</td>
<td>X (A.2.5)</td>
</tr>
</tbody>
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Note: Risk and complexity are other considerations when deciding on the level of expertise need for any of these functions.

A.1 Competence requirements for auditing

A.1.1 Electronics components industry

Knowledge of the electronics components industry, including terms, definitions and their underlying concepts as used within their technical area and in the context of the organization. Examples include product packaging, part coding, date code, lot code, and country of origin, and legitimate trademarks and logos.

A.1.2 Factors related to scope determination

Knowledge of determination of scope for an organization’s AS6081 certification. Knowledge of determining if organization is developing/working to an AS6081 scope that does not envelope its overall business, and how to apply this knowledge to auditing or review functions.

A.1.3 Risk assessment and risk mitigation of electronic assemblies and supply chain management

Knowledge of risk assessment, identification, communication, and mitigation sufficient to confirm that an organization fulfils expectation to manage the risk of allowing a counterfeit part to enter product delivered to the customer.

Examples:
- Understanding the application and design of the customer’s system to know when to go back to their customer for:
  - Specific information that may have an impact on the purchase of electronic parts.
  - Communicating risks associated with intended electronic parts purchases.
- Understanding the risk associated with procuring from suppliers, their sub-tiers, and distributors, and developing control plans to manage identified risks.

A.1.4 Counterfeit electronic parts control plans

Knowledge of counterfeit electronic parts control plans and the relationship of risk assessment to risk mitigation actions identified and managed through the control plan.

A.1.5 Purchasing, receiving, inspection and testing techniques or methods

Knowledge of electronic parts purchasing processes and interrelation of control plans to purchasing processes.

Knowledge of electronic parts receiving, inspection, and test processes and techniques that are:
- Used to mitigate the risk of accepting fraudulent and/or counterfeit parts.
- In alignment with control plan.
• Used to ensure counterfeit parts are not delivered to customers.

A.1.6 Required reporting agencies
Knowledge of agency reporting requirements for fraudulent and/or counterfeit parts to industry agencies (e.g., GIDEP, IDEA, ERAI etc.).

A.1.7 Component design processes
Knowledge of component design processes including parts selection and obsolescence impacts on product lifecycle.

A.2 Competence requirements for personnel reviewing audit reports and making certification decisions

A.2.1 Electronics components industry
Knowledge of the electronics components industry, including terms, definitions, and their underlying concepts as used within their technical area and in the context of the organization. Examples include product packaging, part coding, date code, lot code, and country of origin, and legitimate trademarks and logos.

A.2.2 Factors related to scope determination
Knowledge of determination of scope for an organization’s AS6081 certification.
Knowledge of determining if organization is developing/working to an AS6081 scope that does not envelope its overall business, and how to apply this knowledge to auditing or review functions.

A.2.3 Risk assessment and risk mitigation of electronic assemblies and supply chain management
Knowledge of risk assessment, identification, communication and mitigation sufficient to confirm that an organization fulfils expectation to manage the risk of allowing a counterfeit part to enter product delivered to the customer.
Examples:
Understanding the application and design of the customer’s system to know when to go back to their customer for:
• Specific information that may impact the purchase of electronic parts.
• Communicating risks associated with intended electronic parts purchases.
Understanding the risk associated with procuring from suppliers, their sub-tiers, and distributors, and developing control plans to manage identified risks.

A.2.4 Counterfeit electronic parts control plans
Knowledge of counterfeit electronic parts control plans and the relationship of risk assessment to risk mitigation actions identified and managed through the control plan.

A.2.5 Required reporting agencies
Knowledge of agency reporting requirements for fraudulent and/or counterfeit parts to industry agencies (e.g., Government-Industry Data Exchange Program (GIDEP), Independent Distributors of Electronics Association (IDEA), ERAI Inc., etc.).

A.3 Competence requirements for personnel conducting the application review to determine audit team competence required, select audit team members, and determine audit time

A.3.1 Electronics components industry
Knowledge of the electronics components industry, including terms, definitions, and their underlying concepts as used within their technical area and in the context of the organization. Examples include product packaging, part coding, date code, lot code, and country of origin, and legitimate trademarks and logos.

A.3.2 Factors related to scope determination
Knowledge of determination of scope for an organization’s AS6081 certification.
Knowledge of determining if organization is developing/working to an AS6081 scope that does not envelope its overall business, and how to apply this knowledge to auditing or review functions.