IEC TS 62668-1

Edition 2.0 2014-07

TECHNICAL SPECIFICATION

colour inside

Process management for avionics – Counterfeit prevention – Part 1: Avoiding the use of counterfeit, fraudulent and recycled electronic components

IEC TS 62668-1:2014-07(en)

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INTERNATIONAL
ELECTROTECHNICAL
COMMISSION

PRICE CODE XB

ICS 03.100.50; 31.020; 49.060

ISBN 978-2-8322-1679-8

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INTERNATIONAL ELECTROTECHNICAL COMMISSION

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FOREWORD

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- the subject is still under technical development or where, for any other reason, there is the future but no immediate possibility of an agreement on an International Standard.

Technical specifications are subject to review within three years of publication to decide whether they can be transformed into International Standards.

IEC/TS 62668-1, which is a technical specification, has been prepared by IEC technical committee 107: Process management for avionics.

This second edition cancels and replaces the first edition, published in 2012. This edition constitutes a technical revision.

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

a) Update of “fraudulent component” definition, addition of “recycled component” and “suspect component” definitions, and updates of the concerned clauses accordingly.
b) Addition of counterfeit awareness training as a requirement.
c) Revision to update all references and web links in the annexes.

The text of this technical specification is based on the following documents:

Enquiry draft	Report on voting
107/226/DTS	107/235/RVC

Full information on the voting for the approval of this technical specification can be found in the report on voting indicated in the above table.

This publication has been drafted in accordance with the ISO/IEC Directives, Part 2.

A list of all the parts in the IEC 62668 series, published under the general title *Process management for avionics – Counterfeit prevention,* can be found on the IEC website.

The committee has decided that the contents of this publication will remain unchanged until the stability date indicated on the IEC web site under "http://webstore.iec.ch" in the data related to the specific publication. At this date, the publication will be

- transformed into an International standard,
- reconfirmed,
- withdrawn,
- replaced by a revised edition, or
- amended.

A bilingual version of this publication may be issued at a later date.

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PROCESS MANAGEMENT FOR AVIONICS – COUNTERFEIT PREVENTION –

Part 1: Avoiding the use of counterfeit, fraudulent and recycled electronic components

1 Scope

This part of IEC 62668, which is a Technical Specification, defines requirements for avoiding the use of counterfeit, recycled and fraudulent components used in the aerospace, defence and high performance (ADHP) industries. It also defines requirements for ADHP industries to maintain their intellectual property (IP) for all of their products and services. The risks associated with purchasing components outside of franchised distributor networks are considered in IEC/TS 62668-2. Although developed for the avionics industry, this specification may be applied by other high performance and high reliability industries at their discretion.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

IEC/TS 62239-1, *Process management for avionics – Management plan – Part 1: Preparation and maintenance of an electronic components management plan*

IEC/PAS 62435, *Electronic components – Long-duration storage of electronic components – Guidance for implementation*

IEC/TS 62668-2, *Process management for avionics – Counterfeit prevention – Part 2: Managing electronic components from non-franchised sources*

ISO 9001, *Quality management systems – Requirements*

AS/EN/JISQ 9100, *Quality Management Systems – Requirements for Aviation, Space and Defense Organizations*

AS/EN/JISQ 9110:2003, *Quality Maintenance Systems – Aerospace – Requirements for Maintenance Organizations*

AS/EN/JISQ 9120, *Quality Management Systems – Requirements for Aviation, Space and Defense Distributors*

GEIA-STD-0016, *Standard for Preparing a DMSMS Management Plan*

IDEA-STD-1010B, *Acceptability of electronic components distributed in the open market*

SAE AS5553A *Counterfeit Electronic Parts; Avoidance, Detection, Mitigation and Disposition*

SAE AS6081 *Fraudulent/Counterfeit Electronic Parts: Avoidance, Detection, Mitigation and Disposition – Distributors Verification Criteria*

SAE AS6174, *Counterfeit Material: Detection, Mitigation and Disposition*[1]

3 Terms, definitions and abbreviations

3.1 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

3.1.1
aftermarket source
reseller which may or may not be under contract with the original component manufacturer (OCM), or is sometimes a component "re-manufacturer", under contract with the OCM

Note 1 to entry: The reseller accumulates inventories of encapsulated or non-encapsulated (wafer) components whose end of life date has been published by the OCM. These components are then resold at a profit to fill a need within the market for components that have become obsolete.

3.1.2
broker
individual or corporate organization that serves as an intermediary between buyer and seller

Note 1 to entry: In the electronic component sector a broker specifically seeks to supply obsolete or hard to find components in order to turn a profit. To do so it may accumulate an inventory of components considered to be of strategic value or may rely on inventories accumulated by others. The broker operates within a worldwide component exchange network.

3.1.3
COTS
commercial off-the-shelf products
one or more pieces, mechanical or electrical, developed for multiple commercial consumers, whose design and/or configuration is controlled by the supplier's specification or industry standard

Note 1 to entry: They can include electronic components, subassemblies, or top level assemblies. COTS subassemblies include circuit card assemblies, power supplies, hard drives, and memory modules. Top-level COTS assemblies include a fully integrated rack of equipment such as raid arrays, file servers to individual switches, routers, personal computers, or similar equipment.

3.1.4
counterfeit, verb
action of simulating, reproducing or modifying a material good or its packaging without authorization

Note 1 to entry: It is the practice of producing products which are imitations or are fake goods or services. This activity infringes the intellectual property rights of the original manufacturer and is an illegal act. Counterfeiting generally relates to wilful trademark infringement.

3.1.5
counterfeited component
material good imitating or copying an authentic material good which may be covered by the protection of one or more registered or confidential intellectual property rights

Note 1 to entry: A counterfeited component is one whose identity or pedigree has been altered or misrepresented by its supplier.
Identity = original manufacturer, part number, date code, lot number, testing, inspection, documentation or warranty etc.
Pedigree = origin, ownership history, storage, handling, physical condition, previous use etc.

[1] Although published this is being revised for material component only.

3.1.6
customer device specification
device specification written by a user and agreed by the supplier

3.1.7
customer
user
original equipment manufacturer (OEM) which purchases electronic components, including integrated circuits and/or semiconductor devices compliant with this technical specification, and uses them to design, produce, and maintain systems

3.1.8
data sheet
document prepared by the manufacturer that describes the electrical, mechanical, and environmental characteristics of the component

3.1.9
franchised distributor or agent
individual or corporate organisation that is legally independent from the franchiser (in this case the electronic component manufacturer or OCM) and agrees under contract to distribute products using the franchiser's name and sales network

Note 1 to entry: Distribution activities are carried out in accordance with standards set and controlled by the franchiser. Shipments against orders placed can be despatched either direct from the OCM or the franchised distributor or agent. In other words, the franchised distributor enters into contractual agreements with one or more electronic component manufacturers to distribute and sell the said components. Distribution agreements may be stipulated according to the following criteria: geographical area, type of clientele (avionics for example), maximum manufacturing lot size. Components sourced through this route are protected by the OCM's warranty and supplied with full traceability.

3.1.10
fraudulent component
electronic component produced or distributed either in violation of regional or local law or regulation, or with the intent to deceive the customer

Note 1 to entry: This includes but is not limited to the following which are examples of components which are fraudulently sold as new ones to a customer:

(1) a stolen component;

(2) a component scrapped by the original component manufacturer (OCM) or by any user;

(3) a recycled component, that becomes a fraudulent recycled component when it is a disassembled component resold as a new component (see Figure 1), where typically there is evidence of prior use and rework (e.g. solder, re-plating or lead re-attachment activity) on the component package terminations;

(4) a counterfeit component, a copy, an imitation, a full or partial substitute of brands;

(5) fraudulent designs, models , patents, software or copyright sold as being new and authentic, For example: a component whose production and distribution are not controlled by the original manufacturer;

(6) unlicensed copies of a design;

(7) a disguised component (remarking of the original manufacturer's name, reference date/code or other identifiers etc.),which may be a counterfeit component; see Figure 1;

(8) a component without an internal silicon die or with a substituted silicon die which is not the original manufacturer's silicon die.

3.1.11
microcircuit
component
device
electrical or electronic device that is not subject to disassembly without destruction or impairment of design use and is a small circuit having a high equivalent circuit element

density which is considered as a single part composed of interconnected elements on or within a single substrate to perform an electronic circuit function

Note 1 to entry: This excludes printed wiring boards/printed circuit boards, circuit card assemblies and modules composed exclusively of discrete electronic components.

3.1.12
non-franchised distributor
companies which do not fall under a franchised distributor or OCM

Note 1 to entry: These distributors may purchase components from component manufacturers, franchised distributors, or through other supply channels (open markets). These distributors cannot always provide the guarantees and support provided by the franchised distributor network; components sourced through this source are usually protected by the source's warranty only. However, some of them are able to purchase traceable components and/or to provide traceability paperwork and/or are able to return stock for investigation to the OCM.

3.1.13
OCM
original component manufacturer
company specifying and manufacturing the electronic component

3.1.14
OEM
original equipment manufacturer
manufacturer which defines the electronic subassembly that includes the electronic components or defines the components used in an assembly and/or test specification

3.1.15
piracy
willful copyright infringement

3.1.16
reseller
general supplier which offers a selection of electronic components to order from a catalog

3.1.17
recycled component
electrical component removed from its original product or assembly and available for reuse

Note 1 to entry: The component has authentic logos, trademarks and markings. However, it typically has no output to measure the useful life remaining for its reuse. A recycled component can fail earlier than a new one when re-assembled into another product or assembly. A recycled component may also be physically or ESD damaged during the removal process.

3.1.18
semiconductor
electronic component in which the characteristic distinguishing electronic conduction takes place within a semiconductor

Note 1 to entry: This includes semiconductor diodes which are semiconductor devices having two terminals and exhibiting a nonlinear voltage-current characteristic and transistors which are active semiconductor devices capable of providing power amplification and having three or more terminals.

3.1.19
subcontractor
manufacturer of electronic subassemblies or supplier manufacturing items in compliance with customer design data pack and drawings, and under the authority of the OEM

Note 1 to entry: This supplier can potentially procure all or part of the electronic components required to produce a subassembly and is often referred to as the contract electronic manufacturer (CEM) or electronics manufacturing services (EMS).

3.1.20
supplier
company which provides to another an electronic component which is identified by the logo or name marked on the device

Note 1 to entry: A supplier can be an OCM, a franchised distributor or agent, a non-franchised distributor, broker, reseller, OEM, CEM, and EMS, etc.

3.1.21
suspect component
electronic component which has lost supply chain traceability back to the original manufacturer and which may have been misrepresented by the supplier or manufacturer and may meet the definition of fraudulent or counterfeit component

Note 1 to entry: Suspect components may include but are not limited to:

(1) counterfeit components;

(2) recycled components coming from uncontrolled recycling operations carried outside of the OEM, franchised network and OEM business where typically it has been fraudulently sold to the OEM as being in a new unused condition.

3.1.22
traceability
ability to have for an electronic component its full trace back to the original component manufacturer

Note 1 to entry: This traceability means that every supplier in the supply chain is prepared to legally declare in writing that they know and can identify their source of supply, which goes back to the original manufacturer and can confirm that the electronic components are brand new and were handled with appropriate ESD and MSL handling precautions. This authenticates that the electronic components being supplied are unused, brand new components with no ESD, MSL or other damage. This ensures that the electronic components are protected by any manufacturer's warranties, have all of their useful life remaining and function according to the manufacturer's published datasheet, exhibiting the expected component life in the application for the OEM's reliability predictions and product warranty.

3.1.23
untraceable
property of electronic components which have lost their traceability (see 3.1.22)

3.2 Abbreviations

AAIPT	Alliance Against IP Theft
ACTA	Anti-Counterfeit Trade Agreement
ACTF	Semiconductor Industries Association Anti Counterfeit Task Force
ADHP	aerospace, defence and high performance
ASIC	Application Specific Integrated Circuit
ATP	acceptance test procedure
BEAMA	British Electrotechnical Allied Manufacturers' Association
CATA	China Anti-counterfeit Technology Association
CB	Certifying Bodies (Third Party)
COTS	commercial off-the-shelf
CEM	contract electronic manufacturer
CEPA	Chinese Electronic Purchasing Association
CQAE	China Quality Management Association for Electronics Industry
CMOS	complementary metal oxide semiconductor
DFAR	Defense Federal Acquisition Regulation
DOD	Department of Defence (US)