SCC Requirements and Guidance for the Product, Process, and Service Certification Body Accreditation Program

2021-09-21

Standards Council of Canada

Open a world of possibilities.

Canada

Standards Council of Canada
55 Metcalfe Street, Suite 600
Ottawa, ON K1P 6L5

Telephone: + 1 613 238 3222
Fax: + 1 613 569 7808
accreditation@scc.ca
www.scc.ca

Permission to Reproduce

Aussi offert en français sous le titre *Exigences et lignes directrices du CCN – Programme d'accréditation des organismes d'inspection.*

SCC Requirements and Guidance for the Product, Process,
and Service Certification Body Accreditation Program

Table of Contents

SCC Requirements and Guidance for the Product, Process,
and Service Certification Body Accreditation Program

SCC Requirements and Guidance for the Product, Process,
and Service Certification Body Accreditation Program

Introduction

This document aims to outline the additional criteria and guidance for product, process, and service certification bodies, above and beyond the requirements of ISO/IEC 17065:2012. These requirements and guidance statements have been developed using a consensus-based approach, involving consultation with certification bodies, regulators, assessors, and consumers.

1.   Scope

This document serves as a SCC companion to ISO/IEC 17065 and outlines unique Canadian requirements for third-party product certification bodies (CBs) accredited by SCC. This document's criteria will be applied in conjunction with the criteria in ISO/IEC 17065 when conducting assessment activities within the SCC accreditation program for a product certification body. SCC accreditation programs are open to any applicant in countries that are members of the World Trade Organization (WTO), as mandated by Government Orders-in-Council to the SCC Act.

In this document, the term "product" can be read as "process" or "service", except in those instances where separate provisions are stated for "processes" or "services".

2.   Normative References

Note: Unless stated otherwise, the latest revision of the normative references applies.

- ISO/IEC 17065 – Conformity assessment – Requirements for bodies certifying products, processes and services
- ISO/IEC 17025 – General Requirements for the Competence of Calibration and Testing Laboratories
- SCC Accreditation Services Program Overview
- SCC Program Overview Guidelines for the Development and Maintenance of Other Recognized Documents (ORDs)
- ISO/IEC 17007 Conformity assessment – Guidance for drafting normative documents suitable for use for conformity assessment
- ISO 3166 – Codes for the representation of the names of countries and their subdivisions – Part 1: Country codes
- ISO/IEC 17000 Conformity assessment – Vocabulary and general principles
- ISO/IEC 17030 Conformity assessment – General requirements for third-party marks of conformity
- ISO/IEC 17020 - Conformity assessment – Requirements for the operation of various types of bodies performing inspection

- ISO/IEC 17021- Conformity assessment – Requirements for bodies providing audit and certification of management systems
- ISO/IEC Guide 7 – Guidelines for drafting of standards suitable for use for conformity assessment
- Trademarks Act – Canadian Federal legislation administered by the Canadian Intellectual Property Office (CIPO), Innovation, Science, and Economic Development Canada
- IAF MD 4 – IAF Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes

3.   Definitions

The definitions as presented in ISO 9000 and ISO/IEC 17000, as well as ISO/IEC 17065 and its referenced documents, apply. The following definitions also apply:

3.1 Applicant

A CB not yet accredited by SCC.

3.2 Authority Having Jurisdiction (AHJ)

An organization, office, delegated authority or individual responsible, by virtue of Federal, Provincial, Territorial or Municipal authority for administration and enforcing the requirements of a legislation including a code or standard, for approving equipment, materials, an installation, or a procedure.

3.3 Canadian Identifier

An identifier such as a lower-case letter "c" placed at the 8 o'clock position or country identification such as "CA" that are in line with ISO 3166 adjacent to a certification mark that demonstrates to regulators and consumers that the product has been certified to Canadian Recognized Standards, ORDs or another normative document that is recognized by a Canadian Regulatory Authority.

3.4 Canadian Recognized Standard

A standard recognized by a RAAB or an AHJ.

3.5 Certification Mark

A protected mark, applied or issued under the rules of a certification scheme, indicating that confidence is provided that the relevant product, process or service is in conformity with specific standards or Other Recognized Documents.

3.6 Incident

An event that has or could have resulted in death, injury or property damage.

3.7 Market Area

A national economy or a formalized group of trading nations such as the European Union, which use harmonized product standards across national boundaries.

3.8 National Standard of Canada™ (NSC)

A consensus standard prepared or reviewed by an accredited Standards Development Organization and approved by SCC.

3.9 Other Recognized Document (ORD)

A normative document that is developed when a Canadian Recognized Standard or National Standard of Canada does not cover a product to be certified.

Note - A normative document can also be developed for situations to address changes in a Canadian Code, or a technical change in an existing standard. An ORD provides an equivalent level of safety or performance as provided for similar functions in existing standards.

3.10 Regulatory Authority Advisory Body (RAAB)

A Body, Council or Committee, consisting of representatives from various Canadian governmental organizations (Federal, Provincial, Territorial, Municipal or other) that coordinates regulations and promotes consistency among jurisdictions related to regulations, standards and enforcement practices respecting the sale, purchase, safety, performance, use and application of consumer or industrial products within its jurisdiction.

3.11 Transport Canada Electronic Logging Devices (TC ELD) scheme

The accreditation scheme run in partnership between Transport Canada (TC) and Standards Council of Canada (SCC) pursuant to Section 79 of the Commercial Vehicle Drivers Hours of Service Regulations.

3.12 Witness Testing

The viewing of testing of a product under documented control procedures to ensure the integrity of the testing activity.

3.13 Contractor

An individual retained by a certification body to perform evaluation tasks on a part-time or full-time basis. Contractors operate within the certification Body's quality system.

Note - The evaluation tasks can include activities such as design and documentation review, sampling, testing, inspection and audit. - ISO/IEC 17065 cl. 7.4.3

3.14 Fixed Office Location

The physical premises where certification activities are performed or managed for the CAB, regardless of location and relationship with the CAB. A Fixed Office Location is defined as being where the CB conducts one or more of the following activities:

- Policy formulation and approval,
- Process and/or procedure development and approval,
- Initial assessment of competence, and approval of technical personnel and subcontractors,
- Control of the monitoring process of competence of personnel and subcontractors and its outcomes,
- Contract review including technical review of applications and determining the technical requirements for certification activity in new technical areas or areas of limited sporadic activity,
- Decision on certification including technical review of evaluation tasks.

3.15 Head Office Location

The legally registered premises where key activities are controlled by the CAB.

3.16 Subcontractor

An arms-length, independent legal entity retained by a certification body to perform evaluation tasks. Subcontractors typically operate within their own quality system (see Note in 3.13).

4. General Requirements

Note: The following requirements and guidance statements are aligned directly to the corresponding clause in ISO/IEC 17065:2012, until Section 9. Section 9 contains requirements and guidance related to areas not covered by ISO/IEC 17065 in any manner.

ISO/IEC 17065	SCC Requirement	SCC Guidance
4.1 Legal and contractual matters		
NOTE: The requirements with regards to certification marks do not apply to the certification of products where there is no mark required.		
4.1.3.1	A CB shall register, protect and control its mark, in accordance with ISO/IEC 17030.	To show evidence of protection, a CB is required to register its mark as a certification mark with the Canadian Intellectual Property Office (CIPO), however, registration with a WTO equivalent is acceptable as proof of evidence during the application process. The WTO trademark shall be identical to the certification mark in application. An

		application must be made to CIPO before accreditation can be granted
4.1.3.2	CBs issuing certifications for the Canadian market shall register their mark in accordance with the Trademarks Act with the Trademarks Branch of the Canadian Intellectual Property Office (CIPO), Innovation, Science, and Economic Development Canada. The protected mark must be a unique mark pertaining to a specific certification body.	Provided that all other requirements for accreditation are satisfied, an applicant may be accredited as a CB while the mark registration is still in process. Before accreditation, it shall be confirmed and documented that the mark registration is not being opposed. A trademark will be identified on SCC's scope of accreditation as a protected mark until the mark is registered as a certification mark. Conformity to 4.1.3.2 shall sanction and identify the mark as a certification mark on SCC's scope of accreditation.
4.1.3.3	CBs certifying products under SCC's accreditation that are manufactured for market areas other than Canada, shall demonstrate to the SCC how certification marks are protected and controlled in these areas. It is recommended that the CB register its mark in those market areas where it issues certifications.	
4.1.3.4	A CB shall identify the market area(s) for which a certified product is designated either by the use of a unique mark for that area or a Canadian identifier or by the use of the alphabetic country abbreviation code provided in ISO 3166 or an appropriate qualifying statement adjacent to the certification mark. The CB shall, as described in ISO/IEC 17030, ensure qualifying statements are clear and not misleading.	

4.1.3.5	A CB shall ensure that the mark used for the SCC accredited programs shall be distinguishable from any use outside the scope of SCC accreditation.	In cases where the mark and identifiers are not enough to distinguish SCC accreditation due to CB utilizing SCC accreditation for a market area for which the CB hold another accreditation, the accreditation can be noted in the certification documentation based on IAF 2018-13 resolution
4.1.3.6	Where the physical size of the product does not permit or when the application is not appropriate for the type of product, the certification mark and/or the qualifying statements may be applied on the closest level of packaging to the product or other accompanying information.	
4.1.3.7	A CB shall ensure that the certification marks used for the SCC accredited programs shall be part of the SCC published scope of accreditation.	
4.1.3.8a	Regulatory authorities in some fields demand the use of specific identifiers (such as the Canadian identifier or any other Regulatory mandated identifier). Regulatory mandated identifiers shall be used in place of market area designators when so required. [Not Applicable to scheme type Energy Efficiency Verification (EEV) NRCan]	Regulatory mandated identifiers should not be included in the SCC scope of accreditation unless registered with such identifiers.
4.1.3.8b	Regulatory authorities such as Canadian Advisory Council on Electrical Safety (CACES) shall require the use of "c" identifier at the 8 o'clock position of certification mark for the certified	CACES does not consider a unique mark for Canada, or an ISO 3166 country abbreviation to be acceptable for the area of electrical safety with some exceptions for

	electrical safety products to be sold in the Canadian Market.	existing marks in use on or before April 1, 2021. CACES decision: Any new certification mark on or after April 1, 2021 under the area of electrical safety must use the "c" identifier (no exceptions). Other Regulatory authorities such as IGAC and CRCP for their respective market areas, accept the following identifiers: • a Canada only certification mark, • the use of the "c" identifier, or • the use of the international identifier (CA) as per ISO 3166.
4.1.3.9	A CB shall have a policy statement and procedures regarding the use, the meaning and the scope of coverage of its marks, encompassing the situations described in the guidance statement of 4.1.3.8 and in clause 4.1.3.9	Where a mark on a product can clearly represent, by itself, without further clarification, the standard or requirements for which the product has been certified, no additional markings may be required. Examples include a product that has been certified to all applicable standards, or a product for which there is only one applicable standard.
4.1.3.10	Where it is necessary to clarify the scope of coverage of a certification mark, e.g., to avoid ambiguity or to indicate a limitation of the certification scope, the CB shall ensure that its marks on the certified products are appropriately qualified. As illustrated in Annex A, this can be done with a qualifying statement that is not part of the registered mark.	Misunderstandings could arise when for example, a product can be certified for electrical and gas aspects but only the electrical portion was certified. The identification of aspects could equally be achieved by showing the standard number. The aspects covered can appear on the smallest product packaging or be included in the accompanying literature. This requirement also applies to certified components.

		The inclusion of such information in a Certification Body's product directory only, will not satisfy the requirement.
4.1.3.11	Each certification mark shall have a clearly defined and identified scope.	CBs may use multiple marks under an SCC accredited certification program.
4.1.3.12	A CB shall have procedures in accordance with ISO/IEC 17030 to handle and record any reported misuse of the certification mark.	
4.1.3.13	A CB shall have procedures to handle and record any situation in which a certified product is subsequently found to be hazardous. [Applies to certification programs that include an evaluation of the safety related aspects of the product]	
4.1.3.14	A CB shall require clients to notify the CB of any situation where a certified product could lead to a potential hazard. [Applies to certification programs that include an evaluation of the safety related aspects of the product]	

5.　Structural Requirements

No additional requirements or guidance.

6. Resource Requirements

ISO/IEC 17065	SCC Requirement	SCC Guidance
6.1 Certification body personnel		
6.1.1.2.1	CBs shall demonstrate knowledge of and operate certification schemes in accordance with the Canadian standards and regulations, or standards and regulations of the intended market of the product. This shall be demonstrated by: a) Engagement with the relevant regulatory authority advisory bodies or Authorities Having Jurisdiction, and b) Participation on technical committees of relevant Standards Development Organizations; or, c) Interpreting, applying and promoting standards and regulations as it relates to their certification scheme.	The level of engagement is determined by the Regulatory Authority Advisory Bodies or Authorities Having Jurisdiction. This may be defined in their Terms of Reference. a) The previous year attendance records of the respective RAABs/AHJs' annual meeting may be verified.
6.1.1.2.2	CBs shall maintain a comprehensive and up to date knowledge of regional, national, Canadian recognized standards, regulations, ORDs, international standards and certification programs in their areas of accreditation and shall participate, when appropriate, in the development of related standards and international certification programs.	
6.2 Resources for evaluation		
6.2.1.1	The CB shall maintain a current list of standards to which it offers certification under SCC accreditation. This list must be available in MS Excel or in a tab-delimited format, and must include the following information about each standard: a) Standard number (with year of publication) b) Standard title c) ICS Code which applies to the Standards Council of Canada d) Standard technical category	In Reference to Section (C) ICS Code which applies to the Standards Council of Canada. All National Standards of Canada have an ICS code listed in the standard itself. For those standards, and for any others in which an ICS code is published, a CB must use only that published code in its list entry for that standard including those ending in .01

The list of standards shall be a controlled document and shall include the last revision date.	or .99, with the exception of two element codes. Two element ICS codes are not acceptable even if it is the ICS code cited in the standard, with the exception of the categories where three element codes were not available for selection. If this is the situation, the CB must decide on the most applicable three element code, but not those ending in .01 or .99, and the rationale must be clear and concise regarding the reason for that ICS code is being selected. As many standards cite more than one ICS code, it is incumbent upon the CB to ensure that they apply the most relevant applicable ICS code for the certification services they provide. For any other standard, it falls to the CB to determine the appropriate ICS code to use, and the CB must provide SCC with the rationale for its selection. To document its rationale, CBs are advised to use: • Written confirmation from the SDO, or • Written confirmation from the Scheme Owner. In the absence of such confirmation, the CB may provide other documentation to outline why, in its professional judgment, a particular code should apply (e.g. a gap analysis or rationale). Note that these records may be assessed by SCC at any time.

		d) Certification bodies are required to determine relevant technical categories for all the standards to which they offer certification under SCC accreditation. Examples of appropriate categories include 'plumbing,' 'hazardous materials' and 'photovoltaic.' Typically, categories should align with a CB's internal technical categories. However, if a CB does not have such technical categories, the CB may list the appropriate ICS codes (see above) in this part of the table.
6.2.1.2	The CB shall maintain a current list of schemes (sub-programs) including but not limited to those described in section 10 to which it offers certification under SCC accreditation. This list must be maintained in conjunction with list of clauses 6.2.1.1 and 6.2.1.3	
6.2.1.3	If Applicable, The CB shall maintain a current list of ORDs to which it offers certification under SCC accreditation. This list must be maintained in conjunction with list of clauses 6.2.1.1 and 6.2.1.2. the list shall be made available to SCC.	
6.2.2.1.1	A CB shall demonstrate that facilities utilized for testing including test facilities utilized by certification bodies from which test data is accepted, meet the appropriate requirements of ISO/IEC 17025. This shall be demonstrated by one or more of the following: a) A test facility accredited by SCC. b) A test facility accredited by an agency that is part of an organization with which SCC has signed a Mutual Recognition Agreement (MRA). c) An internal test facility owned or controlled by the CB. The CB shall demonstrate that it maintains procedures for evaluation and conducts evaluations of such facilities for conformance with the appropriate requirements of ISO/IEC 17025. Such	

	evaluations should occur at regular intervals that shall not exceed two years. d) An external test facility approved by the CB. The CB shall demonstrate that it maintains acceptable procedures for the assessment of such facilities and evaluates those facilities for conformance to the appropriate requirements of ISO/IEC 17025. Such evaluations should occur at regular intervals and shall not exceed two years. e) A client's facility used for witness testing. The CB shall demonstrate that it has acceptable procedures and evaluates clients' facilities to the appropriate requirements of ISO/IEC 17025. The CB shall be able to demonstrate that for any use of a supplier's facility, the facility was assessed to have met the appropriate requirements of ISO/IEC 17025 at the time.	

7.   Process Requirements

ISO/IEC 17065	SCC Requirement	SCC Guidance
7.1 General		
7.1.2.1	In regulated areas, CBs shall certify products to Standards, ORDs or another normative document recognized by an Authority Having Jurisdiction, or authority within the economy for which the product is intended. The certification shall only be issued against documents/standards that contain requirements. Where applicable, CBs shall comply with effective dates of standards and continued certification decisions when issued by the RAAB or designated subcommittee.	

7.5	Review	
7.5.1.1	All outsourced evaluation activities (design and documentation review, sampling, testing, inspection and audit) shall undergo a technical review by the CB.	

7.7	Certification Documentation	
7.7.1.1	The CB shall identify certification documentations; the identified certification documentation shall include the accreditation symbol and/or Should make reference to the accreditation status of the CB including the identification of the accreditation body (SCC). [Note: If there is an exception to the above, the CB must justify the exception to SCC, and if accepted by SCC, the certification is still considered accredited]	
7.7.3.2	The certification mark label can be applied on an evaluated product only if; a) the CB satisfies itself that the product conforms to the requirements and all nonconformities had been resolved and, b) the CB's customer has been clearly informed, and through legally enforceable certification agreement agrees not to consider the Certification Body's mark applied on a product as certified until the certification decision has been made and the certification documentation has been issued. [Only for CBs operating under ISO/IEC 17067 certification scheme Type 1b]	The agreement with the client will need to include language that has the client commit to understanding the product is not certified until the certification decision has been made, specifically, the review step has been completed and the certification decision issued. The CB will need to decide how it will act if the client does not comply with the agreement and ships the product prior to the certification decision. The CB shall control the potential risk to impartiality by the reviewer who will be faced with knowing the product has already been labelled as

		certified before the review is conducted.
7.8	**Directory of certified products**	
7.8.1	The parts of information that need to be published or made available upon request in a directory shall be free of cost.	
7.9	**Surveillance**	
7.9.1.1	When factory inspection is required by the certification scheme, the inspection service shall meet the appropriate requirements of ISO/IEC 17020.	
7.9.1.2	When factory inspection is required by the certification scheme, the CB shall ensure that the factory only releases certified product into the marketplace once an initial factory inspection has been completed and all nonconformities are satisfactorily closed.	
7.9.1.3	When factory inspection is required by the certification scheme, frequency of inspections shall be established by the CB and shall be one or more per year.	
7.9.1.4	When a factory inspection is required by the certification scheme, The CB shall ensure that the factory inspection report include the requirements of clause 7.4.2 of ISO/IEC 17020 and the following: a) Name and location of the customer whose factory is being inspected, the customer being the organization or individual who has requested the certification. b) Serial Number or other form of unique identifier of the products being certified. c) Information on where the inspection was carried out. d) Information on environmental conditions during the inspection, if relevant.	

	e) Evidence of verification of the certification product report against the product being inspected at the factory. f) Identification or brief description of the inspection method(s) and procedure(s) used, mentioning the deviations from, additions to or exclusions from the CB's methods and procedures. g) Information on any alterations to the product, including both alterations already performed (if known) and alterations that will be required to be done. h) Notes, as may be necessary, to demonstrate conformity to CB's Inspection requirements i) Confirmation of dual language safety labeling on the product, if so, required by the standard or by the Authority Having Jurisdiction. j) List of non-compliances to product certification requirements and factory inspection requirements (elements of quality management system of the factory) k) Calibration dates of the test equipment used during the factory inspection.	
7.9.1.5	When the CB decides to outsource its inspection activities, the inspection service shall meet the appropriate requirements of ISO/IEC 17020. This shall be demonstrated by one or more of the following: a) An inspection organization accredited by SCC. b) An inspection organization accredited by an agency that is part of the organization that is a signatory to the ILAC MRA for inspection bodies. c) An inspection organization qualified by the CB. The CB shall demonstrate that it maintains acceptable procedures for the assessment of such organizations and evaluates those organizations for conformance to the appropriate requirements of ISO/IEC 17020. Such evaluations should	

SCC Requirements and Guidance for the Product, Process, and Service Certification Body Accreditation Program

	occur at regular intervals and shall not exceed two years.	
7.9.1.6	The CB using information and communication technology (ICT) for auditing as part of its methodology shall conform to the requirements of IAF MD 4.	
7.13 Complaints and appeals		
7.13.1.1	The CB shall have documented procedures to inform clients that SCC is the final level of appeal in disputes regarding the CB's conformance with accreditation criteria. CBs shall abide by all SCC decisions pertaining to accreditation criteria.	

8.   Management System Requirements

ISO/IEC 17065	SCC Requirement	SCC Guidance
8.6 Internal audits (Option A)		
8.6.1.1	The certification body shall establish procedures for internal audits to verify that it fulfils the mandatory requirements of this Requirements and Guidance and that the management system is effectively implemented and maintained.	The CB needs to ensure that its internal audits also cover all requirements within this Requirements and Guidance document in addition to those in ISO/IEC 17065. The records of these internal audits should clearly cover all locations listed on the scope of accreditation (head office and all fixed office locations) whether in one record or several records.

9. Areas not covered by ISO/IEC 17065:2012

9.	SCC Requirement	SCC Guidance
9.1	**Relationships with Authorities Having Jurisdiction**	
9.1.1	CBs shall establish working relationships with applicable Authorities Having Jurisdiction for each regulated area of accreditation. This liaison shall: a) Provide Regulatory Authorities an opportunity to discuss certification issues and regulatory requirements with CBs. (To accomplish this, CBs shall agree to attend meetings with Regulatory Authorities as required.); b) Enable CBs to confirm regulatory requirements; for example, the use of a Canadian identifier, processes for addressing corrective action and the need for dual official language safety warnings; and, c) Enable CBs to process ORD development as required.	CBs may establish such working relationships with a Regulatory Authority Advisory Body rather than with each provincial jurisdiction. CBs shall participate in the meetings of and abide by the requirements of the Canadian Regulatory Authorities or their designated Advisory Bodies.
9.1.2	The CB shall comply with, requirements issued by the regulatory authorities and SCC bulletin applicable to its accredited area.	
9.1.3	CBs shall permit SCC and relevant Authorities Having Jurisdiction to examine any information used in making certification decisions, including test data. Such examination may be conducted at the supplier's premises or at the CB's premises.	
9.1.4	The CB shall advise the relevant AHJ of any known reported misuse of the certification mark. The notification shall be in writing and be provided in both of Canada's official languages. The CB shall copy SCC on all such correspondence	If a RAAB exists, the CB may advise the RAAB in lieu of each AHJ
9.1.5	The CB shall advise the relevant AHJ of any known safety related product hazards	If a RAAB exists, the CB may advise the RAAB in lieu of each AHJ

	or safety related recalls, involving products that were certified for the Canadian marketplace. The notification shall be in writing and be provided in both of Canada's official languages. The CB shall copy SCC on all such correspondence. [Not Applicable to scheme type Energy Efficiency Verification (EEV) NRCan]	
9.1.6	If any Authority Having Jurisdiction requests the cessation of certification of a product to the requirements stated within a particular standard or an ORD, the CB shall inform SCC and take appropriate actions put forward by respective Authority Having Jurisdiction.	

9.2 Language

9.2.1	CBs shall make their certification services available to all parts of Canada and in both of Canada's official languages.	
9.2.2	CBs shall demonstrate dual official language capability by providing: a) A documented description detailing how they will respond to both oral and written requests in the official language in which the request was made, b) A documented description outlining how they will conduct inspections in the official language of the supplier's choice, c) Samples of an application form and a listing, labeling and follow-up service agreement in both official languages; and, d) A publicly available information document (e.g. simple brochure or fact sheet), in each official language, outlining the CB's services and providing an address and telephone	

	number that can be accessed by clients using either official language.	
9.2.3	CBs shall include dual language safety labeling within their product certification requirements, if so required by the standard or by the Authority Having Jurisdiction.	

9.3 Normative – Other Recognized Documents		
9.3.1.1	The CB electing to develop an ORD shall demonstrate its general technical competence in the field of the technology, such as its SCC accreditation.	The following are some reasons why an ORD may be required: • multiple standards or ORDs already exist but there is sufficient benefit to establish consistency by providing an oversight document for new or emerging technologies. • products are currently being certified through the interpretation of existing standards by other CBs. • a change was made to a Code, or hazard identified and documented which has not been addressed in an existing Canadian Recognized Standard or ORD. • a new product or type of products for which a standard does not exist, or an existing standard does not fully address. • a new technology is used for a product with an existing standard. • a new complex product or system bridges multiple standards (e.g. solar hot water heater). • a hazard has been identified and documented and is not addressed by existing standards.
9.3.1.2	Technical requirements in ORDs shall be based on Canadian Recognized Standards or valid ORDs or both where they exist and as applicable.	
9.3.1.3	CBs shall have a patent policy that restricts the inclusion of patented items in an ORD unless the use of a patent item is justifiable for technical reasons	

	and the rights holder agrees to negotiate licenses with interested applicants, wherever located, on reasonable terms and conditions.	
9.3.1.4		An approved new Canadian standard or a Canadian standard revision is available duly approved by the subcommittee yet not published. The ORD would then be verbatim copy of approved version of the document and would be only valid till the standard is published
9.3.2 Information Package Requirements		
9.3.2.1	**Acknowledging Body(ies) Information Package Requirements** The information package provided by the CBs to the Acknowledging Body(ies) must include as a minimum: • provide the list of existing standards considered, • explain how they are not adequate to the purpose of certification, • outline existing research into potential standards development for this subject that is underway, and projected publication date, • provide the contact information on where inquiries regarding the ORD are to be sent (e.g. name, number, URL, email address), • if the proposed ORD involves more than one AB, identify all the AB's involved, *Note: More than one RAAB or Authority Having Jurisdiction may become necessary. (e.g.: where mandatory compliance is necessary and the product or service requirements within ORD Scope bridges two or more RAABs subject area)* • indicate that patent and licensing information or requirements have	

		been reviewed and addressed by the authoring CB, • present the recommendation for future transition of ORD to a Canadian Recognized Standard, • present the evidence that the proponent (manufacturer) has been made aware of the temporary nature of the ORD and acknowledges that a transition to a Canadian Recognized Standard is required at the end of the valid period of the ORD, • present the evidence that the CB has the applicable technical competence to write the ORD, • if not obvious, explain how the proposed ORD falls within the scope of the Acknowledging Body(ies), • Provide a proposed reference number, a working title, ICS code and a working scope (in order to prove competency in the area, assist in classification, and to align with the SDO R&G, the ORD needs an assigned ICS code).	
9.3.2.2	**SCC Information Package Requirements** After the ORD has been acknowledged, validated, reaffirmed, revalidated or rejected by the Acknowledging Body(ies), the following information, as a minimum, shall be provided to SCC by the authoring CB: • evidence of the Acknowledging Body's decision related to the ORD status and decision date • date of acknowledgement or validation • if validated, a copy of the ORD • if validated, the contact information on where inquiries regarding the ORD are to be sent (e.g. name of contact, number, URL, email address). • If withdrawn, provide reason for withdrawal	

	Rationale for rejection shall be provided by the Acknowledging Body and communicated to SCC by the authoring CB.	
9.3.3 Information on ORDs for Public awareness		
9.3.3.1	A list of ORD status and minimum information shall be provided by the authoring CB to SCC so it can be made available. The minimum information provided therein shall be: • ORD number and title • ORD status (request, acknowledged, valid, superseded, withdrawn, expired, rescinded) • Date of request • Date of acknowledgement or validation • Date of expiration • Identification of authoring CB • Contact information on how to obtain a copy of the ORD • Acknowledging Body(ies) involved • Rationale for withdrawn or superseded ORD	

10.   Program Requirements

SCC operates eight (8) schemes within its certification body certification program; each scheme contains additional program specific requirements for certification bodies to certify against:

Note: at times these schemes may be referred as sub-programs.

1. AECO
   • General Requirements for Accredited Elevator/Escalator Certification Organizations (AECO)
   • ASME A17.7.1/CSA B44.7.1 General Requirements for Accredited Elevator/Escalator

2. CanadaGAP®
   • CanadaGAP Program Management Manual

3. Energy Efficiency Verification (EEV) NRCan
   • Refer to NRCan website for up-to-date information related to scheme and applicable requirements

4. Food Safety – Safe Quality Food (SQF)
   - SQF Code Edition 9.0

5. Forestry – Chain of Custody (PEFC)
   - PEFC ST 2002:2013 Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard
   - PEFC ST 2002:2020 Chain of Custody of Forest and Tree Based Products – Requirements
   - PEFC ST 2003:2020 Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard

6. Forestry – Chain of Custody (SFI)
   - SFI 2015-2019 Section 4 Chain of Custody Standard
   - SFI 2015-2019 Section 9 Audit Procedures and Auditor Qualifications and Accreditation

7. TC ELD - Transport Canada Electronic Logging Devices
   - Section 79 of the Commercial Vehicle Drivers Hours of Service Regulations (the Regulations)
   - Technical Standard for Electronic Logging Devices
   - Electronic Logging Device Test Procedures

8. Telecom Equipment Regulatory Requirements (TCB Scheme) - Innovation, Science and Economic Development Canada (ISED)
   - Refer to "Official Publication" of Innovation, Science and Economic Development Canada (ISED) website for the complete list of standards and procedures.

11.   Accreditation Requirements

SCC shall have legally enforceable arrangements with accredited CBs for product certification that prevents the CBs from issuing non-accredited product certification in scopes for which they are accredited.

CBs are accredited for a four-year accreditation cycle. During the three years between initial accreditation and reaccreditation and between each reaccreditation, annual oversight activities will be conducted on a sampling basis across the CB's Head Office and other Fixed Office Locations. This will confirm continued conformance with accreditation requirements. Generally, the first surveillance assessment will take place one-year following the initial assessment. Each surveillance activity thereafter will generally take place at twelve-month intervals.

Each annual oversight activity following accreditation or reaccreditation will be referenced sequentially by the designation S1, S2 or S3. Annual surveillance assessments may be of shorter duration and focus on a portion of the accreditation requirements. In the fourth year of the accreditation cycle, SCC will conduct a reaccreditation of the Head Office and selected

Fixed Office Locations. Reaccreditation will consider all elements of the accreditation requirements. Witness audits will also be conducted.

Surveillance and reaccreditation oversight activities at Fixed Office Locations may comprise of an on-site surveillance, the acceptance of an evaluation report from another accreditation body, or the conduct of a witness audit. The focus of reaccreditations and annual surveillance activities will be influenced by experience gained during previous accreditation activities.

Each year, SCC will provide the CB with an updated Accreditation Cycle Plan containing the outline of activities for the next four (4) years, the specific locations to be assessed and assessment teams (if known) for the upcoming year, and will be developed from the most recent information collected from the CB with respect to Fixed Office Locations and corporate changes.

The Accreditation Cycle Plan will identify all the required assessment activities that SCC plans to perform to satisfy continued accreditation. Upon receipt of the Accreditation Cycle Plan, the CB shall review it and notify SCC of any concerns with the planned assessment activities.

Annual assessment activities use sampling of the Fixed Office Locations so that each location is assessed at least once during the accreditation cycle following the initial assessment. Sampling may increase if the CB performance raises doubt as to the credibility of the certificates issued by the CB. SCC will assess each Fixed Office Location at least once during the four-year accreditation cycle.

Unlike the initial assessment where technical experts are assigned to the assessment team to cover all the technical areas being requested, technical experts will be rotated on the teams in the S1, S2, S3 and reaccreditation years so that all technical areas outlined on the scope of accreditation are reviewed at least once over the four-year accreditation cycle.

A CB may request that SCC conduct a joint assessment at a Fixed Office Location with another accreditation body or that SCC consider another accreditation body's oversight results in lieu of performing an assessment activity identified in the Accreditation Cycle Plan. In such cases the CB must make the request in writing at least four months prior to the planned activity.

The assessment team will witness at least one surveillance carried out by the CB at the time of the annual assessment activity. See Section 13 for witness audit frequency.

Note: For the TC ELD scheme, each location performing TC ELD testing activities shall be witnessed by SCC technical expert during IA, S2 and RA accreditation cycle year. The IA and RA year shall include a competency assessment by SCC technical expert.

12.   Witness Audit Requirements

SCC conducts witness audits as a means of verifying that the CB is satisfactorily implementing its procedures by confirming the points listed below. A minimum of one witness audit is required

for the initial accreditation and for the second annual surveillance activity (S2). Reaccreditation (RA) occurs in the fourth year following accreditation. It will consist of a minimum of one witness audit per category. When the inspection procedure does not vary across multiple categories, at least one (1) witness audit may be sampled across such categories. These categories are listed within the CB's list of standards (refer to 6.2.1.1 and 6.2.1.2). SCC may require witness audits for scope extensions and for CBs with many Fixed Office Locations. This will be determined on a case-by-case basis. The following are considerations that may affect the number of witness audits:

- The types of inspection to be covered by the scope of accreditation,

- The number of inspections the CB conducts per year in a given category,

- Whether subcontracting activities are carried out by the CB,

- The CB's procedures for selecting, training, qualifying and monitoring inspectors in a given category,

- The internal auditing practices of the CB,

- Any regulatory requirements, and,

- The extent to which inspectors exercise professional judgment.

Prior to a witness audit, the inspection report generated during or after the inspection will also form part of the witnessing activity. The examination of equipment and documentation used by the witnessed inspectors will form part of the witness audit.

The SCC assessment team will seek to confirm that:

- The CB's quality system generates competent inspectors for the task being performed,

- The inspector demonstrates competence that is consistent with the records,

- The inspector is using the correct and up-to-date documents and equipment fit for the purpose,

- The method is properly applied by the inspector; and

- Record keeping and reporting conform to the inspection method and the CB's procedural requirements.

Note: Due to TC ELD scheme requirements, each Fixed Office Location performing TC ELD testing activities shall be witnessed by a SCC technical expert during the IA, S2 and RA accreditation cycle years.

13. Witness Audit Frequency Requirements

These are the minimum frequency requirements for witness audits based on the scheme accredited by SCC. If a CB is accredited for more than one scheme (sub-program), then the minimum witness audit requirements mandated by each scheme shall still be met unless noted in Section 12.

a) AECO – Minimum of one witness audit shall be conducted each surveillance year of accreditation.

b) CanadaGAP – Minimum of two witness audits shall be conducted each surveillance year of accreditation.

c) Energy Efficiency Verification (EEV) NRCan – There are no minimum witness audit requirements from NRCan – refer to the CB's own surveillance requirements.

d) Food Safety – SQF – Minimum of one witness audit shall be conducted each year of accreditation.

e) Forestry – Chain of Custody (PEFC) – Minimum of one witness audit shall be conducted per accreditation cycle.

f) Forestry – Chain of Custody (SFI) – Minimum of one witness audit shall be conducted per accreditation cycle.

g) TC ELD – Instead of witness audits, witness testing shall be conducted at each location where testing is performed during the IA, S2 and RA accreditation cycle years.

h) Telecom Equipment Regulatory Requirements (TCB Scheme) - The roles and responsibilities of CBs in market surveillance are specified in CB-02, Recognition Criteria, and Administrative and Operational Requirements Applicable to Certification Bodies for the Certification of Radio Apparatus to Industry Canada's Standards and Specifications. As an additional check on the integrity of the process, ISED conducts a small number of audits each year on Category I radio and broadcasting equipment certified by CBs. ISED also conducts market surveillance on a small sample of telecommunications equipment that does not require certification (telecommunications apparatus and Category II radio and broadcasting equipment).

The following conditions applicable to witness audit frequency requirements:

• Initial Accreditation (IA) will be granted with the condition that one witness audit takes place within six months of the date of granting initial accreditation.
• Reaccreditation (RA) year will consist of a minimum of one (1) witness audit each for all categories.

SCC Requirements and Guidance for the Product, Process, and Service Certification Body Accreditation Program

- Each witness audit must be conducted with a different inspector until all inspectors have been witnessed (includes international inspectors, contract inspectors, and subcontracted inspectors, if not accredited by SCC).
- Frequency and conditions of witness audits may be increased or changed based on concerns raised from head office assessments, witness audits and changes to regulatory requirements (e.g. update to the applicable Standards).
- All personnel involved in the surveillance activity (e.g. analysts), if used, are subjected to review on a cycle similar to the witness audit cycle.

SCC Requirements and Guidance for the Product, Process, and Service Certification Body Accreditation Program

Annex A – Identification Method Examples for Certification Marks

A.1. Illustrations of Some Methods of Identifying the Scope of a Certification and Market Area – Informative

Note: In the following examples, "CB" is the certification mark of an SCC accredited certification body. In each case, the certification body has taken steps to clearly indicate the aspects and the market area for which the product is certified.

$_{c}$CB	$_{c}$CB	$_{c}$CB	CB$_{US}$	CB$_{US}$	$_{c}$CB$_{US}$	CB	$_{ca}$CB
Electrical Safety	CSA B352.2 1996	Gas & Electrical Safety	ANSI A 17.1	Food Safety	NSF 61	Toy Safety Certified for the EU	

A.2. An Illustration of a Method of Identifying the Accreditation Body Related to a Certification Mark

Note: In the following example, "CB" is the certification mark of an SCC accredited certification body.

CB

CB is Accredited by the Standards Council of Canada

Annex B – Requirements and Guidance: TC ELD Scheme

	SCC Requirement	SCC Guidance
4.1	**Legal and contractual matters**	
4.1.3.15	The CB shall have procedures to handle and record any situation in which a certified product is subsequently found to be nonconforming.	
4.1.3.16	A CB shall require clients to notify the CB of any situation where a certified product is subsequently found to be nonconforming.	
6.2	**Resources for evaluation**	
6.2.3	When specified by the Authority Having Jurisdiction, the CB shall test to the specified test plan.	
7.7	**Certification Documentation**	
7.7.1.2	The CB shall provide the client a unique alphanumeric identifier associated with the granted certification for incorporation into the software.	TC only requires a unique certification number which will be incorporated into the software. If a CB wishes to use a certification mark, they may do so. This certification mark may be applied to the product or incorporated into the software. **Note:** Refer to the technical standard for format requirements
7.9	**Surveillance**	
7.9.5	The CB shall test each certified model every year to a minimum of 25% of the tests within the test plan with no repeat of the tests over a four (4) - year period. If known issues or concerns are identified, additional tests may be added to the	

	above surveillance tests as determined by the CB.	
9.1	**Relationship with Authorities Having jurisdiction**	
9.1.7	The CB shall advise the relevant Authority Having Jurisdiction of any known nonconforming product or recalls involving products that were certified for the Canadian marketplace. The notification shall be in writing and be provided in both of Canada's official languages. The CB shall copy SCC on all such correspondence.	

- End of Document -