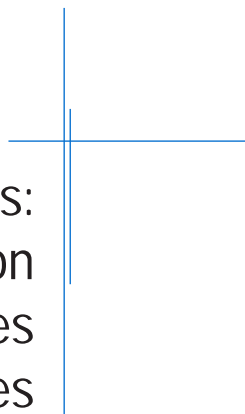





Standards Council of Canada
Conseil canadien des normes



Accreditation Programs: Application and Accreditation Maintenance Procedures for Inspection Bodies

Companion Handbook to CAN-P-8

June 2006

**ACCREDITATION PROGRAMS:
APPLICATION and ACCREDITATION
MAINTENANCE PROCEDURES
FOR
INSPECTION BODIES**

Companion Handbook to
CAN-P-8
June 2006

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FOREWORD

The Standards Council of Canada ("Council") is a crown corporation established by an Act of Parliament in 1970 to foster and promote voluntary standardization in Canada. It is independent of government in its policies and operations, although it is financed partially by parliamentary appropriation. The Council consists of members from government and the private sectors.

The mandate of the Council is to promote the participation of Canadians in voluntary standards activities, promote public-private sector cooperation in relation to voluntary standardization in Canada, co-ordinate and oversee the efforts of the persons and organizations involved in the National Standards System, foster quality, performance and technological innovation in Canadian goods and services through standards-related activities, and develop standards-related strategies and long-term objectives.

In essence, the Council promotes efficient and effective voluntary standardization in Canada in order to advance the national economy, support sustainable development, benefit the health, safety and welfare of workers and the public, assist and protect consumers, facilitate domestic and international trade and further international co-operation in relation to standardization.

In addition, the Council serves as the government's focal point for voluntary standardization, represents Canada in international standardization activities, sets out policies and procedures for the development of National Standards of Canada, and for the accreditation of standards development organizations, of inspection bodies, of calibration and testing laboratories, of quality management systems registration organizations, and of environmental management systems registration organizations, and promotes and supports the principle of recognition of accreditation or equivalent systems as a means of decreasing the number of multiple assessments and audits, both in Canada and with Canada's trading partners.

This document is one of several issued by the Standards Council of Canada to define the policies, plans, and procedures established by the Council to help achieve its mandate.

Requests for clarification and recommendations for amendment of this document, or requests for additional copies, should be addressed to the publisher.

The accreditation of an Inspection Body by the Standards Council of Canada is qualified by the requirements contained in the most recent editions of CAN-P-8 and by the Terms and Conditions outlined in this handbook. Accreditation does not imply the acceptance by the SCC of any responsibility for the effects of the services provided by an accredited Inspection Body upon the user of those services.

INTRODUCTION

The Standards Council of Canada (SCC) accredits Inspection Bodies according to the general requirements in SCC document CAN-P-8, *General Criteria for the Operation of Various Types of Bodies Performing Inspection*, the text of which has been taken verbatim from that of ISO/IEC 17020: 1998.

A list of each accredited Inspection Bodies with its scope of accreditation is available to the public on SCC web site <http://www.scc.ca>. This document contains information on SCC's Inspection Body Accreditation Program (IBAP), accreditation procedures and the current fee structure for accreditation.

1.0 Scope

This document outlines major processes in the Inspection Body Accreditation Program, including the program fee structure.

- 1.1** To become accredited, Inspection Bodies must meet the general requirements outlined in the latest edition of CAN-P-8. The accreditation process will verify that these requirements are indeed met by applicants. Applicants must also agree to comply with the SCC conditions for accreditation found in this Handbook.
- 1.2** The application form, Appendix A, when completed, constitutes the basis of an application for Inspection Bodies seeking accreditation by the SCC. All information provided to SCC will be treated in the strictest of confidence. The SCC keeps all application information confidential and the applicant's name is not divulged to a third party unless required by a regulator. Once accreditation is granted, the Inspection Body's name, contact information and scope of accreditation, is posted to the SCC web-site.
- 1.3** Applicant Inspection Bodies must provide the basic information to the SCC on its activities, equipment and staff as requested by the application form. Assessment of the Body's competence will be carried out by a review of both this information and an examination of the Body's quality documentation. Once SCC is satisfied that the Body meets accreditation requirements on paper, it will complete an on-site assessment and witness audits to ensure criteria are met in practice and quality procedures are implemented.
- 1.4** SCC will conduct assessment activities using management systems experts to assess the functionality of the Body's management system as it pertains to accreditation requirements and technical experts to assess the Body's technical competence. All team members are required to sign confidentiality agreements and declare any conflict of interest.
- 1.5** This document provides a detailed explanation of the assessment process and the conditions for the maintenance of accreditation.
- 1.6** As a signatory to International Mutual Recognition Arrangements, the SCC will have to ensure that it operates an Inspection Body Program which meets the requirements of ISO/IEC 17010 or its eventual replacement 17011.
- 1.7** SCC Policies and Procedures are designed to meet the impartiality, non-discriminatory and conflict of interest requirements of the standard. Any Conformity Assessment Body (CAB) that believes that it has not been treated by the SCC in a manner that meets these requirements should submit a complaint in accordance with CAN-P-15.

1.8 In some cases an accreditation by SCC is a necessary prerequisite for a body to work in an area that is regulated. However, the accreditation does not constitute an automatic acceptance by the regulators' of the body to work in that area. A specific notice of recognition by the regulator or the Regulator Safety Council may be required.

2.0 References

- CAN-P-8: *General criteria for the operation of various types of bodies performing inspection;*
- CAN-P-15 *Accreditation Programs: Requirements and Procedures for Suspension and Withdrawal, Complaints, Appeals and Hearings*
- CAN-P-4, *General Requirements for the Accreditation of Calibration and Testing Laboratories* (latest edition)
- ISO/IEC 17010, *General Requirements for bodies providing accreditation of inspection bodies*
- ISO/IEC 17011, *General requirements for bodies providing accreditation of conformity assessment bodies*

3.0 Definitions

Accreditation: The formal initial and continuing recognition by the Standards Council of Canada, of an organization to operate an Inspection Body Program on a continuing basis for a specific scope, in accordance with specific accreditation requirements and procedures. Accreditation includes annual audits, witness audits and reassessments at least once every five (5) years, to ensure that organizations retain the capability to operate inspection programs.

Accreditation Requirements: The set of criteria an organization must meet to become accredited and to maintain accreditation.

Advisory Committee on Conformity Assessment (ACCA): The SCC committee charged by the Council with the responsibility of overseeing SCC programs for accreditation of conformity assessment bodies.

Assessment: The initial evaluation of an organization to the requirements of CAN-P-8 (ISO/IEC 17020), the relevant provisions of ISO/IEC 17010, and any IAF or ILAC Guidance on the application of ISO/IEC 17020 and 17010.

Audit: The partial evaluation of an organization's conformity to the requirements evaluated during the assessment.

Canadian Identifier: A special identification mark that *may* be requested by a Canadian regulatory authority having jurisdiction, to be applied to inspected equipment adjacent to the inspection logo, to demonstrate to regulators and consumers that the product has been inspected to Canadian recognized standards. The Canadian Identifier is not normally part of the logo.

Conformity: Fulfilment of a requirement.

IAF: International Accreditation Forum

ICS Codes: An internationally applicable hierarchical system for classifying standards according to subject matter, developed by the International Organization for Standardization (ISO).

ILAC: International Laboratory Accreditation Cooperation

Inspection Body (IB) Logo: A protected logo, applied or issued under the rules of an inspection system, indicating that the equipment was inspected. The logo used is not the mark used by the body in any product certification program.

Minor Scope Extension: Additional scope items requested by an IB are determined to fall outside the IB's existing scope, but based on the relative scale of the new activity, as well as the technical capabilities, experience and background of the IB in the requested area, the request is determined to be of a minor nature.

Major Scope Extension: Additional scope items requested by an IB are determined to fall outside the IB's existing scope and significantly differ from the IB's current activities in terms of size, capabilities, experience, subject area and background. Such requests shall be considered as new applications and shall be processed accordingly.

Premises: The owned, rented or leased locations from which the inspection body operates.

Reassessment: An evaluation of the same nature as an initial assessment, to determine continued conformity with established criteria.

Regulatory Safety Councils: A body 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.

Scope of Accreditation: The areas of expertise recognized within the Inspection Body, as described in the International Classification for Standards (ICS) as published and amended from time to time by ISO.

Scope Interpretation: Additional scope items requested by an IB that are determined to fall within the IB's existing scope of accreditation.

Site: The place at which the inspection is being undertaken on a temporary or permanent basis.

Supplier: The party who is responsible for ensuring that products meet and, if applicable, continue to meet, the requirements on which the inspection is based (generally the manufacturer).

Task Group Certification: The SCC committee that is charged by the ACCA with the responsibility to assist SCC staff in the assessment, audit and reassessment of certification and inspection bodies, and to provide program managers with policy and technical advice on the management of the certification body program.

Task Group Laboratories: The SCC committee that is charged by the ACCA with the responsibility to assist SCC staff in the assessment, audit and reassessment of laboratories, to assist TGC in its work with inspection bodies, and to provide program managers with policy and technical advice on the management of the laboratory accreditation program.

Technical Assessors: Individuals that are recruited to be part of an assessment/audit/reassessment team, who provide specific knowledge or expertise to a particular subject being assessed. Technical Assessors are distinct from Assessors in that they are not formally trained in ISO/IEC quality system assessment techniques.

Type A: An inspection body that is independent of the parties involved.

Type B: An inspection body that is a separate and identifiable part of a larger organization, established by the larger parent organization, to provide inspection services to the parent under the terms of Annex B of ISO/IEC 17020.

Type C: An inspection body involved in the design, manufacture, supply, installation, use or maintenance of the items it inspects or of similar competitive items, and may provide inspection services to other parties not being its parent under the terms of Annex C of ISO/IEC 17020.

Witness Audits: The witnessing of the applicant or accredited body's inspection personnel performing inspection activities, by the SCC assessment/audit/reassessment team.

4.0 Initial Accreditation Process

4.1 Pre-Application

- 4.1.1.** SCC will respond to enquiries to determine the eligibility of the applicant to the IB program, and if eligible, the SCC will forward an application package.
- 4.1.2.** SCC will respond to questions dealing with the application and accreditation process. If required, a pre-application meeting can be arranged.

4.2 Application

- 4.2.1** The applicant submits a completed application package to the Manager, Conformity Assessment.
- 4.2.2** This application must include the following items in order to be considered complete. An application package that is missing any one of these items is not considered complete and will be returned to the applicant.
 - (i) Completed Application Form (Appendix A) over the signature of a person authorized to make such application, including an identification of the scope and subject areas (ICS Codes) for which accreditation is being sought.
 - (ii) A matrix cross reference chart to indicate where each accreditation requirement in CAN-P-8 is addressed in the applicant's management system. The most recent version of the SCC IBAP Checklist (Column 2) may also be used for this purpose.
 - (iii) A list of current inspectors, their fields of activity, and premises from which they operate.
 - (iv) A specimen of each specific inspection logo that the organization is seeking to use in association with this accreditation, if a logo is used. Where logos are not used, a sample of any conformance documentation issued, e.g., a letter of conformance, a certificate, etc.
 - (v) One electronic copy, or seven complete uncontrolled hard copies, of the applicant's management system documentation including and all procedures or instructions cited therein.
 - (vi) A cheque made out to the Standards Council of Canada covering the application fee of \$2,000.00. Note that the application fee is non-refundable.

- 4.2.3 Prior to any work being carried out, the SCC will provide the applicant with an estimate in person-days that will be required to complete pre-assessment work.
- 4.2.4 The applicant agrees to provide any additional information needed for its evaluation. All information provided to SCC will be treated in accordance with the terms outlined in the *Confidentiality Clause* found in Appendix C.
- 4.2.5 SCC will close any application that has been inactive for more than 180 days. An application will be considered inactive if written responses to SCC requests, such as required actions or requests for additional information, are not received. SCC will provide a written notice at 150 days. The reactivation of a closed application will require the submission of a new application package including application fees.
- 4.2.6 SCC will formally acknowledge receipt of the completed application.

4.3 Pre-Assessment

- 4.3.1 SCC will select an assessment team usually composed of a Team Leader, an assessor and at least one appropriate Technical Assessor. The Team Leaders and assessor will generally be a member of TG Certification and an SCC Senior Program Officer (SPO). The selection is based on expertise, location and the availability of the individual team members. In some cases, Technical Assessors may be drawn from regulatory agencies. While these regulatory personnel are required to adhere to the SCC rules of confidentiality, they are also required by law to report any contravention of the laws they are duty-bound to enforce. Regulatory requirements that are outside the assessment scope of the SCC will not be cited in any assessment or reassessment report authored by an SCC team. In the event that the selected Team Leader or Technical Assessor is unacceptable to the Inspection Body due a reason such as an apparent conflict of interest, the body shall notify the SCC immediately in writing and the SCC shall endeavour to assign an alternate.
- 4.3.2 Whenever it is necessary for the SCC to use outside Team Leaders or Technical Assessors, the agreement of the IB will be sought.
- 4.3.3 The Team Leader and assessor will assess the application against program requirements. Applicants will be advised of the eligibility and completeness of the application and given 30 days to respond to any identified concerns or deficiency.

- 4.3.4** Upon resolution of any concerns and deficiencies, the applicant will be advised in writing, of an assessment date and the team composition. This will be provided at least six (6) weeks prior to the assessment. If necessary, the applicant will be asked to provide copies of relevant methods to the Technical Assessors who will examine the details of those methods that will be assessed during the site visit.
- 4.3.5** The IB may be required to submit changes to policies and procedures prior to the SCC commencing assessment activities.
- 4.3.6** From the list of inspectors provided by the IB, the SCC will select a sampling of inspectors that will be subject to on-site witness assessment.

4.4 Assessment

- 4.4.1** An assessment plan and estimate will be provided to the IB, for which written acceptance will be required.
- 4.4.2** The assessment team will conduct an on-site assessment of the applicant to confirm its full conformance with the requirements of CAN-P-8. The assessment will focus on evaluation of the technical competence in the subject areas (scopes) for which accreditation is sought. Some of the activities that the SCC will conduct during the course of the assessment will be a review of records, an examination of the suitability of equipment used in inspection work, including its maintenance and calibration, interviews with staff, and assessments of the performance of inspectors while conducting scheduled inspection activities.

Note: There are a number of Canadian councils, committees or regulatory authorities with specific jurisdiction for public health and safety that are recognized by the SCC. SCC maintains a current listing of the names and addresses and contacts of these recognized regulatory authorities. This list is available from the SCC Certification Body Accreditation Program. Where required by regulators, during the assessment visit, the applicant shall demonstrate that it has established a working relationship with appropriate Canadian regulatory authorities. Liaison shall be established prior to granting accreditation.

- 4.4.3** The team will witness a sampling of inspection activities carried out by the applicant at the time of initial assessment. The number of witness activities that will be undertaken will be dependant on the applicant's scope and on the number of inspectors employed by the organization.

- 4.4.4** If an applicant conducts its activities from a Head Office and multiple satellite offices premises, the SCC will assess the Head office and selected satellite locations of the IB's operations from which inspection activities are coordinated. Inspection Body offices that do not operate under the same management system as the Head Office will be assessed separately and annually. Where a satellite office does operate under the same management system as the parent, these offices will be sampled at the time of initial assessment based on the results of internal audits and management reviews, the size of locations, equipment in use, and types of inspection undertaken. Generally, each location from which the IB is operating will be visited during the four-year cycle. It will normally not be necessary to witness the full range of scopes for each selected location.
- 4.4.5** The assessment team will produce a draft report including required actions, which must be addressed within six months of the visit. This report will be presented to the applicant in draft form and reviewed during an exit briefing at the end of the assessment visit.
- 4.4.6** The assessment team will finalize the report of the assessment visit and forward it to the applicant. Assessed IBs have this report reviewed and approved by the SPO assigned to the file and will receive the final report usually within 10 days of the visit.
- 4.4.7** Applicants have the right to appeal any action cited in a visit report, in accordance with Section 10.2. An applicant must submit an appeal in writing to SCC no later than 10 days following receipt of the final report.
- 4.4.8** The applicant replies within 30 days of receipt of the final report with a plan to address the required actions. This plan includes a completion date not exceeding 180 days from receipt of the final report. If completion is delayed beyond these dates without prior agreement from SCC, the applicant may be required to reapply for accreditation. Upon completion of all required actions, the applicant submits objective evidence of completion as stated in the final report.
- 4.4.9** The assessment team verifies the applicant's responses for completeness, and advises SCC on completion. SCC will advise the applicant if another visit is necessary for verification purposes.

4.5 On-site Assessment of Inspectors¹

4.5.1 Because the most significant element of inspection activities is the competence of the inspectors, the assessment and audits activities will include the witnessing of inspectors. The number of witnessed inspections will be based on:

- (i) the fields and types of inspection to be covered by the accreditation scope;
- (ii) the IBs procedures for selecting, training, qualifying and monitoring inspectors in a given field;
- (iii) internal auditing practices of the IB;
- (iv) the geographical location of the premises from which the inspectors operate;
- (v) any regulatory requirements;
- (vi) the extent to which inspectors exercise professional judgement; and,
- (vii) the minimum number of witnessed inspections at initial assessment will normally be two.

4.5.2 When deciding on the types of inspection activity to be witnessed, the following factors will be considered.

- (i) The variety of products covered by the inspection activity.
- (ii) The level of hazard inherent in those products.
- (iii) Qualification, experience and skills needed by the inspectors.
- (iv) Any regulatory requirements.
- (v) A minimum of two inspectors will be witnessed at initial assessment.

4.5.3 The examination of equipment and documentation used by the witnessed inspectors will form part of the witness activity.

4.5.4 The SCC team will seek to confirm that:

- (i) the inspector has the competence for the task being performed;
- (ii) the inspector's competence is consistent with the records;
- (iii) the inspector is using the correct up-to-date documents and equipment fit for the purpose;
- (iv) the proper application of the method by the inspector; and,
- (v) record keeping and reporting conforms to the inspection method and the IB's procedural requirements.

Note: SCC personnel involved in witness activities will act as observers and not interact with supplier staff, nor will interject between the inspector and supplier.

4.6 Approval

- 4.6.1** SCC will forward the report for ballot to TGC and to representatives from the appropriate regulatory safety council(s) if the field of inspection is regulated. The latter will vote to recommend, or not, the accreditation application to the SCC Director, Conformity Assessment.
- 4.6.2** The SCC Director, Conformity Assessment, or delegate, reviews the documentation and makes a decision to recommend to Council, or not, that the applicant be accredited.
- 4.6.3** Council votes on whether or not to grant the accreditation.

4.7 Accreditation

- 4.7.1** The SCC advises the applicant of the accreditation approval decision. In the event of rejection of an application, the applicant will be advised of the reasons. An appeal of this decision may be made in accordance with Section 10.2. A rejected application will not preclude an applicant IB from applying again at a later date.
- 4.7.2** Accreditation is granted to successful applicants for a period of four (4) years from the date of approval of the accreditation. The SCC forwards a Certificate of Accreditation, an official scope of accreditation, and the SCC Chair's letter of accreditation to the newly accredited IB.
- 4.7.3** Once approved by Council, an Accreditation Agreement is to be signed by the IB and the SCC Director of Conformity Assessment. A copy of this agreement may be requested at any time by an applicant for the purpose of information.
- 4.7.4** The base annual accreditation fee is payable on accreditation, from the date of accreditation to the anniversary date the following year. Thereafter, the fee is billed annually, consisting of the base accreditation fee plus a percentage of the IB's gross inspection revenue for the last complete fiscal year.
- 4.7.5** The newly accredited body's name, scope and contact details are added to the SCC's list of accredited inspection bodies on its website.
- 4.7.6** The accredited IB is encouraged to make use of the SCC logo to publicize its accreditation. To do so, it signs a copy of the Logo License Agreement.

5.0 Annual Audits

- 5.1** SCC conducts annual audits and witness audits of each IB to ensure continued conformance with accreditation criteria. The first annual audit usually takes place approximately one year following the date of accreditation. Annual audits will be rotated among IB sites where equipment and inspection personnel are located. While visits are normally conducted in the anniversary month of initial accreditation, an accredited IB may request a delay of an audit for up to 90 days. Visit delays beyond 90 days may result in a suspension of accreditation.
- 5.2** SCC selects an audit team, composed of at least two persons, including a Team Leader and at least one Technical Assessor for each discipline of inspection. As per 4.31, in the event that a selected team member is unacceptable to the body, the body shall notify the SCC immediately in writing.
- 5.3** SCC and the IB agree on dates for the audit and witness audits and SCC requests an update to the information provided since the last assessment/audit/reassessment.
- 5.4** The team performs the audit of the IB to ensure its continued conformance with the accreditation requirements including verification of required actions from the previous assessment/audit/reassessment. IBs may appeal specific findings in an audit report by submitting an appeal in writing to SCC no later than 10 days following receipt of the final report.
- 5.5** If an audit reveals that the IB no longer meets the requirements for the full accredited scope, the audit team will suggest a suitably reduced or redefined scope for which accreditation can be maintained.
- 5.6** The team will produce a draft audit report that details any identified required actions. This report will be presented to the IB and reviewed during an exit briefing at the end of the visit.
- 5.7** The team will witness at least one supplier audit carried out by the IB at the time of the annual audit, for which a separate report is produced.
- 5.8** After review, SCC will finalize the report and forward it to the IB.
- 5.9** The IB shall reply within 60 days of receipt of the final report. The response shall include either evidence of completion of the required actions or a plan to address the required actions. The plan will include a completion date not exceeding 180 days from receipt of the final report.

- 5.10 The SCC will verify that the IB's response is adequate and reserves the right to another visit if necessary. With a satisfactory response, the report moves to the approval stage.
- 5.11 SCC will forward the report for ballot to TGC and to representatives from the appropriate regulatory safety council(s) if the field of inspection is regulated. The latter will vote to recommend, or not, continued accreditation to the SCC Director, Conformity Assessment.
- 5.12 The SCC Director, Conformity Assessment, reviews the documentation and makes a decision on continued accreditation.
- 5.13 The IB is notified in writing.
- 5.14 The SCC will normally perform annual audits at the head office facility, but other facilities may be included.

6.0 Reassessments

- 6.1 SCC conducts reassessments usually every four years at the head office locations. Reassessments address all accreditation requirements. An accredited IB may request a delay of an audit for up to 90 days. Visit delays beyond 90 days may result in a suspension of accreditation.
- 6.2 Reassessments follow the same process as an assessment.
- 6.3 A replacement certificate is issued.

7.0 Verification Visits

- 7.1 SCC reserves the right to conduct a verification visit at accredited facilities when deemed necessary. A verification visit is to allow SCC to confirm, by examination and provision of objective evidence that specified accreditation requirements continue to be fulfilled. The reasons that such confirmation may be required include:
 - (a) Verification of the implementation of corrective actions that cannot be satisfactorily substantiated through a simple documentation review. Verification visits may be the result of a client having so many required actions during the assessment or reassessment that verification of the implementation of the changes called for by the team becomes necessary.

- (b) Whenever there are documented questions about the technical competence of the Inspection Body, or about the implementation of its management system relating to the scope of accreditation, that cannot be thoroughly addressed by submission of documentation. This type of verification visit may be conducted immediately.
- (c) A significant change has taken place such as a relocation, a change of ownership or major change in staff. This type of verification visit will be conducted within 90 days of the change.

7.2 IBs that are unwilling to undergo such a visit within the specified time frame will normally be suspended until such time as a visit provides evidence of the continued competence of the IB to conduct the tests for which it is accredited.

7.3 The costs associated with the verification visit are the responsibility of the applicant or client.

7.4 IBs have the right to appeal specific findings in a verification visit follow-up letter. An IB must submit an appeal in writing to SCC no later than 10 days following receipt of the follow-up letter.

8.0 Scope Extensions

8.1 Upon written request by IBs for extensions or modifications to their existing scope, SCC shall assess those requests and shall determine the required action.

Possible courses of action include:

- a) If SCC determines the request falls within the existing scope of accreditation, SCC will inform the inspection body of this decision in writing.
- b) If SCC determines that the request is for a minor extension of scope, TGC shall assess factors such as the IB's technical abilities, experience and equipment with respect to the existing scope. A decision by SCC and the regulatory representatives on ACCA to grant, or not, a minor extension shall be approved by the SCC Director, Conformity Assessment.
- c) If SCC determines that the request is for a major extension of scope, TGC shall assess the IB's compliance in the new subject, as if it were a new application. The SCC shall process it accordingly, including its final approval by Council.

Note: The same approval levels shall be required as for a new application; however, the assessment process is simplified since many of the requirements are implicitly satisfied.

- 8.2** Any change in the scope of an accredited IB is published on the SCC website.
- 8.3** Whenever possible, SCC shall co-ordinate the assessment of requests for scope interpretations or extensions concurrently with annual audits of the IB.

9.0 Scope Reductions

- 9.1** A scope reduction may occur when an IB voluntarily requests that specific areas be removed from its scope, or when, as the result of an audit, reassessment or verification visit, it is determined that accreditation requirements for specific areas are no longer being met. Non-voluntary scope reductions will be processed in the same manner as a suspension or withdrawal of accreditation described below. Partial suspension or even withdrawal of accreditation of a specific portion of a scope does not, of itself, represent suspension or withdrawal of the whole IB.

10.0 Suspension, Withdrawal, Complaints, Appeals and Hearings

Accreditation can either be voluntarily terminated by the accredited organization or withdrawn for cause by the SCC Council. Withdrawal normally follows a period of suspension. See Section 10.2 below.

10.1 Voluntary Termination

An accredited IB may voluntarily terminate its accreditation, at any time, by providing written notice to the SCC.

An applicant IB may reactivate an application within 12 months of the date of its original submission, without having to reapply. The requested scope of accreditation must be either as originally submitted or less. No additional scope is to be requested at this time.

10.2 Requirements and Procedures for Suspension, Withdrawals, Complaints, Appeals and Hearings

The requirements and procedures for suspension or withdrawal of accreditation by the SCC, as well as procedures for the voluntary termination of its accredited status by an accredited organization and for lodging of formal complaints by any interested party, are included in CAN-P-15. This document is available on the SCC website at http://www.scc.ca/can_p/canplist.html.

10.3 Public Notification

SCC will publicize all instances of voluntary termination and withdrawal of accreditation on the SCC website. While not specifically publicized, the scopes posted on the SCC website will be amended to reflect any suspension action. Withdrawal of accreditation for the IB as a whole is a much more serious step. Under such circumstances, the SCC Council is the sole authority for the withdrawal of the accreditation of the organization, reacting to the failure of the organization to address the shortcomings that led to its suspension.

10.4 Reapplication

Withdrawal of accreditation will not preclude an IB from applying for accreditation again at a future date. Such a reapplication will be evaluated under the same requirements and procedures applicable to every other applicant.

11.0 Changes

11.1 IBs are responsible to advise SCC of any intended changes in the organization, such as legal status, structure, policies, procedures, resources, key personnel or facilities, which may affect conformance with the criteria and requirements for accreditation or the scope of accreditation. Changes may result in a verification visit as described above.

12.0 Publicity Guidelines

A significant benefit of SCC accreditation is that an IB may publicize its competence based on its accreditation. SCC encourages such activities; however, certain restrictions apply to prevent misunderstanding about the significance of accreditation. A condition of accreditation is that the IB agrees to abide by these restrictions as outlined below.

12.1 SCC Sponsored Publicity

SCC will publicize the accreditation of IBs in several ways, such as the following:

- (a) an official Certificate of Accreditation, for public display, will be presented to each organization following accreditation;
- (b) the details of the scope of accreditation will be published on the SCC website at http://www.scc.ca/inspection_bodies.html; and,
- (c) other publicity programs may be developed to promote accreditation activities and increase public awareness of the program.

12.2 Recommended Practices for Accredited IBs

- (a) IBs may publicize their accredited status in several ways. Accredited IBs may include the following statement on their company letterhead and advertisements, without further approval from SCC.

"Accredited by the Standards Council of Canada as an Inspection Body for the scope as shown on www.scc.ca."

- (b) Accredited IBs may also make reference to their accredited status on inspection reports, which deal solely with the inspection activities covered under the terms of their accreditation. The reference shall read as follows:

"[name of IB] is accredited by the Standards Council of Canada. The inspections included in this report are within the scope of this accreditation. The results apply only to the subject of inspection."

12.3 Restrictions

The following restrictions apply to publicizing an accredited status:

- (a) reference to the accredited status of an Inspection Body may not be part of any promotional endorsement of products or services, or be part of a claim of acceptability of data by inspection bodies;
- (b) similarly, the SCC logo shall not appear on any product, package or test report (except as allowed in Clause 11.2.b), to ensure against interpretation of endorsement of the product by SCC;
- (c) should accreditation be voluntarily terminated by the IB, or withdrawn or suspended by the SCC, the IB shall immediately cease issuing all reference to its former accredited status. Upon reinstatement of its suspended or withdrawn accreditation, the IB may resume its publicity program.

12.4 Guidelines for the Use of Accreditation Certificates

- (a) Certificates may be duplicated and/or manipulated as long as the entire certificate is visible and the original intent of the Certificate is not corrupted or its nature in any way changed.
- (b) These guidelines will in no way abrogate the instructions, conditions, standards of quality and specifications contained in the Trademark License Agreement.

- (c) The recipient cannot use the Certificate in advertising without the prior consent of the SCC.
- (e) The recipient may not authorize a third party to use the Certificate.

12.5 SCC Trademark License Agreement

Accredited IBs will be required to complete and return a signed copy of the SCC Trademark License Agreement. Upon return of a duly signed copy of the Agreement, the SCC will issue an electronic copy of the SCC logo that may be used by the accredited IB for their use in advertising/promotion.

APPENDIX A

APPLICATION FOR ACCREDITATION INSPECTION BODY (IB) ACCREDITATION PROGRAM



APPLICATION FOR ACCREDITATION
INSPECTION BODY (IB) ACCREDITATION PROGRAM

			Date
			Prepared By
1. Applicant's Full Legal Name			
2. Head Office Location:			
3. Head Office Mailing Address:			
4. Area Code	Telephone No.	5. Fax No.	6. Web Site & E-mail
7. Contact Name	Telephone No.	8. Fax No.	E-mail Address
9. The Applicant is a :		10. Legal status of 1.	
Subsidiary Division Affiliate of: _____ Not applicable (N/A)		Incorporated Private Registered Partnership Other Not for profit	
11. Date and place of incorporation or registration:			

<p>12. Subsidiaries : Attach a list your subsidiaries and affiliates stating the full legal/corporate name and address and the percentage ownership and include a brief description of their activities.</p>	N/A	List Attached
<p>13. Attach a list providing the names of foreign and domestic owners (individuals and/or other business organizations) their physical locations and the extent of their actual financial interest via shareholding or ownership.</p>	N/A	List Attached
<p>14. Provide a description of head office activities. Attach additional page(s) if necessary.</p>	Attached	
<p>15. Provide a list of all branch facilities and include a description of their function within the company. Attach additional page(s) if necessary.</p>	N/A	Attached
<p>16. Attach an organization chart indicating: -all key decision-making personnel and their workplace; -reporting lines; -functions & responsibilities.</p>	Attached	
<p>17. Name of Executive Officers of 1.</p>	Title	Telephone Number (Area Code)

<p>18. Provide a brief history of the company. Attach additional page(s) if necessary. (Formation, Acquisitions, Mergers, etc.</p>	<p>Attached</p>
<p>19. Number of employees in inspection-related activities (see list of activities in 20)</p>	
<p>20. Provide a list of other products and services supplied by the company in addition to activities related to inspection programs. Attach additional pages(s) if necessary.</p>	<p>Attached</p>
<p>21. Provide a general description of inspection programs for which accreditation is being sought. Attach additional page(s) if necessary.</p>	<p>Attached</p>

22. Inspection business volume, <u>only</u> those programs for which accreditation is being sought. Include figures from the latest available financial statement Period Ending Year _____ Month _____ Day _____	
23. Provide a brief history of the inspection program for which accreditation is being sought. Include date of inception and any current accreditations. Attach if necessary.	Attached
24. A copy of the Quality Manual and associated procedures and instructions are being forwarded electronically.	Electronically
If any documents are not available electronically, seven hard copies are being forwarded by mail/courier.	Hard Copies
25. Attach a copy of the inspection mark that is currently being used, or that is proposed to be used, in the program for which accreditation is being sought.	Attached
Is this mark used in programs for which SCC accreditation is <u>not</u> being sought?	Yes No
26. Does the applicant body have working arrangements with other CBs, or IBs?	Yes No
If yes, list and state the nature of the arrangement. Attach if necessary.	Attached
27. Is the applicant body independent from suppliers of products, processes or services covered by the inspection programs for which accreditation is being sought? If not, please describe.	Yes No

DECLARATION OF APPLICATION

The applicant hereby applies to the Standards Council of Canada (SCC) for accreditation as an Inspection Body and requests scope recognition as described in Item 26 above. The applicant declares that it:

1. fully understands and agrees with the contents of CAN-P-8: General Criteria for the Operation of Various Types of Bodies Performing Inspection, and acknowledges that the criteria, terms and conditions be revised from time to time. Furthermore the applicant declares that its obligations relate to the revised documents as well;
2. will not refer in any way, verbally or in writing, to the Standards Council of Canada or to "SCC", or the "Inspection Accreditation Program" and its inspection mark, in connection with its own inspection program(s), until it has received written permission from SCC except as described in this Handbook;
3. will indemnify and hold harmless SCC, its directors, employees, contracted Team Leaders, Technical Assessors for any damage or loss resulting from, or in any way connected with, the accreditation services provided by SCC to the body, and it will maintain appropriate general and professional liability insurance or show evidence of appropriate self-insurance; and,
4. the applicant agrees to cover the costs associated with all SCC accreditation activities based on current SCC fees, including travel costs for Team Leaders and Technical Assessors. Note: Team Leaders and Technical Assessors will be offered a \$100.00 bonus for weekend stay-over, whenever the total costs for a weekend stay-over amount to less than what a full-fare ticket and accommodation would normally cost including this \$100.00. The applicant's signature on the application form given below indicates acceptance of this condition.

For: _____
(Applicant Name)

Signature _____

Name _____

Title _____

I am an Officer of the company and have authority to bind the company to the terms of this application.

APPENDIX B

FEE STRUCTURE

Application

- 1 Application Fee - a two thousand dollar (\$2,000.00) non-refundable fee, payable at the time of application for accreditation.
- 2 Application Assessment Costs –
 - a) a charge of one thousand, two hundred and fifty dollars (\$1,250.00) per person per day, to include the:
 - time required to process documents related to the application;
 - time spent by team members to perform the on-site assessment; and,
 - b) actual travel and living expenses for the team to carry-out the on-site assessment. Travel time is charged at a rate of \$750/day.

Annual

- 3 Annual Accreditation Fee - a base fee of three thousand, seven hundred and fifty dollars (\$3,750.00) plus 0.005 (0.5%) multiplied by the IB's gross inspection revenue under the applicant scope for the last complete fiscal year. Income derived from certification or testing should not be included.

The total fee will not exceed thirty thousand (\$30,000.00). Accreditation fees are payable upon accreditation and annually thereafter on the anniversary of accreditation.

- 4 Annual Audit Costs - every accredited IB will undergo one on-site audit each year and at least one witness audit. Audit costs are calculated on the same basis as application assessment costs.
- 5 Other Charges - such as those that apply to scope extensions, scope interpretations, site visits to investigate complaints and so on, are calculated on the same basis as application assessment costs.

Costs for Scope Extensions and Revisions

This section applies to all requests for changes to the approved Scope of Accreditation.

Scope Deletions

There are no fees for carrying out scope deletions.

Scope Extensions (additions)

Accredited IBs may request a scope extension (addition) to be reviewed concurrently with a scheduled audit or reassessment visit.

Extension Concurrent With a Reassessment Visit

The fee structure hereinafter is applicable for all scope extension requests received at least 60 days prior to the scheduled audit or reassessment visit. The scope extension request is to be reviewed at the site visit and form part of the reassessment report. Additional professional fees may be added to the cost of the audit/reassessment if warranted.

Extension Interim to a Reassessment Visit

This section and fees apply to scope extension requests that are to be processed and evaluated independently of a scheduled reassessment visit.

- (a) Professional and administrative fees will vary depending on whether a site visit is required to recommend approval of the scope extension request.
- (b) The actual travel and accommodation costs of the Team Leader and Technical Assessors.
- (c) The actual professional fees of the Team Leader and, if applicable, the professional fees of the Technical Assessors. An estimate for the visit could be prepared on written request for the acceptance by the IB prior to proceeding. If the IB declines, any administrative or professional fees incurred to that point will be invoiced.

Policy for Refund for Applicant and Accredited IBs

The purpose of this section is to define the terms and conditions under which SCC will allow refunds in whole, or in part, of only those fees paid to the SCC by accredited or applicant IBs.

Applicant IBs

- The application fee of \$2000.00 is not refundable.
- Fees for assessment work that has been carried out is non-refundable.

Accredited IBs

- Annual fees will be refunded on a pro-rata basis if an IB voluntarily withdraws from the accreditation program. The IB must provide notice in writing.

- For suspended IBs, annual fees are still due even though the IB's accreditation has been suspended.
- There is no refund of annual fees to an IB whose accreditation is officially withdrawn by SCC.

Payment

Remittances, payable to the Standards Council of Canada, are to be sent to:

Treasurer
Standards Council of Canada
270 Albert Street, Suite 200
OTTAWA, Ontario
K1P 6N7 Canada

Payments should reference the Inspection Body Accreditation Program.

Sample Calculation

X = IB annual gross inspection revenue of the most recent year-end, from the inspection of products and services that fall under the SCC IB Accreditation Program.

Annual Accreditation Base Fee = \$3,750.00

Total Annual Accreditation Fee = \$3,750.00 + (X * 0.005)

The maximum Total Annual Accreditation Fee is \$30,000.00². An IB need not declare its Gross Inspection Revenue to the SCC if it is paying the maximum fee.

APPENDIX C

CONFIDENTIALITY CLAUSE

The Standards Council of Canada will safeguard the confidentiality of all information obtained on all SCC accredited conformity assessment bodies and conformity assessment program applicants. The above confidentiality obligations assumed under this Agreement are subject to the following limitations and exceptions:

- (a) information which is or becomes publicly available;
- (b) information which relates to general concepts in the field of conformity assessment and inspection;
- (c) any information publicly disclosed with written consent from a Conformity Assessment body and the Standards Council of Canada; and,
- (d) information which must be disclosed under the Federal Access to Information Act.

APPENDIX D

POLICY ON THE ACCEPTABILITY OF CALIBRATION SOURCES USED BY ACCREDITED INSPECTION BODIES FOR CRITICAL EQUIPMENT

1.0 Objectives

To identify and provide means to identify acceptable calibration sources for applicant and accredited Inspection Bodies maintaining or seeking accreditation in accordance with CAN-P-8.

2.0 Scope and Application

2.1 This program document establishes acceptable sources.

2.2 When assessors evaluate applicant and accredited IBs to determine the conformity of the calibration services that are used by that IB, the IB will be examined with respect to their acceptability in accordance with this policy.

2.3 This policy applies to initial calibration and recalibration activities.

2.4 The ILAC Policy on Traceability of Measurement Results (ILAC P 10:2002, section 2 (a) Note 1) states: It is recognized by ILAC that, due to the nature of some tests, it is not possible, realistic or relevant to expect traceability of measurement results to be demonstrated.

3.0 Definitions

Calibration Intervals: The periods between calibrations that ensure equipment remains fit for measurement. The intervals are dependant upon factors such as uncertainty required, frequency of use, way of use, stability of the equipment.

Critical Equipment: Equipment used by IBs that is necessary to perform a test or calibration from the scope of accreditation and which have a significant effect on the uncertainty of measurement of test or calibration results.

Traceability of Measurement Results: An unbroken chain of comparisons going back to stated references acceptable to the parties, usually a national or international standard.

Physical Measurement Traceability: Property of the result of a measurement or the value of a standard whereby it can be related to stated references, usually national or international standards, through an unbroken chain of comparisons, all having stated uncertainties.

Uncertainty of Measurement: The uncertainty of measurement found in each step of the traceability chain which, when estimated in SI units according to agreed methods and combined, provides an overall uncertainty for the whole chain may be estimated.

4.0 Physical Measurement and Traceability

4.1 Recognized sources that meet the requirements of this section are:

Calibration laboratories that are accredited by an Accreditation Body, signatory to a regional or international recognition arrangement or National Metrology Institutes that are signatories to the CIPM. The capabilities are for specific parameters, ranges and uncertainties that are recognized. The sections that follow describe in detail those Mutual Recognition Arrangements (MRA) to which SCC is a signatory and how to locate the NMI that are signatories to the CIPM.

4.2 Calibration services provided by the following sources are acceptable:

4.2.1 Calibration laboratories accredited under the SCC PALCAN program in cooperation with NRC Calibration Laboratory Assessment Service (CLAS) for accredited measurement capabilities. These laboratories are part of the Canadian Calibration Network (CCN); <<http://www.nrc.ca/inms/clas/sccacle.html>>

4.2.2 Calibration laboratories accredited by accreditation systems signatory to a regional multilateral Mutual Recognition Arrangement (MRA). Under the MRAs between laboratory accreditation organizations, each organization recognizes the equivalence of accreditations performed by its overseas counterparts and promotes the equivalence of such accreditations within its own economy. The following organizations are organizations with which SCC has MRAs and as such are recognized by SCC:

- (i) The International Laboratory Accreditation Cooperation (ILAC) recognizes regional organizations, such as APLAC and the European regional organization European co-operation for Accreditation (EA) as it develops a global listing of laboratories: International Laboratory Accreditation Cooperation (ILAC) <<http://www.ilac.org?>> Select "Arrangement", "For details on signatories----", "Select geographical area"
- (ii) For the Asia Pacific Laboratory Accreditation Cooperation (APLAC) <http://www.ianz.govt.nz/aplac/members/signatories_mra.htm> Select "Select Accreditation Body or Country", "Use Internet link"
- (iii) Interamerican Accreditation Cooperation (IAAC) -< www.iaac.org >

- 4.2.3** National metrology institutes signatory to the Comité international des poids et mesures (CIPM) Mutual Recognition Arrangement with calibration services listed in Appendix C of the MRA; <www.bipm.fr> Select "MRA, JCRB and key comparison data base", "BIPM key comparison database (KCBA)", "Appendix C", "Select parameter(s)", "Select country"

5.0 Measurement Traceability by Other Means

- 5.1** When acceptable measurement traceability cannot be achieved in accordance with the Physical Traceability requirements, IBs must have a procedure(s) to ensure the competence of external calibration facilities to perform the work.
- a) The IB shall record and retain details of its investigation of the competence and compliance of external calibration service providers and maintain a registry of external calibration sources.
 - b) SCC will require that a documented evaluation of calibration sources be carried out to ensure that satisfactory answers are provided to the following questions:
 - (i) Were the persons carrying out calibration work at each link in the calibration chain appropriately trained, qualified and experienced?
 - (ii) Did they use appropriate calibration procedures?
 - (iii) Did they use appropriate reference standards and instruments that had been traceably calibrated by a competent agency within a reasonable time frame?
 - (iv) Did they properly evaluate all recognized systematic effects in the calibration process and all significant sources of measurement uncertainty to allow the IB to present an accurate statement of the total uncertainty in their measurement results or a statement of compliance with an identified metrological specification?

- (v) Did they maintain satisfactory records of their own calibration work and, based on these records, did they produce an appropriate calibration report?
- (vi) Do they implement an effective documented quality management system?
- (vii) Were the documented environmental conditions of the site or area in which calibration was performed adequate to support the calibration?
- (viii) Does the calibration certificate provided indicate the traceability to national standards of measurement, and record the measurement results and associated uncertainty of measurement, and/or a statement of compliance with an identified metrological specification?

5.2 Where measurement traceability in accordance with 4 or 5.1 is not possible and/or not relevant, other means for providing confidence in the results shall be applied, such as the following:

- a) use of certified reference materials provided by a competent supplier to give a reliable physical characterization of a material;
- b) use of ratio or reciprocity-type measurements;
- c) use of mutual consent standards or methods that are clearly specified and mutually agreed upon by all parties concerned;
- d) use of internationally accepted standards in the field concerned; and,
- e) use of intrinsic or derived standards.

6.0 Uncertainty of Measurement

IBs are required to have and apply procedures for estimating uncertainty of measurements (MU). In certain cases, the nature of the test method may preclude rigorous, metrologically and statistically valid calculation of uncertainty of measurement. In these cases, the IB shall at least attempt to identify all the components of uncertainty and make a reasonable estimation, and shall ensure that the form of reporting of the result does not give a wrong impression of the uncertainty. Reasonable estimation shall be based on knowledge of the performance of the method and on the measurement scope and shall make use of, for example, previous experience and validation data.

¹ Section 4.X is adapted from "EI General Principles for the Assessment of Inspection Bodies by the United Kingdom Accreditation Service". (UKAS: April 1999)

² All funds expressed in Canadian dollars.