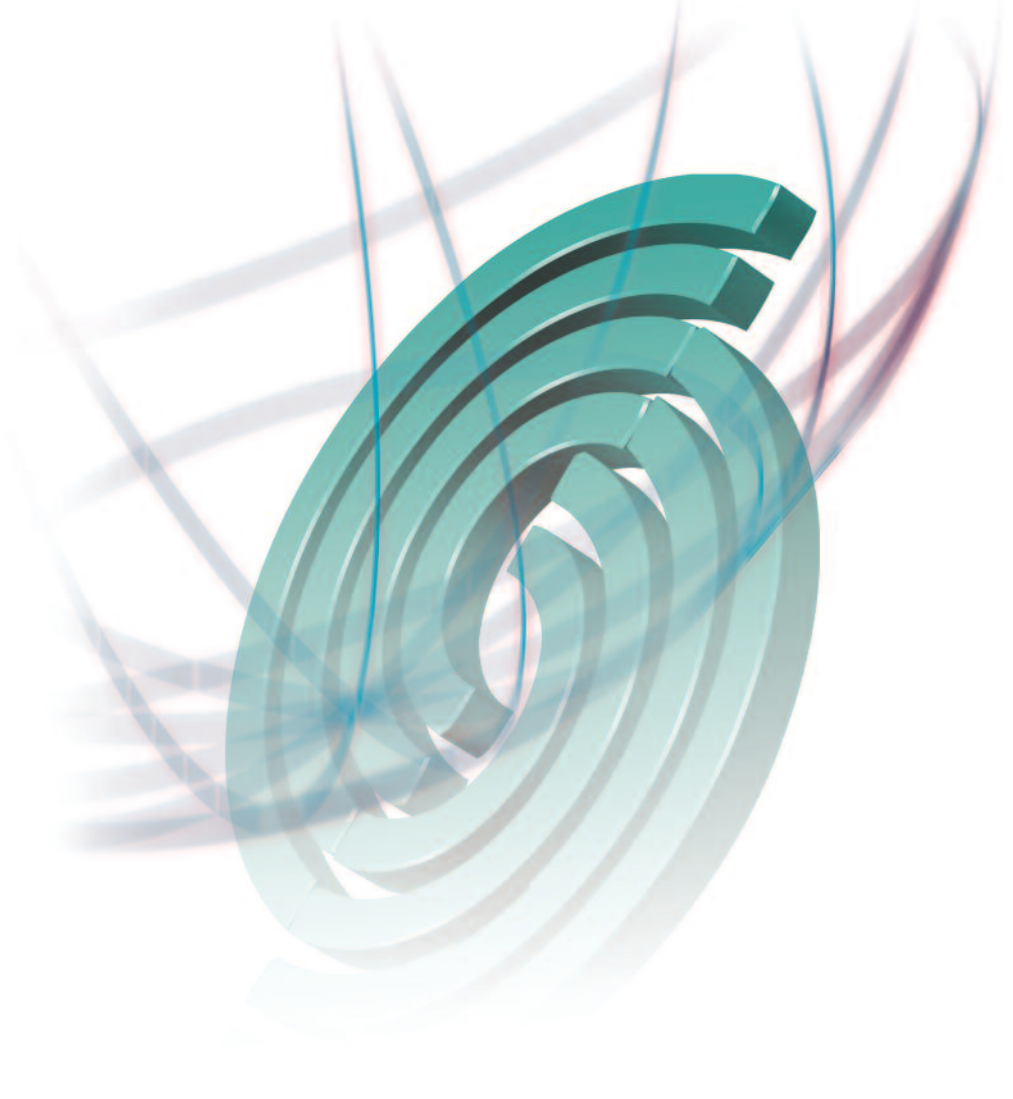




Standards Council of Canada
Conseil canadien des normes



Program Requirements
for SDO Accreditation to CAN-P-1

CAN-P-1020A
September 2008

Copyright © Standards Council of Canada, 2008

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system, or transmitted, in any form or by any means, electronic, mechanical, photocopying, recording or otherwise, without the prior written permission of the publisher:



Standards Council of Canada
Conseil canadien des normes

270 Albert Street, Suite 200
Ottawa, Ontario
K1P 6N7
Canada
Tel.: (613) 238-3222
Fax: (613) 569-7808

Table of Contents

Preface	4
Introduction	5
1 Scope	6
2 Normative references	6
3 Terms and definitions	6
3.1 Accreditation	6
3.2 Applicant	6
3.3 Standards Development Organization (SDO)	6
4 General requirements	6
4.1 Eligibility	7
4.2 Granting of accreditation	7
4.3 Changes in requirements	7
4.4 Changes in SDO Policies and procedures	7
5 Request	7
5.1 Enquiries	7
5.2 Application form	7
6 Initial assessment	7
6.1 Document review	7
6.2 Document report	7
6.3 Revision of policies and procedures	8
6.4 Acceptance of policies and procedures	8
6.5 On-site assessment	8
6.6 Assessment report	8
6.7 Nonconformities	8
6.8 Resolutions of nonconformit	8
6.9 Granting of accreditation	8
6.10 Failure to obtain accreditation	8
7 Maintenance of accreditation	9
7.1 Review of accreditation	9
7.2 Annual Surveillance Audit	9
7.2.1 Site visit	9
7.2.2 Applicable requirements	9
7.2.3 Surveillance report	9
7.2.4 Nonconformities	9
7.2.5 Resolution of nonconformities	9
7.2.6 Non-compliance to requirements	9
7.3 Triennial Reassessment	10
7.3.1 Site visit notification	10
7.3.2 Document report	10
7.3.3 Disposition of nonconformities	10
7.3.4 Site visit	10
7.3.5 Reassessment report	10
7.3.6 Nonconformities	10
7.3.7 Resolutions of nonconformities	10
7.3.8 Non-compliance to requirements	10
8 Withdrawal of accreditation	10
8.1 Withdrawal due to non-compliance	10
8.2 Appeal to decision	11
8.3 Notification	11
ANNEX A (Normative): Application form for accreditation as a Standards Development Organization (SDO)	12
ANNEX B (Normative): Appeal Process on SCC Accreditation Decisions	16

Preface

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 the government and private sector.

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, coordinate 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 cooperation in relation to standardization.

In addition, the Council serves as governments' focal point for voluntary standardization and represents Canada in international standardization activities. It sets out policies and procedures for the development of National Standards of Canada and for the accreditation of standards development organizations, certification organizations, calibration and testing laboratories, quality and environmental management systems certification bodies, inspection bodies, personnel certification bodies and auditor course providers. The Council also promotes and supports the principle of mutual recognition and acceptance of Conformity Assessment results.

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 Manager, Standards Programs.

Introduction

This document has been prepared by the Standards Branch and is the operational companion to CAN-P 1 "Accreditation of Standards Development Organizations".

This document covers the requirements necessary to obtain and maintain accreditation from the SCC, and may reiterate certain aspects of the referenced CAN-Ps. It is intended that this document be used in conjunction with the relevant CAN-Ps.

1 Scope

This document specifies the operational requirements for applicants wishing to obtain, and maintain, accreditation as a Standards Development Organization in Canada.

In this CAN-P, “shall” is used to express a requirement, i.e., a provision that the user is obliged to satisfy to comply with the document; “should” is used to express a recommendation or that which is advised but not required; “may” is used to express an option or that which is permissible within the limits of this CAN-P. Notes accompanying clauses do not include requirements or alternative requirements. The purpose of a note accompanying a clause is to provide explanatory or informative material. Annexes are designated normative (mandatory) or informative (non-mandatory) to define their application.

2 Normative references

The following referenced documents are applicable to this CAN-P. The latest version applies unless otherwise noted.

CAN-P-1	Accreditation of Standards Development Organizations
WTO/TBT Annex 3	Code of good practice for the preparation, adoption and application of standards
ISO/IEC Guide 59	Code of good practice for standardization

3 Terms and definitions

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

3.1 Accreditation

The formal recognition of the competence of an organization to carry out specific functions in accordance with established criteria. Where such accreditation has been accorded by the SCC, the organization so accredited is a component of the National Standards System.

3.2 Applicant

An organization seeking accreditation from the SCC as a Standards Development Organization.

3.3 Standards Development Organization (SDO)

A SCC accredited organization that assumes responsibility for the development, approval, publication, and maintenance of national standards.

4 General requirements

4.1 Eligibility

SCC may only accredit organizations in Canada that develop and maintain standards.

4.2 Granting of accreditation

The granting of accreditation to a standards development organization by SCC shall be based on information provided by the standards development organization or from other sources which SCC may deem appropriate to demonstrate compliance with specified criteria.

4.3 Changes in requirements

If the requirements for accreditation change, SDOs shall demonstrate compliance with the new requirements of CAN-P-1 as a condition of maintaining accreditation. A phase in period will be determined by the SCC. This period shall be notified to the SDOs.

4.4 Changes in SDO Policies and procedures

The SDO shall identify and inform SCC of any changes to their policies and procedures as they occur.

5 Request

5.1 Enquiries

Upon receipt of enquiries from potential applicants SCC shall provide an information package and respond to questions. If requested by the potential Applicant, a pre-application meeting may be arranged with the SCC.

5.2 Application form

The applicant shall make a written request for accreditation to CAN-P-1. The request shall be accompanied by a completed application form (Annex A), an application fee deposit (non-refundable) made out to SCC and all documentation identified in the information package. In the event that an application for accreditation is not accepted, the applicant shall be advised of the reasons for non-acceptance and shall be provided with the opportunity to re-apply after corrective action has been demonstrated.

6 Initial assessment

6.1 Document review

Upon receipt of the accreditation fee deposit, SCC staff shall assess the applicant's policies and procedures against the requirements of CAN-P-1.

6.2 Document report

SCC staff shall give an initial assessment report of the documents to the Applicant within 60 calendar days. If necessary, the SCC may request the Applicant to revise policies and procedures in its manuals and resubmit to the SCC.

6.3 Revision of policies and procedures

Items 6.1 and 6.2 shall be repeated until the policy and procedure manuals are satisfactory unless the Applicant withdraws the request. Additional charges may be assessed.

6.4 Acceptance of policies and procedures

On acceptance of the policy and procedure manuals, the SCC shall advise the Applicant of the estimated total cost of accreditation, based on scope of the assessment, time and resource requirements to complete the documentation review and perform the on-site assessment. The SCC shall issue an invoice for this work.

6.5 On-site assessment

The SCC shall arrange an on-site assessment of the Applicant at a mutually satisfactory date. The on-site assessment shall obtain objective evidence that the Applicant complies with the requirements of CAN-P-1.

6.6 Assessment report

The SCC shall conclude the on-site assessment with a meeting to communicate assessment findings. The SCC shall send a written report of assessment findings, within 45 calendar days indicating where non-conformities are identified. The Applicant shall identify corrective actions within 30 calendar days.

6.7 Nonconformities

SCC shall evaluate the Applicant's responses to the nonconformities and arrange follow-up actions as required. Additional charges may be assessed.

6.8 Resolutions of nonconformities

Upon satisfactory resolution of non-conformities by the Applicant, the SCC shall prepare a report advising compliance and submit to SCC's Council for approval.

6.9 Granting of accreditation

Following Council approval, the SCC shall notify the Applicant that accreditation is granted, notify the ISO/IEC Information Centre of the SDOs acceptance of the WTO/TBT Annex 3 code, and publicize the accreditation.

6.10 Failure to obtain accreditation

In the event that accreditation is not recommended, the Applicant shall be advised of the reasons and shall be provided with the opportunity to re-apply. The Applicant may request a hearing.

7 Maintenance of accreditation

7.1 Review of accreditation

At an interval no greater than 3 years SCC shall review the documentation and activities of each accredited SDO to ensure that it still meets the accreditation criteria. In the intervening years less comprehensive reviews shall take place.

7.2 Annual Surveillance Audit

7.2.1 Site visit

The SCC shall conduct an annual surveillance audit of the SDO on or near the anniversary of the initial accreditation.

7.2.2 Applicable requirements

The SDO shall be assessed concentrating specifically in CAN-P-1 requirements, 6.1, 6.2, 7.5, 7.6, 7.7, 8.1, 8.3, 8.4, 8.6.2, 8.7, 8.9, 8.10, and 8.13. Any outstanding items from previous audits shall be reviewed and followed-up on, as necessary. Those areas affected by a change in the SDOs policies and procedures shall also be verified.

NOTE This does not limit the auditors from examining other requirements, as appropriate.

7.2.3 Surveillance report

The SCC shall conclude the surveillance audit with a meeting to communicate audit findings. The SCC shall send a written report of audit findings, within 45 calendar days, indicating where non-conformities are identified. The SDO shall identify corrective actions within 30 calendar days.

7.2.4 Nonconformities

SCC shall evaluate the SDOs responses to the nonconformities and arrange follow-up actions as required. Additional charges may be assessed.

7.2.5 Resolution of nonconformities

Upon satisfactory resolution of non-conformities by the SDO, the surveillance report shall be submitted to the Director, Standards for approval. Following approval by the Director, the SCC shall notify the SDO that accreditation is continued and SCC's council shall be informed of the continuing compliance of the SDO.

7.2.6 Non-compliance to requirements

If an SDO is found to be non-compliant with requirements of CAN-P-1, the provisions of clause 8 shall apply.

7.3 Triennial Reassessment

7.3.1 Site visit notification

The SCC shall notify the SDO of an upcoming on-site full reassessment 6 months before the third year anniversary of the last full assessment.

7.3.2 Document report

SCC shall conduct a full review of the SDOs policies and procedures and provide a report to the SDO within 30 calendar days. The report shall identify nonconforming items requiring attention.

7.3.3 Disposition of nonconformities

Should the SDO and the SCC not agree on the disposition of the items identified in 7.3.2 within 4 months SCC Staff may recommend to Council to terminate the accreditation.

7.3.4 Site visit

The SCC shall arrange an on-site re-assessment of the SDO at a mutually satisfactory date. The on-site assessment shall obtain objective evidence that the SDO continues to comply with the requirements of CAN-P-1. All CAN-P-1 requirements shall be reviewed during the assessment.

7.3.5 Reassessment report

The SCC shall conclude the on-site reassessment with a meeting to communicate assessment findings. The SCC shall send a written report of assessment findings, within 45 calendar days indicating where non-conformities have been identified. The SDO shall identify and submit corrective actions to SCC within 30 calendar days.

7.3.6 Nonconformities

SCC shall evaluate the SDOs responses to the non-conformities and arrange follow-up actions as required. Additional charges may be assessed.

7.3.7 Resolutions of nonconformities

Upon satisfactory resolution of non-conformities by the SDO, the reassessment report shall be submitted to the Director, Standards for approval. Following approval by the Director, the SCC shall notify the SDO that accreditation is continued and SCC's council shall be informed of the continuing compliance of the SDO.

7.3.8 Non-compliance to requirements

If an SDO is found to be non-compliant with requirements of CAN-P-1, the provisions of clause 8 shall apply.

8 Withdrawal of accreditation

8.1 Withdrawal due to non-compliance

If an accredited standards development organization is found to be in violation with the requirements of this document, it will be advised of the violations and will be requested to take immediate corrective action. If satisfactory corrections are not made within a reasonable time, SCC's Council may withdraw accreditation upon thirty days notice provided an appeal has not been registered during this period by the SDO.

8.2 Appeal to decision

Appeals shall be handled according to the instructions provided in Annex B.

8.3 Notification

Upon withdrawal of accreditation, SCC shall notify the ISO/IEC Information Centre of the SDOs non-compliance with the WTO/TBT Annex 3 code and publicize the removal of accreditation.

ANNEX A (Normative): Application form for accreditation as a Standards Development Organization (SDO)



Standards Council of Canada
Conseil canadien des normes

Date:

Contact name:

1. Applicant's full legal name (Canadian operation):

2. Address(es) where Canadian standards development work is administered:

3. Head office location (if different from item 2):

4. Head office mailing address (if different from item 2):

5. Telephone, fax, e-mail and website:

6. The applicant is a:

7. Legal Status of (1).

- List attached
- Not applicable

15. Attach a duly authorized organization chart (s) indicating:

1. General overall structure
2. All standards development personnel and their workplace
3. Reporting lines
4. Functions and responsibilities

- Attached

16. Name of executive officers of Item 1	Title	Location (City)	Telephone number (area code)

17. Provide a brief history of the organization. Attach additional pages is necessary. (Formation, acquisitions, mergers, etc.)

- Attached

18. Number of employees involved in standards development (see item 15):

- 1 - 4
- 5 - 9
- 10 - 19
- 20 - 49
- 50 - 99
- 100 – 200

DECLARATION OF APPLICANT

The Applicant hereby applies to the Standards Council of Canada (SCC) for accreditation as a Standards Development Organization. The Applicant declares that it:

1. Fully understands and agrees with the contents of the following documents:
 - CAN-P-1 “Accreditation of Standards Development Organizations”;
 - CAN-P-1020 “Requirements for the Implementation of CAN-P-1”;
2. Shall not refer to itself as accredited by the SCC in any way, verbally or in writing, until it has been granted accreditation by the SCC;

For: _____
(Applicant Name)

_____ signature “I have authority to bind the company or corporate seal”	_____ signature	_____ signature
_____ name	_____ name	_____ name
_____ position*	_____ position*	_____ position*
_____ place and date	_____ place and date	_____ place and date

(Depending on the organizational structure, the signatures of more than one person may be required.)

* One of these shall be a senior Officer of the company

ANNEX B (Normative): Appeal Process on SCC Accreditation Decisions

A 1 General

A 1.1 The appeal process shall be handled as an independent review and evaluation of a decision made by the SCC that affects the accreditation status of a SDO.

A 1.2 Only a SDO may appeal a decision which has an impact on their accreditation status.

A 1.3 The appellant shall select an Assigned Action Officer (AAO) or a Board to review and evaluate the appeal. When the appellant selects a Board, a hearing may be requested.

A 2 Process

A 2.1 Appeals shall be submitted in writing to the Executive Director of SCC within 30 days of the decision. All relevant supportive documentation shall be included or referenced in the appeal submission. The Executive Director shall review the request and deem it complete.

A 2.2 The Executive Director shall inform SCC's Council of the appeal.

A 2.3 The AAO or Board shall investigate all pertinent information and submit a report of the findings to the Executive Director. The AAO shall provide the report within ten (10) normal working days, whereas the Board shall provide it within thirty (30) days.

A 2.4 The Executive Director shall review the report and provide it to Council accompanied with a recommendation.

A 2.5 Council shall provide a final decision.

A 2.6 The Executive Director shall inform the appellant of the Council decision.

A 3 Selection of AAO or Board members

A 3.1 Person(s) appointed to handle an appeal shall be selected on the basis that they possess the knowledge, training and experience to review and evaluate the subject of the appeal and be independent of any issues and activities leading to the appeal. They shall have no conflicts of interest with the parties involved.

A 3.2 Members of the appropriate SCC Advisory Committees or Task Groups who are not the current assessors-of-record for the SDO involved may be considered for selection.

A 4 Appointment of AAO or Board

A 4.1 When an AAO is selected by the appellant, the Executive Director shall appoint an AAO within 10 days of receipt of a complete application for appeal.

A 4.2 When a Board is selected by the appellant, the Executive Director shall appoint a Board within 30 days of receipt of a complete application for appeal. The Executive Director shall also appoint a SCC Staff member to act as recording secretary to the Board and be responsible for arranging hearings, should they be necessary.

A 4.3 The Board shall consist of 3 to 5 members. The Executive Director shall appoint one of these members as Chair.

A 5 Financial Costs for Appeals and Hearings

A 5.1 There shall be no cost to the appellant to have an appeal reviewed and evaluated by an AAO provided the AAO is an SCC employee, and provided there are no travel expenses to be incurred. If applicable, an estimate of costs shall be provided at the time of appointment of the AAO.

A 5.2 When a Board has been selected, a costs estimate shall be provided to the appellant at the time of appointment of the Board. The appellant may be requested to submit a deposit in advance.

A 5.3 The Board cost estimate may include applicable costs for time, travel, accommodation and meals of Board members and SCC staff required to attend a hearing. The estimate may also include costs of special meetings of Council.

A 5.4 If the SCC decision is upheld, the appellant shall forfeit the deposit and pay any amount over and above the initial deposit.

A 5.5 If the SCC decision is overturned, there shall be no cost to the appellant and any deposit, if applicable, shall be promptly refunded.

A 6 Indemnifications and Liability

A 6.1 To the extent permitted by law and subject to and conditional upon any consent or approval required to be obtained from any governmental authority, a complainant or appellant agrees to release and to indemnify and hold harmless SCC and its directors, employees, contractors and subcontractors from any losses, damages, claims, liability, causes of action or demands or all costs and expenses incidental thereto (including costs of defense, settlement and reasonable attorney's fees) arising out of or resulting from or in any way related to a breach, default, performance or non-performance of the obligations of the parties involved in the complaint or appeal.

A 6.2 The appellant shall maintain adequate and appropriate general liability insurance and professional liability insurance which specifically includes these obligations in its scope of coverage, or shall have appropriate self-insurance.