

	<b>CONFORMITY ASSESSMENT WITH REGARD TO ISED RULES ON GAINING ACCESS TO CANADIAN MARKET OF LICENSE AND LICENSE-EXEMPT RADIO FREQUENCY DEVICES</b>		No.: PCS 108 Mod.: 11 Page: 1 of 68	
	Produced by: Isaida Shiozawa	Approved by: Lluis Boada		
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Old Code: C5266092		New code: 00018372		
DESCRIPTION OF CHANGE		Update PCS considering new REC-CB Issue 2 and the new RSS-102 structure, references to other documents is updated.		

## LGAI TECHNOLOGICAL CENTER, S.A.



### CONFORMITY ASSESSMENT WITH REGARD TO ISED RULES ON GAINING ACCESS TO CANADIAN MARKET OF LICENSE AND LICENSE-EXEMPT RADIO FREQUENCY DEVICES

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## 1. PURPOSE

This document includes the procedure for **the conformity assessment with regard to the ISED** (Innovation, Science and Economic Development Canada) on the making available on the market and putting into service of License and Licensed Exempt Radio Frequency Devices in the Canadian Market.

## 2. DEFINITIONS

**“certification”:** The process by which equipment is entered in the Radio Equipment List (REL) to signify that a product is certified.;

**“certification body (CB)”:** A foreign certification body that is designated under an international agreement, convention or treaty to which Canada is party and that is recognized by Canada under that agreement, convention or treaty as competent to certify equipment, to the effect that the equipment complies with the applicable standards; or a Canadian certification body that meets the requirements set out in requirements for certification bodies, as amended from time to time, published by Innovation, Science and Economic Development Canada.;

**“Department”:** The Department means Innovation, Science and Economic Development Canada;

**“equipment”:** The equipment refers to radio apparatus and broadcasting equipment;

**“Equipment Description”:** A key field in which a brief description of the type of equipment is required;

**“Emission designator”:** The designation of a set of characteristics of the intentional radiated emission of a radio transmitter by standard symbols (e.g. type of modulation of the main carrier, modulating signal, type of information to be transmitted and also, if appropriate, any additional signal characteristics). For example, designator 20K0FID means a necessary bandwidth (or occupied bandwidth) of 20.0 kHz, uses frequency modulation, is single channel and is in the data/digital format.

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**“Firmware Version Identification Number (FVIN)”:** The FVIN identifies the firmware version used by the product, which controls/affects the RF characteristics of the product;

**“Hardware Version Identification Number (HVIN)”:** The HVIN identifies hardware specifications of a product version. The HVIN replaces the ISED Model Number in the legacy E-filing System. An HVIN is required for all products for certification applications;

**“Host Marketing Name (HMN)”:** The HMN is the name or model number of a final product, which contains a certified radio module.;

**“Product Marketing Name (PMN)”:** The PMN is the name or model number under which the product will be marketed/offered for sale in Canada. If the product has PMN, it must be provided;

**“Radio Equipment List (REL)”:** A list of certified radio and broadcasting equipment maintained by Innovation, Science and Economic Development Canada, signifying that the equipment has been certified; therefore, the supplier is permitted to manufacture, import, distribute, lease, offer for sale, sell, install or use this equipment in Canada;

**“supplier”:** A generic term for an entity, such as the manufacturer, reseller, distributor, importer or other agent of equipment;

**“manufacturer”:** any natural or legal person who manufactures radio equipment or has radio equipment designed or manufactured, and markets that equipment under his name or trade mark;

**“testing laboratory”:** A laboratory that performs tests (see the latest version of ISO/IEC Standard 17025);

**“Unique Product Number (UPN)”:** The UPN is assigned by the applicant, made up of a maximum of 11 alphanumeric characters (A-Z, 0-9);

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### 3. CONFORMITY ASSESSMENT

#### 3.1. OPERATING AND STRUCTURE

The operating and structure of the Conformity Assessment of LGAI Technological Center, S.A., hereinafter APPLUS+, is included in the in-house Regulation of the Product Certificate.

#### 3.2. LGAI TECHNOLOGICAL CENTER, S.A. / APPLUS+

LGAI Technological Center, S.A. / APPLUS+ acts as an Industry Canada Foreign Certification Body (IC FCB) for the conformity assessment regarding the making available on the market in Canada of License and License-Exempt Radio Frequency Devices. This document will focus on the Certification scheme, performed by an FCB.

#### 3.3. THE ASSESSMENT TEAM

This team will be appointed by APPLUS+ and will be responsible for performing the work described in this document.

#### 3.4. CONFIDENTIALITY

All those involved in applying the Conformity assessment process will be subject to professional secrecy.

Each body involved in the application of this procedure will ensure the protection of the documents that will be entrusted against loss, illegal appropriation, falsification and destruction.

### 4. SCOPE: RADIO EQUIPMENT

#### 4.1. SCOPE AND OBJECTIVES

Canada's Radiocommunication Act and Radiocommunication Regulations state that manufacturers, importers, distributors and sellers of radio apparatus, interference-causing equipment or radio-sensitive equipment have three responsibilities:

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- They must make sure that the equipment they provide meets all the technical standards that are required in Canada for that type of equipment.
- They must obtain a Technical Acceptance Certificate (TAC) if it is required for that type of equipment.
- They must ensure that all equipment is labelled to show that it meets the applicable standards.

Individuals and corporations that do not comply with the Regulations may face charges under the Radiocommunication Act. An individual may be fined up to \$5,000 and/or face one year in prison. Corporations can be fined up to \$25,000.

The Act also states that any officer, director or agent of a corporation who participated in an offence committed by that corporation is liable to the same punishment (fine and/or jail term) as an individual who is found guilty under the Act

Regarding the scopes within ISED, there are stated 8 different categories as stated below:

- Radio Scope 1: License Exempt Radio Frequency Devices
- Radio Scope 2: Licensed Personal Mobile Radio Services
- Radio Scope 3: Licensed General Mobile & Fixed Radio Services
- Radio Scope 4: Licensed Maritime & Aviation Radio Services
- Radio Scope 5: Licensed Fixed Microwave Radio Services
- Radio Scope 6: Hearing Aid Compatibility and Volume Control
- Radio Scope 7: Simulation for Radio Frequency (RF) Exposure
- Radio Scope 8 — Devices Operating in Frequency Bands above 95 GHz
- Broadcasting — All Broadcasting Equipment Technical Standards (BETS) in the Category I Equipment Standards List

For more information regarding the applicable standards included in each category please refer to: <http://www.ic.gc.ca/eic/site/smt-gst.nsf/eng/sf09888.html>

#### **4.2. SCOPE OF APPLUS+ LGAI WITHIN THE FRAMEWORK OF THE FCB**

This section defines the scope of APPLUS+ LGAI as an Industry Canada Foreign Certification Body (IC FCB). Along these lines, the field of action of APPLUS+ is

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defined considering the different technologies and types of radio equipment, i.e. APPLUS+ will act as a Foreign Certification Body (FCB) for the following type of radio equipment:

Product Categories/Groups (Radio Equipment)	
Radio Scope 1	License Exempt Radio Frequency Devices
Radio Scope 2	Licensed Personal Mobile Radio Services

**Table 1: Scope of LGAI Technological Center S.A. as FCB.**

#### **4.3. STANDARDS**

Technical standards for radio equipment help to: Ensure electromagnetic compatibility between radio apparatus and services such as: broadcasting, air traffic control, security services and communications with satellites. Minimize interference between radio apparatus and equipment that is not radio-based. Improve the quality of equipment offered for sale in Canada.

Certification of equipment for use in Canada guarantees that:

The equipment meets the technical requirements under Canada's Radiocommunication Regulations. Certified equipment also meets the regulations of the International Telecommunication Union (ITU) of which Canada is a member. The requirements and standards for specific types of equipment are the same for all manufacturers and importers of radio apparatus.

The use of spectrum efficient radio devices is encouraged. Greater efficiency in spectrum use allows a greater number of Canadians to benefit from radiocommunication services.

Radio Scope 1 Licence-exempt Radio Frequency Devices is composed by the following RSS: RSS-Gen, RSS-102, **RSS-102.NS.MEAS, RSS-102.SAR.MEAS, RSS-102.IPD.MEAS**, RSS-210, RSS-211, RSS-213, RSS-215, RSS-216, RSS-220, RSS-222, RSS-236, RSS-238, RSS-243, RSS-244, RSS-246, RSS-247, RSS-248, RSS-251, RSS-252, RSS-287 and RSS-288 at its latest issue and amendment if applicable.

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Radio Scope 2 Licensed Personal Mobile Radio Services is composed by the following RSS: RSS-GEN, RSS-102, RSS-102.SAR.MEAS, RSS-112, RSS-130, RSS-132, RSS-133, RSS-134, RSS-139 and RSS-170 at its latest issue and amendment if applicable.

#### **4.4. ESTABLISHMENT OF CERTIFICATION PROCESS**

Canada's Radiocommunication Act permits technical requirements and standards to be set for radio apparatus, interference-causing equipment, and radio-sensitive equipment. Under the Act, the Minister of Industry may issue Technical Acceptance Certificates for approved products.

The Act states that no person shall manufacture, import, distribute, lease, offer for sale or sell any radio apparatus, interference-causing equipment or radio-sensitive equipment unless:

- Equipment for which a Technical Acceptance Certificate is required, must meet all of the certification requirements;
- Apparatus or equipment for which technical standards have been established, must comply with those standards.

Industry Canada consulted with representatives of the radiocommunication industry to develop the Radiocommunication Regulations. To respond to industry's request for control over sub-standard equipment, the Regulations now give responsibility to the manufacturer, importer, distributor or seller of radio apparatus or equipment to ensure that it meets all applicable technical standards.

Industry Canada's Spectrum Management program (called the Department in this booklet) has overall responsibility for setting standards, certifying that radio apparatus together with an FCB and that equipment meet these standards, and enforcing the Act and Regulations.

#### **4.5. EQUIPMENT COVERED BY STANDARDS**

Standards can apply to the following types of equipment:

Radio apparatus - A device or combination of devices intended for, or capable of being used for, radiocommunication (includes a broad range of equipment from remote car alarms to high-powered broadcast transmitters).

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Interference-causing equipment - Any device, machinery or equipment, other than radio apparatus, that can cause interference to radiocommunication (includes digital equipment that uses a microprocessor or microcontroller, and Industrial, Scientific and Medical equipment such as switching power supplies used in halogen lamps).

Radio-sensitive equipment - Any device, machinery or equipment, other than radio apparatus, that can be adversely affected by radiocommunication emissions (includes consumer electronics and industrial controls).

Two categories of equipment have been defined:

**Category I equipment** must meet technical standards and requires a Technical Acceptance Certificate (TAC). The following equipment is included in Category I: broadcasting transmitters, portable radio transmitters, digital scanner receivers, cellular phones, remote car alarms and starters, garage door openers and wireless computer links.

**Category II equipment** must meet technical standards but does not have to be certified. The following equipment is included in Category II: electronic transformers or ballasts, alarm keypads, intelligent battery chargers, satellite TV receivers, VCR's and computers.

Industry Canada publishes the lists of standards that apply to Category I and Category II equipment in the Canada Gazette.

These lists are available on our Internet site at the following address:

<http://www.ic.gc.ca/spectrum>

#### **4.6. REQUIREMENTS FOR BOTH CATEGORY I AND CATEGORY II EQUIPMENT**

The following requirements are shared between both categories I and II:

Maximum number - The maximum number of units that may be manufactured or imported without a TAC or without compliance to the standard, is one more than the number listed in the standard for that type of equipment.

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Testing - The Department may test, or request that the manufacturer or importer test, the equipment at any time in order to ensure compliance with applicable standards.

Labels - Equipment certified to comply with applicable standards and/or for which a TAC has been issued must be labelled according to the requirements set out in the Industry Canada standards which apply to that equipment.

These requirements do not prevent labelling the product for other purposes or pursuant to other legislation.

The manufacturer may not:

Remove, replace or alter a label that has been attached as required by the applicable standards; or mark, label or otherwise indicate how to modify equipment so that it will not comply with applicable standards.

#### **4.7. ADDITIONAL REQUIREMENTS FOR CATEGORY I EQUIPMENT**

A person who manufactures, imports, distributes, leases, offers for sale, or sells a piece of equipment in Category I must apply to FCB for a Technical Acceptance Certificate (TAC). The applicant must demonstrate that the model (or models) of equipment meet all the required standards. A report showing the results of all tests performed on the equipment must be submitted to the Department with the TAC application.

Applicants must follow the procedures outlined in Radio Standards Procedure 100 (RSP-100), Certification of Radio Apparatus and Broadcasting Equipment.

FCB may issue a TAC for a specific model of equipment or for several models that have similar technical characteristics.

#### **4.8. SPECIAL CONSIDERATIONS**

For New Models the TAC number can only be used on the model of equipment that was tested and approved. If the holder of a TAC wants to produce a new model of equipment that possesses similar technical characteristics to a previously approved model, that person must submit a request to the Department to list the new model under the same TAC number. If the request is approved, the new

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model will be added to the radio equipment list published by the Department. This process is called "Family Approval".

Regarding New Manufacturers the TAC number can only be used by the company that received the approval. If a different company wants to market equipment for which a TAC has been issued, it will have to apply to the Department for approval. The applicant must include an authorization from the holder of the current TAC with the request. If the request is accepted, the Department will issue a new TAC number for the new manufacturer. This process is called "Multiple Listing".

Changes to the Equipment the TAC can only be used for the specific model or models of equipment for which it was issued. If the equipment is modified in such a way as to affect any parameter specified in the standard under which the equipment was certified, the modified equipment is no longer considered to be certified and requires testing to ensure that it complies with the applicable standard.

Regarding Innovation, Science and Economic Development Canada (ISED) wants to reduce the burden on manufacturers and importers and to expedite the process of certification in Canada. As a result, the Department will accept reports that show equipment complies with the ISED standards. However, the applicant must indicate how ISED standards compare to Canadian standards for this equipment. Where there are differences between the technical standards of ISED and supplementary test results will be required.

Pre-November 1996 - Approvals issued by ISED before November 1996 are still valid as long as the approved equipment is labelled according to the requirements and standards in effect when the equipment was approved.

#### **4.9. ADDITIONAL REQUIREMENTS FOR CATEGORY II EQUIPMENT**

The manufacturer or importer of Category II equipment must ensure that it meets all the required standards for that type of equipment. Testing must be carried out as necessary. Test results must be made available to Industry Canada if the Department requests this information. The standards published in the Canada Gazette show the period of time for which test results must be made available.

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## 5. EQUIPMENT CERTIFICATION REQUIREMENTS

Radio equipment subject to Radio Standards Specifications (RSSs) or Broadcasting Equipment Standards (BETSSs), included in the Category I Equipment Standards List, requires certification.

Any radio equipment imported for demonstration or trial purposes only does not require certification. However, this equipment may require a developmental radio licence. Further information may be obtained from ISED regional office nearest to the demonstration or trial site.

### 5.1. REQUIRED CANADIAN REPRESENTATIVE

A Canadian representative is required when the applicant's company address is not within Canada. The applicant must provide a signed Applicant-Canadian Representative Agreement and the details of the company representative in Canada shall be clearly identified (see 0001495\_X10). The Canadian representative shall be responsible for responding to all enquiries from Innovation, Science and Economic Development Canada regarding the certified equipment, including providing audit samples at no charge to Innovation, Science and Economic Development Canada. The applicant must have a valid Applicant-Canadian Representative Agreement for as long as the certified equipment is offered on the Canadian market.

### 5.2. CATEGORIES OF EQUIPMENT

Radio apparatus are classified into two categories, Category I equipment and Category II equipment.

**Category I Equipment** This procedure applies to Category I equipment, which comprises radio apparatus equipment for which a technical acceptance certificate (TAC) is required pursuant to subsections 4(2) of the Radiocommunication Act and 21(1) of the Radiocommunication Regulations. A TAC may be issued by the Certification and Engineering Bureau of Innovation, Science and Economic Development Canada (the Bureau) or a certificate may be issued by a recognized certification body (CB).

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**Category II Equipment** Category II equipment comprises radio apparatus for which standards have been prescribed. Category II equipment is certification-exempt. Therefore, no TAC from Innovation, Science and Economic Development Canada or certificate from a CB is required, pursuant to subsection 4(3) of the Radiocommunication Act. The manufacturer and/or importer shall ensure compliance with all applicable procedures and standards for Category II equipment. Note that certification application for Category II equipment is not necessary and will not be accepted.

### **5.3. LISTING REQUIREMENTS IN THE RADIO EQUIPMENT LIST (REL)**

Category I radio apparatus, including broadcasting equipment, shall be listed in Innovation, Science and Economic Development Canada's Radio Equipment List (REL).

The following requirements shall be met:

- The Category I equipment must be certified; and
- Innovation, Science and Economic Development Canada's Certification and Engineering Bureau must have received all the required information demonstrating compliance with this procedure (RSP-100).

No person shall manufacture, import, distribute, lease, offer for sale, sell, install or use Category I radio apparatus, including broadcasting equipment, in Canada unless it is listed on Innovation, Science and Economic Development Canada's REL. Subsequent to equipment being certified, the Category I radio apparatus, including and broadcasting equipment, shall be listed in Innovation, Science and Economic Development Canada's REL database; otherwise, the equipment is deemed uncertified.

### **5.4. LICENCE-EXEMPT RADIO APPARATUS**

Certain types of radio apparatus, all of them in the Scope of LGAI Technological Centre S.A. as IC FCB are permitted to operate without licensing from Innovation, Science and Economic Development Canada. These are typically low-output power devices that are intended primarily for consumer or commercial applications.

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Licence-exempt (unlicensed) radio apparatus share spectrum with licensed radio services and must operate on a no-interference, no-protection basis in relation to all other radio systems. Licence-exempt radio apparatus shall not cause radio interference to licensed radio services, and cannot claim protection from interference caused by those services.

## 5.5. LICENSING OF RADIO APPARATUS

Many types of radio apparatus require a radio licence issued by Innovation, Science and Economic Development Canada, which sets the terms and conditions under which the radio apparatus may be operated.

Ordinarily, radio apparatus subject to licensing is classified as Category I equipment (requiring equipment certification under an RSS), and certification must be obtained before the equipment is eligible to be licensed. Whether a type of radio apparatus is subject to licensing is stated in the applicable RSS.

## 5.6. LABELLING REQUIREMENTS

The manufacturer, importer or distributor shall meet the labelling requirements set out in this section for every unit:

- Prior to marketing in Canada, for products manufactured in Canada
- Prior to importation into Canada, for imported products

For further information regarding the e-labelling options, refer to Notice 2014-DRS1003 and section 5.8 of this document. The label for the certified product represents the manufacturer's or importer's compliance with Innovation, Science and Economic Development Canada's regulatory requirements.

## 5.7. LABELLING AND USER MANUAL REQUIREMENTS FOR CERTIFIED PRODUCTS

In addition to complying with the applicable RSSs and RSP-100, the applicant must consider specific label and user manual requirements RSS-Gen:

It should be noted that the Product Marketing Name (PMN), Hardware Version Identification Number (HVIN), Firmware Version Identification Number (FVIN) and

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Host Marketing Name (HMN) are commonly used terms, and are defined in the present document.

Every unit of certified product for marketing and use in Canada shall be identified as per these requirements:

The HVIN and ISED certification number shall be permanently indicated on the exterior of the product or displayed electronically according to e-labelling requirements:

- The HVIN and ISED certification number are permitted to be placed on a label, which shall be permanently affixed to the product
- The ISED certification number shall be preceded by "IC:"
- The HVIN is permitted to be listed or placed with or without any prefix (HVIN:, Model#, M/N:, P/N:, etc.)
- The HVIN and ISED certification number are not required to be adjacent to each other

The PMN must be displayed electronically (e-labelling), or indicated on the exterior of the product or product packaging or product literature, which shall be available with the product or online.

The PMN, HVIN and ISED certification number are permitted to be etched, engraved, stamped, printed on the product, or permanently affixed to a permanently attached part of the product.

The PMN, HVIN and ISED certification number indicated/displayed (e-labelling) on any product on the Canadian market must be listed in the REL.

When the FVIN is the only differentiation between different product versions (PMN and HVIN remain identical) listed in the REL within a family certification, the FVIN shall be displayed electronically or stored electronically and be easily retrievable.

In all cases, the PMN, FVIN, HVIN and ISED certification number text shall be clearly legible.

*Note: The ISED certification number, HVIN, applicable PMN and FVIN are not required to be adjacent to each other.*

The certification number is made up of a Company Number (CN), assigned by Innovation, Science and Economic Development Canada's Certification and

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Engineering Bureau, followed by the Unique Product Number (UPN) assigned by the applicant. The certification number format is:

IC: XXXXXX-YYYYYYYYYYYY

where:

The letters "IC:" indicate that this is an Innovation, Science and Economic Development Canada certification number, but they are not part of the certification number. XXXXXX-YYYYYYYYYYYY is the ISED certification number.

XXXXXX is the CN assigned by Innovation, Sciences et Développement économique Canada. Newly assigned CNs will be made up of five numeric characters (e.g. "20001") whereas existing CNs may consist of up to five numeric characters followed by an alphabetic character (e.g. "21A" or "15589J").

YYYYYYYYYYYY is the Unique Product Number (UPN) assigned by the applicant, made up of a maximum of 11 alphanumeric characters.

The CN and UPN are limited to capital alphabetic characters (A-Z) and numerals (0-9) only. The use of punctuation marks or other symbols, including "wildcard" characters, is not permitted.

The HVIN may contain punctuation marks or symbols but they shall not represent any indeterminate ("wildcard") characters.

*Example 1: A company has been assigned a CN of "21A" and wishes to use a UPN of "WILAN3" for one of its products. The full Innovation, Science and Economic Development Canada certification number of this product would thus be: IC: 21A-WILAN3.*

*Example 2: A company has been assigned a CN of "20001" and wishes to use a UPN of "WILAN3" for one of its products. The full Innovation, Science and Economic Development Canada certification number of this product would thus be: IC: 20001-WILAN3.*

*Example 3: In a scenario where the HVIN is 47XP-820K/A21XX or ISED certification number is IC: 21A-WILANXX, a manufacturer wishes to use the characters "XX" as wildcards to indicate that these two characters are not fixed, but represent a range of characters decided by the manufacturer. This practice is not permitted.*

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*However, this same sequence of symbols can be used as a valid HVIN if it identifies a single product version.*

If the dimensions of the product are extremely small or if it is not practical to place the label or marking on the product and electronic labelling has not been implemented, the label shall be, upon agreement with Innovation, Science and Economic Development Canada prior to certification application, placed in a prominent location in the user manual supplied with the product. The user manual may be in an electronic format and must be readily available.

## **5.8. ELECTRONIC LABELLING (E-LABELLING) OF CERTIFIED PRODUCTS**

In the event that the company decides to print e-labelling on its units, it must consider that the following information must be displayed:

- Registration number for terminal equipment;
- Certification number for radio equipment;
- Model identification number and,
- Any other information required on surface unless it is permitted to be included in the user's manual or other packaging inserts.

Devices with an integrated display screen may have the required label information represented electronically in an e-label instead of on a physical label or nameplate.

Devices without an integrated display screen may have the labelling information represented through an audio message or a host device display screen connected by a physical connection, Bluetooth, Wi-Fi, or other, if the connection to a device with a display is mandatory for use.

In all cases, e\_labelling must meet the following requirements:

- Be easily accessible by the user and
- Not be modifiable by the user (e.g. if stored in the firmware or software menus)

The information to be displayed on the e-label shall comply with the following security requirements:

- Be programmed by the responsible party (e.g. manufacturer)

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- Not be modifiable or removable during the course of normal authorized activities by a third party (i.e. the typical user), such as installing applications or accessing menus

In order to make it accessible the information must:

- Be provided to the users with clear instructions on how to access electronically-stored information without special access codes or accessories
- Be easily found (max 3 steps from the main device's menu).

All information required to be on the packaging or in the user manual as per the applicable standards (e.g. RSSs) must be provided, even if the user manual and packaging components are provided electronically. Such information may be included in the device's e-label. The following considerations must be considered when providing such information on the e-label:

- A. If the user manual is provided by other electronic (e.g., on cd or online), then as an option the required information may also be provided as part of the e-label.
- B. The e-label format must clearly differentiate between the information required to be on the surface of the device and the information required to be in the user manual or on the packaging.

However, it must be considered that Products utilizing e-labels are required to have a physical label on the product packaging at the time of importation, offering for sale and sale. Complying with the following conditions:

- For devices imported in bulk (not packaged individually), a removable adhesive label or, for devices in protective bags, a label on the bags is acceptable to meet the physical label requirement.
- Any removable label shall survive normal shipping and handling and may only be removed by the customer, after purchase. For devices already imported in individual packages ready for sale, the information may alternatively be provided on the package and shall contain:
  - The model identification number; and
  - Any other information required to be provided on the surface of the product unless such information is permitted to be included in the user manual or other packaging inserts.

## 5.9. MODULE AND HOST PRODUCT LABELLING REQUIREMENTS

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Any product for which Modular Approval (MA) or Limited Modular Approval (LMA) is being sought shall meet the above labelling requirements.

The Host Marketing Name (HMN) must be displayed (according to e-labelling requirements) or indicated at any location on the exterior of the host product or product packaging or product literature, which shall be available with the host product or online.

The host product shall be properly labelled to identify the modules within the host product.

The Innovation, Science and Economic Development Canada certification label of a module shall be clearly visible at all times when installed in the host product; otherwise, the host product must be labelled to display the Innovation, Science and Economic Development Canada certification number for the module, preceded by the word "Contains" or similar wording expressing the same meaning, as follows:

Contains IC: XXXXXX-YYYYYYYYYYYY

where XXXXXX-YYYYYYYYYYYY is the module's certification number.

The applicant for a certified module shall provide with each certified module to the user, either a host label, such as described above, or an explanation and instructions to the user as to the host product labelling requirements.

## 6. HOST/MODULAR PRODUCT REQUIREMENTS

### 6.1. GENERAL

Modular approval permits the installation of a certified module in a host product or multiple host products without the need to certify the host product provided that the combination of the host/module(s) meets the requirements of the applicable Innovation, Science and Economic Development Canada regulations.

Radio equipment designed as modules for installation in a host product may obtain product certification as modular products provided that they meet the applicable RSS(s) requirements and comply with the modular requirements detailed below.

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## 6.2. HOST PRODUCT REQUIREMENTS

The module(s) shall be integrated into host products per the requirements/instructions for intended use/configuration as detailed by the module certificate holder.

The host product and all the separately certified modules therein shall jointly meet the radio frequency (RF) exposure compliance requirements of RSS-102.

Host products shall be labelled according to requirements of the present document section 5.6 and associated modules shall be labelled according to these requirements.

## 7. PRODUCT FAMILY CERTIFICATION REQUIREMENTS

The multiple versions of a product design are permitted to be certified under a single-family certification with one Innovation, Science and Economic Development Canada (ISED) certification number provided that all the product variants within a product family application are compliant with the following requirements:

The enclosure and general appearance of all product versions in a family shall be identical except for enclosure colour and/or minor external cosmetic differences. Two or more versions of a product with two or more PCB designs with different bands/technologies within identical enclosures are not permitted within a product family.

Two or more versions of a product with one PCB design with different bands/technologies enabled by software are permitted within a product family. A new version of a certified product may have minor PCB modifications to improve existing bands/technologies and/or add non-RF features.

All the product versions within the product family application shall be identical or have differences permitted under Class I and III permissive changes.

An agreement/approval has been obtained from Innovation, Science and Economic Development Canada prior to submitting certification application for an exceptional circumstance where the difference between the products under family certification falls under Class II permissive changes.

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## 7.1. EXEMPTIONS

Some telephone systems consisting of a base station and wireless handset(s) require radio certification and terminal registration. Innovation, Science and Economic Development Canada will accept one ISED certification/ registration number under family certification/registration for a base telephone unit and one or more wireless handsets sold with the base unit. The base unit and the handset cannot have identical HVIN. Only identical handsets are permitted to share the same HVIN. Dissimilar products being sold together as a system (e.g. baby monitor systems or speaker systems) will no longer be accepted by Innovation, Science and Economic Development Canada under a family certification; a unique certification number is required for each transmitter.

## 8. MODIFICATION OF CERTIFIED PRODUCTS

### 8.1. GENERAL

Any modifications to a certified product may require recertification with Innovation, Science and Economic Development Canada. The certificate holder shall inform the certification body or Innovation, Science and Economic Development Canada of any changes that may affect compliance with the technical requirements of the regulations under which the product was originally certified. For modifications as per the various permissive changes listed below in this section, the Product Certification Services shall be used as appropriate to ensure that the modified product remains compliant to the applicable Innovation, Science and Economic Development Canada regulations.

### 8.2. CLASS I PERMISSIVE CHANGES (C1PC)

In the context of this section, the following changes under C1PC are permitted:

- Hardware modifications and/or firmware/software modifications that do not change the fundamental RF characteristics and that do not degrade the unwanted emissions of the product
- Modifications that do not change external or internal mechanical characteristics significantly enough to require new photographs to identify the modified product

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*Note: Class I modifications do not require notification to Innovation, Science and Economic Development Canada unless the HVIN or PMN is modified as well; however, for the Class I modifications, the certificate holder must ensure that the product continues to remain compliant as per the original attestation of RSS-102 on file with the Department.*

### **8.3. CLASS II PERMISSIVE CHANGES (C2PC)**

The following changes under C2PC are permitted:

- Hardware modifications to the certified product that do affect fundamental RF characteristics and/or do degrade the unwanted emissions of the product
- Modifications to a certified product that do change the RF characteristics, but not beyond the requirements established in the applicable RSS regulations in the original certification
- Modifications that do change external or internal mechanical characteristics significantly enough to require new photographs to identify the modified product
- Any change to the PMN or HVIN of the certified product

The addition of new bands with hardware modification is not permitted; refer to C3PC for adding new bands with firmware change.

*Note: All Class II modifications require notification to Innovation, Science and Economic Development Canada.*

### **8.4. CLASS III PERMISSIVE CHANGES (C3PC)**

The following changes under C3PC are permitted:

- Firmware modifications to a certified product that affect the RF characteristics of a certified product (a new and unique FVIN must be provided for such modifications)
- Firmware modifications to enable new frequency bands but without hardware modification (A new and unique FVIN must be provided for such modifications.)

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*Note: Class III modifications require notification to Innovation, Science and Economic Development Canada.*

## 8.5. CLASS IV PERMISSIVE CHANGES (C4PC)

The following changes under C4PC are permitted:

- A certified module(s) (LMA or MA) that is integrated into a new host product, which results in changes to the original reported RF emissions characteristics and/or RF exposure evaluation
- A certified module(s) (LMA or MA) that is integrated into a new host product where a new RF exposure information/evaluation (as per RSS-102) and/or RF emissions information needs to be updated with Innovation, Science and Economic Development Canada

*Note: Class IV modifications (permitted with or without firmware modification) require notification to Innovation, Science and Economic Development Canada and the HMN must be provided.*

## 8.6. MODIFICATION, REDUCTION, SUSPENSION OR WITHDRAWAL OF EXISTING CERTIFICATE

The CB, in consultation with ISED, has the authority to modify, reduce, suspend or withdraw a certificate it has previously issued. Situations when such activities may be performed by the CB include, but are not limited to, the following:

- a) The product is found to be non-compliant with the applicable ISED requirements
- b) The applicant has requested to withdraw the certificate for any reason and confirms that the product was not imported, distributed, leased, sold or offered for sale in Canada

ISED shall be informed immediately when a CB has modified, reduced, withdrawn or suspended a certificate for any product.

## 9. CERTIFICATION RETENTION AND AUDITS

### 9.1. MANUFACTURERS, IMPORTERS, DISTRIBUTORS AND VENDORS

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Manufacturers, importers, distributors and vendors have a regulatory obligation to ensure that the product has been certified or declared to comply with Canadian regulatory requirements and is registered with the Department before it enters the Canadian marketplace and that the products sold in the Canadian marketplace continues to meet the applicable standards throughout its entire life cycle. Where testing shows that product does not comply with an applicable standard, these entities are responsible for taking prompt and effective remedial action.

## **9.2. POST-CERTIFICATION AUDITS, INVESTIGATIONS AND QUALITY CONTROL**

Post-certification audits will be conducted by the CB in order to ensure continuing compliance. As the Department may request, from a certificate (TAC) holder, random radio product samples at the TAC holder's expense for post-certification audit testing, or as a result of radio interference complaints. In the event of an investigation of non-compliance, the TAC holder will be asked to provide to the Department with records of the quality control process, as well as any relevant information that would help to identify issues related to compliance.

It is expected that all TAC holders will be able to demonstrate a quality control process used for production inspection and testing in accordance with good engineering practices.

## **9.3. REMEDIAL ACTION**

Where, as a result of post-certification audit or other information obtained by the CB or by the Department, a certified radio apparatus fails to meet RSP-100 requirements or the applicable technical standard, or where there is reasonable evidence that a certified product is creating electromagnetic interference, or not operating in accordance with the parameters described on the certificate, the certificate (TAC) holder will be required to take remedial action.

## **9.4. DISCLOSURE OF INFORMATION**

The applicant shall indicate which information and documents furnished in support of an application for certification are confidential. The provisions of the Access to Information Act apply to all applicants.

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Files provided to the Bureau in the following exhibit types qualify for confidential treatment:

- Block diagrams
- Operational description
- Parts lists and tune-up information
- SDR software and security information
- Schematic diagrams

For files of other exhibit types, Innovation, Science and Economic Development Canada may consider treating them as confidential if the applicant submits a request with appropriate justification before the application for certification is submitted to the Department or a CB.

## 10. PRODUCT CERTIFICATION SERVICES

### 10.1. GENERAL

The following sections have been prepared to assist the applicant when applying for product certification services.

Requirements of key fields:

**PMN** — The Product Marketing Name (PMN) is optional at the time of the certification, but must be provided (if the product has a PMN) before the product is listed in REL and made available on the Canadian market.

**HVIN** — The Hardware Version Identification Number (HVIN) replaces the ISED Model Number in the legacy E-filing System. (An HVIN is required for all products for certification application. As the HVIN is required to be on the product label or accessible through e-labelling, any changes to the HVIN will require changes to the product label and/or e-labelling).

**FVIN** — The Firmware Version Identification Number (FVIN) must be provided as appropriate (if the product does not require firmware for operation, "N/A" shall be entered as FVIN).

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**HMN** — The Host Marketing Name (HMN) must be provided when the module requires a host product for RF and/or SAR/RF exposure testing.

**Equipment Description** — A brief description of the type of product is required.

**Band Class and Technology** — The online application system requires the band class and technology information for some types of devices. This information must be provided when prompted.

## **10.2. NEW SINGLE/FAMILY CERTIFICATION SERVICE**

### New Single Product Certification Application

A new single product certification application for a single product version shall comply with the following requirements:

- A new single certification may be granted to products (final product or module) provided that the applicant has never been granted certification for the assigned HVIN or ISED certification number in the application.
- The PMN may be identical to the HVIN and vice versa.
- The FVIN must be provided if applicable; "N/A" can be entered as the FVIN.
- The HMN is only required for modular certifications when module compliance was assessed in a host.
- Documents must be submitted

### New Product Family Certification Application

A new product family certification application consisting of multiple versions of a product shall comply with the following requirements:

- A new family certification may be granted to products (final products or modules) provided that the applicant has never been granted certification for the assigned HVIN(s) or ISED certification number in the application.
- At least one field (PMN, HVIN or FVIN) must be unique to identify the different versions of the product for new family certification.
- Family certification information documents must list the PMN, HVIN and FVIN of all the product versions within the application to explain in detail the hardware and/or software similarities/differences (RF characteristics, circuitry design, function capabilities, etc.) between all the versions.

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- If the FVIN is the only differentiation between product versions (i.e. the PMN and HVIN remain identical) within the family certification application, then the FVIN must be provided.
- The HMN is only required for modular certifications when module compliance was assessed in a host.
- Documents must be submitted.

### **10.3. ADDITIONS/MODIFICATIONS TO EXISTING CERTIFICATION SERVICE**

Add New Product/Product Modifications (C1PC, C2PC) to Existing Certification Application

The Add New Product/Product Modifications (C1PC, C2PC) to Existing Certification Application shall comply with the following requirements:

- The PMN, HVIN or FVIN may be identical or different from the existing certified version(s) of the product, and if the application contains two or more product versions, the product versions must have at least one unique field (PMN, HVIN or FVIN) to identify different versions.
- The HMN is only required for modular certifications when module compliance was assessed in a host.
- Any permitted modifications (hardware or software) to the original certified product which may affect the RF must be supported by a test report with full or partial testing.
- The modifications to the existing certified product shall comply with the requirements of Class I and II permissive changes.
- The documents shall be submitted as per Annex C and shall include: a detailed description of the firmware/hardware changes/differences (RF characteristics, circuitry design and functional capabilities) between different versions of the product, which may be detailed with photographs, block diagrams, schematics and product literature and a brief statement as to how the modifications to the product meet the Class I and/or Class II modification requirements and/or family certification requirements

Product Modification (C3PC) Application

A Product Modification (C3PC) Application shall comply with the following requirements:

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- The PMN and HVIN must remain identical to the existing certified product, whereas a new and unique FVIN must be provided.
- Detailed information in the "Modification Information" documents shall include, but not be limited to:
  - a detailed description of the RF characteristics and/or functional changes to the certified product due the firmware change
  - a brief statement as to how the modifications meet the Class III modification requirements
  - Documents must be submitted.

#### Product Modification (C4PC) Application

A Product Modification (C4PC) Application shall comply with the following requirements:

- The SAR/RF exposure testing/evaluation in the new host shall be provided.
- When the module integration affects the RF emissions characteristics, a test report with full or partial testing and updated RF emissions information shall be submitted.
- The HMN must be provided.
- The documents shall be submitted and the provided information shall include details regarding the module integration, including statements regarding changes to module's original reported RF emissions characteristics and/or SAR/RF exposure evaluation/testing.

#### **10.4. MULTIPLE LISTING OF CERTIFICATION SERVICE**

A new Innovation, Science and Economic Development Canada certification may be obtained based on an existing Innovation, Science and Economic Development Canada certification with multiple-listing certification, provided that the following requirements are met:

The existing certificate holder or another entity/company (new applicant) may request a new ISED certification number based on existing certification of a product.

The new application shall include a unique ISED certification number for which certification has never been granted to the applicant.

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The selected HVIN, PMN and/or FVIN in the new application may be identical or different from the existing certification provided that the applicant has never obtained certification for the selected HVIN, PMN and FVIN combination in the application.

The product version(s) in the new application must be identical (C1PC permitted) to the existing certification.

The "Application Cover Letter" from the new applicant shall include:

- Product details (ISED certification number, PMN, HVIN, FVIN when applicable) from the existing certification and new application
- A declaration that the new product version is identical to the certified product
- A declaration that the documents on file with Innovation, Science and Economic Development Canada from the original certification remain unchanged and continue to be valid

The "Original Applicant Authorization" letter from the existing certificate holder shall include:

- Product identification details (ISED certification number and PMN, HVIN and FVIN as appropriate) from the existing certification and new application
- Authorization for the existing certified product to be listed under the new applicant/company
- Authorization for Innovation, Science and Economic Development Canada officials to use documents on file with the Department from the existing certification
- Documents must be submitted.

## 10.5. TRANSFER OF CERTIFICATION

### Full Transfer of Certifications (Company Takeover)

This application service is applicable when one company takes over another company, for which the following requirements must be met:

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The new company/applicant must assume all of the responsibilities associated with all existing certifications from the existing certificate holder and shall provide a signed statement to that effect.

The new applicant shall submit a copy of a signed letter from the current certificate holder, authorizing Innovation, Science and Economic Development Canada's Certification Bureau to transfer the certificate ownership from the current certificate holder to the new applicant and change the certificate file information to reflect the new certificate holder's information.

The HVIN and ISED certification number shall remain unchanged. Documents must be submitted.

### **Partial Transfer of Certifications (Product Line Takeover)**

This application service is applicable when one company takes over one or more product line(s), but not all of the product lines from another company. In such cases, the following requirements must be met:

For the product line(s) being transferred, the new company/applicant must assume all of the responsibilities associated with the existing certifications from the existing certificate holder and shall provide a signed statement to that effect.

If all the certified products associated with the particular Company Number (123A-1234, 123A is CN) are subject to transfer, then the new applicant/company has the option of retaining the existing ISED certification number(s) and HVIN(s); alternatively, going forward, the new applicant/company may assign new ISED certification number(s) to all the transferred product lines.

The new applicant shall submit a copy of a signed letter from the existing certificate holder, authorizing Innovation, Science and Economic Development Canada to transfer the certificate ownership to the new applicant and change the certificate file information to reflect the new certificate holder's information. Documents must be submitted.

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## 11. APPLICATION FOR EQUIPMENT CERTIFICATION

### 11.1. COMPANY NUMBER

All registered companies will have unique identifier called Company Number for ISED. If the applicant company is not registered prior to submit the application you will need to proceed with the registration in the following site:

<HTTPS://SMS-SGS.IC.GC.CA/LOGIN/AUTH>

A guidance is provided below in order to obtain the Company Number:

- Click on the Register button.
- Then click on New Applicant.
- The next screen will be all the Web User Information: create a login name, password, contact name, phone, fax, and email.
- The next screen is the Applicant Information: company name, applicant type, fees applicable, language, address, phone, fax, email.
- The next screen is the Certification Letter Contact: Name, address, phone, fax, email (this would be the listed contact for the company).
- When you have completed this process, IC has an approval process and once that is completed, IC will send the contact listed an email with the account/company number.
- Once finished, it is required to email the login name back to IC as they need to accept it in the system first. In addition, kindly advise the role of your company from the choices below:
  - Manufacturer
  - Canadian representative
  - Equipment applicant
  - Wireless test lab

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## 11.2. SIGNATORY/AGENT

All the applications forms, declarations, cover letters, etc. submitted for ISED certification must be signed by the main contact person included in the ISED database for the corresponding ISED Company number.

In case that any document is signed by a different person, either from the same Company or from an external agent, a writing authorization letter from the main contact person must be provided together with the application documents.

## 11.3. REQUIRED DOCUMENTATION

Submissions from a FCB to the ISED are required to be electronic and in a standard structure, for that reason separate exhibits covering the different type of requested documentation are provided in the annex of the present document.

The application supporting documentation should be submitted electronically as Adobe PDF and individual file sizes must be less than 6 Mb. If necessary, split documents into several parts.

The following content is required (as appropriate to your particular application):

Document	Description	Single New	NEW FAMILY	FAMILY TO A PREVIOUS CERTIFIED MODULE	MULTIPLE LISTING	CLASS x PERMISSIVE CHANGE	TRANSFER CERTIFICATION	Annex / Format
RSP-100 Annex A	application form for ised certification services	x	x	x	x	x	x	00014925_X 10
RSP-100 Annex B	test report cover sheet with a summary of the main items tested for compliance with ised rules.	x	x	x	x	x		00014925_X 11
Canadian Representative Letter	the applicant must provide, in writing, the identity of a company representative in canada who is responsible for all enquiries. the canadian representative shall also be responsible for providing audit samples at no charge to industry canada and the applicant-canadian representative agreement must be valid for as long as the applicant products are offered on the canadian market.	x	x	x	x	x	x	00014925_X 5
Application letter	a covering letter explaining the type of certification services requested and a brief description of the radio equipment (operational description).	x	x		x			00014925_X 4
Confidentiality Request Letter	request for confidentiality according to clause 12.4 of ised RSP-100 issue 12.							00014925_X 6

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Agent letter	letter to allow a third party to submit the application and/or to sign the application on behalf of the applicant.	x	x	x	x	x	x	00014925_X 9
User's Manual	a copy of the installation and operating instructions to be furnished the user per sec. 7 of RSP-100 of ised rules. it must contains information rf safety instructions as needed and the regulatory notices prescribed in the applicable ised RSS standards. a draft document is acceptable. please note that according to clause 7 of ised RSP-100, the ised regulatory notices must be included in both english and french.	x	x	x	x	x (2)		Free format
Block Diagram	a block diagram showing the frequency of all oscillators in the device. the signal path and frequency shall be indicated at each block.	x	x	x (2)	x	x (2)		Free format
Schematics	a schematic diagram for intentional radiators	x	x	x (2)	x	x (2)		Free format
Test Report	a detailed test report meeting the technical requirements of the applicable radio standards specification (RSS).	x	x	x (2)	x	x (2)		From Recognized Lab
External Photographs	a sufficient number of photographs to clearly show the exterior appearance, the construction, the component placement on the chassis, and the chassis assembly.	x	x	x (2)	x	x (2)		Free format
Internal Photographs	a sufficient number of photographs to clearly show construction, component placement, chassis assembly.	x	x	x (2)	x	x (2)		Free format
RF Exposure	exhibit detailing how the device complies with ised rf exposure requirement. it can be, depending on the product output power and the product proximity to the different part of the human body: - sar test report - rf fields tests or calculations - statement of exemption from evaluation properly justified.	x	x	x		x		Test Report from Recognized Lab or 00014925_X 15 if exemption
RSS-102 Annex A and B	summary statement of compliance with ised RSS-102 rf exposure standard.	x	x	x	x	x		Provided by ISED
Label design	a photograph, sample drawing or picture of the device should be provided including ised certification number and the model of the device preceded by the prefix "model: " or equivalent prefix that clearly indicate the model number. if label is going to be displayed electronically, exhibits demonstrating compliance with notice 2014-drs1003 should be provided.	x	x	x	x	x		Free Format
Modular approval letters	in case that the product to be certified is a module, a letter stating that modular approval conditions are met must accompany the application.	x (1)	x (1)	x (1)				00014925_X 12
Additional requirements	Depending on the type of product or applications, it might be necessary to detail some aspect of the application.	x	x	x	x	x	x	00014925_X 27
Cover letters	depending on the type of product and type of application, some cover letters may be required explaining or detailing some aspect of the application.	x (7)	x (7)	x (3)(7)	x (4)(7)	x (5)(7)	x (6)(7)	Free format

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**Table 2. Documentation that must be submitted to ISED**

**NOTES:**

1. *Only if the equipment to be certified is a module.*
2. *Required if different from the previously certified model.*
3. *It should include at least the following information:*
  - *The model number and the previous certification number of the approved equipment;*
  - *A detailed description of the differences between the new device and the previously-certified device, with particular emphasis on the radio frequency and RF output power, the radio frequency circuitry; and functional capabilities;*
  - *A brief statement as to why the new product should qualify for family approval.*
4. *A signed letter from the original applicant and certificate holder authorizing the Industry Canada to use information on file to grant a multiple-listing certification. The name / model number and certification number of the radio equipment must be shown. The letter must also declare that the model to be multiple-listed is identical in design and construction to the originally-approved model;*
5. *It should include at least the following information:*
  - *The model number and certification number of the approved radio equipment*
  - *Detailed description of the differences between the modified device and the previously certified device, with particular emphasis on the following:*
    - *the radio frequency and RF output power;*
    - *the radio frequency circuitry;*
    - *functional capabilities;*
  - *A brief statement as to why the modified product still qualifies for certification.*
6. *The new applicant shall send a letter to Industry Canada providing a copy of a signed letter from the current certificate holder, authorizing Industry Canada to transfer the ownership from the current owner to the new entity and change the certificate file information to reflect the new owner's information. The letter must also attest that the equipment covered by the certificate is identical in design and construction to the originally-approved model.*
7. *In case that test reports from other products are used for certification, it will be required a Permission letter from the Company responsible of the product*

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*whose reports are being used and an Integration letter from the Company of the new product listing all the reports used to show compliance with rules.*

#### 11.4. DISCLOSURE OF INFORMATION

Applicant cannot claim confidentiality to avoid the provision to the FCB on any document required to perform the appropriate evaluation by the certification body according to ISED rules.

Once the revision has been concluded and the decision of certification has been taken, all the documentation and correspondence related to an application is provided to the ISED (as appropriate) who will store them.

For the time being, the technical documents provided to ISED are not public. However, per Clause 9.4 of ISED RSP-100 Issue 12, the applicant may claim to keep confidential, from public disclosure, the following documentation:

Document	Confidential
External Photographs	NO
Block Diagram	YES
Schematics	YES
Test Setup Photos	NO
User's manual	NO
Internal Photographs	NO
Parts List / Tune Up	YES
Operational Description	YES
SDR software and security information	YES
Additional requirements	NO

**Table 3. Documents which can be treated as a Confidential.**

For files of other exhibit types, Innovation, Science and Economic Development Canada may consider treating them as confidential if the applicant submits a request with appropriate justification before the application for certification is submitted to the Department or a CB

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## 12. CERTIFICATION PROCESS OVERVIEW

The main reference documents the FCB uses in order to perform the Certification Process of Licensed and License-Exempt Radio Frequency Devices are:

- REC-CB — Recognition Procedure and Requirements for Certification Bodies.
- RSS-GEN — General Requirements for compliance of radio apparatus
- RSP-100 — Certification of radio apparatus and Broadcasting Equipment
- Canadian Table of Frequency Allocations

### 12.1. ADMINISTRATIVE REVIEW

When all the required information has been received by LGAI Technological Centre S.A., the administrative review will examine the documents to determine if all submittal information is complete, accurate, and correctly prepared for certification.

A complete application is required before the technical review can begin and before the application can be processed. Once the administrative reviewer has determined that all necessary documents are present, the application documents will be forwarded to the technical reviewer.

If information/documentation is missing during the administrative review, the applicant will be informed about the administrative or technical information that is still needed. The applicant will also be informed they have 30 days to respond before the application is dismissed.

If the application is dismissed, LGAI Technological Centre S.A. shall arrange for all test data, exhibits, samples, or other related items to be deleted or returned to the applicant. LGAI Technological Centre S.A. will also notify the client of a decision not to grant certification, and will identify the reasons for the decision.

The Administrative Evaluation will consist of the following blocks.



**Figure 1. Process of administrative evaluation.**

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During the Check Acceptance the Administrative Evaluator may verify that the application form has been properly filled, by fulfilling the form the administrative evaluation checks that the organization responsible of the equipment is known and registered with the ISED.

Furthermore, the administrative evaluator may verify that the certification agreement which corresponds to the Annex I of the present document is properly signed and fulfilled, also the Administrative Evaluator shall make sure that the payment is done.

During the Check Scope the Administrative Evaluator may verify that the Equipment under Evaluation is inside the Scope of Certification of LGAI Technological Centre S.A. According the present document the scope covers:

- Radio Scope 1: License Exempt Radio Frequency Devices
- Radio Scope 2: Licensed Personal Mobile Radio Services

In the Documentation Check, the Administrative Evaluator shall review the Documentation submitted by the applicant. Follow Annex II as a guide document, where all required documentation is depicted.

Finally, in case were the applicant has performed measurements besides the activity of the FCB, the FCB may accept such Test Reports in case where they have been carried out in an Accredited Test Site and in a recognized Test Site by the ISED. So, the Administrative Evaluator, in case where external test reports are provided is going to check that such test reports have been carried out in an ISED Listed test site.

The Petitioner must provide all required documentation according the Annex II, provide in the application stage.

When all the required information has been received according Annex II, APPLUS+ LGAI's administrative reviewer will examine the documents to determine if all submittal information is complete, accurate, and correctly prepared for certification. A complete application is required before the technical review can begin and before the application can be processed. Once the administrative reviewer has determined that all necessary documents are present, the application documents will be forwarded to the technical reviewer.

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If information/documentation is missing during the administrative review, the applicant will be informed about the administrative or technical information that is still needed. The applicant will also be informed they have 30 days to respond before the application is dismissed.

The purpose of the administrative evaluation is to ensure that the product is properly identified so it can be easily associated with the manufacturer or the organization responsible for placing it on the market.

The administrative evaluation checks that the organization responsible for the transmitter is known and registered with ISED. The administrative evaluation also looks at the information collected on the transmitter and confirms submitted documents meet the ISED's criteria of acceptance. Once collected, the FCB will upload the transmitter information into the ISED database where it becomes a publicly viewable record of compliance.

The rigor associated with a third party FCB administrative evaluation provides the assurance that all transmitters operating in the market are using their share of spectrum properly and in a manner that will facilitate the operation of all like transmitters and increase the likelihood of successful coexistence of all users.

## 12.2. TECHNICAL REVIEW

When all the required information has been received, LGAI Technological Centre S.A.'s administrative review will examine the documents to determine if all submittal information is complete, accurate, and correctly prepared for certification. A complete application is required before the technical review can begin and before the application can be processed. Once the administrative reviewer has determined that all necessary documents are present, the application documents will be forwarded to the technical reviewer.

A technical review shall be performed by LGAI Technological Centre S.A to determine if the applicant's test data and report satisfy the applicable requirements.

A technical review of the application shall be performed. Items relating to the conformance of the equipment to the necessary technical requirements shall be evaluated, including, but not limited to:

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- Test procedures performed
- Test data
- Test equipment used including information about its calibration status
- User's Manual
- Schematics and block diagram supplied by the manufacturer
- Operational Description Supporting descriptions, if necessary
- Plots or other data, if necessary

If information/documentation is missing during the technical review, the applicant will be informed about the information is still needed. The applicant will also be informed they have 30 days to respond before the application is dismissed.

If the application is dismissed, LGAI Technological Centre S.A. shall arrange for all test data, exhibits, samples, or other related items to be deleted or returned to the applicant. LGAI Technological Centre S.A. will also notify the client of a decision not to grant certification, and will identify the reasons for the decision.

During the technical evaluation, according to RSP-100 and further requirements stated by the LGAI Technological Centre S.A, shall be analysed:

#### ***Confirm Rule Part & Requirements***

Well in advance of any testing and before the technical review, it should be identified the applicable Scope of Evaluation and therefore the RSS Standard and technical requirements that apply to the device, its application, and for the frequency range selected.

The Evaluator will check whether the provided test reports, if available, have been issued by an Accredited Test Firm recognized by the ISED as well as its test procedures which must follow the RSS applicable Standard. The reported test data may be also analysed by the Evaluator, including: measurements, limits, DUT operational mode, equipment under test, conditions under test. Additionally, the test equipment shall be reviewed by the evaluator, checking the proper use of Equipment as well as its calibration status. The Evaluator shall review the User Manal provided by the Petitioner, where clearly must be indicated how to tune up, install or operate the equipment, as well as it must include the declarations if applicable. The evaluator shall make sure that the User Manual at least includes the two official languages in Canada, which must be written in English and French. The Schematics and Block diagram shall be also reviewed by the Evaluator, providing a clear and compressive block representation. The Evaluator shall also

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review the Operational Description where an accurate description must be provided by the Petitioner.

### ***Required Canadian Representative***

A Canadian representative is required when the applicant's company address is not within Canada. The applicant must provide a signed Applicant-Canadian Representative Agreement and the details of the company representative in Canada shall be clearly identified. The Canadian representative shall be responsible for responding to all enquiries from Innovation, Science and Economic Development Canada regarding the certified equipment, including providing audit samples at no charge to Innovation, Science and Economic Development Canada. The applicant must have a valid Applicant-Canadian Representative Agreement for as long as the certified equipment is offered on the Canadian market.

### ***Test Report***

Compliance with RSS-Gen and the limits set out in the applicable RSS shall be demonstrated using the methods of measurement according the relevant and applicable standard. Where there are discrepancies between the requirements as stated in RSS-Gen or the applicable RSS, and the requirements stated in the publications referenced in this section, the text in RSS-Gen and/or the applicable RSS shall take precedence. Test activity shall be performed at an ISED recognized Wireless Device Testing Laboratory.

### ***Block Diagram***

The Evaluator shall review that this section includes the block diagram of the EUT showing all internal oscillators and clock frequencies. Although a block diagram is not specifically required for some devices, including a block diagram in the application will make processing of it easier.

### ***External Photos***

The Evaluator shall review that this section includes clear, focused pictures of the overall appearance showing all user accessible controls and connectors.

### ***Internal Photos***

The Evaluator shall review that this section includes internal photos showing the top and bottom of each printed circuit board sufficient to clearly show component placement and chassis assembly. If some components of a printed circuit board

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are covered by shielding, photos should show the board with the shielding in place and with the shielding removed.

### ***Operational Description***

The Evaluator shall review that this section should include any operational or technical descriptions regarding how the device operates, is modulated, or meets specific requirements. Some examples of operational descriptions include:

- A description of how the device works.
- Necessary bandwidth calculations.
- Description of emission designator and type of modulation.
- Description of timing requirements and how they are met.
- Description of listen before link
- Description of spread spectrum frequency hopping schema.
- Description of scanning receiver compliance

### ***RF Exposure Info***

The Evaluator shall review that this section should include a statement affirming compliance with respect to controlled/uncontrolled exposure limits for MPE/SAR evaluation of mobile/portable devices (technical data upon request) or reasons for categorical exclusion from routine RF evaluation.

A series of new companion standards that need to be used in conjunction with RSS-102 to assess compliance either via measurements or simulations:

- RSS-102.NS.MEAS, Measurement Procedure for Assessing Nerve Stimulation (NS) Compliance in Accordance with RSS-102
- RSS-102.SAR.MEAS, Measurement Procedure for Assessing Specific Absorption Rate (SAR) Compliance in Accordance with RSS-102
- RSS-102.APD.MEAS, Measurement Procedure for Assessing Absorbed Power Density (APD) Compliance in Accordance with RSS-102 (currently in development)
- RSS-102.IPD.MEAS, Measurement Procedure for Assessing Incident Power Density (IPD) Compliance in Accordance with RSS-102
- RSS-102.FRL, Procedure for Assessing Field Reference Level (FRL) Compliance in Accordance with RSS-102 (currently in development)
- RSS-102.NS.SIM, Simulation Procedure for Assessing Nerve Stimulation (NS) Compliance in Accordance with RSS-102

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- RSS-102.SAR.SIM, Simulation Procedure for Assessing Specific Absorption Rate (SAR) Compliance in Accordance with RSS-102 (currently in development)
- RSS-102.APD.SIM, Simulation Procedure for Assessing Absorbed Power Density (APD) Compliance in Accordance with RSS-102 (currently in development)
- RSS-102.IPD.SIM, Simulation procedure for assessing incident power density (IPD) compliance in accordance with RSS-102

First, if the device is operated within 20 cm of the head or body, if the answer is no, then SAR does not apply. If yes, then SAR does apply, but testing may be excluded based on the device's output power if less or equal than 10mW.

Innovation, Science and Economic Development Canada (ISED) utilizes a formula to determine SAR test exclusion in RSS-102. For separation distances of <50 mm if the following equation results in <3.0 then test exclusion for 1g SAR applies:  $(\text{Output power, mW}) / (\text{separation distance, mm}) \times (\text{sqrt(freq, GHz)})$ . The evaluator may review that weather the SAR measurement or the SAR exclusion are properly considered.

Guidance on how to consider an equipment Mobile or Portable is depicted below:

- **Mobile:** A mobile device is defined as a transmitting device designed to be used in other than fixed locations and to generally be used in such a way that a separation distance of at least 20 centimetres is normally maintained between the transmitter's radiating structure(s) and the body of the user or nearby persons. In this context, the term "fixed location" means that the device is physically secured at one location and is not able to be easily moved to another location. Transmitting devices designed to be used by consumers or workers that can be easily re-located, such as wireless devices associated with a personal computer, are considered to be mobile devices if they meet the 20- centimetre separation requirement.
- **Portable:** A portable device is defined as a transmitting device designed to be used so that the radiating structures of the device is/are within 20 cm of the body of the user.

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## IC Mark

The technical evaluator shall make sure that the Device is properly identified and marked following the requirements of the present document in the section of labelling Requirements.

### 12.3. DECISION ABOUT CERTIFICATION

After LGAI Technological Centre S.A. has completed the administrative review and the technical review, the findings from each shall be forwarded to the responsible of certification. The responsible of certification shall analyse the findings and the recommendations from the administrative and technical revisions and then present a decision to the applicant and will review that the documentation provided is complete to take a decision about the certification of the device.

If the responsible of certification determines that the device fails to meet the requirements, LGAI Technological Centre S.A. shall immediately notify the applicant in writing regarding the specific cause of the negative finding. The applicant will also be informed they have 30 days to respond before the application is dismissed.

If the application is dismissed, LGAI Technological Centre S.A. shall arrange for all test data, exhibits, samples, or other related items to be deleted or returned to the applicant. LGAI Technological Centre S.A. will also notify the client of a decision not to grant certification, and will identify the reasons for the decision.

### 12.4. FILING APPLICATIONS AND EQUIPMENT AUTHORIZATION CERTIFICATE

Upon successful approval by responsible of certification, LGAI Technological Centre S.A. will electronically file the application on the ISED internet database web site.

For the ISED certification, LGAI Technological Centre S.A. directly generates an equipment authorization certificate. Any modifications or revocations of ISED grants shall follow the provisions stated in REC -CB Section 10. Suspension or Withdrawal of recognition.

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## 12.5. RETENTION OF RECORDS

LGAI Technological Centre S.A. will retain, for 10 years, all documentation furnished in support of an application for certification and will make such documentation available to ISED upon request received from them.

# 13. CONFORMITY ASSESSMENT PROCEDURES FOR RADIO FREQUENCY DEVICES EQUIPMENT

## 13.1. INTRODUCTION TO CONFORMITY ASSESSMENT

As indicated above, Licensed and License-Exempt Radio Frequency Device is required to comply with the ISED IC Rules. The manufacturer has to demonstrate the compliance.

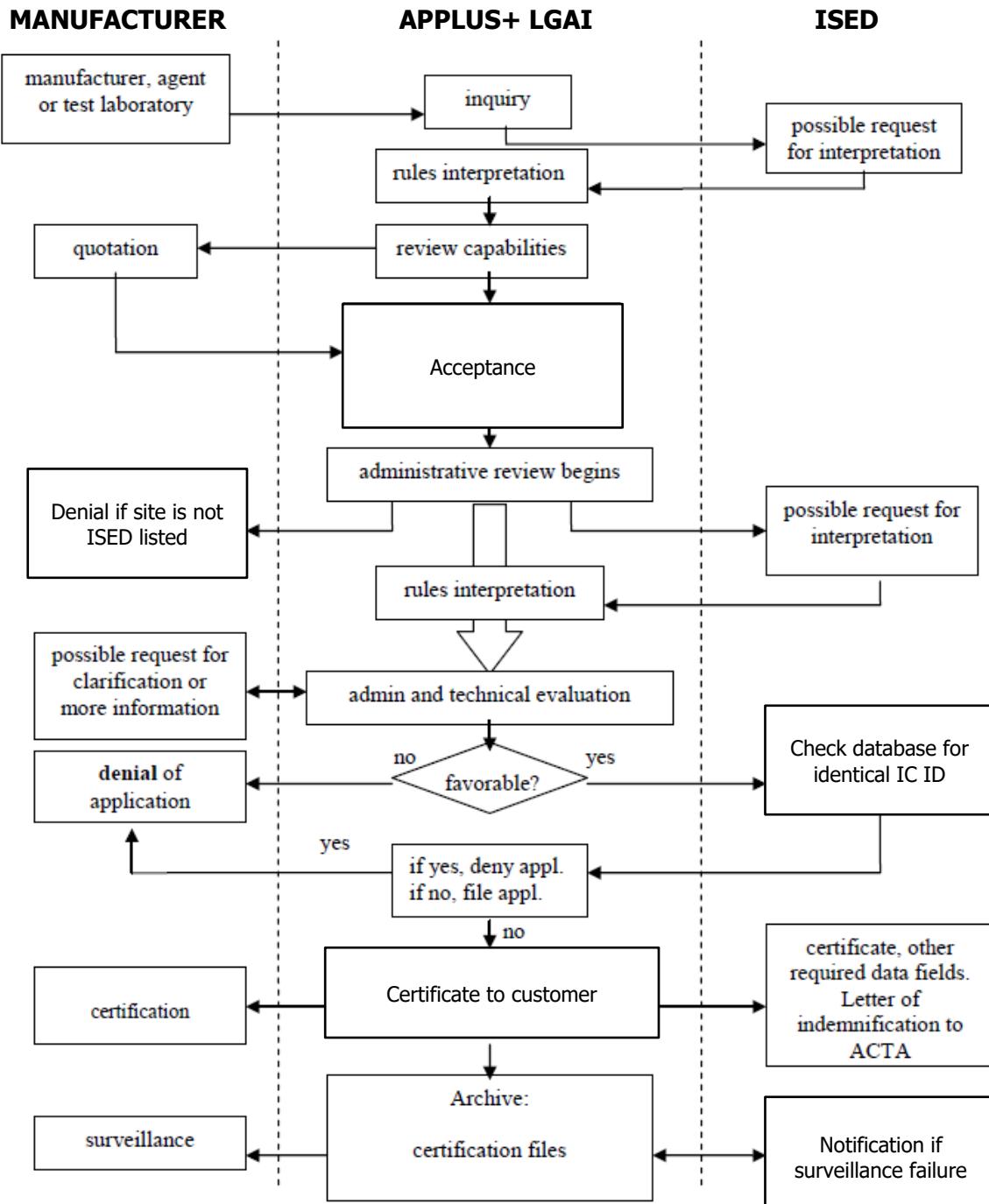
The full technical documentation for the radio equipment must be prepared to provide evidence that the radio equipment complies with the requirements. This includes evidence that the radio equipment complies with the ISED IC Rules. The manufacturer must take the necessary measures to ensure the equipment is produced according to the technical documentation.

After the conformity assessment has been carried out, the manufacturer must take all measures necessary in order that the manufacturing process ensures compliance of the manufactured radio equipment with the technical documentation and with the ISED IC Rules that apply to it.

The Figure below shows the flowchart that the manufacturer must follow to place his radio equipment on the market, which involves different scenarios and the relationship with the FCB.

The Figure below shows the flowchart that the manufacturer must follow to place his radio equipment on the market, which involves different scenarios and the relationship with the FCB.

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**Figure 2: Conformity assessment procedure flowchart**

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FCB's are required to accept test reports and applications from any ISED Listed Test Laboratory source. We are obliged by our accreditation to assure that the data in test reports is reasonable, and we can do that by knowing the accreditations.

Applications for certification in electronic format are accepted.

We require that all applications be submitted in DOC, PDF, TXT, XLS or JPEG electronic formats. Maximum file size is 6 megabytes for PDF and JPG formats. These are limits imposed by the ISED database. In practice, the files should be smaller than the 6 megabytes maximum allowed. File sizes smaller than 2 megabytes are preferred. We will convert to PDF all files not received in either PDF or JPG formats.

The format is unstructured, so that manufacturer should select filenames that are simple and self-describing. For speed of processing we recommend that you name your files in the following manner, identifying all files by model number ABC and exhibit type:

Example:

ABC block diagram.doc  
ABC schematic.pdf  
ABC parts list.xls

All applications from which an FCB issues a certification must be submitted electronically and must be complete at the time the FCB issues the Grant. Applications must contain all of the exhibits as required by the ISED IC. Additionally, the total number of files should not exceed 15 although there is no hard limit. Each exhibit type below should be sent as an individual file. For example, Test Setup Photos should be separate from the Test Report and Internal Photos should be separate from External Photos. Below is depicted the general application documents:

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REQUIRED EXHIBIT	FILENAME TO USE
RSP-100 Annex A	(Model) RSP-100 Annex A
RSP-100 Annex B	(Model) RSP-100 Annex B
Canadian Representative Letter	(Model) Canadian Representative Letter
Application letter	(Model) Application letter
Confidentiality Request Letter	(Model) Confidentiality Request Letter
Agent letter	(Model) Agent letter
User's Manual	(Model) User's Manual
Block Diagram	(Model) Block Diagram
Schematics	(Model) Schematics
Test Report	(Model) Test Report
External Photographs	(Model) External Photographs
Internal Photographs	(Model) Internal Photographs
RF Exposure	(Model) RF Exposure
RSS-102 Annex A and B	(Model) RSS-102 Annex A and B
Label design	(Model) Label design
Modular approval letters	(Model) Modular approval letters
Cover letters	(Model) Cover letters
Additional requirements	(Model) Additional requirements

**Table 4. List of general application documents.**

### 13.2. RESPONSE TO REQUESTED INFORMATION

If the application is not complete, the petitioner will be notified immediately. We expect to receive responses to requested information in a prompt manner, as well. If no response is received in a reasonable time, the application will be archived closed. The application fee is not refundable. An additional fee that is 50% of the original fee will be charged for applications that are re-opened after having been closed.

If the petitioner send an application and do not receive an e-mail confirming our receipt, please immediately contact us and ask about the status of the project. Likewise, if the petitioner submits correspondence or additional exhibits in response to a request and do not receive a reply promptly, they should contact LGAI Technological Centre S.A and ask about the status of the petitioner's project.

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### 13.3. APPLICABLE CONFORMITY ASSESSMENT PROCEDURES

#### Introduction

Applications are easier to review if there is only one file per exhibit type. More than one file per exhibit type is acceptable, but the submittal should be limited to a reasonable number of files. Also, Confidential information should be located in the proper exhibit type, but in a separate file. Limiting individual file sizes to less than three megabytes decreases processing time and allows for smoother uploading of the file to the Commission. All applications should be divided into the relevant exhibit types below.

Following the process blocks indicated in Figure:

##### 1. Contract Review / Acceptance

As a result of the request by the Client requiring information on the Certification of a Radio Equipment according to Certification Scheme, APPLUS+ LGAI will send this Document together with the offer to the applicant. If the Client accepts he or she will return the request form signed (**the offer acceptance**).

##### 2. Assessment by APPLUS+ LGAI

APPLUS+ LGAI begins analysing the Technical Doc. submitted to certify a Radio Equipment. Therefore, APPLUS+ LGAI assessment personnel will consider any inconsistency between the obvious uses of the equipment and the purpose for which it is intended, so that its examination may be adequately classified and not open to erroneous interpretations.

APPLUS+ LGAI will analyse the technical design ensuring that the design complies with the legal use of the radio spectrum. During this phase, APPLUS+ LGAI revises the Technical Doc. which include the following:

#### Attestation Statements

The FCB shall review if this section includes any attestation statements as to testing and compliance required by the rules. Please note that attestation statements are not required in all cases.

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### ***Block Diagram***

The FCB shall review that this section includes the block diagram of the EUT showing all internal oscillators and clock frequencies. Although a block diagram is not specifically required for some devices, including a block diagram in the application will make processing of it easier.

### ***Cover Letters***

The FCB shall review that any cover letter connected with the application is included here. Some examples of letters that should go here are: a confidentiality request filed, indicating exactly what changes were made to it that constitute a permissive change instead of requiring a new application for equipment authorization. Other letters that should be included here are letters from the applicant confirming that any modifications made to the device by the test lab during testing will be implemented into all production units.

### ***External Photos***

The FCB shall review that this section includes clear, focused pictures of the overall appearance showing all user accessible controls and connectors.

### ***ID Label/Location Info***

The FCB shall review that this section includes the IC ID label, its location on the product, and any statements required by the rules that will be on the product.

In addition, the FCB shall check the ISED IC database in case of identical ID or enforcement.

### ***Internal Photos***

The FCB shall review that this section includes internal photos showing the top and bottom of each printed circuit board sufficient to clearly show component placement and chassis assembly. If some components of a printed circuit board are covered by shielding, photos should show the board with the shielding in place and with the shielding removed.

### ***Operational Description***

The FCB shall review that this section should include any operational or technical descriptions regarding how the device operates, is modulated, or meets specific requirements. Some examples of operational descriptions include:

- A description of how the device works.

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- Necessary bandwidth calculations.
- Description of emission designator and type of modulation.
- Description of timing requirements and how they are met.
- Description of listen before link and other cordless telephone requirements and compliance.
- Description of spread spectrum frequency hopping schema.
- Description of scanning receiver compliance cellular band restrictions.
- Description of frequency hopper receiver compliance
- UPCS UTAM requirements compliance
- Description of circuitry required
- Antenna requirement compliance.
- Compliance regarding location of intended use.

### ***Parts List/Tune Up Info***

The FCB shall review that section should include a list of active devices, and the tune up procedure as required, provide the tune-up procedure over the power range, or at specific operating power levels.

### ***RF Exposure Info***

The FCB shall review that this section should include a statement affirming compliance with respect to controlled/uncontrolled exposure limits for MPE/SAR evaluation of mobile/portable devices (technical data upon request) or reasons for categorical exclusion from routine RF evaluation.

### ***Schematics***

The FCB shall review that this section includes the electrical schematics of the device showing RF generation circuits, input signal path circuitry, and clock lines.

### ***Test Report***

The FCB shall review that this section includes the test report and data showing compliance with all applicable technical standards. Test report is defined as a "complete package" showing data, graphs, test method description, and a list of test equipment.

### ***Test Setup Photos***

The FCB shall review that this section includes any required photos of the test setup, showing that the device under test and its support equipment are properly cabled and the setup configuration is in accordance with the requirements. Test set-up photographs or diagrams are required for both radiated and AC line

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conducted test set-ups by various test procedures referenced in the Rules. Although not specifically required for some tests, including a photo or diagram of a test set-up in the application will make processing of it easier.

### ***User's Manual***

The FCB shall review that this section includes instruction, installation, operators, or technical manuals with required "information to the users." The information submitted here should include any information necessary to show compliance of the device. Some examples of the technical information required is any information pertaining to: power output, operating frequency, operating channels, operating modes, data rates, tuning range, intended use, general installation instructions, and antenna connector/gain information. Some examples of Information not required is any information pertaining to: troubleshooting, maintenance, packing/unpacking, shipping, or warranties.

### **3. Certificates Release**

APPLUS+ LGAI will revise the technical documentation submitted by the manufacturer and will release Original Grants of Authorization e-mailed to the petitioner in PDF format. Copies of the Grant for all devices can be obtained by visiting the ISED website.

APPLUS+ LGAI bases its assessment on the ISED IC Rules requirements and on the professional assessment of the technical documentation, duly considering the pertinent standardisation, other technical references and the professional decision available at that time.

When conformity of the radio equipment is confirmed by the FCB certificate, the certificate released by APPLUS+ LGAI will not be conditioned or limited by time.

APPLUS+ LGAI will keep a copy of the FCB examination certificate, its annexes and its attachments and the technical design included in the documentation presented by the manufacturer for ten years after assessment of the radio equipment. The registers identify the reference documents used in the assessment and the specific parameters applied to determine compliance with the Rules.

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### ***Rejected***

This may occur during any stage of the conformity assessment, on a Technical File, by APPLUS+ LGAI.

APPLUS+ LGAI may decide that the project cannot be completed due to the fact that the technical file or other documentation / information supplied by the applicant is unable to warrant a positive assessment report from the FCB.

There are several possible scenarios:

- 1) APPLUS+ LGAI believes there is a simple problem and the applicant must be able to correct the problem. APPLUS+ LGAI will inform the applicant of the problem and will give the applicant a limited time to solve the problem before continuing with the project (this situation may be considered a temporarily "Suspended" project).
- 2) APPLUS+ LGAI reaches the conclusion that it is important to complete the project satisfactorily and refuses to continue with the assessment. This scenario coincides with the case of "Refused".
- 3) Following on from Point 1), the applicant has not returned a solution to the problem within the time specified and, therefore, APPLUS+ LGAI refuses to issue a positive assessment report. This scenario coincides with the case of "Refused".

Examples of rejected projects:

Product: Radio equipment. Problem: The operating frequency band(s) is not in use anywhere in the US.

Product: Electrical appliance. Problem: Test reports in the technical file are erroneous, insufficient or even false.

Product: Radio equipment. Problem: Output power that can be used is greater than ISED limits.

### ***Withdrawn***

In this case, the examination has been issued by APPLUS+ LGAI based on a positive result of the conformity assessment, but APPLUS+ LGAI has proven that the products made available on the market are not compliant with the certificate issued.

The information may come from different sources, such as:

- Market surveillance, indicating serious non-compliance by the product
- Surveillance performed by the Commission

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4. Monitoring Conformity (following release of the FCB examination certificate)  
 Once the FCB examination certificate has been released, the APPLUS+ LGAI technical team assessing conformity remains informed on the changes to the state of the art (standardisation, issue of new Decisions, Recommendations, radio interfaces, etc.) in order to control when these changes meant that the type already approved no longer complies with the Rules, performing a series of technical investigations. In all cases, the manufacturer is the responsible part at every time to comply with the ISED IC Rules.

#### 5. Coordination

In this part of the Conformity assessment process according to ISED IC Rules, APPLUS+ LGAI informs and notifies the Commission after issuing a TAC.

APPLUS+ LGAI will also inform the ISED of any refusal to release the certification and the conditions for notification, request for information on the conformity assessment activities received.

Conformity on internal production control is the full responsibility of the manufacturer in which he complies with his obligations and ensures and declares that the radio equipment concerned is in conformity with the type described in the FCB examination and satisfies the requirements of the ISED IC Rules that apply to it.

#### **13.4. DOCUMENTATION REQUIRED BY THE CONFORMITY ASSESSMENT PROCEDURE**

An application for certification shall be filed on Annex I (and Annex II as a voluntary basis) with all questions answered, together with the applicable documentation.

Applications for equipment operating under RSS technical standards of the ISED IC rules shall be accompanied by a technical report containing the following information:

1. The full name and mailing address of the manufacturer of the device and the applicant for certification.
2. IC identifier.

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3. A copy of the installation and operating instructions to be furnished the user. A draft copy of the instructions may be submitted if the actual document is not available. The actual document shall be furnished to the ISED when it becomes available.
4. A brief description of the circuit functions of the device along with a statement describing how the device operates. This statement should contain a description of the ground system and antenna, if any, used with the device.
5. A block diagram showing the frequency of all oscillators in the device. The signal path and frequency shall be indicated at each block. The tuning range(s) and intermediate frequency(ies) shall be indicated at each block. A schematic diagram is also required for intentional radiators.
6. A report of measurements showing compliance with the pertinent ISED IC technical requirements. This report shall identify the test procedure used (e.g., specify the RSS technical standard and its test procedure, or industry test procedure that was used), the date the measurements were made, the location where the measurements were made, and the device that was tested (model and serial number, if available). The report shall include sample calculations showing how the measurement results were converted for comparison with the technical requirements.
7. A sufficient number of photographs to clearly show the exterior appearance, the construction, the component placement on the chassis, and the chassis assembly. The exterior views shall show the overall appearance, the antenna used with the device (if any), the controls available to the user, and the required identification label in sufficient detail so that the name and IC identifier can be read. In lieu of a photograph of the label, a sample label (or facsimile thereof) may be submitted together with a sketch showing where this label will be placed on the equipment. Photographs shall be of size A4 (21 cm × 29.7 cm) or 8 × 10 inches (20.3 cm × 25.4 cm). Smaller photographs may be submitted provided they are sharp and clear, show the necessary detail, and are mounted on A4 (21 cm × 29.7 cm) or 8.5 × 11 inch (21.6 cm × 27.9 cm) paper. A sample label or facsimile together with the sketch showing the placement of this label shall be on the same size paper.
8. If the equipment for which certification is being sought must be tested with peripheral or accessory devices connected or installed, a brief description of

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those peripherals or accessories. The peripheral or accessory devices shall be unmodified, commercially available equipment.

9. For equipment subject to the provisions of RSS-247, the application shall indicate if the equipment is being authorized pursuant to the transition provisions in its Annex.
10. Contain at least one drawing or photograph showing the test set-up for each of the required types of tests applicable to the device for which certification is requested. These drawings or photographs must show enough detail to confirm other information contained in the test report. Any photographs used must be focused originals without glare or dark spots and must clearly show the test configuration used.

### **13.5. ADMINISTRATIVE AND OPERATIONAL REQUIREMENTS**

#### **CB requirements**

For the purpose of administrative and operational requirements, CBs shall:

- Limit their certification activities to their scope(s) of accreditation for which recognition was issued, unless a bulletin for a newly published or revised RSS and/or BETS provides specific instructions. The CB's scope(s) shall be updated to include any newly published RSS and/or BETS in the CB scope(s), within one year of the date of publication;
- Only certify Category I equipment
- Only certify equipment after verifying and confirming it is compliant with all applicable ISED requirements
- Publish, maintain and make available to clients their radio apparatus certification procedure;
- Ensure that the persons involved in certification (or the certification decision) are not the same persons involved in testing and evaluation; as defined in organigram.
- Retain, for ten (10) years, all documentation furnished in support of an application for certification and make such documentation available to ISED upon request
- Conduct a product audit, as outlined in REC-CB section 8;
- Accommodate changes or additions to their processes and procedures, as may be required by ISED;

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- Stay abreast of ISED's regulations, procedures, requirements, standards, specifications and amendments thereto and, in order to do so, shall:
- Forward all issues and inquiries to the Bureau;
- Keep CB contact information up to date by forwarding any changes to the Bureau within thirty (30) days; and
- Participate, as required, in discussion groups or teleconferences that are established, under the supervision of ISED, to address certification issues.
- Maintain a list of all products that have been certified to Canadian requirements and make the list available to ISED upon request;
- Accept test reports only from testing laboratories that are recognized by ISED and listed on the Conformity Assessment Bodies webpage. Test reports should only be accepted if the recognized testing laboratory is recognized for the specific scope. Ensure that testing laboratories testing equipment subject to radio frequency (RF) exposure are accredited to the proper section of RSS-102;
- Submit an electronic copy of the technical brief to the Bureau, as per RSS-100, for every certification performed. For equipment subject to RF exposure requirements, as per RSS-102, a copy of the RF exposure test report shall be included in the submission;
- Ensure that a certification number is assigned to each equipment model, as per RSS-GEN;
- Inform certificate holders of ISED's requirements for labelling certified equipment with the assigned certification number, as specified in RSS-GEN;
- Address complaints forwarded by ISED regarding their operation and non-compliance notices on products they have certified; and
- Implement the required corrective action and report to ISED, as prescribed, within thirty (30) calendar days of the notification.
- Recognize that ISED is the final arbiter of disputes relating to equipment compliance with ISED requirements between CBs and certificate holders, testing laboratories and suppliers of radio apparatus. Dispute information shall be sent to ISED

### 13.6. TESTS

The tests required shall be performed by an ISED IC recognized third party laboratory.

The links to ensure this requirement are:

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- Wireless Device Testing Laboratories:

<https://ised-isde.canada.ca/site/mutual-recognition-agreements/en/wireless-device-testing-laboratories>

- Terminal Attachment Program Testing Laboratories:

<https://ised-isde.canada.ca/site/mutual-recognition-agreements/en/conformity-assessment-bodies/terminal-attachment-program-testing-laboratories>

**Important:** Please be reminded that conformity with the ISED IC Rules is the full, sole responsibility of the manufacturer and will never be the responsibility of a third party, such as a FCB or a Test lab.

### 13.7. FCB CERTIFICATE DATABASE

All equipment certified by the FCB under the certification scheme, will be stated in the ISED IC webpage in the [Radio Equipment List \(REL\)](#). This submission shall be performed by the FCB which is certifying such equipment and will be publicly available respecting the confidentiality request the manufacturer or importer states in its documentation.

Data that APPLUS+ LGAI must provide for the mentioned database

The following documentation shall be submitted to the [SPECTRA](#) system from ISED by the FCB.

- Cover letter(s)
- Attestation letter(s)
- Canadian Representative letter
- Block diagrams
- External Photos
- ISED ID label and location
- Internal Photos
- Operational Description
- Parts List, if applicable
- Schematics
- Test set-up photos
- Test Report
- Tune Up procedure, if applicable
- User's Manual
- Additional requirements

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In addition, it is possible that during the certification process, either for unlicensed or licensed devices, a Terminal equipment (TE) could be also applied. In such case, as per REC-CB clause 7.5. Notification to ISED of the certification to the applicable RSS and the registration of the TE must be provided by the CB at the same time. This is identified as "Dual" in the spectra system.

Therefore, in addition of a regular forms above-mentioned for a Unlicensed/Licensed devices the following forms must be also uploaded:

- DC-01
- Test Report under CS-03<sup>1</sup> spec.

Additional information is available in the following link:

<https://ised-isde.canada.ca/site/spectrum-management-telecommunications/en/devices-and-equipment/terminal-attachment-program-procedures/dc-01-procedure-declaration-conformity-and-registration-terminal-equipment>

In their Annex C: Document checklist for terminal registration.

An example for this kind of Terminal equipment is an IP Phone with Wireless technologies, Unlicensed like WIFI, BT,.... Or even licensed like 4G.

The Terminal equipment must be registered and available in the [Telecommunication Apparatus Register \(TAR\)](#).

During the year, several workshops takes place where APPLUS+ LGAI is participating regularly. Besides face to face events, also takes place remote meetings where the applicability of the ISED IC rules are discussed in order to provide proficiency when performing the evaluation.

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<sup>1</sup> CS-03 Compliance Specification for Terminal Equipment, Terminal Systems, Network Protection Devices, Connection Arrangements and Hearing Aids Compatibility

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### 13.8. COORDINATION BETWEEN FCB

On the understanding that the forms of conformity assessment must be systematically and consistently applied by all parties in order to ensure an open, competitive market throughout Canada, Applus-LGAI is an active member participating in face to face meeting as well as remote conferences. This participation helps in the effective application of the pertinent legislation in cooperation with the Committee established by way of the ISED IC and encourages the convergence of conformity assessment practices within the scope of the regulation.

The FCB must also:

- Be fully aware of the (National) spectrum plans in Canada, considering the frequency allocation of each service.
- Be familiar with the ISED IC Rules and legislation that, in turn, is applicable to radio equipment;
- Be able to interpret and identify the Rules that apply to a given type of equipment.
- Remain up to date on the current state of the art for wireless technology, including and following the advances in standardisation.

### 13.9. COMPLAINTS ON THE SERVICE PROVIDED BY THE FCB

As a FCB, APPLUS+ LGAI must have a policy and a procedure to solve any complaints received from clients or other parties (00000256 – Deviations and Complaints).

When the manufacturer is not satisfied with the service provided, he must file a complaint with the FCB in question. A complaint can also be filed by the manufacturer with the appointed national authority. The FCB shall perform the market surveillance activities according section 9 of the present document.

For the purpose of administrative and operational requirements, CBs shall address complaints forwarded by ISED regarding their operation and non-compliance notices on products they have certified and implement the required corrective action and report to ISED, as prescribed, within thirty (30) calendar days of the notification.

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### **13.10. ACKNOWLEDGEMENT OF CB CERTIFICATION PROCEDURE**

The CB certification procedure shall require, by signing the Annex I, an acknowledgement from the certificate holder allowing the technical parameters referred to the information to be provided with the notification for the type of certification shall include all required documents, as per the appropriate section in RSS-100 for the type of certification, to be posted in the Radio equipment list (REL) on the Bureau's website.

## **14. FINANCIAL SYSTEM**

The applicant must pay the cost of the conformity assessment regarding the aspects of the certification requested for the apparatus requested, which will consist of the following parts:

### **14.1. MANAGEMENT**

This includes management costs, administrative costs for processing the request and its management by Applus+ LGAI.

This amount will be paid by the applicant when the request is presented and will not be returned if the assessment process is interrupted.

### **14.2. COST OF THE ASSESSMENT**

This includes the time spent by the corresponding technical personnel on reviewing the technical and documental evaluation foreseen in this document, and depends on the type of equipment the manufacturer.

The applicant will pay the entire sum quoted before the start of the corresponding conformity assessment. The applicant will be provided with an invoice for the remaining amount once the assessment is complete.

### **14.3. ISSUE OF THE FCB CERTIFICATE**

This includes the issue cost of the Certificate.

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#### **14.4. EXTRAORDINARY CONTROL EXPENSES**

This includes any expenses corresponding to reviews and assessments that APPLUS+ LGAI decides to perform on an extraordinary basis.

### **15. MARKET SURVEILLANCE AND ITS ENFORCEMENT**

One of the responsibilities of a Foreign Certification Body (FCB), LGAI Technological Centre S.A, is to perform appropriate post-market surveillance activities in accordance with ISO/IEC Guide 65 or ISO/IEC 17065. These activities are based on Section 8 of REC-CB which requires a FCB to perform post-market surveillance activities based on type testing of products that the FCB has certified. The following are typical processes that may be used to meet this obligation.

#### **15.1. SAMPLE TEST PLAN**

FCBs shall have a plan that demonstrates how they intend to ensure that the proper number of samples will be tested. As part of this plan, FCBs shall notify the applicant/grantee in writing of the sampling requirement, advise them that they are required to make provision to have "production" samples available for at least one year after the last production date, and that they may be required to submit the equipment for post-market surveillance testing. These samples may be requested, at any time, by either the CB or the Bureau.

As part of the Applus+ product audit responsibility, CBs shall notify the Bureau, by email (Microsoft Word or Adobe PDF) at [certificationbureau-bureauhomologation@ised-isde.gc.ca](mailto:certificationbureau-bureauhomologation@ised-isde.gc.ca), once an audit has been completed during the current calendar year, or no later than January 31 of the following year.

- a. A minimum of 5% of the total number of products certified by the CB in the previous calendar year shall be subject to audit to the RSS requirements excluding those of RSS-102
- b. A minimum of 1% of the total number of products certified by the CB in the previous calendar year that are subject to audit to the RSS-102 (excluding Nerve Stimulation (NS) requirements which include those related to SAR, APD or IPD, measured/simulated  
The products audited in section a) or c) may be selected for these audits

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c. A minimum of 1% of the total number of products certified by the CB in the previous calendar year that are subject to audit to the RSS-102 requirements related to NS measured/simulated  
The products audited in section a) or b) may be selected for these audits

APPLUS/LGAI shall advise certificate holders that, in the event of an investigation for non-compliance, the certificate holder will be asked to provide ISED with records of the quality control process and any relevant information that would help identify the cause and extent of the non-compliance. All certificate holders are expected to be able to demonstrate the quality control process used for production inspection and testing, in accordance with good engineering practices.

## 15.2. SAMPLE AVAILABILITY

The ISED shall be notified when a grantee refuses or fails to comply with a request.

The grantee is expected to have samples available to respond to a request from the FCB or the ISED. The FCB is expected to notify the grantee of the requirement for having 'production' samples available (as noted under Sample Test Plan). Stating that a device is no longer manufactured is not a sufficient justification for not providing a sample. Also, stating that the device will not be marketed in Canada does not absolve a grantee of the requirement to provide post-grant production samples upon request by the FCB or the ISED.

## 15.3. FOLLOW-UP ACTIONS

The following actions are to be taken based on the finding(s) of the surveillance audit:

a. If a product fails to comply with the applicable requirements during an audit conducted by the CB, the APPLUS/LGAI shall immediately notify the certificate holder and the Bureau. The information submitted to the Bureau shall include a copy of the certificate that was issued for the subject equipment;

- RF exposure non-compliances
- other non-compliances

For RF Exposure non-compliances:

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In the notification to the certificate holder, the CB shall ask the certificate holder to provide relevant information, including, but not limited to, the following:

- i. An acknowledgement of receipt of the notification within 7 calendar days (from the date of the notification)
- ii. A corrective action plan within the timeline prescribed by ISED
- iii. The quality control data within the timeline prescribed by ISED

For Other non-compliances:

In the notification to the certificate holder, the CB shall ask the certificate holder to provide relevant information, including, but not limited to, the following:

- i. An acknowledgment of receipt of notification within seven (7) calendar days from the date of the notification
- ii. A corrective action plan within 15 calendar days (from the date of the notification)
- iii. The quality control data within 30 calendar days (from the date of the notification)

The timeline for the implementation/completion of the corrective action plan will be determined by ISED following a review of the corrective action plan.

If the applicant is unable to meet the above listed timelines, the CB shall inform ISED. Any failure to provide the required information may result in suspension or withdrawal of the certificate by the CB.

If a non-compliance case is not resolved within ninety (90) days, the CB shall take appropriate steps to suspend or withdraw the certificate and inform the certificate holder and ISED. The CB shall consult ISED and provide ISED with all information obtained during its investigation.

## 16. THE MARKING

Radio Frequency (RF) devices are required to be properly authorized under Canadian Rules prior to being marketed or imported into Canada. The ISED administers the TAC program under the authority delegated to it by the IC. This program is one of the principal ways the IC ensures that RF devices used in Canada operate effectively without causing harmful interference and otherwise comply with the ISED rules. All RF devices subject to equipment authorization must comply with the technical requirements prior to importation or marketing.

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Equipment that contains an RF device must be authorized in accordance with the appropriate procedures specified in the present document as summarized below (with certain limited exceptions). These requirements not only minimize the potential for harmful interference, but also ensure that the equipment complies with the rules that address other policy objectives – such as human RF exposure limits and hearing aid compatibility (HAC) with wireless handsets.

## 16.1. MARKING REQUIREMENTS

IC ID numbers consists of two elements, a grantee code and an equipment product code. An IC ID is assigned to all devices subject to certification.

Certification is the most rigorous approval process for RF Devices with the greatest potential to cause harmful interference. It is an equipment authorization issued by a recognized FCB (Foreign Certification Body) based on an application and test data submitted by the responsible party (e.g., the manufacturer or importer). The testing is done by an accredited testing laboratory recognized by ISED as approved for performing such work.

A FCB examines the test data and supporting documentation to determine whether the testing followed appropriate protocols and the data demonstrates technical and operational compliance with all pertinent rules. Technical parameters and other descriptive information for all certified equipment submitted in an application for Certification are published in a Commission-maintained public database. Examples of devices subject to certification include, but are not limited to, mobile phones; wireless local area networking equipment, remote control transmitters; land mobile radio transmitters; wireless medical telemetry transmitters; cordless telephones; and walkie-talkies.

The Grantee Code, the first portion of the IC ID, consist of the first characters alphanumeric string representing the Grantee/Applicant.

Grantee codes that begin with an alphabetic character (A-Z) of the first part of the IC ID. The second and third characters may be numbers or alphabetic characters.

The Grantee Code does not contain the numbers "one" and/or "zero". The Grantee Code is assigned by the ISED permanently to a company for authorization of all radio frequency equipment.

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The Product Code is the second portion of the IC ID that begins after the grantee code. The Product Code may include hyphens and/or dashes (-). The Product Code is assigned by the Grantee.

## 17. PROCESSING PROCEDURE

The certification request will be made in writing according to the model included in Annex I.

The following information will accompany the request:

- Technical dossier and referenced documents.

## 18. DECISION ON CERTIFICATION

The Decision Making will be carried out within a period not exceeding thirty days from the end of the evaluation of the file, ruling the granting or not of the Certification.

## 19. APPEALS

The LGAI APPLUS has procedure 00000257 regarding appeals, which will be submitted with the notification of the decision regarding the certificate.

## 20. MODIFICATIONS

The applicant is the responsible part of ensuring compliance with the regulations. Please refer to the modifications clause 6.3 of the present document for further detail on the permissible modifications.

APPLUS/LGAI shall notify the Bureau of any changes to the technical parameters referred to as per the appropriate section in RSP-100, for the type of certification which resulted from an equipment modification.

## 21. WAIVING THE CERTIFICATE

Where a manufacturer wishes to waive the Certificate issued by LGAI, he will inform of said waiver and will return the original certificate