Spectrum Management and Telecommunications

Terminal Attachment Program Procedure

Procedure for Declaration of Conformity and Registration of Terminal Equipment
Preface

This document describes the procedure that suppliers of telecommunications terminal equipment must follow to declare conformity to applicable technical specifications and to register their equipment with Innovation, Science and Economic Development Canada.

This document will come into force upon its publication on the Department’s website at www.ic.gc.ca/spectrum.

Issue 6 of DC-01 has been changed significantly from the previous issue due primarily to the implementation of the Department’s new online Spectrum Application Modernization – Commercial Software Implementation (SAM-CSI) tool.

Enquiries concerning the procedure for terminal equipment registration should be directed to:

Innovation, Science and Economic Development Canada
Certification and Engineering Bureau
P.O. Box 11490, Station H
3701 Carling Avenue (Building 94)
Ottawa, Ontario  K2H 8S2
Attention: Manager, Equipment Certification
Email: certification.bureau@ic.gc.ca

Enquiries concerning technical specifications for terminal equipment set out in CS-03, Compliance Specification for Terminal Equipment, Terminal Systems, Network Protection Devices, Connection Arrangements and Hearing Aids Compatibility, should be directed to:

Innovation, Science and Economic Development Canada
Engineering, Planning and Standards Branch
235 Queen Street
Ottawa, Ontario  K1A 0H5
Attention: Regulatory Standards
Email: ic.consultationradiostandards-consultationnormesradio.ic@canada.ca


Issued under the authority of
the Minister of Innovation, Science and Economic Development

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Director General
Engineering, Planning and Standards Branch
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1. Scope

DC-01, Procedure for Declaration of Conformity and Registration of Terminal Equipment, sets out the requirements for registering terminal products. This procedure does not apply to radio apparatus or broadcasting equipment, and does not apply to interference-causing equipment covered under the series of Interference-Causing Equipment Standards (ICES). This document must be used in conjunction with the requirements of CS-03, Compliance Specification for Terminal Equipment, Terminal Systems, Network Protection Devices, Connection Arrangements and Hearing Aids Compatibility.

1.1 Purpose and Application

DC-01 details the requirements for the application to register equipment to be listed in Innovation, Science and Economic Development Canada’s (ISED) Terminal Equipment List (TEL). The registration application shall be prepared and submitted in accordance with this procedure.

All telephones with handsets, including VoIP telephones, are subject to the requirements of this procedure and CS-03 and must be registered with Innovation, Science and Economic Development Canada.

Accessories that interface with terminal equipment are subject to the requirements of this procedure and CS-03 and may need to be registered with Innovation, Science and Economic Development Canada.

Terminal equipment previously registered or certified under Certification Procedure CP-01 will be regarded as compliant equipment, as long as it has not been modified. If equipment that was registered or certified under CP-01 has been modified, the procedure set forth in this document applies.

This document has been developed pursuant to Part IV.1 of the Telecommunications Act, and the regulation requirements of the Telecommunications Apparatus Regulations and CS-03.

Terminal equipment with radio apparatus capabilities must comply with and not be limited to terminal equipment regulations.

1.2 Reference Documents

The following documents can be found on Innovation, Science and Economic Development Canada’s Spectrum Management and Telecommunications website:

CB-02, Recognition Criteria, and Administrative and Operational Requirements Applicable to Certification Bodies (CB) for the Certification of Radio Apparatus to Industry Canada’s Standards and Specifications

DES-LAB(E), Procedure for Designation and Recognition of Canadian Testing Laboratories by Industry Canada

REC-LAB(E), Procedure for the Recognition of Designated Foreign Testing Laboratories by Industry Canada

CS-03, Compliance Specification for Terminal Equipment, Terminal Systems, Network Protection Devices, Connection Arrangements and Hearing Aids Compatibility
2. **Equipment Registration Requirements**

Terminal products subject to any standard requirements set out in CS-03 shall be registered with Innovation, Science and Economic Development Canada (ISED).

3. **Required Canadian Representative**

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

4. **Types of Terminal Products**

4.1 **Stand-Alone Terminal Interface Product**

A product is considered a stand-alone terminal interface product if it contains the terminal circuitry and the interface to connect to a public network. The product must be tested as stand-alone and registered with Innovation, Science and Economic Development Canada.

4.2 **Terminal Accessory**

When a terminal accessory is interfaced with a stand-alone terminal interface product and this interface may impact the terminal characteristics of the stand-alone terminal product, the terminal accessory must be tested with the stand-alone terminal interface product and registered with Innovation, Science and Economic Development Canada. Typically, the terminal accessory should be registered together with the stand-alone terminal interface product under family registration (see Section 6). If the terminal accessory is sold individually, it must be registered separately with a unique Innovation, Science and Economic Development Canada registration number.

4.3 **Terminal Host Product**

A product is considered a terminal host product provided that the main chassis or package contains terminal modules with or without terminal interface. The terminal host product may connect to a public network directly or through one or more of the contained terminal modules. The host product shall be tested for all the combinations of the terminal modules that are intended to be packaged with the terminal host product. The host product containing one or more module products can be considered a terminal equipment package and can be registered as a terminal equipment package with Innovation, Science and Économie Development Canada under one registration number. Terminal host products that can connect directly to a public network must be registered with Innovation, Science and Economic Development Canada.
4.4  Terminal Module Product Without Terminal Interface

A product is considered a terminal module product without terminal interface provided that the subassembly or card product contains the terminal circuitry but not the interface to connect directly to a public network. This type of product must be tested in a typical host product that connects to a public network. The host model number shall be reported. This type of product must be registered as part of a terminal equipment package with Innovation, Science and Economic Development Canada.

4.5  Terminal Module Product With Terminal Interface

A product is considered a terminal module product with terminal interface provided that the subassembly or card product contains the terminal circuitry and the interface to connect directly to a public network. If the intended host integration may impact the terminal characteristics of the host product, then the product must be tested in a typical host. Otherwise, the product may be tested as a stand-alone product. This type of product can be registered individually or as part of terminal equipment package. If the product is tested in a host product, the host model number shall be reported. The user manual for the module product shall contain a list of host equipment with which the module product is compatible.

4.6  Handsets

Telephones with wired or wireless handsets must be registered with Innovation, Science and Economic Development Canada. The requirements of CS-03 apply to Wi-Fi and IP-based handsets. Cellular phones and security telephone units are exempt from the requirements of CS-03 and DC-01.

4.7  Radio Certification and Terminal Registration

For a terminal product that also has a wireless interface (e.g. cordless telephones and DSL modems with a Wi-Fi interface), applications for radio certification and the registration of the terminal equipment shall be submitted together to a recognized certification body (CB) or Innovation, Science and Economic Development Canada’s Certification and Engineering Bureau. This will allow the product to share the same registration and certification number. The Department reserves the right to withhold notification of certification and/or registration if they are not submitted together.

Additional information regarding the certification of radio apparatus by a CB is provided in CB-02.

5.  Declaration of Conformity (DoC) and Registration Process

5.1  Testing

A representative sample of the final product must be tested to the latest version of the applicable terminal technical specifications to verify compliance. These specifications are established by the Department under the Telecommunications Act and are set out in CS-03.

In the case of Canadian testing laboratories, testing shall be performed by a testing laboratory that is accredited by the Standards Council of Canada or a recognized accreditation organization, in accordance with DES-LAB(E), and recognized by the Department. In the case of foreign testing laboratories, testing
shall be performed by a testing laboratory that is designated by a mutual recognition agreement/arrangement (MRA) partner and recognized by the Department, in accordance with REC-LAB(E).

A list of recognized testing laboratories has been compiled by the Department and is available on Innovation, Science and Economic Development Canada’s Mutual Recognition Agreements/Arrangements (MRA) website.

Although the methods of measurement prescribed in the applicable technical specification documents are preferred, the Department will accept alternative test methods accompanied by an engineering analysis that demonstrates the validity of the alternate test method.

Subcontracting of testing by one recognized laboratory to another is permitted only where the subcontracted testing falls within the latter’s scope of recognition. Any subcontracted work shall be clearly identified in the test report.

The recognized testing laboratory shall document all test results and test methods used, and prepare a CS-03 test report. A detailed list of requirements for the test report is provided in Annex D.

5.2 Labelling Requirements

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

1. prior to marketing in Canada, for products manufactured in Canada; and
2. prior to importation into Canada, for imported products.

Information on e-labelling is provided in Notice 2014-DRS1003.

The terminal product’s label represents the manufacturer’s or importer’s compliance with Innovation, Science and Economic Development Canada’s regulatory requirements.

5.2.1 Labelling of Terminal Products

Section 10 provides definitions for the commonly used terms that follow, including Product Marketing Name (PMN), Hardware Version Identification Number (HVIN), Firmware Version Identification Number (FVIN) and Host Marketing Name (HMN).

Every terminal product for which registration is required for marketing and use in Canada shall be identified as per the following six requirements:

1. The HVIN and ISED registration number shall be permanently indicated on the exterior of the product or displayed electronically according to e-labelling requirements.
   a) The HVIN and ISED registration number can be placed on a label that shall be permanently affixed to the product.
   b) The ISED registration number shall be preceded by “IC:”.
   c) The HVIN can be listed or placed on a label with or without a prefix.
   d) The HVIN and ISED registration number are not required to be adjacent to each other.
2. The PMN must be displayed electronically (e-labelling), indicated on the exterior of the product or product packaging, or provided in the product literature that shall be available with the product or online.

3. The PMN, HVIN and ISED registration number can be etched, engraved, stamped or printed on the product, or be placed on a label that is permanently affixed to a permanently attached part of the product.

4. The PMN, HVIN and ISED registration number indicated on any product on the Canadian market, or displayed electronically (e-labelling), must be listed in the TEL.

5. When the FVIN is the only difference between product versions listed in the TEL within a family registration (i.e. when the PMN and HVIN remain identical), the FVIN shall be displayed or stored electronically and be easily retrievable.

6. In all cases, the text used to indicate or display the PMN, FVIN, HVIN and ISED registration number shall be clearly legible.

In all cases, when the ISED registration number and HVIN, and the PMN and FVIN, when applicable, are indicated or displayed on the product according to the above listed requirements, they are not required to be adjacent to each other.

The ISED registration number is made up of a Company Number (CN), also known as an account number, assigned by ISED’s Certification and Engineering Bureau, followed by a Unique Product Number (UPN) assigned by the applicant. The registration number format is:

\[ \text{IC: XXXXXX-YYYYYYYYYYY} \]

where:

- The letters “IC:” indicate that this is an ISED registration number, but they are not part of the registration number. The characters that follow (XXXXXX-YYYYYYYYYYYY) make up the ISED registration number.
- XXXXXXX is the CN assigned by ISED. 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”).
- YYYYYYYYYYYYY is the 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 ISED registration number of this product would 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 ISED registration number of this product would be IC: 20001-WILAN3.

Example 3: 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 in the HVIN (“47XP-820K/A21XX”) or UPN (“WILANXX”). This practice is not permitted. However, this same sequence of symbols can be used as a valid HVIN and UPN, if it identifies a single product version.

5.2.2 Terminal Module and Terminal Host Product Labelling Requirements

Any modular terminal products for which registration is being sought shall meet the labelling requirements set out in Section 5.2.1.

The host product must be identified by an HMN. The HMN must be displayed electronically (e-labelling) or indicated at any location on the exterior of the product or product packaging or product literature that 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 ISED registration number of a module shall be clearly visible at all times when the module is installed in the host product; otherwise, the host product must be labelled to display the ISED registration number for the module, preceded by the words “Contains terminal module”, or similar wording expressing the same meaning, as follows:

Contains terminal module IC: XXXXX-YYYYYYYYYYYY

where XXXXX-YYYYYYYYYYYY is the module’s ISED registration number.

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

5.3 User Notifications

Terminal products shall comply with the requirement to include notices and statements addressed to the user of the product for each unit of the product offered for sale. The notices shall comply with the following five requirements:

1. The notices shall be as specified in Section 5.3.1 and Section 5.3.2.

2. These notices shall be shown in a conspicuous location in the product user manual, or displayed electronically on the product as per e-labelling requirements. Variable formats are acceptable for providing the notices (e.g., on paper, CD or DVD, in an insert, or using a download link on the company’s website).

3. If more than one notice is required for multiple product versions, the product version to which each notice pertains shall be identified.
4. The suppliers of terminal products shall provide the notices and/or statements in both English and French.

5. In cases where the user notifications are only available in one language (English or French) at the time of the registration process, the applicant shall provide a declaration in writing that the notices and/or statements to the user of the product will be in both English and French when the product is offered for sale and/or lease in Canada.

5.3.1 Statement of Compliance

The following statement of compliance shall be included in the product user manual or displayed electronically on the product as per e-labelling requirements:

“This product meets the applicable Innovation, Science and Economic Development Canada technical specifications”.

5.3.2 Ringer Equivalence Number (REN) Statement and Value

For terminal equipment with interfaces defined in Part I of CS-03 that use network-provided analog ringing, the REN statement and REN value requirements apply. The REN must be calculated as per Part I, Section 1.8 of CS-03. A higher REN may be assigned by manufacturers to allow for production variations. In all cases, the indicated REN value shall be greater than zero.

The following REN requirements apply:

- the REN value must be marked on the terminal equipment itself or in the manual;
- the terminal equipment or the manual must bear the REN statement below; and
- the stated or marked REN value must be 0.1 or greater.

The REN statement is the following:

“The Ringer Equivalence Number (REN) indicates the maximum number of devices allowed to be connected to a telephone interface. The termination of an interface may consist of any combination of devices subject only to the requirement that the sum of the RENs of all the devices not exceed five.”

6. Registration of a Product Family

6.1 Requirements

The multiple versions of a product can be registered under a family registration with one ISED registration number provided that all the product variants within a family application comply with the following five requirements:

1. The enclosure and general appearance of all product versions in a family shall be identical, excluding their enclosure color and minor external cosmetic differences.
2. The two or more versions of a product shall not contain two or more process control block (PCB) designs with identical enclosures.

3. The two or more versions of a product within a family registration application with different terminal features shall have these features enabled or disabled by software only and not hardware.

4. The new product variant with design improvements added to the existing family registration shall contain only minor PCB modifications.

5. Multiple product versions within a family registration application shall be identical or contain differences are as per Class I and III Permissive Changes (see Section 7) only.

For any Class II Permissive Changes (see Section 7) to be permitted under a family registration, the client or declaring party must have prior agreement including consent from ISED and justification to permit the changes under one family registration.

6.2 Exemptions

The following types of terminal equipment are permitted to be registered under one registration number:

- a base telephone unit with one or more wireless handsets (The base unit and the handset must each have a unique HVIN. Only identical handsets are permitted to share the same HVIN.);
- a terminal product and a terminal accessory such as wired headset; and
- a terminal equipment package containing different types of terminal modules.

If a terminal product/device/module/card/accessory designed to be used with terminal package is marketed and sold individually, the product must obtain a unique ISED registration number.

7. Modification of Registered Terminal Products

7.1 General

If a registered terminal product is modified in any way, it may require re-registration with Innovation, Science and Economic Development Canada (ISED). The registration holder shall inform ISED of any changes that may affect the product’s compliance with the technical requirements of the regulations under which the product was originally registered. For modifications listed as permissive changes in Section 7, the product registration services (see Section 8) shall be used as required to ensure that the modified product remains compliant with the applicable ISED regulations.

7.2 Class I Permissive Change (C1PC)

Class I Permissive Changes include:

- hardware modifications that do not affect the terminal characteristics of the product; and
- modifications that do not change external or internal mechanical characteristics significantly enough to require new photographs to identify the modified terminal equipment.
Class I modifications do not require that a notification be sent to ISED unless the HVIN or PMN is modified. However, for Class I modifications, the registration holder must ensure that the product continues to comply with the original registration obtained from ISED.

7.3 Class II Permissive Change (C2PC)

Class II Permissive Changes include:

- hardware modifications to the registered product that affect the terminal characteristics of the product;
- modifications that change external or internal mechanical characteristics significantly enough to require new photographs to identify the modified terminal equipment; and
- any change to the PMN or HVIN of the product registered with ISED.

Class II modifications require that a notification be sent to ISED.

7.4 Class III Permissive Change (C3PC)

Class III Permissive Changes include:

- firmware modifications to a registered product that affect the terminal characteristics of the product;
- new terminal features or capabilities that are enabled with modifications to the firmware but not the hardware; and
- cases where a new and unique FVIN must be provided.

Class III modifications require that a notification be sent to ISED.

7.5 Class IV Permissive Change (C4PC)

Class IV Permissive Changes include:

- a registered terminal module that is integrated into a new typical host product that changes the originally reported terminal characteristics of the product;
- cases where an HMN must be provided; and
- the module integration in a new host application that is permitted with or without firmware modifications.

Class IV modifications require that a notification be sent to ISED.

8. Product Registration Services

8.1 General

Section 8 has been prepared to assist the applicant when applying for equipment registration services.

Registration application forms include the following key fields, for which the requirements are provided:

- PMN: The Product Marketing Name (PMN) is optional at the time of the registration but must be provided before the product is listed in the TEL 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 registration 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 when applicable or required. If the product does not require firmware for operation, “N/A” can be entered as the FVIN.
• HMN: The Host Marketing Name (HMN) must be provided when the module is tested in a typical host product.
• Product Description: A brief description of the type of equipment must be provided.

8.2 New Single or Family Registration Service

8.2.1 New Single Product Registration Application

An application to register a new single product consisting of a single product version shall comply with the following five requirements:

1. A new single registration may be granted to a terminal product (final product or module) as long as the applicant has never obtained registration of a terminal product for the HVIN or ISED registration number provided in the application.

2. The PMN may be identical to HVIN and vice versa.

3. The FVIN must be provided, if applicable; otherwise, “N/A” must be entered as the FVIN.

4. The HMN is only required for modular registrations when module compliance was assessed in the host product.

5. Documents must be submitted as per Annex C.

8.2.2 New Product Family Registration Application

An application to register a new product family consisting of multiple versions of a product shall comply with the following seven requirements:

1. A new family registration may be granted to terminal products (final products or modules) as long as the applicant has never obtained registration of a terminal product for the HVIN(s) and ISED registration number provided in the application.

2. A family registration application cannot contain a mixture of modular and final product versions.

3. At least one field (PMN, HVIN or FVIN) must be unique to identify the different version(s) of the new product family.

4. Information documents related to the family registration must list the PMN, HVIN and FVIN of all the product versions within the application to explain in detail the hardware and/or software differences (e.g. terminal characteristics, circuitry design, function capabilities) between all the versions.
5. If the PMN and HVIN remain identical and the FVIN is the only difference between the product versions within the family registration application, then the FVIN must be provided.

6. The HMN is only required for modular registrations when the module compliance was assessed in the host product.

7. Documents must be submitted as per Annex C.

8.3 Additions or Modifications to Existing Registration Service

8.3.1 Addition of a New Product or Product Modifications (C1PC, C2PC) to an Existing Registration Application

The addition of a new product or of product modifications (C1PC, C2PC) to an existing registration shall comply with the following five requirements:

1. The PMN, HVIN or FVIN may be identical or different from the existing registered version(s) of the product(s).

2. The HMN is only required for modular registration(s) when the module compliance was assessed in the host product.

3. Any permitted modifications to the hardware or software of the original registered product that may affect its terminal characteristics must be supported by a test report with full or partial testing.

4. The modifications to the existing registered product must comply with the requirements of Class I and Class II Permissive Changes.

5. The documents must be submitted as per Annex C and include:
   - a detailed description of the firmware/hardware changes or differences (e.g. terminal characteristics, circuitry design, and functional capabilities) between different versions of the product;
   - photographs, block diagrams, schematics and/or product literature that detail the changes or differences; and
   - a brief statement on how the modified product meets the Class I/II modification requirements and/or family registration requirements.

8.3.2 Product Modification (C3PC) Application

A product modification (C3PC) application shall comply with the following three requirements:

1. A new and unique FVIN must be provided while the PMN and HVIN must remain identical to those of the existing registered product.

2. The information provided in the “Modification Information” document(s) (see Annex C) must include and not be limited to:
   - a detailed description of the terminal characteristics and/or functional changes to the registered product due the firmware change; and
• a brief statement on how the modifications meet the Class III modification requirements.

3. The documents must be submitted as per Annex C.

8.3.3 Product Modification (C4PC) Application

A product modification (C4PC) application shall comply with the following four requirements:

1. The signed “Modification Information” document(s) (see Annex C) must include details regarding the module integration, including statements regarding the changes to the module’s original reported terminal characteristics.

2. When the module integration affects the terminal characteristics, a test report with full or partial testing and updated information on the terminal characteristics must be submitted.

3. A new HMN, which is different from that of the original registration, must be provided.

4. Documents must be submitted as per Annex C.

8.4 Multiple Listing Service

With a multiple listing service, a new ISED terminal registration for a product can be obtained based on an existing product registration provided that the new registration application complies with the following seven requirements:

1. The existing registration applicant or another entity or company (new applicant) shall request a new ISED registration number based on the existing registration of a product.

2. The new registration application must include a unique ISED registration number for which registration has never been granted to the applicant.

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

4. The product version(s) in the new application must be identical (Class I modification permitted) to the one(s) of the existing registration.

5. The new application cover letter must include:
   • product details (ISED registration number, PMN, HVIN, FVIN, when applicable) from the existing registration and new application;
   • a declaration that the new product version is identical to the registered product; and
   • a declaration that the documents on file with ISED from the original registration remain unchanged and continue to be valid.

6. The new applicant must provide an “Original Applicant Authorization” letter, as per Annex C, from the existing registration applicant which includes:
   • product details (ISED registration number, PMN, HVIN, FVIN, when applicable) from the existing registration and new application;
• authorization for the existing registered product to be listed under the new applicant; and
• authorization for ISED to use documents on file from the existing registration.

7. Documents must be submitted as per Annex C.

8.5 Transfer of Registration

8.5.1 Full Transfer of Registrations (Company Takeover)

An application for a full transfer of registrations applies when one company takes over another company. The application shall comply with the following four requirements:

1. The applicant (i.e. company) must assume all of the responsibilities associated with all existing registrations from the current registration holder and provide a signed statement to that effect.

2. The applicant must submit a copy of a signed letter from the current registration holder, authorizing ISED’s Certification and Engineering Bureau to transfer the registration ownership from the current registration holder to the applicant and change the registration file information to reflect the applicant’s (i.e. the new registration holder) information.

3. The HVIN and ISED registration number must remain unchanged.

4. Documents must be submitted as per Annex C.

8.5.2 Partial Transfer of Registrations (Product Line Takeover)

An application for a partial transfer of registrations applies when one company takes over one or more product line(s) from another company, but not all of the other company’s product lines. The application shall comply with the following four requirements:

1. For the product line(s) being transferred, the applicant (i.e. company) must assume all of the responsibilities associated with the existing registrations from the current registration holder and provide a signed statement to that effect.

2. If all the registered products associated with the particular Company Number (e.g. in the example “123A-1234”, the CN is “123A”) are subject to transfer, then the applicant has the option of retaining the existing ISED registration number(s) and HVIN(s). Otherwise, going forward, the applicant must assign a new ISED registration number to all the transferred product lines.

3. The applicant must submit a copy of a signed letter from the current registration holder, authorizing the Certification and Engineering Bureau to transfer the registration ownership from the current registration holder to the applicant and change the registration file information to reflect the applicant’s (i.e. new registration holder) information.

4. Documents must be submitted as per Annex C.
9. **Registration Retention and Audits**

9.1 **Manufacturers, Importers, Distributors and Vendors**

Manufacturers, importers, distributors and vendors have a regulatory obligation to ensure that their product:

1. has been declared to comply with Canadian regulatory requirements;
2. is registered with the Department before it enters the Canadian marketplace; and
3. if sold in the Canadian marketplace, continues to meet the applicable standards throughout its entire life cycle.

Where testing shows that a product does not comply with an applicable standard, these entities are responsible for taking prompt and effective remedial action.

Any non-compliance may result in the removal of the terminal equipment from the TEL. Once removed, the equipment is no longer considered registered and is therefore illegal for sale, import or distribution. The terminal equipment must be reregistered before it can be added again to the TEL.

9.2 **Post-Registration and Post-Certification Audits, Investigations and Quality Control**

Post-registration and post-certification audits will be conducted by the Certification and Engineering Bureau in order to ensure that products continue to comply with the applicable procedures and standards. The Department may request that a registration holder provide random terminal product samples, at the registration holder’s expense, for post-registration audit testing or as a result of terminal interference complaints.

In the event of an investigation of non-compliance, the registration holder will be asked to provide 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 registration holders can demonstrate a quality control process used for product inspection and testing in accordance with good engineering practices.

9.3 **Remedial Action**

The registration holder will be required to take remedial action to the Department’s satisfaction if, as a result of a post-registration audit or by obtaining other information, the certification body (CB) or the Department determines that:

- a registered terminal product fails to meet this procedure or the applicable technical standard; or
- there is reasonable evidence that a registered product is creating interference or not operating in accordance with the parameters described the terminal regulation requirements.

9.4 **Disclosure of Information**

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

Files provided to the Bureau in the following exhibit types qualify for confidential treatment:
• block diagrams;
• operational descriptions;
• parts lists and tune-up information;
• schematic diagrams; and
• SDR software and security information.

For files of other exhibit types, the Department may consider allowing confidential treatment if the applicant submits an inquiry with the appropriate justification before the application for registration is submitted to the Department or CB.
### 10. Glossary of Commonly Used Terms and Definitions

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bureau</td>
<td>Bureau refers to Innovation, Science and Economic Development Canada’s Certification and Engineering Bureau.</td>
</tr>
<tr>
<td>Company Number (CN) or account number</td>
<td>A Company Number (CN), also referred to as an account number, is assigned by Innovation, Science and Economic Development Canada to each company.</td>
</tr>
<tr>
<td>declaration of conformity (DoC)</td>
<td>A declaration of conformity is a procedure by which the declaring party has the terminal equipment tested by a testing laboratory recognized by the Department and gives written assurance that the terminal equipment complies with the applicable technical specifications.</td>
</tr>
<tr>
<td>declaring party or applicant</td>
<td>The declaring party or applicant signs the DoC and assumes responsibility for the declaration.</td>
</tr>
<tr>
<td>Department</td>
<td>Department refers to Innovation, Science and Economic Development Canada.</td>
</tr>
<tr>
<td>equipment</td>
<td>Equipment refers to terminal apparatus.</td>
</tr>
<tr>
<td>Firmware Version Identification Number (FVIN)</td>
<td>The Firmware Version Identification Number (FVIN) identifies the firmware version used by the product, which controls or affects the terminal characteristics of the product.</td>
</tr>
<tr>
<td>Hardware Version Identification Number (HVIN)</td>
<td>The Hardware Version Identification Number (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 on registration applications.</td>
</tr>
<tr>
<td>Host Marketing Name (HMN)</td>
<td>The Host Marketing Name (HMN) is the name or model number of a final product which contains a terminal module or card.</td>
</tr>
<tr>
<td>ISED registration number</td>
<td>The ISED registration number is made up of a Company Number and a Unique Product Number.</td>
</tr>
<tr>
<td>product</td>
<td>Product refers to terminal apparatus.</td>
</tr>
<tr>
<td>product description</td>
<td>A field in which a brief description of the type of equipment is entered.</td>
</tr>
<tr>
<td>Product Marketing Name (PMN)</td>
<td>The Product Marketing Name (PMN) is the name or model number under which the product will be marketed or offered for sale in Canada. If the product has a PMN, it must be provided.</td>
</tr>
<tr>
<td>recognized accreditation organizations</td>
<td>Recognized accreditation organizations have been recognized by the Standards Council of Canada (SCC) or a mutual recognition agreement/arrangement (MRA) partner as competent to perform accreditation.</td>
</tr>
<tr>
<td>registration</td>
<td>Registration is the process by which terminal equipment is entered in the Terminal Equipment List to signify that a DoC has been received by the Department.</td>
</tr>
<tr>
<td>registered terminal equipment</td>
<td>Registered terminal equipment is equipment that is listed on the Terminal Equipment List.</td>
</tr>
<tr>
<td>supplier</td>
<td>Supplier refers to an entity, such as a manufacturer, reseller, distributor, importer or other agent, that deals with telecommunications terminal equipment.</td>
</tr>
<tr>
<td><strong>Terminal Equipment List (TEL)</strong></td>
<td>The Terminal Equipment List is a list of registered terminal equipment maintained by the Department. Equipment included on the TEL has been registered and, therefore, the supplier is permitted to register the equipment.</td>
</tr>
<tr>
<td><strong>terminal equipment package</strong></td>
<td>A terminal equipment package includes two or more terminal modules or products packaged in one chassis and registered under one registration number.</td>
</tr>
<tr>
<td><strong>terminal product</strong></td>
<td>A terminal product includes any apparatus that must be registered to be listed in Innovation, Science and Economic Development Canada’s <em>Terminal Equipment List</em>.</td>
</tr>
<tr>
<td><strong>testing laboratory</strong></td>
<td>A testing laboratory performs tests (see the latest version of ISO/IEC Standard 17025).</td>
</tr>
<tr>
<td><strong>Unique Product Number (UPN)</strong></td>
<td>A Unique Product Number (UPN) is assigned by the applicant to a product or a family of products to be registered. The UPN makes up part of the ISED registration number.</td>
</tr>
</tbody>
</table>
### Annex A – Declaration of Conformity (DoC) and Registration of Terminal Products

#### Registration Applicant

<table>
<thead>
<tr>
<th>Company Name:</th>
<th>Contact Name:</th>
</tr>
</thead>
<tbody>
<tr>
<td>ISED Company Number:</td>
<td>Tel.:</td>
</tr>
<tr>
<td>Company Address:</td>
<td>Fax:</td>
</tr>
<tr>
<td>Email:</td>
<td></td>
</tr>
</tbody>
</table>

#### Canadian Representative

<table>
<thead>
<tr>
<th>Company Name:</th>
<th>Contact Name:</th>
</tr>
</thead>
<tbody>
<tr>
<td>ISED Company Number:</td>
<td>Tel.:</td>
</tr>
<tr>
<td>Company Address:</td>
<td>Fax:</td>
</tr>
<tr>
<td>Email:</td>
<td></td>
</tr>
</tbody>
</table>

#### Product Information

<table>
<thead>
<tr>
<th>Product Description:</th>
<th>ISED Company Number:</th>
</tr>
</thead>
<tbody>
<tr>
<td>PMN:</td>
<td>UPN:</td>
</tr>
<tr>
<td>HVIN:</td>
<td>FVIN:</td>
</tr>
</tbody>
</table>

**Type of Registration Service:**
- □ New Single Registration
- □ New Family Registration
- □ Existing Family/Modifications (C1PC,C2PC)
- □ Modifications (C3PC,C4PC)
- □ Multiple Listing
- □ Full Transfer of TAC
- □ Partial Transfer of TAC

#### Payment Information and Authorization

<table>
<thead>
<tr>
<th>Payment Amount ($)</th>
<th>Payment Method:</th>
<th>□ Cheque □ Credit Card</th>
</tr>
</thead>
<tbody>
<tr>
<td>Card Holder / Payment By:</td>
<td>□ Applicant □ Representative</td>
<td>Credit Card Type: □ Visa □ MC □ AMEX</td>
</tr>
<tr>
<td>Name on the Card:</td>
<td>Card Number:</td>
<td></td>
</tr>
</tbody>
</table>

I agree to pay the total amount stated above in accordance with the credit card holder’s agreement.

<table>
<thead>
<tr>
<th>Card Holder’s Signature:</th>
<th>Card Expiry Date:</th>
</tr>
</thead>
</table>

#### Application Agreement Signature

The applicant agrees that:
(a) maintaining registration is based on continued conformity with DC-01;
(b) the product described above conforms with the applicable technical specifications for terminal equipment; and
(c) Innovation, Science and Economic Development Canada may post information regarding this terminal equipment on the TEL website.

<table>
<thead>
<tr>
<th>Contact Name:</th>
<th>Contact Person Title and Company Name:</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ Applicant or □ Authorized Agent</td>
<td></td>
</tr>
<tr>
<td>Signature:</td>
<td>Signature Date:</td>
</tr>
</tbody>
</table>
# Annex B – Terminal Test Report Cover Sheet

## Product Registration Information

<table>
<thead>
<tr>
<th>Product Registration Information</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PMN:</strong></td>
<td><strong>ISED Company Number:</strong></td>
</tr>
<tr>
<td><strong>HMN:</strong></td>
<td><strong>UPN:</strong></td>
</tr>
<tr>
<td><strong>HVIN:</strong></td>
<td><strong>FVIN:</strong></td>
</tr>
</tbody>
</table>

## Certification Body (If Applicable)

<table>
<thead>
<tr>
<th>Certification Body (If Applicable)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Company Name:</strong></td>
<td><strong>Contact Name:</strong></td>
</tr>
<tr>
<td><strong>ISED Company Number:</strong></td>
<td><strong>Tel.:</strong></td>
</tr>
<tr>
<td><strong>Company Address:</strong></td>
<td><strong>Fax:</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Email:</strong></td>
</tr>
</tbody>
</table>

## Testing Laboratory

<table>
<thead>
<tr>
<th>Testing Laboratory</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Company Name:</strong></td>
<td><strong>Contact Name:</strong></td>
</tr>
<tr>
<td><strong>ISED Company Number:</strong></td>
<td><strong>Tel.:</strong></td>
</tr>
<tr>
<td><strong>Company Address:</strong></td>
<td><strong>Fax:</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Email:</strong></td>
</tr>
</tbody>
</table>

## Product Information

<table>
<thead>
<tr>
<th>Product Information</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Product Description:</strong></td>
<td></td>
</tr>
<tr>
<td><strong>CS-03 Part:</strong></td>
<td><strong>Network Interface Code(s):</strong></td>
</tr>
<tr>
<td>□ I □ II □ IV ❑ V □ VI □ VII □ VIII □</td>
<td></td>
</tr>
<tr>
<td><strong>Equipment Category Number(s):</strong></td>
<td><strong>REN Value:</strong></td>
</tr>
</tbody>
</table>

## Agreement Signature

<table>
<thead>
<tr>
<th>Agreement Signature</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Applicant or Agent Name:</strong></td>
<td><strong>Applicant or Agent Title:</strong></td>
</tr>
<tr>
<td><strong>Applicant or Agent Signature:</strong></td>
<td><strong>Signature Date:</strong></td>
</tr>
</tbody>
</table>
Annex C – Document Checklist for Terminal Registration

The following list of documents must be attached according to the type of registration service listed at the bottom of the table. The details below the table provide guidance.

<table>
<thead>
<tr>
<th>Description of Required Document</th>
<th>Type of Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>Application Cover Letter: A letter explaining the type of registration requested and briefly describing the terminal product.</td>
<td>All</td>
</tr>
<tr>
<td>DoC-01 Annex A: Completed and signed.</td>
<td>All</td>
</tr>
<tr>
<td>DoC-01 Annex B: Completed and signed.</td>
<td>All</td>
</tr>
<tr>
<td>Canadian Representative Letter: Signed by the Canadian representative.</td>
<td>All</td>
</tr>
<tr>
<td>Agent/Authorization Agreement: If the applicant has authorized another entity to act as legal representation on the applicant’s behalf.</td>
<td>All</td>
</tr>
<tr>
<td>Terminal Test Report: A detailed test report meeting the technical requirements of Annex D and applicable CS-03 requirements.</td>
<td>All*</td>
</tr>
<tr>
<td>Photos: Internal and external photos of the product versions indicated in the application.</td>
<td>All*</td>
</tr>
<tr>
<td>Product manual: With applicable user notifications and operational description.</td>
<td>All*</td>
</tr>
<tr>
<td>Schematics, Parts List and Block Diagrams</td>
<td>All*</td>
</tr>
<tr>
<td>Product Label: Physical label and photo of the label location or illustration of the product label.</td>
<td>All*</td>
</tr>
<tr>
<td>Family Registration Information: A letter, schematics, diagrams or photos explaining or showing the similarities and differences between the versions of the product.</td>
<td>2,3</td>
</tr>
<tr>
<td>Modification Information: A signed letter that explains or shows the changes to the existing version of the product and that may include schematics, diagrams or photos if necessary.</td>
<td>3,4</td>
</tr>
<tr>
<td>Original Applicant Authorization: A letter signed by the original applicant authorizing the new applicant to register the product for multiple listing or transfer of TAC.</td>
<td>5,6</td>
</tr>
</tbody>
</table>

All – The requirement applies to all types of registration services (1, 2, 3, 4, 5 and 6) listed below.
* – For all types of applications, if the document is identical to the document with the original filing, the document can be omitted.
1 – New Single Product Registration
2 – New Product Family Registration
3 – Add New Product to Existing Registration (C1PC, C2PC)
4 – Product Modifications (C3PC, C4PC)
5 – Multiple Listing
6 – Full/Partial Transfer of Registration
Annex D – CS-03 Test Report Requirements

The CS-03 test report shall contain the following information:

a. the title, identifying the product model and the parts of CS-03 that apply to the test report;
b. the date on which the report was issued, e.g. January 1, 2001 (The test report shall not be older than 12 months when the application for equipment registration is submitted.);
c. the name and postal address of the test facility and the location and postal address where the tests were carried out;
d. the name and postal address of the customer and/or applicant for the equipment under test (EUT);
e. the name(s), function(s), and signature(s) or equivalent identification of person(s) responsible for the test report;
f. unique identification of the test report, such as a test report number;
g. a table of contents;
h. an apparent identification on every page so that a page can be recognized as a part of the test report;
i. a clear identification of the end of the test report;
j. a description and unambiguous identification of the EUT tested (Where more than one sample is required for technical reasons, each specific test shall identify which unit was tested.);
k. a summary of all the tests listed in the applicable part of CS-03, with a notation of whether the EUT passed or not\(^1\);
l. the results of measurements conducted on the product as described in the applicable CS-03 technical specification(s);
m. photos of the EUT and any manufacturer-supplied accessories to be used with the EUT under normal operating conditions that are relevant to the testing of the EUT;
n. identification and description of any operating software or firmware for both the normal operating mode and special test modes for compliance testing;
o. the measurement uncertainty of the instrumentation;
p. a description and a block diagram of the test setup; and
q. the following information for each test provision deemed applicable:
   i. operating conditions for the product under test (including firmware, specific software settings and input/output signals to the EUT);
   ii. modifications made to the product (if any);
   iii. the results of the test in the form of tables, spectrum analyzer plots, charts, sample calculations, etc., as appropriate for each test procedure;
   iv. the test equipment used identified by type, manufacturer, serial number, or other identification and the date on which the next calibration or service check is due (The test equipment must be within its calibration cycle at the time of testing.); and
   v. the name of the person(s) who performed the testing.

\(^1\) Alternative measurement methods may be used provided that they are fully described in the test report. However, Innovation, Science and Economic Development Canada’s Certification and Engineering Bureau shall be consulted to determine the acceptability of alternative measurement methods.
The CS-03 test report shall contain the number of test result sets specified below:

- If the terminal equipment is fully operational after the application of both Type B and Type A voltage surges, then only two sets of test results are required ("before surge voltage" and "after Type A surge voltage").

- If the terminal equipment is fully operational after Type B voltage surge, but is damaged and/or not fully operational after Type A voltage surge, then three sets of test results are required ("before surge voltage", "after Type B surge voltage" and "after Type A surge voltage").

- If no "after type B surge" test was performed on the original sample, the type B surge voltage shall be applied to a second sample and the "after Type B surge" test can be obtained from this second sample. Both samples shall be documented in the test report.