

ACB and Sulis

FCC Rules and Requirements

Electrical and Radio Equipment

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ACB

Sulis Consultants

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Why are you here?

- Who do we have here?
- Why are you here?

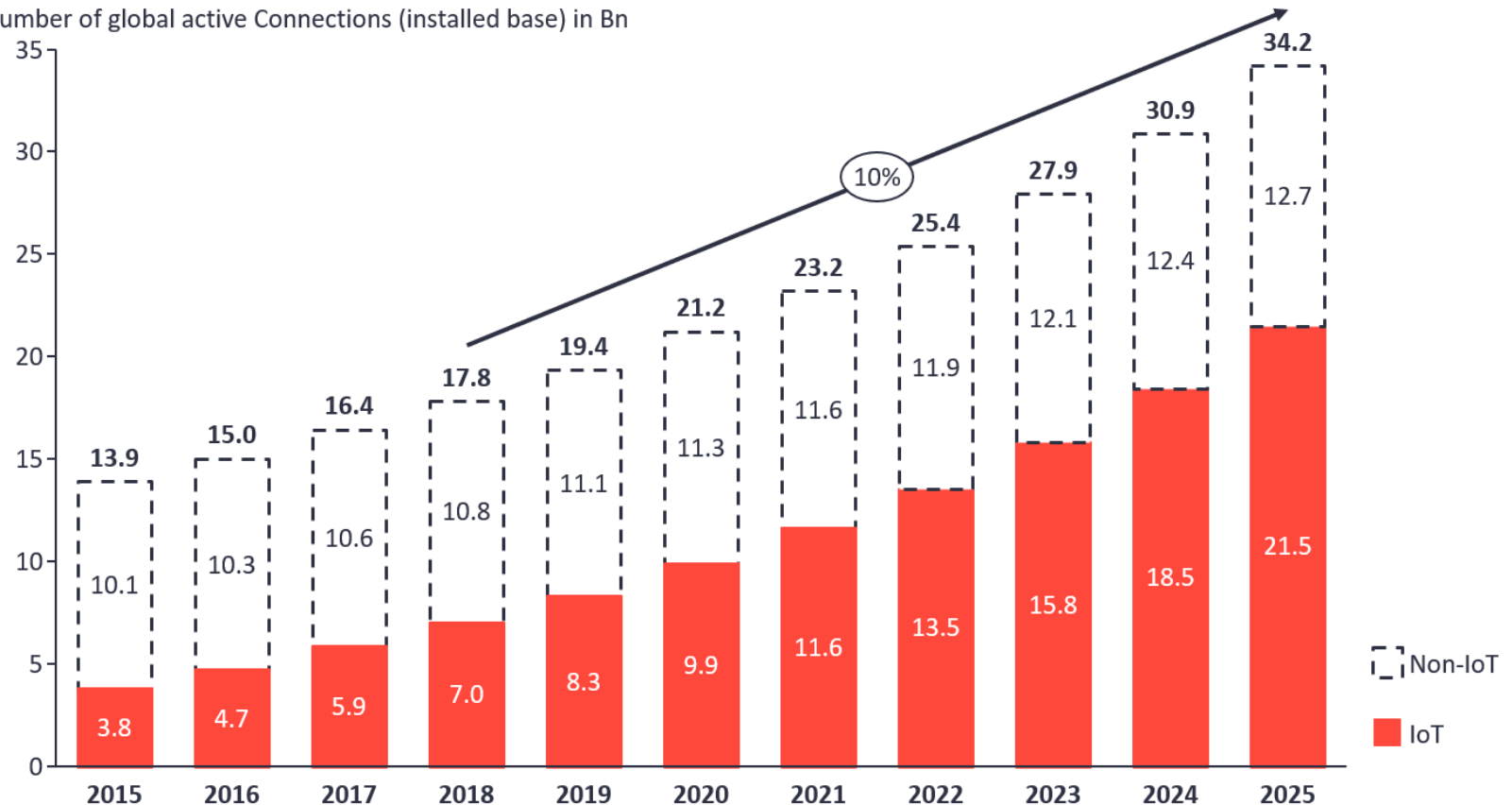


FCC and ISED Compliance

- >10,000 new FCC certifications in 2019
- 5% market surveillance, is >500 products tested
- ISED and FCC gathering data and associating a risk factor to manufacturers, test labs, TCBs
- Real market surveillance is by competitors!
- You can make a great performing product; but if you can't sell it, it's effectively useless
- Successful time to market is the highest priority

Total number of active device connections worldwide

Number of global active Connections (installed base) in Bn



Note: Non-IoT includes all mobile phones, tablets, PCs, laptops, and fixed line phones. IoT includes all consumer and B2B devices connected – see IoT break-down for further details

Source: IoT Analytics Research 2018

Agenda

- Overview of the FCC and ISED requirements
- Testing requirements
- Radio Modules
- Installing Radio Modules
- Application for Certification
- Technical Documentation and Labelling

USA Equipment Authorisation



American Certification Body
Your Certification Resource



Sulis Consultants
CE Marking and Product Approvals



USA Equipment Authorisation

- A product into the USA and Canada
 - FCC and ISED Canada
 - Control communication issues
 - Including interference, EMC, etc.
 - The requirements cover interference only
 - Only transmitter performance and EMC emissions
 - No receiver testing
 - Not 'quality' EMC (immunity)
 - Not 'product' safety
 - Does include RF exposure safety

Choose Authorisation Route

- What are the authorisation routes:
 - There are two:
 - Supplier's Declaration of Conformity (sDoC)
 - Certification
 - Authorization route in the FCC rules and ISED standard

Types of Equipment

First: Some explanations to ease the discussion with terminology:

- Unintentional Radiators
 - IT Equipment
 - Receivers
 - FCC Part 15, subpart B
- Intentional Radiators
 - Transmitters
 - FCC Part 15, subpart C (also subparts, D, E, F, G, H)
 - >50% of all new certifications are 15.247!
 - Licensed Parts 22, 24, 25, 27, 90, 101, etc.

Summary of Authorisations

- Basic summary
 - Unintentional Radiators
 - Most people choose sDoC
 - For the FCC, Certification is an option
 - Intentional Radiators
 - Certification

Choose Authorisation Route

- What are the authorisation routes:
 - Each ‘mode’ or operation is assessed
 - Similar to the EU, there is no “primary function” and each function must be fully tested
 - Each mode or function must also be authorised
 - sDoC and Certification could both apply to one product; for different operations of it
 - Multiple authorisations could apply to one product!
 - Different to the EU!

Excluded

- Some devices do not require authorisation
 - Military equipment is not for the FCC
 - **Unintentional radiators**
 - Transport/Vehicles; Test Equipment; Appliances; Medical; low power consumption
 - See FCC 15.103 and ISED ICES-00x
 - **This is only the unintentional radiator**
 - If the device has a transmitter, that part/mode of the device still requires certification!

sDoC

- Supplier's DoC for the device
 - Perform the required tests
 - AC conducted and radiated emissions tests
 - Add sDoC compliance statements
 - For example, statement in the user manual
 - For USA, the label may show FCC Logo, optional

Certification

- Manufacturer has device certified for use
 - By a TCB/FCB (industry Certification Body)
- Perform the required tests
 - Spurious emissions
 - Transmitter performance tests
- Compile the required technical data (exhibits)
 - Submit all information to TCB/FCB
- FCC Grant and ISED Certificate from TCB/FCB
 - Then ISED lists it

Certification

- Certification of radio equipment
 - FCC ID or ISED number on the product and linked to online file
 - Unique to each device; to certification file; and it does not just mean “it passes some tests”
 - The FCC/ISED ID goes on the certified device
 - Technical documents held by the FCC / ISED
 - Schematics, block diagrams, photos, test results
 - Traceable to that product

Final Product Authorisation

- One product with multiple modes
 - “Is that device sDoC or Certification”
 - The answer is often: “Both, if you like”
 - Radio transmitter certified; digital device parts are most likely sDoC (or certification, for FCC)

Choose Authorisation Route

- Choosing which Authorisation route:
 - Examples of devices with one; or multiple
 - AV Projector
 - Computer Peripheral, maybe also unlicensed transmitter
 - Mobile Phone
 - Mixture of licensed transmitter, unlicensed transmitter, computer peripheral, electronic digital device, receiver
 - House appliance or vehicle electronics
 - Electronics may be exempt from authorisation; but it may contain a radio transmitter requiring certification

Rebranding?

- New company taking responsibility
 - FCC Change in ID and ISED Multiple Listing
 - It is possible to do a Change in ID application
 - New company puts their own ID onto a device which has already been certified
 - Does not need re-testing, it's just paperwork
 - Letter from new company, requesting the change
 - Letter from original company, giving permission
 - Label and photos to show new markings

Changing a Product?

- What happens when a product changes?
 - Products evolve; improve; develop; change
 - Engineers get bored easily
 - For sDoC, it's quite simple; test and store
 - For Certification; product data stored online
 - Test data; hardware details; conditions of use
 - Rated output power, channels, modulations
 - Changes can be permitted within certification; known as a **Permissive Change**

Permissive Changes

- Changes permitted within a certification
 - If the hardware of the radio transmitter part of a device changes, the product requires a new certification and new FCC/ISED ID
 - “But it still passes!”
 - “But the power is the same!”
 - “It uses the same design idea as our other products!”
 - None of these things are relevant

Permissive Changes

- Changes permitted within a certification
 - Does not require update to the FCC or ISED
 - Class 1 Permissive Change (C1PC)
 - Does require update to the FCC or ISED
 - Class 2 Permissive Change (C2PC)
- Other Classes exist for ISED
 - Software changes (C3PC)
 - Change a module when installed into host (C4PC)

Permissive Changes

- “Will it be C1PC or C2PC?”
 - In some cases, the change must be C2PC
 - Some changes the FCC and ISED really want to know about; and know what you did about it
 - In some cases, you really do not know the Class until you have done some testing
 - Emissions the same as before or better; C1PC
 - Emissions worse than before; C2PC

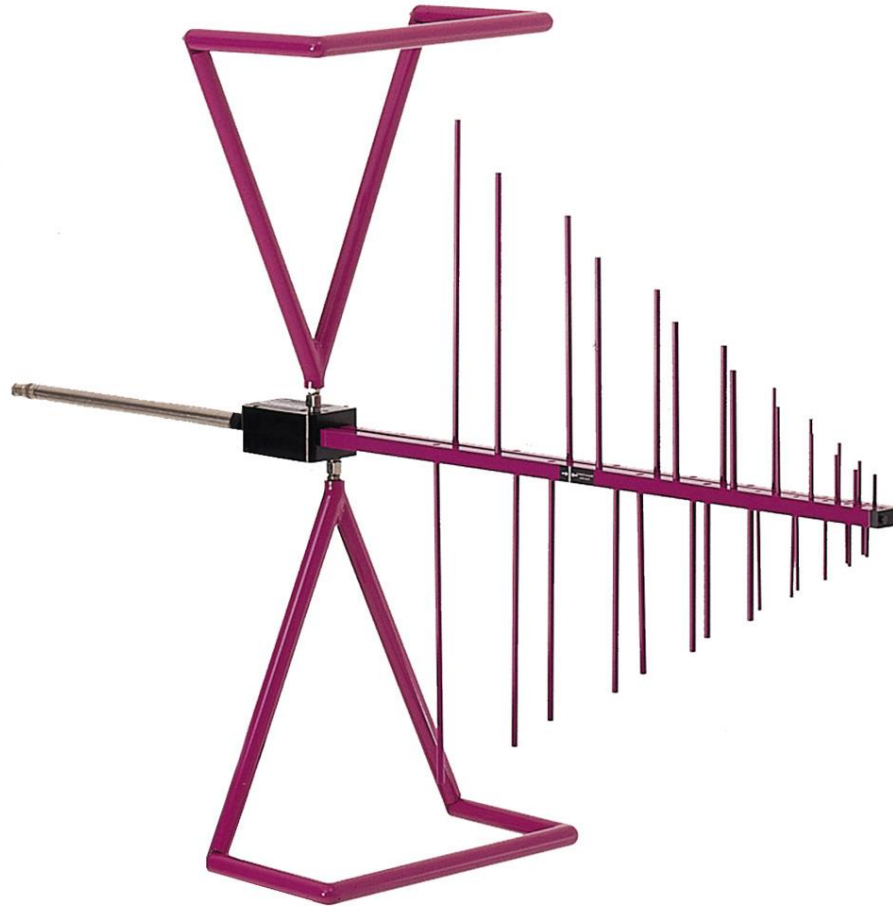
Permissive Changes

- Modifying or incorporating
 - Incorporating a radio into another radio
 - New certification required for new radio

Test vs Approval

- Can you see this difference?
 - Testing to the ANSI standards shows it can technically comply with the limits
 - ‘Testing only’ does not make it a legal product
 - sDoC or Certification is the approval process
 - Testing is needed for approval; but the manufacturer is responsible for maintaining technical compliance of their devices

Testing



Testing

- What is EMC or Radio testing for FCC?
 - Making measurements on a product
 - In North America; typically we're talking about:
 - Noisy (spurious) emissions (EMC)
 - Transmitter performance (Radio)
 - Measurement for regulatory compliance
 - Test their way, to meet their rules
 - EU allows deviations and still meet the Directive; but FCC rules are clear about test methods

Choice of Test Lab

- sDoC
 - Most commonly used for Part 15 subpart B; unintentional radiators
 - ISO 17025 accreditation is not required
 - Test lab does not need to be listed on FCC website
 - The test standard ANSI C63.4 must be followed; and that standard does require that a suitable test site is used for radiated measurements
 - ANSI C63.4 also contains specific reporting requirements

Choice of Test Lab

- Certification
 - Mostly transmitters, or some electronics
 - ISO 17025 accreditation **is** required
 - Test lab must be listed on FCC website
 - The actual test site and specific frequency and FCC rule part capabilities must be detailed on the FCC website
 - Reporting requirements for a TCB are quite specific

Choice of Test Lab

- FCC lab listing note
 - An accredited test lab cannot 'authenticate' reports from an unauthorised lab
 - The FCC takes this very seriously
 - The lab could lose its test site listing
 - It's all about where the measurement is actually made, not about where the report is written
 - Must list the actual test site location, chamber, etc.

Certification - Technical

- Testing to the FCC Requirements
 - Must use an approved test procedure
 - FCC rules must be followed
 - Must follow the authorised procedures
 - Cannot improvise unpublished test methods

Certification - Technical

- Testing to the FCC Requirements
 - All the information is critical
 - If you only know the FCC rules; you'll know the product requirements but not how to test them
 - If you only know the ANSI standards; you'll know the test methods but not the product requirements
 - If you don't know the KDBs, you may not know the latest nuances or allowances
 - Membership of the TCB Council is helpful

Part 15 – General Testing

- 15.33 – Frequency Range Radiated
 - Frequency range of radiated emissions
 - **Unintentional Radiators**

Highest frequency generated or used in the device or on which the device operates or tunes (MHz)	Upper frequency of measurement range (MHz)
Below 1.705	30.
1.705-108	1000.
108-500	2000.
500-1000	5000.
Above 1000	5th harmonic of the highest frequency or 40 GHz, whichever is lower.

Part 15 – General Testing

- 15.33 – Frequency Range Radiated
 - Frequency range of radiated emissions
 - **Intentional Radiators**

Highest frequency of the intentional radiator	Upper frequency of measurement range (MHz)
<10 GHz	10 th harmonic of highest frequency or 40 GHz, whichever is lower.
≥10 GHz and <30 GHz	5 th harmonic of highest frequency or 100 GHz, whichever is lower.
≥30 GHz	5 th harmonic of highest frequency or 200 GHz, whichever is lower.

Part 15, subpart B

- Unintentional Radiators
 - Digital Devices, IT Equipment, Receivers
 - Typically sDoC (Part 15.101)
 - Main test cases are:
 - 15.107, AC Conducted Emissions
 - 15.109, Radiated Emissions
 - Alternative test:
 - 15.111, receiver antenna port emissions
 - ANSI C63.4-2014 and FCC Part 15

Part 15, subpart B

- 15.107 and 15.207
- AC Conducted Emissions
 - For all AC and DC powered devices
 - Only battery powered devices are exempt
 - For DC powered, it is as if you are effectively testing the power supply!

Part 15, subpart B

- 15.109 and 15.209
- Radiated Emissions
 - Ranges and requirements of 15.33 and 15.35
 - For Part 15 radiated emissions, it is a field strength measurement in dB μ V/m
 - Test site photos are important

Part 15, subpart C

- Intentional Radiators
 - Transmitters
 - Typically Certification (15.201)
 - Radio specific test cases are:
 - **15.xxx?, Transmitter measurements**
 - Depending on transmitter frequency and operation
 - ANSI C63.10-2013 and FCC Part 15

Antenna Requirements

- Part 15C devices certified with antenna
 - Require testing with the antenna connected
 - All radiated test cases
 - Highest gain of each antenna type tested
 - “Type” is not defined
 - It’s based on radiation pattern, not the name
 - e.g., “omni” is not an antenna type

Antenna Requirements

- Part 15 Tx devices certified with antenna
 - Device must have an integral or dedicated antenna, or a 'unique' antenna connector; unless it is for professional installation only
 - FCC Parts 15.203 and 15.204
 - Can only be used with certified antenna
 - New antennas added by Permissive Change

Band Edges

- Note about emissions at band edges
 - Not often mentioned in the rules; but always a requirement, for all transmitters
 - Ensure device stays within band
 - Check carefully limits
 - 2483.5 MHz is a restricted band, so tight limits
 - If there's power reduction on edge channels, multiple power and band edge measurements
 - e.g., WLAN Channels 1, 2, 3, 6, 10, 11, 12, 13

Worst Case?

- Mode, modulation, bandwidth
 - Each one must be proved to comply
 - It can be possible to report only the worst case (highest level) modes, as long as all were actually tested
 - ‘Reporting reduction’ is a paperwork issue and not the same as ‘test reduction’

ISED Canada

- Testing for Canada
 - Very similar to the FCC
 - Test lab must be listed on ISED website
 - Additional bandwidth test
 - Reporting requirements are more detailed

RF Exposure

- RF Exposure Safety
 - This is a really big issue for the FCC and ISED
 - More time and effort dedicated to SAR at the TCB Council Workshop than any other topic

RF Exposure

- Two main types of assessment
 - MPE
 - Maximum Permissible Exposure
 - Power Density in air measurement (W/m^2)
 - Calculated using power and distance
 - SAR
 - Specific Absorption Rate
 - Power in body tissue measurement (W/kg)
 - Measured using a probe into simulated tissue

RF Exposure

- Very Low Power (dB μ V/m limits) devices
 - Do not require an assessment
- Devices using 'mW' as their power limit
 - <20 cm to person, must be assessed for SAR
 - >20 cm to person, must have MPE calculation

RF Exposure – Canada

- Same idea in Canada
 - But limits and levels are tighter in Canada
 - Assessment approach is the same, but the numbers are different

Radio Modules



Why modules?

- A change in Industry
 - It's a wireless world
 - Entrepreneurs and marketing people
 - The IoT and M2M are a desired lifestyle but manufacturers of 'things' are not radio experts
 - A challenge for our industry
 - The solution
 - Radio manufacturers make modules
 - Other equipment manufacturers make their own products, and install a module

Modular Approval Types

- Modular Approval?
 - This FCC and ISED Canada have a mature Modular Approval solution
 - The module is intended for any environment
 - Module is tested and certified as a module
 - Gives the module “super powers” to keep its certification when installed in other things
 - Does not guarantee “passing tests” in host!
 - Remember to keep those items separate!

Modular Approval

- Modular Approval
 - The Module will have the FCC ID & ISED ID
 - The module must be labelled with the FCC ID: & IC:
 - Any host incorporating the module will show that the module is contained within it
 - Contains FCC ID: XXXYYYYY
 - Contains IC: 1234A-YYYYYY
 - FCC ID and ISED ID will relate to module
 - If no modular approval, you cannot do 'Contains'
 - Except some 'Computer Peripheral' cases

Modular Approval

- Technical, administrative, testing and certification requirements for Modular Approval
 - A set of criteria exist for full Modular Approval certification, which allows the module to be used in any permitted host
 - If you do not meet all criteria, then you cannot achieve full Modular Approval

Modular Approval criteria shown on the next page:

FCC Modular Approval

- Eight criteria for Modular Approval (15.212)
 1. Transmitter section must have its own shield
 2. Must have buffered modulation/data inputs
 3. Must have power supply regulation
 4. Must meet Part 15 antenna requirements
 5. Must be tested in stand-alone configuration
 6. Must be labelled with the FCC ID
 7. Must meet its own FCC rule part
 8. Must meet RF Exposure requirements

FCC Limited Modular Approval

- “But my module passes without that!”
 - You cannot miss one of those requirements and still get Full Modular Approval
 - Engineering and legal reasons
- Possible to get Limited Modular Approval
 - (LMA)
 - Does not meet all the 8 requirements
 - Limited only to specific hosts or conditions



American Certification Body
Your Certification Resource



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FCC Integrating Modules



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FCC Integrating Modules

- Using (integrating) a certified module
 - Applicable to manufacturers of host equipment which have radio modules installed in them
 - Rely on certification of the module
 - No need to get certification of the host
 - In fact; you cannot certify the host based on module certification; unless you do some re-testing
 - The host must state that it contains the module and the host must show the module's FCC ID
 - Contains FCC ID: XXXYYYYY

FCC Integrating Modules

- Using (integrating) a compliant module
 - You must follow the module's Grant limitations; if any limitations exist
 - Mobile or Portable and safe distance for RF Exposure
 - Requirements to consider co-location
 - Note that 'co-location' only exists when there is also 'simultaneous transmission'
 - "Co-location" is a term often used; but it implies that simultaneous transmission is understood
 - Being a module certified for 'mobile only' RF Exposure conditions would not make it a Limited Module

FCC Integrating Modules

- Using (integrating) a compliant module
 - Host must comply with its own requirements
 - For example, Part 15B sDoC

FCC Integrating Modules

- Using (integrating) a compliant module
 - Module's frequency is part of the consideration for upper limit of spurious emissions tests

Highest frequency generated or used in the device or on which the device operates or tunes (MHz)	Upper frequency of measurement range (MHz)
Below 1.705	30.
1.705-108	1000.
108-500	2000.
500-1000	5000.
Above 1000	5th harmonic of the highest frequency or 40 GHz, whichever is lower.

FCC Integrating Modules

- Using (integrating) a compliant module
 - Host must comply with all requirements
 - This is a relatively new clarification
 - Not a change in the rules
 - Does not mean full re-testing
 - Emissions check of worst mode is ok
 - Emissions check of 'real mode' is ok
 - Just do what you can
 - Module test report is available online
 - You can see the worst modes or channels there
 - More testing may be needed for an LMA

FCC Integrating Modules

- Using (integrating) a compliant module
 - Host must comply with the FCC requirements, including multiple modules contained within it
 - FCC rules state that all transmitters must be enabled during transmitter tests
 - Test emissions when co-locating modules
 - This is in addition to the host's own testing
 - Device must meet the output power limits per band
 - For example, co-locating multiple 2.4 GHz devices means that the total sum power must not exceed the limit
 - When they simultaneously transmit

FCC Integrating Modules

- Using (integrating) a compliant module
 - The company selling the final radio device (typically the “host”) is responsible for the whole product they provide
 - The final product must meet the FCC rules
 - In case of problems, the FCC will come to both companies and then see who is at fault

FCC Integrating Modules

- Using (integrating) a compliant module
 - RF Exposure condition and exact antenna type must be followed by the installer
 - Otherwise the module could require a C2PC
 - Module installation instructions very important
 - FCC gets calls “I bought a module, what do I do?”
 - This should not happen!

Final Host Assessment

- Re-Certify or Re-Test?
 - FCC taking a more 'holistic' approach
 - FCC emphasis on assessment of final product; in cases where a certified module is used
 - Modular Discussion Group worked with the FCC to determine some clear guidance for the industry
 - Amended modular KDB to clarify that testing on final system is necessary (February 2019)
 - Including guidance on how to test each transmitter mode

Final Host Assessment

- Re-Certify or Re-Test?
 - Module discussions for FCC and a more ‘holistic’ approach to compliance
 - It’s a reminder that “modular approval” was intended as a solution to save the installer from the requirement to **certify** the final end product; but it was not intended to avoid any future **testing**
 - Save on authorisation process, but still have responsibility for final product compliance

FCC Certification Process



CERTIFIED

FCC Certification Process

- Testing is complete and it's time to apply for Certification of the equipment
 - The manufacturer may create the application; but often they ask the test lab to create application for them
 - Documents must be uploaded to the FCC and ISED websites; by the Certification Body
 - TCB reviews all documents and certifies it
 - Cannot accept deviations or judgements

Exhibits

- Technical application to the TCB
 - You must now organise the documentation to provide to the TCB / FCB
 - The TCB will review them for accuracy, consistency and meeting the rules
 - Application Forms
 - Technical documents
 - Test reports
 - Photos and manuals
 - Cover letters, etc.

Exhibits – Risk Management

- I am often asked:
- “What’s the minimum I can get away with, to guarantee certification?”
- It’s a two part question:
 - What’s the minimum we can get away with?
 - What will guarantee certification?
- Benefit to getting it correct?
 - Time to market; time to profits!
 - Reduced risks

Exhibits – Risk Management

- Application
 - Certification file must describe the device
 - TCB/FCB should understand modes, power, frequency, antenna, modulations, etc.
 - TCB/FCB role is to review and understand; not just put numbers on the FCC and ISED websites

Application Types

- Types of application for FCC and IC
 - New Certification
 - IC also has New Family and Addition to Family
 - Permissive Change
 - Change in FCC ID / Multiple Listing

Common Mistakes

- Consistency
 - Manufacturer to check they agree with the data in the test reports
 - Communication between the lab and manufacturer
 - Check the documents before the TCB / FCB
 - Are the numbers what you would expect?
 - The numbers will be fixed when certified
 - It is not just “pass” or “fail”; the manufacturer will live with the numbers held by the FCC and ISED; and they are shown online

Common Mistakes

- Quality of documents
 - Not understanding the level of detail required by the FCC and ISED
 - Not understanding the importance of the legal application forms
 - Consistency between documents
 - Output power, modes, use cases, etc.
 - ISED and FCC creating a company risk factor

Common Mistakes

- Testing
 - Engineers deciding their own test methods
 - Not following published procedures
 - Sitting in an office and guessing 'worst-case'
 - Not providing real evidence in the application
 - Thinking it's like the EU

Application to TCB/FCB



Application Forms

- Lots of paperwork involved!
 - Application forms
 - Cover letters to describe application
 - Signatures to accept legal responsibility



Block Diagram

- Block Diagram of the part being certified
 - Mandatory for Unlicensed Devices (Part 15)
 - Optional for Licensed Devices
 - It is useful to review, so it is recommended

Operation Description

- Technical Document or Datasheet
 - Mandatory for all Devices



Schematic Diagrams

- Circuit Diagrams of the part being certified
 - Mandatory for all transmitter devices

Parts List

- A Parts List of the Transmitter
 - Mandatory if the component values are not shown on the circuit diagrams

Tune-Up Procedure

- Procedure for factory setting of transmitter
 - Mandatory for Licensed Devices
 - Show rated powers and tolerances

Photos

- External and Internal Photos for all devices



Label

- Label with the FCC ID must be shown
 - The label can be a drawing or a photograph
 - If photos are held short term confidential, a label drawing can be a useful solution
 - FCC ID and ISED number must be on a permanent part of the device
 - Other FCC markings should also be correct; such as appropriate use of the DoC logo
 - TCB checks all authorisation marks

RF Exposure

- Demonstration of compliance
 - Low Power devices (dB μ V/m)
 - Nothing necessary for most applications
 - Mobile dBm/Watts devices at >20 cm
 - MPE Calculation, based on output power or e.i.r.p.
 - Portable dBm/Watts devices at <20 cm
 - SAR test report, if power is 'high'
 - Justification for no testing, if power is low

Test Report

- Test Report
 - Test report to show compliance with the applicable FCC rule part

Test Report

- Test Report
 - Manufacturer must support the test report
 - The test results must match the manufacturer's expectations and rated values
 - The TCB will compare the rated power and expected values to the measured values
 - It should not be just matching numbers to a limit
 - The user information and expected operation of the device must match the reported information
 - TCB must fully understand; it is not an admin role

Test Report

- Test Report
 - Manufacturer must support the test report
 - Manufacturer is responsible for the content of the application, including the test results
 - The device will be certified based on those values

Test Photos

- Photographs of the test set-up



User Manual

- The User Manual must be provided
 - Mandatory for all applications
 - It must contain the compliance statements
 - It must not include misleading advice or information which conflicts with the details of the application
 - For modules, it is the installation instructions and perhaps the most important document

User Manual Statements

- Summary of user manual statements
 - FCC 15.21 notice to user for all Part 15
 - Modifications to the device are not permitted
 - FCC 15.105 for Digital Device or Peripherals
 - Long statements which apply to many products
 - FCC 15.19 statements
 - In the user manual, if not on the label due to size
 - Or other examples of 'impracticality'

Finished!



Useful links

USA

- FCC rules are all in “Title 47 – Telecommunication” <https://www.ecfr.gov/>
- FCC KDB 996369: Modules
<https://apps.fcc.gov/oetcf/kdb/forms/FTSSearchResultPage.cfm?id=44637&switch=P>
- FCC KDB 178919: Permissive Changes
<https://apps.fcc.gov/oetcf/kdb/forms/FTSSearchResultPage.cfm?id=33013&switch=P>
- FCC KDB 896810: Suppliers Declaration of Conformity (SDoC)
<https://apps.fcc.gov/oetcf/kdb/forms/FTSSearchResultPage.cfm?id=203240&switch=P>
- FCC KDB 784748 : Part 15 and 18 Labelling and user information
<https://apps.fcc.gov/oetcf/kdb/forms/FTSSearchResultPage.cfm?id=27980&switch=P>
- FCC KDB 447498 DO1: SAR including SAR exemption
<https://apps.fcc.gov/oetcf/kdb/forms/FTSSearchResultPage.cfm?switch=P&id=20676>
- FCC accredited test labs <https://apps.fcc.gov/oetcf/eas/reports/TestFirmSearch.cfm>

Canada

- RSP-100 — Certification of Radio Apparatus and Broadcasting Equipment
<https://www.ic.gc.ca/eic/site/smt-gst.nsf/eng/sf01130.html>
- Radio Standards, RSS-xxx: https://www.ic.gc.ca/eic/site/smt-gst.nsf/eng/h_sf06128.html
- RSS-102 EMF and SAR: <https://www.ic.gc.ca/eic/site/smt-gst.nsf/eng/sf01904.html>
- Radio equipment list (certified equipment) <https://sms-sgs.ic.gc.ca/equipmentSearch/searchRadioEquipments?execution=e1s1>
- EMC standards “ICES”: https://www.ic.gc.ca/eic/site/smt-gst.nsf/eng/h_sf06127.html
- ISED recognised test labs <http://www.ic.gc.ca/eic/site/mra-arm.nsf/eng/nj00160.html>

Questions?

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