
 **BABT 722**

**A Guide to BABT Certification against the
Global Certification Forum Requirements for
Holders of BABT R&TTE Directive Annex IV
Certification**

BABT is the Telecommunications
Certification body of TÜV SÜD



Foreword

This guide explains the BABT Compliance Scheme against the Global Certification Forum Requirements for Holders of BABT R&TTE Directive Annex IV Certification.

This guide is designed so that the essential information can be read quickly by reading the normal text. Where you require more information, please refer to the shaded entries.

The formal requirements of the scheme are set out in the BABT Certification Regulations. The current version of these may be found at www.babt.com.

All BABT publications are available from:

<http://www.babt.com>

(See the download area in *Information Services*)

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1 Introduction

This guide applies to terminals within the scope of the Global Certification Forum (GCF) scheme as described at <http://gcf.gsm.org/>.

GCF certification is a voluntary scheme, complementary to regulatory requirements, to ensure that terminals have been designed, manufactured and tested to agreed standards; and that they will interoperate correctly when used on a variety of digital mobile networks.

2 Outline of the BABT Scheme

BABT's GCF certification scheme is based on:

- A positive opinion following BABT assessment of the product's Technical Construction File (TCF) under Annex IV of the R&TTE Directive for all essential requirements (see (3) below).
- Assessment of the company quality management system for the establishment and maintenance of Compliance Folders under the GCF scheme based on:
 - Verification by BABT that the manufacturer is ISO 9001 certified for the design and manufacture of the terminals and a review by BABT of the manufacturer's latest ISO 9001 certification audit reports (see (4) below).
 - Appointment of the manufacturer's test laboratory as a BABT Recognised Test Facility (see (5) below)/ or use of an ISO 17025 accredited Test Laboratory.
 - Assessment by BABT of the manufacturer's GCF Compliance Folder procedure including assessment of a sample of GCF Compliance Folders (see (6) below).
- The submission to BABT of the GCF-CC Certification Declaration (see (7) below).

3 R&TTE Directive Annex IV

R&TTE Directive 1999/5/EC is the European regulation applicable to radio and telecommunications terminal equipment. Manufacturers, suppliers and importers of such equipment must apply one of the conformity assessment procedures of the Directive before CE marking the equipment and placing it on the market of the European Economic Area. BABT understands that such CE marking also assists access to markets outside Europe. BABT's CE mark is CE0168, i.e.

CE0168

The manufacturer presents a TCF covering all applicable essential requirements (typically Articles 3.1(a), 3.1(b) and 3.2 of the Directive for a GSM mobile) to BABT for assessment. This file should consist of the technical documentation identified in Annex II of the Directive. A positive opinion is issued in the form of a certificate verifying compliance of the file with the essential requirements of the Directive.

Applications are made to BABT by submission of the TCF together with a completed BABT 500 application form. Further details may be found on BABT's web site at <http://www.babt.com>.

4 ISO 9001 Certification

The design, development and manufacture of the terminals must be under the control of the applicant for BABT GCF certification.

The design, development and manufacture of the terminals must be carried out under a quality management system certified against ISO9001 by a certification body accredited against ISO/IEC 17021 or equivalent accreditation standard.

Copies of the ISO9001 certificate(s) together with the latest audit report by the certification body should be submitted with the application for BABT GCF certification.

5 BABT Recognised Test Facility

There are three main elements to recognition:

- active support of BABT certification schemes; and
- demonstration of competence; and
- a formal agreement with BABT.

Independent test laboratories and manufacturer's in-house test laboratories may apply for listing as a BABT Recognised Test Facility.

Further details and an application form are provided in BABT 766 which may be downloaded from the BABT web site at <http://www.babt.com>.

6 Compliance Folder Procedure

This involves assessment of your quality system processes to ensure the effective integration of the requirements for GCF Compliance Folders within your system. The assessment will involve a half-day audit at each facility where GCF Compliance Folders are compiled and assessed. This applies to both initial and surveillance visits. If the compliance folder is compiled within the manufacturer's test laboratory, the Compliance Folder procedure will be assessed during laboratory audits.

Applicants should complete the application form BABT 723.

The compliance folder procedure should cover the GCF scheme requirements and should include the following requirements:

The manufacturer's documented quality system shall define the person(s) responsible for the implementation of the Compliance Folder procedure.

A sample Compliance Folder selected by BABT must be made available for audit by BABT on an annual basis. A GCF Compliance Folder should be uniquely identified (e.g. by document number), be included in the manufacturer's document control system and be available for inspection by a third party acting on behalf of the GCF, when required. The build state of the mobile being manufactured under GCF certification should be traceable to the build of the mobile covered by the Compliance Folder. The Compliance Folder should be maintained in a secure location and should contain the following items as a minimum:

- An index to the contents.
- Description of the apparatus
 - Identification of equipment to be included in Compliance Folder by means of model / type numbers, brand names and manufacturer details.
 - Complete technical description Block diagram, circuit diagrams and parts lists.
 - Description of any variants
- Procedures used to ensure conformity
 - Technical rationale (Justification of compliance arguments when testing by means other than specified in the GCF-CCR and/or GCF-CCV documents or when the terminal has not been specifically tested, review of design and installation environments)
 - Details of significant design aspects (Features, specifications, installation measures, control of variants and manufacturing)
 - User/Installation or special instructions (e.g. a user guide in the case of a handheld phone)
- Reference to the versions of GCF-CC employed
- Evidence for the integrity of the IMEI
- Evidence that the Software Version Number on new models is updated as required, in accordance with the GSM specifications and GSMA PRD TW.06.
- Test data
 - Internal and third party test reports
 - Test methods
 - Products tested and reasons for not testing where applicable
- Results of Field Trials
 - Carried out by the manufacturer or a third party acting on behalf of the manufacturer
 - From at least five (5) network configurations representing infrastructure implementations from all "major suppliers" on each band, e.g. a dual-band GSM 900/1800 Terminal Device could be trialled on five dual band networks or it can be trialled on two GSM 900 networks, two GSM 1800 networks and three dual band networks. On the dual band networks, field trials should be conducted on both bands.
 - Field Trial aspects are to be defined by the manufacturer and could include the following:
 - Basic call handling, including set up, clear and in-call functions
 - Cell selection and reselection
 - Automatic & manual PLMN selection
 - Handover
 - Operation of each basic service, supplementary service and feature within the scope of GCF and which is supported by the mobile e.g. for fax and data services this includes the ability to make and receive such calls where the mobile supports them, and that data transfer is successfully carried out. For speech, it includes a degree of subjective speech testing sufficient to satisfy the manufacturer's requirements.
 - SMS (MO-PP, MT-PP and CB)

- Interworking with the SIM (using a different type of SIM card/profile for each corresponding network, where reasonably practicable)
- Any additional features and services supported by the MS.
 - Results of Field Trials following product modification, if appropriate
- Details of changes in the hardware and/or software configuration together with evidence of continued compliance.
- Copies of third party certificates, if appropriate.
- Evidence that the terminal has been developed and tested according to the Quality Assurance Program Requirements of the GCF Scheme (e.g. copies of the manufacturer's Quality Qualified Declaration and Assessment Compliant Declaration).
- Evidence that when a certification declaration is made that the terminal is in conformity with the relevant certification criteria (e.g. that an assessment of the Compliance Folder has been carried out by the manufacturer).
- A copy of the Certification Declaration.

If your quality system has a BABT ISO9001 Certificate or an R&TTE FQA Approval which includes the GCF requirements (Refer to BABT Apn 120 for details) then the above requirements are deemed to be satisfied.

7 GCF-CC Certification Declaration

A copy of the GCF-CC Certification Declaration should be submitted with the application for BABT GCF certification.

8 Applying for BABT GCF Certification

You should complete a copy of BABT 723 send it (with the required accompanying documentation) to BABT (refer to Foreword for details).

Applications may either be made on paper, e-mail, fax or on a CD. Electronic files should be unencrypted in TXT, Word, Adobe, or Excel format (unless agreed with BABT prior to submission)

An FTP server is available to regular customers; for details please contact BABT.

9 Information required with an Application

9.1 Information to be completed on BABT 723

Please supply the following information of form BABT 723 as appropriate to your application.

9.1.1 Section A.1: Main Contact Details

This should be completed with your details.

9.1.2 Section A.2: Details of Other Contacts

Normally the Company and address details of the Main Contact are used for a certificate.

Where you wish the address on the R&TTE Annex 4 Notified Body Opinion to be used instead please indicate.

Where you require a different company name/address to be used then please indicate and supply the required details in an accompanying letter.

To retain confidentiality BABT are unable to disclose any details of an application to third parties without formal consent from the applicant. Where you wish a consultant or other person outside your company to be involved with the application please provide their contact details.

9.1.3 Section B: Product Details

Please provide the Marketing name, product description and Hardware and software Version numbers.

Where any of these details differ from the equivalent details on the R&TTE Annex 4 Notified Body Description please enclose a letter explaining the reasons for the changes.

9.1.4 Section C: Details about your BABT R&TTE Directive Annex IV Opinion

Where BABT have already issued an opinion please indicate the BABT Certificate Number.

Where you are applying to BABT for this certificate at the same time as you are seeking a Notified Body Opinion please indicate the TCF number which will be used.

BABT are unable to accept applications for this certificate in advance of either of these.

9.1.5 Section D: Details about the ISO9001 Certification of the Design, Development and Manufacture Organisation

Please provide details of all the ISO9001 certifications held by the Development and manufacturing facilities used for this product.

Note: BABT only recognise ISO9001 Certificates from Certification organisations which are themselves accredited to ISO/IEC 17021 (or equivalent).

BABT need to inspect copies of the ISO9001 Certificates. For the first application for products using a given set of development and manufacturing locations these must be supplied with the application. Where the certificates have been previously supplied for another application you may just reference the BABT GCF Certificate number. In this case BABT reserves the right to still require copies of the certificate (e.g. where there is a prolonged time gap between these applications).

9.1.6 Section E: Test Laboratories

Please provide details of the Test laboratory where the GCF tests were performed.

Please enclose either the BABT Recognised Test Facility Number (RTF) for each Test Lab, or the ISO 17025 Accreditation Certificate number with details of the accreditation body.

If you have tested in a Test Lab without either BABT recognition or an accreditation for the GCF tests BABT, will only be able progress your application after the Lab has successfully applied for recognition from BABT or achieved accreditation for the testing from an accreditation body.

9.1.7 Section F: GCF Compliance Folder

Please provide details of the location of where the GCF folder for the product will be held.

Where it is the same as the Main contact just complete the Contact name, otherwise please provide the details in full.

Where this folder has been assembled and reviewed using a process/procedure previously assessed by BABT please identify the Certificate Number of the folder which was assessed

9.1.8 Section G: Attached Documentation

The following information should (as appropriate) accompany the application

- GCF-CC Certification Declaration (Always required)
- Copies of ISO9001 Certificates (where not sent previously)
- Letters (as appropriate) detailing Alternate contacts, addresses, or product changes

9.1.9 Section H: Payment Details

Information related to your intended method of payment.

Name or address to which invoices and accounts should be sent where the person or address differs from the Main contact listed previously (to be included with supporting information).

Purchase Order or Credit Card details.

Work is carried out on receipt of either payment in advance or a valid purchase order number.

9.1.10 Section I: Agreement

This must be completed by the applicant named in section A as this forms the contract between the applicant and BABT.

10 Changes

Once a certificate is granted the Holder must keep the compliance folder up-to date with any modifications or amendments to the Certified Product that may affect compliance with these regulations or the standard. Recorded with supporting information

Since this certification scheme requires continuing compliance any changes to the location of the manufacturing site must be advised to BABT for review and to determine any required action.

This Certificate is not transferable outside the Corporate structure of the listed Holder. Changes of ownership, or changes in the company name or location must be advised to BABT