
BABT 738

A guide to applying for US Equipment Approval for telephony terminal equipment through BABT as a TCB

BABT is the Telecommunications
Certification body of TÜV SÜD



Foreword

This guide briefly explains the process and requirements for applications to BABT acting as a TCB (CAB) under the Telecommunications and EMC sectors of the EU-US MRA. Manufacturers of Telephony equipment (e.g. Telephones, modems, switches, and other wireline equipment) can obtain an approval and filing with ACTA in the USA through BABT. Such equipment falls within the scope of FCC 47 CFR Part 68.

The scheme enables a manufacturer of product achieving a grant to market the product within the USA.

The scheme is operated under the BABT Certification Regulations and implements the FCC regulations insofar as they apply to applications made to BABT. The current version of the BABT Certification Regulations may be found at www.BABT.com

If there is any discrepancy between requirements found in this document and those found on US Government and ACTA related Web sites the assumption should be that the US website is more accurate.

All BABT publications are available from:

<http://www.babt.com>

(See the download area in *Information Services*)

or



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**This Guide should be read in conjunction with:
ACTA Guidelines & Procedures for submittal of information to ACTA for inclusion in the
database of approved Telephone Terminal Equipment (TTE) ;
and
TIA Subcommittee TR41.11 Part 68 Application Guide**

Details about ACTA may be obtained from <http://www.part68.org>

The TIA part 68 guide may be obtained from <http://www.tiaonline.org>

1. Introduction

1.1 Scope

This guide explains the process and requirements to apply for US Equipment authorisation for a telephone terminal equipment subject to FCC 47 CFR part 68 through BABT as a TCB.

For information related to equipment authorisation for licensed and unlicensed radio devices and unintentional radiators refer to document BABT 735.

1.2 Overview

Much of the telecommunications and IT equipment for use in the United States of America falls under the requirements of FCC 47 CFR.

BABT has been appointed as a TCB, under the EU-US MRA, and are able to perform certification for many such products.

This guide explains the process and requirements to apply for US Equipment authorisation for a telephone terminal equipment subject to FCC 47CFR part 68 through BABT as a TCB.

For equipment within the scope of FCC 47 CFR Part 68, the FCC have privatised conformance register to the Administrative Council for Terminal Attachments (ACTA).

1.3 FCC 47 CFR Part 68 Equipment Authorisation Options

Equipment to which FCC 47 CFR part 68 applies may be placed upon the market after successfully following one of the relevant procedures for the particular equipment

- Suppliers Declaration of Conformity [SDOC]: Where a responsible party establishes compliance and files directly with ACTA
- Certification: Where a TCB issues an equipment approval for the product following evaluation of submitted data and files this approval with ACTA

Note: The SDOC procedure is not available outside the USA.

2. Making an application

2.1 Types of Application

The following types of application may be made.

- Application for a Responsible Party Code
- Application for an original Equipment approval
- Application for a change in name, location, or company for an existing approval
- Application for a technical change to an existing approval

Each application should be made on form BABT 739 which includes the ACTA Submission form. The set of information to accompany this request is listed in the ACTA guide

2.2 Who to apply to

The application should be made direct to BABT in Walton-on-Thames either:

- By e-mail to customer.services@babt.com or
- By post

Due to the requirements on BABT as a TCB we are unable to accept applications by phone or via the Fax. See also www.babt.com for information and news on the scheme

Testing and Application assembly

Where you wish the BABT Testing facility to perform the required tests or use the service from the BABT ICM department to prepare and format the application you should apply separately for these services

2.3 Format of Application

BABT prefer the application to be in electronic form with the formal application form in Word format and supporting documents in Word, Adobe PDF, or jpeg formats. We will however continue to accept applications on paper at no additional charge.

Notwithstanding the above we still prefer to have an "order" or similar work request on headed paper signed by an appropriate party.

2.4 Who can apply

Applications can be made by or on behalf of both manufacturers and suppliers of equipment.

Optionally, the applicant may in addition authorise BABT to liaise with another party acting on behalf of the applicant in matters relating to the application.

The person making the application should be a duly authorised signatory of the applicant. Normally they should meet the definition of party found in FCC 47CFR 1.2002(b), applicants outside this definition should contact BABT prior to submission.

3. Progressing the Application

When BABT has received your application and evaluated the initial information, we will:

- ask you to pay an application fee. The fee relates to the assessment of the application and may include additional elements where you request a responsible party code, or provide documentation in paper form. Where you have identified a specific contact to whom to send the invoice it will be sent to them; otherwise it will be sent to the applicant;
- inform you of the BABT reference number assigned to your application. This number should be quoted in all further correspondence;
- review your application for completeness and consistency;
- advise either the applicant (or the technical contact where one is identified) of any concerns/omissions/shortfalls ; further work on that application may be suspended until a satisfactory response is received;
- Where a significant number of exhibits are replaced BABT reserves the right to charge additional fees or cancel the application and require that a new application be submitted. Any fees due for the first application will still be due
- Where BABT is satisfied we will issue you with an Approval certificate [This is the formal act of approval, the ACTA filing occurs after];
- After the issue of a BABT certificate we will submit the relevant information to ACTA for registration and entry onto their Database;
- If there is a significant shortfall which either cannot be remedied, or where the remedy is not submitted in a timely fashion BABT may dismiss the application (ref 47 CFR 2.917);
- If BABT is unable to make the findings specified in 47 CFR 2.915(a) the application may be denied(ref 47 CFR 2.919);
- ACTA will formally advise the acceptance of the data on either to the applicant or to the contact and address advised in your application for that purpose.

A flowchart of the application process is included overleaf.

4. Information required for an application

4.1 Application Form BABT 739

You should complete BABT form 739 for all applications.

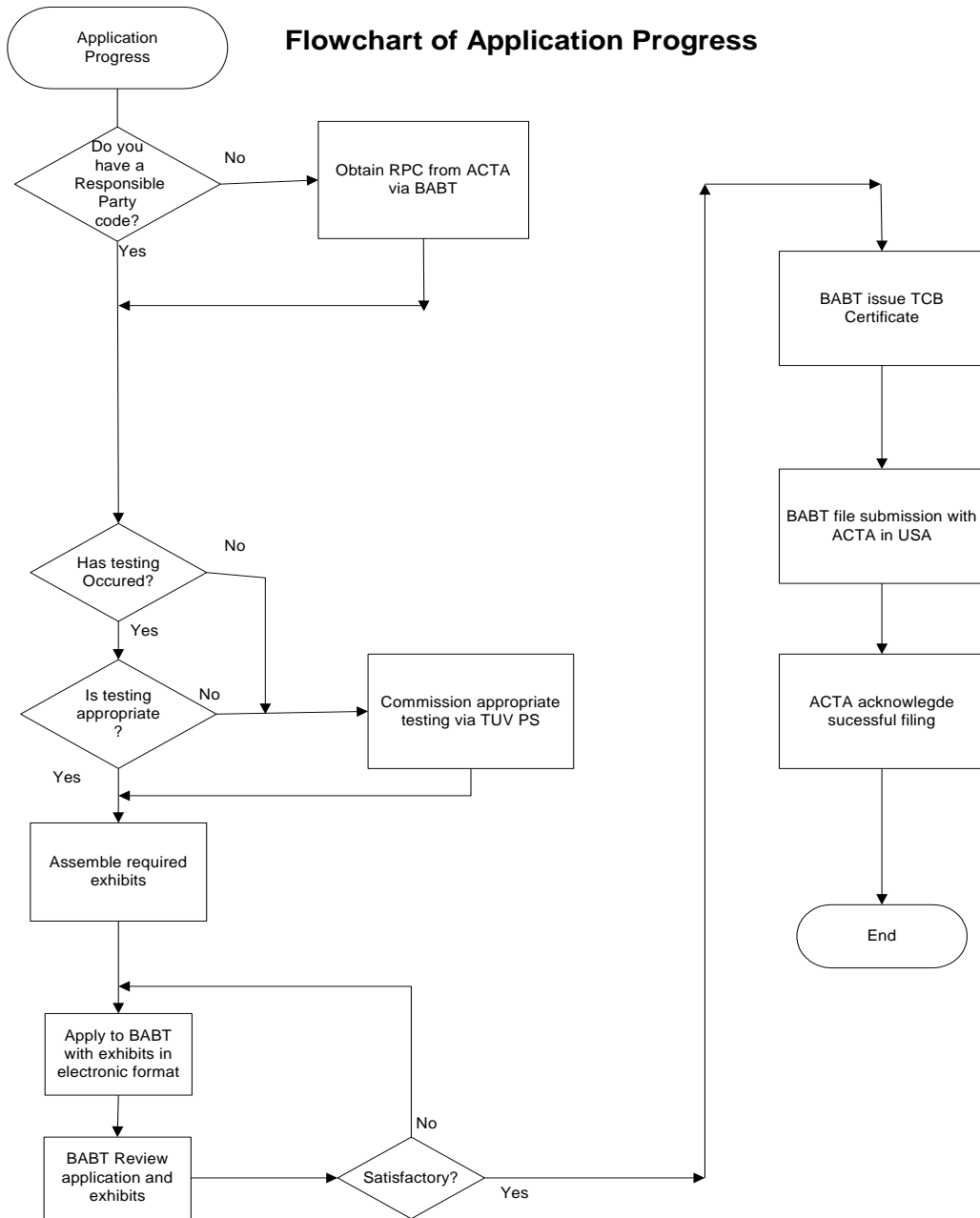
Alternate Application Forms

BABT will accept applications by letter when accompanied by the ACTA submission form and relevant data provided the applicant agrees to submit under the BABT Certification regulations

The following information is required for each section

4.2 Section A.1: Main Contact Details

You should supply the name, address, company and communication details of the main applicant. Where this person is the named contact for the responsible party you may complete the information in full on the ACTA form and reference it "As Responsible Party" in Section A.1.



4.3 Section A.2: Other Contact Information

On occasion other contacts are appropriate in addition to the prime contact.

The following details are required as relevant (with address details where this differs from the prime contact)

- A different Company name or address to appear on the certificate from that of the main contact;
- Consultant details (where you wish another party to be involved with this application).

4.4 Section B: Purpose of Application

You are required to supply the following information:

- **Required assessment:** You should indicate which type of assessment you require. All lead to some form of filing/re-filing by BABT but differing levels of supporting information is required.

Additionally BABT, as a TCB, are required to undertake a certain percentage of Market surveillance.

Where you manufacture your product at a location holding a BABT Quality System Certificate BABT this is deemed to be sufficient to meet this requirement and separate surveillance will not normally be required.

4.5 Section C: Product Details

The following details are required:

4.5.1 Product Name and Details

While you are required to provide product names on the ACTA form this section should also be completed.

Additionally where the product name under which the product will be marketed differs from that on any of the supporting documentation (i.e. you used a different name during development) both should be listed with an explanation. If the product is marketed under more than one name you need to reference all appropriate names.

Product name:

This must be clearly stated as this will appear on the certificate and serve as a prime identifier of the certified product.

Brandnames:

Where a Brandname company requires a separate filing this must be made through a separate submission.

4.5.2 Brief description of this product

This should be a brief description of the purpose and type of the product. This will normally be more extensive than the brief (10 word maximum) description required on the ACTA form.

4.5.3 Additional Equipment Authorisation

Where the equipment is a composite device subject to an additional equipment authorisation, or is part of a system that operates with, or is marketed with, another device that requires an equipment authorisation then this must be indicated and the authorisation status and FCC ID of the related product should be given. Typically this could be a Cordless telephone basestation which would be subject to both Intentional Radio filing due to the cordless radio functions and Part 68 filing due to a wireline interface.

4.6 Section D: 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. Clients applying directly to BABT (i.e. not through any other TUV Group office), who do not currently have approved credit facilities with either BABT or TUV Product Service UK must include a completed Credit Details Form with the application. Alternatively payment in advance is accepted. The appropriate forms may be downloaded from <http://www.babt.com>

4.7 Section E: Agreement

This must be completed by the applicant named in section A.1.

This forms the contract between the applicant and BABT.

4.8 ACTA Submission form

This is required. For details on the completion of this form refer to:

- ACTA Guidelines & Procedures for submittal of information to ACTA for inclusion in the database of approved Telephone Terminal Equipment (TTE).

5. Information to accompany an application

5.1 General

While BABT will accept paper based applications we prefer that the application supporting documentation be submitted electronically as Adobe PDF, MS-Word, or jpg files (as applicable) in the required directory/folder structure.

The following directories and content is required (as appropriate to your particular application).

The exhibit references are retained from the earlier FCC regime to assist clients familiar with it and to provide structure to supporting information for new applications.

All documents submitted should be individually identifiable including page numbers for multi-page documents and version/date of issue information.

This is needed both for appropriate listing on the Approval Certificate Annex and to enable clear comparison where a modification is made and documents are up-issued.

Note: Where sufficient identification is lacking it may not be possible to generate the required Approval.

Refer to TIA Subcommittee TR41.11 Part 68 Application Guide for full information about each individual exhibit
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5.2 Specific Exhibits

5.2.1 Exhibits A, B, and C

This information is provided on the BABT application form and ACTA submission form.

5.2.2 Exhibit D: Equipment Description:

Refer to the TIA guide for full details.

The following should be included as follows:

- Copy of Technical Data sheet for the equipment
- Facility Access Code(s)[FAC] provided in ACTA Submission Form item 15
- Service Order Code(s)[SOC] provided in ACTA Submission Form item 17
- Answer Supervision codes provided in ACTA Submission Form item 18
- Block Diagrams for equipment with more than 2 different ports

5.2.3 Exhibit E: Technical Specifications

Refer to the TIA guide for full details.

The following should be included as follows:

- Schematic diagram(s)
- Parts List
- Photographs of internal construction (*Note: These may be provided as a part of the test report*)

5.2.4 Exhibit F: Equipment evaluation

This should comprise one or more cohesive test reports demonstrating compliance to the appropriate testing requirements of FCC part 68, TIA/EIS/IS-968 and TSB168.

Normally the test report shall be produced from within the accreditation of a test laboratory to the requirements of ISO/IEC 17025 or equivalent.

Where this is not the case BABT may require additional data to ensure the testing has been performed to the required accuracy and integrity.

5.2.5 Exhibit G: Quality Assurance

The following Quality Assurance program information is required:

- Summary of the quality assurance program
- Statement attesting network plugs/jacks used
- Both the above documents should either include the signature of applicants QC Manager, or be ratified by a letter signed by the QC manager.

Where the manufacturing location is not independently certified by BABT the following Continuing compliance program information is required:

- Summary of the continuing compliance program
- Details of the sampling plan
- Details of tests planned to be performed on the selected samples

5.2.6 Exhibit H: Label

Refer TIA/EIA TSB168

The following are mandated:

- Sample Label
- Able to be permanently affixed
- Readily visible to purchaser
- Correct Label content including
 - Responsible Party Grantee Code
 - Equipment Code
 - REN Number and ringer type
 - Product identifier
- Photo or drawing of location on equipment showing information to be placed thereon
- Appropriate statement on label or in required alternative location

5.2.7 Exhibit J: User's Manual

A copy of the users manual with all the required statements should be provided. Refer to the TIA guide and Part 68 for details of the appropriate statements.

5.2.8 Indemnification Statement

The submission must be accompanied by an appropriate indemnification statement. Refer ACTA guidelines Appendix B.

This statement shall be on Company headed paper and signed by an appropriate company officer.

6. Ongoing surveillance

BABT are required to undertake surveillance on products for which we have recommended a grant. You must meet one of the two following requirements.

6.1 BABT Certified Quality System

Where you manufacture your product at a facility and under a quality system which is covered by a BABT ISO9001, PQC or FQA quality assurance system certificate with products of that broad technology type within the scope of quality system certification, then the manufacture of the product covered by the grant is considered to meet the surveillance requirements automatically.

6.2 Market Surveillance

Where the manufacturing location is not covered by such a certificate you are liable to the market surveillance process.

Under this BABT will at certain intervals send you an enquiry requesting the following information:

- Details of any changes significantly affecting the products design or specifications, or changes in standards which compliance of the product is certified, or changes in the ownership, structure or management, or any other circumstances indicating that the product may no longer comply with the requirements of the certification system.
- A copy of all advertising material currently in use bearing our logo.
- Details of a location where the product may be evaluated for the use of our mark on the product.
- A copy of your complaint log since the last surveillance for review

BABT will review this information and will advise you of the outcome. BABT reserve the right to require a sample be supplied for the purposes of additional testing.

7. Certificates and Records

Certificates are issued in the name of the Applicant Company which is thereafter referred to as the holder. Certificates also include the address of the holder (or an alternate address where identified within the application), data necessary for identification of the product, the reference to the technical data presented to BABT and any conditions for its validity.

BABT maintain records of all the details on a certificate; of each submission and the resulting evaluation for 10 years after the last significant file activity.

You shall maintain a record of all complaints and remedial actions relative to the Certified Product. These shall be made available to BABT on request. BABT will forward complaints about certified clients within an appropriate period of time to the certified clients in question.

8. Changes to your product

The ACTA submission guide details actions to be taken for Changes and modifications to a product.

Each relevant change must be submitted to BABT accompanied with appropriate exhibits and letters.

A copy of BABT 739 with the ACTA submission form, both appropriately completed, must accompany each change.

BABT will charge an appropriate fee which will include the ACTA filing fee for each change submitted.