



BABT 738

A Guide to Applying for US Equipment Approval for Telephony Terminal Equipment through TUV SUD BABT as a TCB

TUV SUD BABT is a Certification Body of TUV SUD



Foreword

This guide briefly explains the process and requirements for applications to TUV SUD 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 TUV SUD 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 TUV SUD BABT [Testing and Certification Regulations](#) and implements the FCC regulations insofar as they apply to applications made to TUV SUD BABT.

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 TUV SUD BABT publications are available from:

All publications are available from:

<http://www.tuv-sud.co.uk/babt>

or



TÜV SÜD BABT
Octagon House
Concorde Way
Segensworth North
Fareham
Hampshire PO15 5RL
United Kingdom
Tel: +44 (0) 1489 558175
Fax: +44 (0) 1489 558101

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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 TUV SUD 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.

TUV SUD 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 47 CFR part 68 through TUV SUD 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 is an order for TUV SUD BABT's certification services and should be made direct to your local TÜV SÜD office .. If you do not know your local office you may apply to the UK Office (details on the Application form).

2.3 Format of Application

TUV SUD 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.

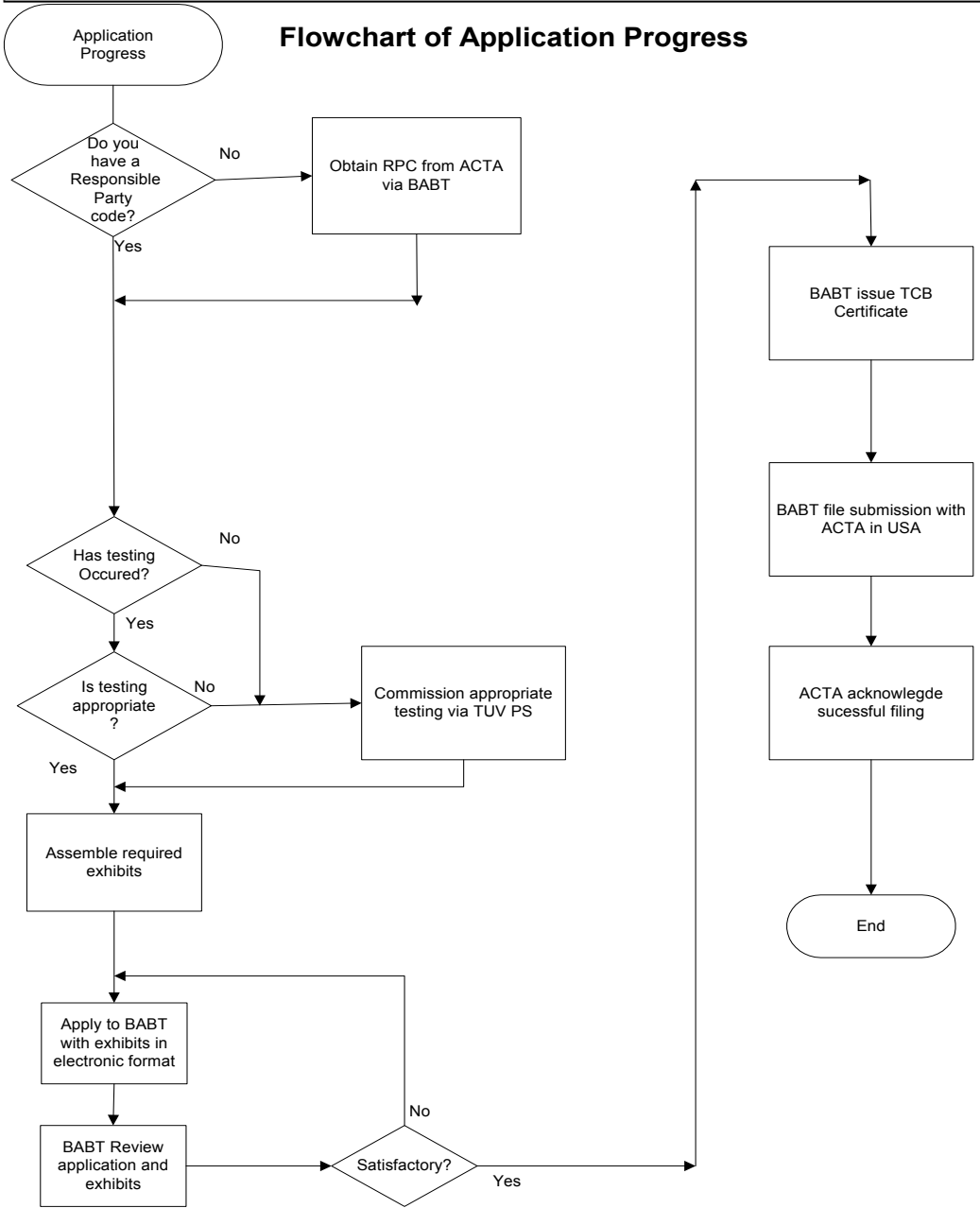
Notwithstanding the above we still prefer to have an “order” or similar work request on headed paper signed by an appropriate party.

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 TUV SUD 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 TUV SUD BABT prior to submission.



3. Information Required for an Application

3.1 Application Form BABT 739

You should complete BABT form 739 for all applications.

Alternate Application Forms

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

The following information is required for each section

3.2 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.

3.3 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).

3.4 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 TUV SUD BABT but differing levels of supporting information is required.

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

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

3.5 Section C: Product Details

The following details are required:

3.5.1 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.

Use of Registered Trade names on Certificates

Where you wish to use a Registered Trade name associated with your product for which you are not the registered Name owner (e.g. Bluetooth®), you should ensure you have met all the criteria from the owner to make use of the Name. While TUV SUD BABT perform no independent check over your right to make use of the name we will revoke any Certificate where we are advised by a Trade name owner that you have infringed their conditions of use.

3.5.2 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.

3.5.3 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.

3.6 Section E: Agreement

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

This forms the contract between the applicant and TUV SUD BABT.

3.7 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).

4. Information to Accompany an Application

4.1 General

While TUV SUD 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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4.2 Specific Exhibits

4.2.1 Exhibits A, B, and C:

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

4.2.2 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

4.2.3 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*)

4.2.4 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 TUV SUD BABT may require additional data to ensure the testing has been performed to the required accuracy and integrity.

4.2.5 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 TUV SUD 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

4.2.6 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

4.2.7 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.

4.2.8 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.

5. Market Surveillance

TUV SUD BABT are required to undertake surveillance on products for which we have recommended a grant.

Under this TUV SUD 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

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

6. 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 TUV SUD BABT and any conditions for its validity.

TUV SUD 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 TUV SUD BABT on request. TUV SUD BABT will forward complaints about certified clients within an appropriate period of time to the certified clients in question.

7. 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 your local TUV SUD office accompanied with appropriate exhibits and letters.

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