



FCC approval procedures for Licensed and Unlicensed Radio

RD_731, Issue 9

This guide describes the services of Telefication for manufacturers and importers to realise that their products will be certified according the FCC certification rules.

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1 Introduction

1.1 About Telefication

Telefication is a third party test laboratory and third party certification body. The Dutch Council for Accreditation (Raad voor Accreditatie: RvA) has accredited Telefication to ISO/IEC 17025 (laboratory) and NEN-EN-ISO/IEC 17065 (product certification).

More information about Telefication is available in *RD_560, About Telefication Certification*.

1.2 About this document

This document is a guide for manufacturers and importers, who want to apply for the services of Telefication in order to realise that their products will be certified according to the FCC certification rules.

Where this manual might be in conflict with the FCC rules, Title 47 CFR takes precedence.

1.3 What is the TCB program?

The FCC authorized Telefication to issue FCC Grants in line with Part 2.960 of 47 CFR starting on August 21, 2000. Telefication operates under the requirements of CFR 47 Part 2.962. Please consult the FCC rule sections for a more detailed description of the program requirements.

Before introduction of the TCB program, manufacturers were required to apply directly to the FCC for equipment grants of authorization for equipment types subject to Certification. The FCC liberalized in 2000 the process of application in order to reduce the application review delay.

Manufacturers can now obtain their grants from TCB's such as Telefication. We are accredited as Product Certifiers by the Dutch Council for Accreditation (Raad voor Accreditatie:RvA) and designated as Conformity Assessment Body (CAB) by the State Secretary for transport, public works and water management in the Netherlands. Manufactures who use Telefication for their application can expect a faster application than from the traditional process. Choosing a TCB does not relieve an applicant of the responsibility of compliance with the FCC rules.

2 Rights and restrictions of the TCB-Scheme?

Manufacturers of Telecom Terminal Devices or Radio Frequency (RF) devices that require a Certification from the FCC prior to marketing of their device in the United States can use a TCB. Manufacturers can submit those applications for processing to Telefication rather than to the FCC.

For certain services, an applicant must approach the FCC directly.

What is beyond the scope of a TCB:

1. Grant a waiver of the rules.
2. Revoke a grant after 30 days.
3. Take enforcement actions.
4. Authorize a transfer of control of a grantee.

3 Telefication Scope of Designation

In the future, the FCC might allow almost all devices to be authorized under the TCB program. Currently no procedures exist for evaluation of certain devices.

The TCB program is not applicable in case the FCC accepts procedures for certain applications. Applications for approval of these devices must be sent to the FCC.

Contact Telefication when you are unsure if your device can be processed under the TCB program.

Telefication Scope of Designation:

A. Unlicensed Radio Frequency Devices

1. Low power transmitters operating on frequencies below 1 GHz (with the exception of spread spectrum devices), emergency alert systems, unintentional radiators (e.g., personal computers and associated peripherals and TV Interface Devices) and consumer ISM devices subject to certification (e.g., microwave ovens, RF lighting and other consumer ISM devices).
2. Low power transmitters operating on frequencies above 1 GHz, with the exception of spread spectrum devices.
3. Unlicensed Personal Communication System (PCS) devices.
4. Unlicensed National Information Infrastructure (UNII) devices and low power transmitters using spread spectrum techniques.

B. Licensed Radio Service Equipment

1. Personal Mobile Radio Services in 47 CFR Parts 22 (cellular), 24, 25, 26, and 27.
2. General Mobile Radio And Broadcast Services equipment in the following 47 CFR Parts 22(non-cellular), 73, 74, 90, 95 and 97.
3. Maritime and Aviation Radio Services in 47 CFR Parts 80 and 87.
4. Microwave Radio Services in 47 CFR Parts 21, 74 and 101.

4 Exclusions List

Due to the absence of FCC processing procedures, the applicable devices which may not be assessed by the TCB are listed on our web-site.

A Link to this-web site can be found on <http://www.telefication.com>

5 Test Data

Telefication will review the submitted data in order to determine if the sample is compliant.

Applicants are responsible for ensuring the accuracy and relevance of the test data and are free to choose the testing facility. In case no test data is submitted of a sample, additional test data will be requested.

When submitted test data remains questionable, then Telefication may request a sample of the product for review.

For Certification of devices under 47 CFR Part 15 or Part 18, the test facility description must be on file with the FCC as specified in 47 CFR 2.948. Each test facility listed with the FCC should be able to produce a letter from the FCC acknowledging the receipt of the description of the test facility.



6 Required Application Information

After completion of the review, Telefication will submit the electronic application files to the FCC. To avoid delay, Telefication requires to submit your application in the format required by the FCC database.

Files submitted in Acrobat PDF format are preferred. Files in MS-WORD, jpg or text are also accepted.

In case the files are in a different format please contact Telefication.

Application information shall conform with 47 CFR 2.1033 requirements.

An application must consist of the following files/documents:

- FRN number
- Grantee Code
- Letter of authorization;
- Cover Letters and if required request for non disclosure / confidential treatment;
- 731 Form;
- ID Label/Location Info;
- Internal Photos;
- External Photos;
- Test setup photos;
- Test Report(s);
- Operational Description;
- Schematics;
- Block Diagrams;
- User's manual;
- Parts List/Tune Up Info;
- RF Exposure Info/SAR.

6.1 FRN Number

Please provide the applicant's FRN number. Without FRN number no FCC filing application can be carried out. The FRN number is assigned by the FCC to each applicant to track the company and its compliance with FCC rules. If the applicant does not have an FRN number, one can be obtained from the FCC web site. A Link to this-web site can be found on <http://www.telefication.com>

6.2 Grantee Code

The FCC ID consists of a Grantee Code, which is a three-character code assigned by the FCC to a specific applicant at a specific address, and equipment Product Code selected by the applicant. The assignment of a Grantee Code may be obtained either electronically or by submitting a paper request. A paper request consists of a letter of request, an FCC Form 159 "Remittance Advice" and payment. Services and requests for FCC actions that are subject to a fee can be found in the Fee Filling Guide. The Guide contains a copy of FCC Form 159, FCC Remittance Advice Form and instructions on its use. The Fee Filling Guide can be obtained from the FCC web site. A Link to this-web site can be found on <http://www.telefication.com>

6.3 Letter of authorization

If the applicant wishes the TCB to complete and sign all concerned documents, needed for the application for approval on behalf of the applicant, the applicant must issue a letter of authorization (RF_500)

The approval and all originating responsibilities will remain with the applicant.

Example of this letter can be obtained from the Telefication web site as downloadable document.



6.4 Cover Letters and if required request for non disclosure / confidential treatment

General document detailing the service you require from Telefication and e.g. letters requesting confidentiality of some application elements if required. Example of this request (non disclosure / confidential treatment (RF_501), can be obtained from the Telefication web site as downloadable document. Please include, if applicable, in your cover letter the FCC ID of a previously approved similar device. See for more information also section 7.

6.5 TCB application Form 731

The applicant must fill out and submit a completed FCC Form 731. Instructions for completing TCB application forms can be found in a separate document with number RF_731 Form.

6.6 ID Label/Location Info

All devices authorized under the above authorization procedures are required to display an identification label/plate showing the FCC Identifier (FCC ID) under which they are authorized. See Sections 2.925 and 2.926 for detailed labeling requirements. Additional labeling requirements may be specified in the FCC Rules (in particular see 15.19) governing the particular class of equipment.

ELEMENTS OF THE FCC ID - The FCC ID consist of two elements, a grantee code and an equipment product code, in the **exact order** shown in the example below. See Section 2.926 for additional information.

XXX QQQ **XXX** = **3 or 5** characters grantee code assigned permanently by the FCC to a specific grantee and is valid only for the party listed, and at the address listed in the drawing on the next page is an illustration showing the required format for the FCC ID on labels.

QQQ = Equipment product code (EPC) assigned by the applicant. Minimum of 1 character and maximum of 14 characters and may consist **ONLY** of capital letters, Arabic numerals or combination thereof, the hyphen or dash (-). Applicant should assign the least number of characters that will adequately identify the product.

There is no specific format for displaying information on proposed identification labels. Where FCC required identification data is included on a label with other information desired by the applicant, or required by other agencies, it is recommended that the FCC ID be circumscribed to distinguish it from other numbers on the label. The proposed label or labeling method required to be submitted with applications for equipment authorization, pursuant to Sections 2.963(d)(12), 2.975(a)(4), 2.983(f) and 2.1033(b)(7), must be representative of the production label to be placed on the equipment upon grant of an application.

FCC ID: XXXQQQ

Applicants are cautioned not to **print** proposed identification labels in quantity, or to label equipment by **any method** (silkscreening, engraving, etc) **prior** to grant of an application for the following reasons:



- An FCC ID listed in an application for equipment authorization that has been denied cannot be used for future filings pursuant to Section 2.926(d)(2);
 - devices covered in applications that are dismissed may not be legally sold pursuant to Section 2.803; and
 - correction and/or revision of proposed labels submitted with applications is often required.
- See Section 2.926(e) for information concerning displaying of the FCC ID on labels of unauthorized equipment.

6.7 Photos

- Internal photos : Good quality (1M pixel or greater) showing the inside of the product and BOTH sides of all printed circuit cards. Confidentiality may be requested for internal photos.
- External Photos: Good quality (1M pixels or greater) showing the exterior of the product from all sides. These photos cannot be kept confidential.
- Test setup photos Photos that provide documentation of cable and equipment configuration, which produced the worst, case radiated and conducted emissions. Front and back photos are required. Typically four individual photos.

6.8 Operational Description

A brief description of the circuit functions of the device along with a statement describing how the device operates. This statement should contain a description of the ground system and antenna, if any, used with the device.

6.9 Additional requirements for other than Part 11, 15 and 18 devices

Type or types of emissions. Frequency range of operation. Range of operating power values or specific operating power levels, and description of any means provided for variation of operating power. Maximum power rating as defined in the FCC rule part. The dc voltages applied to and dc currents into the several elements of the final radio frequency amplifying device for normal operation over the power range. For devices employing digital modulation techniques, a detailed description of the modulation system to be used, including the response characteristics (frequency, phase, and amplitude) of any filters provided, and a description of the modulating wavetrain.

6.10 Block Diagrams & Schematics

- Block diagrams: A block diagram showing the frequency of all oscillators in the device. The signal path and frequency shall be indicated at each block. The tuning range(s) and intermediate frequency(ies) shall be indicated at each block.
- Schematics: A schematic diagram of the device. Schematics must be formatted as U. S. or E.U. size.

6.11 Test Report Contents

The test report should show the following:

- a) compliance with the pertinent FCC technical requirements;
- b) identify the test procedure used (e.g., specify the FCC test procedure, or industry test procedure that was used);
- c) the date the measurements were made;
- d) the location where the measurements were made;
- e) the device that was tested (model and serial number, if available);
- f) The report shall include sample calculations showing how the measurement results were converted for comparison with the technical requirements;
- g) The report shall document the accreditation status of the test facility and submit the accreditation certificate and scope of accreditation.



6.12 User's manual

A copy of the user's manual for the device with the information of any required FCC inserts clearly identified by page number reference either in the cover letter or on the first page of this exhibit.

6.13 Parts List/ Tune-up info

A list of active devices is required, such as a bill of material.

6.14 RF Exposure Info

A discussion documenting the device compliance with the requirements of 1.1310, 2.1091, and/or 2.1093 as applicable. Devices categorically excluded from routine RF exposure must still file an analysis indicating that they comply with RF exposure limits.

7 Handling of Confidential Information

In case the FCC should treat an application file as confidential, it should be requested in the cover letter in accordance with 47 CFR 0.459. The request must specify the application files, to be confidential.

In case of submitting confidential and non-confidential information, the application file must be organized into two files and submit both with one identified as confidential. Telefication makes all materials, information, verbal conversations, and correspondence to Telefication available to the FCC. The FCC is a federal agency and as such has duties to the public to disclose information made known to it (see 47 CFR Part 0). Telefication will pass such requests along to the FCC. Designating an application file as confidential does not mean that the FCC will treat that application file as confidential. After a request is made, the FCC will determine what files it will treat as confidential. Supplementary information about handling of confidential information can be found on the

FCC web site. A Link to this-web site can be found on <http://www.telefication.com>

The new electronic process will include a provision for **temporary confidentiality** for certain additional portions of an application for equipment authorization. This will give manufacturers and distributors the ability to import and/or distribute devices following equipment authorization, while maintaining the confidentiality of detailed technical information about the product prior to product launch. Electronic submittal of a request for such confidentiality will ensure expedited approval and will make it less burdensome for manufacturers and distributors to comply with the marketing regulations in 47 CFR §2.803 and the importation rules in 47 CFR §2.1204, while ensuring that business sensitive information remains confidential until the actual marketing of newly authorized devices. Such confidentiality will extend for 45 days from the date of the Grant of Equipment Authorization, and, absent any other action, the subject exhibits will be automatically placed on the public database at the end of this period. However, if prior to the expiration of the 45 day period, an applicant engages in public marketing activities or otherwise publicizes a device for which temporary confidential treatment has been granted, the applicant must coincidentally notify the FCC or the TCB issuing the equipment authorization so that the subject exhibits may be placed in the public database immediately.

8 Certification Process

When all above mentioned letters, documentation, test reports and statements have been assessed by Telefication and compliance with the FCC rules and regulations has been ascertained, Telefication will issue her certificate for the equipment. On the same day the electronic filing with the FCC-website will be started.

The filing includes the uploading of the 731 form and the mentioned exhibits. After successful uploading, the "Grant" will be issued by the FCC.

This means that from this point on the "grant-holder" is entitled to bring the equipment on the market.

The "Grant" is an official public FCC document which can be seen on the FCC website together with all information that the TCB has uploaded except those where a confidentiality request is applicable.

In case the assessed information is not in accordance the FCC rules and regulations, Telefication will not issue the certificate.

9 Telefication Certificate

9.1 Validity of certificates

The issued certificate will be valid, as long the "Grant" is published on the FCC web site. Annex A, example of certificate.

9.2 Termination (expiration), reduction, suspension and withdrawal of Certificates

The certificates issued by Telefication under ISO/IEC 17065 accreditation can get a change in their active status, as published on the Telefication website, due to passing the expiry date, changes in the prerequisites for certification, when a non-conformity with the certification requirements is substantiated or when the client requests for changes. In RQ_160 is defined for the related possibilities e.g. termination, suspension and reduction which action must be taken and how these actions have to be performed.

10 Product surveillance

In accordance with the conditions stated in the general rules for the FCC certification scheme and specific rules for the scopes as specified in the designation, Telefication can carry out a continuing surveillance on the licensee's compliance with his obligations.

The surveillance is carried out by appointed Telefication employees or by agencies acting on behalf of Telefication. Surveillance activities are in accordance with ISO Guide 65 section 13 and or ISO 17025. The fees for surveillance are in addition to the fees for processing applications.

11 Information about complaints

The certification holder of the certified products should keep a record of all complaints made known to the approval holder relating to a product's compliance with requirements of the relevant standard and to make these records available to the certification body when requested.

In case such complaints and any deficiencies found in products or services that affect compliance with the requirements for certification, appropriate action should be taken.

The certificate holder should document the actions.

12 Instructions for form RF-731

12.1 About this document

This document is an instruction for manufacturers and importers, for completing TCB application form RF_731. Indications **Section x point y** refer to parts of the form RF-731.

12.2 FCC Registration Number (FRN)/Grantee Code:

Without these numbers no application can be carried out.



The data in these fields correspond to the information in the FCC's records for the assigned Applicant (Grantee) Code.

12.3 Equipment Product Code (**Section I point 3(b)**):

The Equipment Product Code (EPC) may not exceed 14 characters. The EPC may consist of any combination of capital letters, Arabic numerals, and the hyphen or dash (-). To expedite entry of the FCC ID into the FCC's database, it is requested that applicants select an EPC that has at least the number of characters that will adequately identify the equipment in this application. Example: family, series or system numbers or names.

12.4 Technical/non-technical contact:

Details of a technical as well as a non-technical contact person including e-mail addresses are required.

12.5 Confidentiality (**Section III point 1**):

There are 2 possibilities for confidentiality:

1. Long-Term (or Permanent) Confidentiality; this would apply for Schematics, Block Diagrams, Operational Description, Parts Lists, Tune-up Procedures

If this item is answered "Yes", a "Request for Confidentiality" form must be completed and signed (you can use the Telefication form RF_501). The written request for confidentiality must include a justification consistent with the requirements in 47 CFR Section 0.459(a) & (b). The confidentiality request must (1) specifically identify the material to be held confidential (See 47 CFR Section 0.457(d)), and (2) the material to be held confidential, along with a copy of the request, must be specifically annotated as separate file in the Exhibits portion of this application.

2. Short-Term Confidentiality; this would apply for documents like Internal Photos User's Manual, External Photos, Test Set-up Photos.

Short-Term Confidentiality is granted for 45 calendar day increments from the date of grant; it must be extended within the 45 calendar day period. A maximum of 3 extensions after the first 45 days is allowed (thus total time 180 days).

Exhibits are automatically released to the public at expiration date.

Release information to the public **immediately** when marketing begins.

A special request letter must be made/signed for Short-Term Confidentiality and it should include a **justification** for the Short-Term confidentiality.

Only one type of confidentiality can be applied per attachment exhibit (i.e. Long-Term Confidential or Short-Term Confidential)

12.6 Modular Equipment (**Section III point 2**):

Modular approval is intended for devices with the same transmitter that can be built in multiple hosts without the need for Re-Certification of the transmitter.

A special form/letter has to be completed/signed with indication about meeting special requirements. When not all requirements can be met Limited Modular approval is applicable.

Split modular devices (*transmitters consist of two basic components: the "radio front end" or radio elements and the "firmware" or hardware on which the software that controls the radio operation resides*) can currently not be certified.

12.7 Equipment Code (list dated 19Sep08) (**Section III point 4(a)**):

The list of Equipment Class and Rule Part combinations is available on this website:

<https://apps.fcc.gov/oetcf/eas/reports/EquipmentRulesList.cfm>



12.8 Purpose of Application (**Section III point 5**):

Box 1 – Original equipment: tick only for new equipment that has not been previously authorized by the FCC.

Box 2 – Change in identification: tick only if the FCC ID has to be changed. This can also be used when company B wants to sell same equipment as company A but with their own FCC ID (authorization from company A for that is required). If an application is pending with the FCC under the same FCC ID in Section I point 3, and the applicant wishes to file additional information, contact the Equipment Authorization Branch at the address at the bottom of this document for instructions on submitting amendments to pending applications. Alternatively, an amendment may be submitted via the Internet at the OET Electronic Filing Page under the option, Submit Amendments to a Pending Application.

Box 3 – Class II Permissive change: tick only if the equipment listed in the application has been previously authorized by the FCC. Do not check if the FCC ID has been changed as a result of modification of the equipment.

12.9 Equipment Specifications (**Section III point 6**):

- a. **Frequency Range:** Show the frequency/frequency range in MegaHertz (MHz).
Example: If the frequency is 325 kiloHertz (kHz), convert it to 0.325 MHz. If a frequency range is used type the lowest and the highest channel (e.g 2402-2480 MHz)
- b. **Rated RF power output in watts:** This item applies to transmitting equipment that is subject to Type Acceptance, Notification and Certification (e.g., Part 15 spread spectrum transmitters), with output power that is required/listed in Watts.
- c-d. **Frequency Tolerance and Emission Designator**
These items apply only to equipment that is subject to Type Acceptance, or is transmitting equipment that is subject to Notification, and operates in licensed radio services rule part.
- Microprocessor model number**
This item applies to digital devices that are subject to Certification under Part 15 of the Rules (personal computers and personal computer peripherals).

12.10 Composite Device (**Section III point 7**):

Examples

- 1: a Part 15 transceiver that contains a transmitter and a super-regenerative receiver requires assignment of the same FCC ID and is subject to Certification under both Subparts 15B and 15C; thus two grants/certificates with the same FCC ID. Consequently two Forms 731 are required with references to each other (via Section III point 6)
- 2: a Wireless LAN product that operates in 2.4 GHz band (DTS) and 5.25-5.35 GHz (NII) requires two grants/certificates with the same FCC ID, and thus two Forms 731. Also separate DTS and NII reports are required!

Applications for composite devices must be filed at the same time. The Grant(s) of Equipment Authorization cannot be issued until all required applications and requirements for grant are met.



12.11 Multiple device authorization:

An example of a system where both devices require an equipment authorization is an auto security alarm system that:

- (a) consists of a transmitter and super-regenerative or super-heterodyne receiver;
- (b) requires a different FCC ID to be assigned for each component of the system; and
- (c) requires two Form 731 filings (one for the transmitter and one for the receiver), accompanied by all required documentation (including a fee for the transmitter and a fee for the receiver).

Application(s) for the component(s) must be filed at the same time if the related receiver or transmitter that operates or is marketed as part of a system, has not been authorized by the FCC. The FCC will not issue Grant(s) of Equipment Authorization until all required applications are filed, appropriate fees paid, and all requirements for grant are met.

12.12 Additional type of equipment authorization required:

If you are uncertain as to the type of equipment authorization that you should request, contact Telefication at the address listed at the bottom of this document for assistance.

12.13 Test Firm:

Enter the full or partial name of the test firm (incl. contact person + e-mail address). Test firms that perform compliance testing of equipment which is subject to Certification or Notification under Part 15, or Certification under Part 18 of the rules, must file a description of their measurement facility, pursuant to 47 CFR Section 2.948.

A list of independent contract test firms that have filed a site description is available via the Internet at the OET Electronic Filing Page under the option Test Firm Report.

12.14 Section 5301 (Anti-Drug Abuse) Certification (ADAC):

In order to be eligible for a Grant, all applicants must respond to the Applicant/Agent Certification. Failure to respond will result in this application not being accepted for filing.

12.15 Application/Agent Certification:

The application must be dated, and bear the original signature of either an officer of the applicant, a designated employee of the applicant located at the applicant's address, or an authorized agent. A signature includes any symbol executed or adopted by the applicant with the intent that such symbol be a signature, including symbols formed by computer-generated electronic impulses. The agent information section must be completed if an agent signs the application on behalf of the applicant.

12.16 Market Surveillance:

In accordance with ISO/IEC Guide 65, a TCB is required to conduct appropriate post-market surveillance activities. These activities shall be based on type testing a few samples of the total number of product types that the certification body has certified. The applicant must comply with TCB request for samples.



Annex A: Example of Certificate

TCB

**GRANT OF EQUIPMENT
 AUTHORIZATION**

TCB

Certification

**Issued Under the Authority of the
 Federal Communications Commission
 By:**

Telefication BV
 Edisonstraat 12a
 NL-6902 PK Zevenaar
 The Netherlands

Date of Grant: 1

Application Dated: 2

3

NOT TRANSFERABLE

EQUIPMENT AUTHORIZATION is hereby issued to the named GRANTEE, and is VALID ONLY for the equipment identified hereon for use under the Commission's Rules and Regulations listed below.

FCC IDENTIFIER: 4

Name of Grantee: 5

Equipment Class: 6

Notes: 7

| <u>Grant Notes</u> | <u>FCC Rule Parts</u> | <u>Frequency Range (MHz)</u> | <u>Output Watts</u> | <u>Frequency Tolerance</u> | <u>Emission Designator</u> |
|--------------------|-----------------------|------------------------------|---------------------|----------------------------|----------------------------|
| | 8 | 9 | 10 | | |

11

| | | |
|--|-----------------------|--|
| Certificate N°: 04218.../AA/00 | Manager Certification | |
|--|-----------------------|--|

Annex B: Abbreviations

ANSI

American National Standards Institute

CAB

Conformity Assessment Body

CFR

Code of Federal Regulations

EPC

Equipment Product Code

FCC

Federal Communications Commission of the United States of America

NARA

National Archives and Records Administration

RF

Radio Frequency

Telefication B.V.

Third party certification body accredited by The Dutch Council for Accreditation
(Raad voor de Accreditatie)

TCB

Telecommunication Certification Body



Annex C: Additional information

For more information contact:

Telefication
Phone: +31 (0)88 998 3600
Fax: +31 (0)316 583 189
Email: certification@telefication.com

Mailing Address:
Edisonstraat 12A
6902 PK Zevenaar
The Netherlands

Web-site: <http://www.telefication.com/>