



# ***The Role of Self-Declarations in Conformity Assessment***

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# About TIA

- Washington, DC-based trade association for global information and communications technology (ICT) manufacturers, vendors, and suppliers, providing value to industry members through policy advocacy, standards development, networking, etc. – please visit <http://tiaonline.org/>
- American National Standards (ANSI) accredited standards development organization
- TIA 2014 Network of the Future Conference: (<http://www.tia2014.org/>)



# About TIA

- **Key areas of policy advocacy:**
  - Trade and market access
  - Disability access to ICT
  - Broadband convergence (deployment policies, IP transition, etc.)
  - Cybersecurity and supply chain integrity
  - Energy and environment
  - Health ICT
  - Intelligent transportation systems
  - Standards & IPR
  - Device approval
  - Spectrum allocations
  - Public safety issues
- Please visit <http://tiaonline.org/policy>



# What are Self Declarations?

- Also known as:
  - Supplier's Declaration of Conformity (SDoC)
  - Manufacturer's Declaration of Conformity
- Self declarations are “first party” attestations
- A manufacturer or supplier provides written assurances that the product meets one or more standards based on:
  - the manufacturer's confidence in the quality control system, and/or
  - the results of testing or inspection the manufacturer undertakes or authorizes others to undertake on his/her behalf.



# What are Self Declarations?

- Existing open, voluntary, and consensus-based standards define requirements for manufacturers who declare conformance of their product to conform to relevant standards, regulations or other specifications. For example, **ISO/IEC 17050** defines:
  - General requirements for an SDoC
  - Requirements for supporting documentation to substantiate an SDoC, such as testing carried out by the supplier or an independent body



# What are Self Declarations?

- Self Declarations are typically used when:
  - There is a limited risk associated with noncompliance
  - Sufficient consequences are in place for noncompliant products that are placed into the market
  - There are sufficient means for the removal of noncompliant products from the marketplace
- Self declarations may take the form of a separate document from the manufacturer attesting to compliance



# Self Declarations and Ensuring Compliance

- For regulatory purposes, authorities can ensure that the integrity of a self declaration is maintained by:
  - Establishing requirements for who signs the declaration of conformity
  - Requiring access to the declaration
  - Requiring access to compliance records, etc.
  - Post-market surveillance





# Why Use Self Declarations?

- Reliance on the private sector allows ease in addressing:
  - Speed at which technology is changing and shorter product life cycles that require faster product approvals
  - That the private sector has the technical expertise and ability to certify equipment
  - Limited governmental resources to performing conformity assessment
  - Efficiencies in designing and approving product in the same geographic location
  - Reduction of the uncertainty and delay in obtaining market access



# Why Use Self Declarations?

- Benefits include:
  - Flexibility in choosing where to have a product tested
  - Reduced uncertainty associated with mandatory testing by designated laboratories
  - Lower testing and administrative costs
  - Improved time to market
  - Elimination of unnecessary duplication and complexity in conformity assessment activities
  - Support of mutual recognition agreements (MRAs) among trading partners – contributing to the efficiency of the international trading system further reducing associated costs.
  - High compliance levels
- **Self declarations encourage trade and increase access to international markets**



# Case Study #1: US Federal

## Communications Commission (FCC) –

### Terminal Equipment (Part 68)

- Telephone terminal equipment (Part 68):
  - Public Switched Telephone Network (PSTN)
  - Private Line Interfaces
  - Analog Interfaces
  - Digital Interfaces
- Because of the rapid pace of change in both network and telephone equipment technologies, the FCC found it increasingly difficult for the regulatory process to keep pace thus creating a public disservice





# Case Study #1: US Federal

## Communications Commission (FCC) –

### Terminal Equipment (Part 68)

- The FCC minimized the government's role in Part 68 by privatizing significant portions of its rules governing the connection of terminal equipment to the public network and privatized the standards development and terminal equipment approval processes
  - This private/public sector partnership was formulated by creating ACTA under FCC guidelines with the FCC maintaining enforcement of the rules
- Manufacturers of Part 68 equipment self declare conformity with FCC requirements by registering their products on a public database
  - *Note:* the ACTA's requirements for self declaration are based on Part 68 rules and ISO/IEC Guide 22



# Case Study #1: US Federal

## Communications Commission (FCC) – Terminal Equipment (Part 68)

- Part 68 specifies that the self declaration shall include:
  - The identification and a description of the responsible party for the SDoC and the product, including the model number of the product [§68.324 (a)(1)]
  - A statement that the terminal equipment conforms with applicable technical requirements, and a reference to the technical requirements [§68.324 (a)(2)]
  - The date and place of issue of the declaration [§68.324 (a)(3)]
  - The signature, name and function of person making declaration [§68.324 (a)(4)]
  - A statement that the handset, if any, complies with §68.316 defining hearing aid compatibility (HAC), or that it does not comply with that section [§68.324 (a)(5)]
  - Any other information required to be included in the SDoC by the Administrative Council of Terminal Attachments [§68.324 (a)(6)]



# Case Study #1: US Federal Communications Commission (FCC) – Terminal Equipment (Part 68)

**US: AAAEQ##TXXX**

**US:** is a fixed field that indicates the equipment meets all requirements of 47 CFR Part 68 (including the requirements published by ACTA).

**AAA** represents the responsible party's Grantee Code obtained from ACTA (or if obtained prior to 23 July 2001, from what was then the FCC's Common Carrier Bureau).

**EQ** represents the Equipment Code indicating to the service provider signal handling or billing requirements.

**##** represents the Ringer Equivalence Number without a decimal point, 00 through 50. Exception: in the case of equipment not connecting to circuits with analog ringing supplied then "NA" shall appear. Equipment without a network interface (intended for use behind a host system) shall be labeled with the numerical REN code or with NA.

**XXX** represents the product identifier, unique when combined with the Responsible Party (formerly "Grantee") Code. The product identifier consists of at least one and up to nine alphanumeric characters (including one or more dashes ("-") if desired. A dash shall not appear as the first or last character nor shall the identifier consist entirely of dashes).



# Case Study #1: US Federal

## Communications Commission (FCC) – Terminal Equipment (Part 68)

- Part 68 specifies that a copy of the self declaration shall be:
  - provided with the terminal equipment [§68.324 (c)]
  - provided to the ACTA [§68.324 (e)(2)]
  - freely available to the general public and accessible to the disabled community on the RP's website<sup>3</sup> [§68.324 (e)(3)]



# Case Study #1: US Federal

## Communications Commission (FCC) – Terminal Equipment (Part 68)

- The responsible party for a self declaration shall maintain records for a period of at least 10 years containing:
  - A copy of the Supplier’s Declaration of Conformity [§68.326 (a)(1)]
  - The identity of the testing facility, including the name address, phone number and other contact information [§68.326 (a)(2)]
  - A detailed explanation of the testing procedure utilized to determine whether terminal equipment conforms to the appropriate technical criteria [§68.326 (a)(3)]
  - A copy of the test results for terminal equipment compliance with the appropriate technical criteria [§68.326 (a)(4)]





# Case Study #1: US Federal

## Communications Commission (FCC) –

### Terminal Equipment (Part 68)

- Responsible parties failing to comply with the applicable Part 68 rules and regulations are subject to penalties (under Federal Law) for failure to comply with the requirements [§1.80]
  - Penalties can be found in 47 U.S.C. Section 503

# Case Study #2: FCC –Parts 15 & 18

- Part 15 Unintentional Radiators [§ 15.101(a)]
  - Personal computers and peripherals
- Part 18 consumer industrial, scientific, and medical (ISM) equipment [§ 18.203(a)]
  - Microwave ovens
  - RF light bulbs
  - Radio receivers
  - TV interface devices





## Case Study #2: FCC –Parts 15 & 18

- The FCC allows for the use of Declarations of Conformity (DoCs)
  - The responsible party makes measurements or takes other necessary steps to ensure that the equipment complies with the appropriate technical standards [§ 2.909]
- Devices must be tested by a test laboratory accredited by
  - The National Voluntary Laboratory Accreditation Program (NVLAP)
  - The American Association of Laboratory Accreditation (A2LA)
  - An accredited laboratory designated by the FCC under the terms of a negotiated MRA

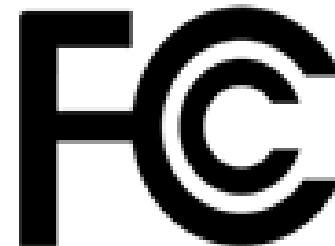
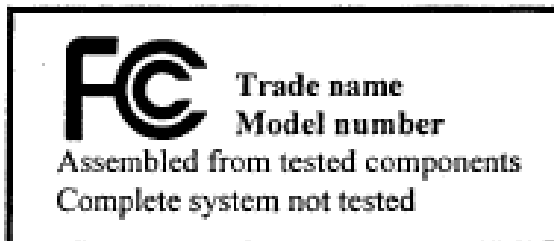


## Case Study #2: FCC –Parts 15 & 18

- A compliance information statement must be supplied with the product, identifying the product and a responsible party within the United States, and containing the statement specified in Section 15.19(a)(3) [§ 2.956]
  - “This device complies with part 15 of the FCC Rules. Operation is subject to the following two conditions: (1) This device may not cause harmful interference, and (2) this device must accept any interference received, including interference that may cause undesired operation.”
- The responsible party is not required to file an equipment authorization application with the Commission or a TCB, or to submit a sample unit or test data unless specifically requested [§ 2.956]

## Case Study #2: FCC –Parts 15 & 18

- The DoC attaches to the equipment a label showing that the sample has been tested and found acceptable by the responsible party [§ 15.19(b)(1)(i)-(ii); §18.209(b)]
- The Declaration of Conformity attaches to all items subsequently marketed by the responsible party which are identical to the sample tested and found acceptable by the responsible party [§ 2.906]





## Case Study #2: FCC –Parts 15 & 18

- The responsible party must submit to the FCC upon request records of the original design drawings and specifications, the procedures used for production inspection and testing, a report of RF emission measurements, the compliance information statement, and a sample of the device [§§ 2.1075 and 2.946]
- Responsible parties failing to comply with rules and regulations are subject to penalties (under Federal Law) for failure to comply with the requirements [§1.80]
  - Penalties can be found in 47 U.S.C. Section 503



# Thank You!

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