



# FCC/ISED Certification Guide



This document is a guide to apply for FCC Equipment Authorization for Intentional and Unintentional radiators and for Innovation, Science and Economic Development Canada Radio Equipment listing through DEKRA as TCB for FCC and FCB for ISED.

This document is provided for information purpose only and always the official FCC and ISED regulations prevail.

**DEKRA Testing and Certification, S.A.U.**

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## 1. Introduction

DEKRA has been accredited according to ISO/IEC 17065 and has been designated as TCB for certification according to the FCC rules and FCB for certification according to ISED rules.

DEKRA, as TCB or FCB, only applies the existing FCC/ISED rules and cannot interpret them. DEKRA review will be based on the provided documentation and information, but the applicant remains responsible for the compliance of the device with all the applicable regulations.

This guide covers the DEKRA review and final decision about certification activities. Testing activities are not covered by this guide. An applicant submitting to DEKRA an application for equipment authorization according to FCC/ISED rules acknowledges the following scope covered by the DEKRA's accreditation:

### 1.1. FCC – TCB certification scope

#### **A: Unlicensed Radio Frequency devices.**

A1: 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).

A2: Low power transmitters operating on frequencies above 1 GHz, with the exception of spread spectrum devices.

A4: Unlicensed National Information Infrastructure (UNII) devices and low power transmitters using spread spectrum techniques.

#### **B: Licensed Radio Service Equipment.**

B1: Commercial Mobile Services in 47 CFR Parts 20, 22 (cellular), 24, 25, and 27.

B2: General Mobile Radio Services in 47 CFR Parts 22 (non-cellular), 73, 74, 90, 95 and 97.

### 1.2. ISED – FCB certification scope

Radio Scope 1 – License - Exempt Radio Frequency Devices.

Radio Scope 2 – Licensed Personal mobile Radio Services

Radio Scope 3 – Licensed General Mobile and Fixed Radio Services

## 2. Application for equipment certification

### 2.1. How can you apply?

You can request a quote for certification according to FCC or ISED rules by one of the following means:

- Sending an e-mail to your Account Manager at DEKRA or to the e-mail address: [infolab.es@dekra.com](mailto:infolab.es@dekra.com).
- Sending a fax to the number: +34 952 619 113

Please specify in your request the detailed technical specifications of the device, the scope of the certification request (FCC, ISED or both) and any additional service you may need before the certification activities (e.g. testing, obtaining FCC Grantee code or ISED Company number).

Once received your request, DEKRA will assign an Account Manager that will contact you to clarify any possible doubt about your request and to provide the service quote.

After accepting the service quote for certification activities, you may submit the documentation and information required for FCC/ISED certification to the e-mail address: [certification.rcb.es@dekra.com](mailto:certification.rcb.es@dekra.com). In case that all the documentation cannot be attached to a single e-mail you may either send several e-mails or to set up an FTP account where the certification body may access to download the required information.

The responsible for the certification body will then assign a reviewing engineer who will be your main point of contact during the review process.

## 2.2. Who can apply?

Applicant for equipment certification must:

- **FCC:** Be registered at FCC database and have a Grantee code.
- **ISED:** Be registered at ISED database and have a Company Number.

You can check if the company is previously registered in the following links:

**FCC** <https://apps.fcc.gov/oetcf/eas/reports/GranteeSearch.cfm>

**ISED** <http://www.ic.gc.ca/app/sitt/reltel/srch/dsplyCmpnyLkp.do?lang=eng>

All registered companies will have an unique identifier called Grantee Code for FCC and Company Number for ISED. If the applicant company is not registered prior to submit the application you will need to proceed with the registration in the following sites:

| Regulatory Domain | Registration site   | Guidance document  |
|-------------------|---|--|
| <b>FCC</b>        | <a href="https://apps.fcc.gov/eas/RegisterGrantee.do">https://apps.fcc.gov/eas/RegisterGrantee.do</a> | <p><a href="#">KDB 204515 D01 Grantee Code v01r01</a></p> <p>Click on the green Register button.<br/>Then click on New Applicant.<br/>The next screen will be all the Web User Information: create a login name, password, contact name, phone, fax, and email.<br/>The next screen is the Applicant Information: company name, applicant type, fees applicable, language, address, phone, fax, email<br/>The next screen is the Certification Letter Contact: Name, address, phone, fax, email (this would be the listed contact for the company)<br/>When you have completed this process, ISED has an approval process and once that is completed, ISED will send the contact listed an email with the account/company number.<br/>Once finished, it is required to email the login name back to ISED as they need to accept it in the system first.<br/>In addition, kindly advise the role of your company from the choices below:</p> <ul style="list-style-type: none"> <li>• Manufacture</li> <li>• Canadian representative</li> <li>• Equipment applicant</li> <li>• Wireless test lab</li> </ul> |
| <b>ISED</b>       | <a href="https://sms-sgs.ic.gc.ca/login/auth">https://sms-sgs.ic.gc.ca/login/auth</a>                 |  |

## 2.3. Signatory/Agent

All the applications forms, declarations, cover letters, etc. submitted for FCC/ISED certification must be signed by the main contact person included in the FCC and ISED database for the corresponding FCC Grantee code and ISED Company number.

In case that any document is signed by a different person, either from the same Company or from an external agent, a writing authorization letter from the main contact person must be provided together with the application documents.

## 3. Type of applications

### 3.1. FCC type of applications

#### 3.1.1. Original certification

Application for a new device identified under a new FCC ID. Test report showing compliance with all the requirements of the applicable technical requirements is required to be submitted as support to the application.

#### 3.1.2. Class II Permissive Change

A Class II permissive change includes those modifications which degrade the performance characteristics as reported at the time of the initial certification. Such degraded performance must still meet the minimum requirements of the applicable rules. When a Class II permissive change is made by the grantee, the grantee shall supply complete information and the results of tests of the characteristics affected by such change. The modified equipment shall not be marketed under the existing grant of certification prior to the issue of the new Grant covering the modification.

They also include:

- The addition of replacement or alternative antennas for part 15 devices where a higher gain antenna is used or a different type of antenna is used
- When a device change the RF exposure conditions.
- When it is required to address co-location with other transmitter not covered by original application.

#### 3.1.3. Class III Permissive Change

A Class III permissive change includes modifications to the software of a software defined radio transmitter that change the frequency range, modulation type or maximum output power (either radiated or conducted) outside the parameters previously approved, or that change the circumstances under which the transmitter operates in accordance with FCC rules. When a Class III permissive change is made, the grantee shall supply a description of the changes and test results showing that the equipment complies with the applicable rules with the new software loaded, including compliance with the applicable RF exposure requirements. The modified software shall not be loaded into the equipment, and the equipment shall not be marketed with the modified software under the existing grant of certification, prior to the issue of the new Grant covering the modification. Class III changes are permitted only for equipment in which no Class II changes have been made from the originally approved device.

#### 3.1.4. Change of FCC ID

A new application for equipment authorization shall be filled whenever there is a change in the FCC Identifier for the equipment with or without a change in design, circuitry or construction. However, a change in the model/type number or trade name performed in accordance with the provisions in §2.924 of this chapter is not considered to be a change in identification and does not require additional authorization from the Commission.

Where no change in design, circuitry or construction is involved, the application does not need to be accompanied by a resubmission of equipment or measurement or test data. In lieu thereof, the applicant shall attach a statement setting out:

- (1) The original identification used on the equipment prior to the change in identification.
- (2) The date of the original grant of the equipment authorization.

(3) How the equipment bearing the modified identification differs from the original equipment.

(4) Whether the original test results continue to be representative of and applicable to the equipment bearing the changed identification.

(5) The photographs required by §2.1033(b)(7) or §2.1033(c)(12) showing the exterior appearance of the equipment, including the operating controls available to the user and the identification label.

If the change in the FCC Identifier also involves a change in design or circuitry which falls outside the purview of a permissive change described in §2.1043, a complete application shall be filed pursuant to §2.911.

## 3.2. ISED type of applications

### 3.2.1. Single New Certification

Single certification may be granted to radio equipment provided that the equipment model is assigned a unique model number by the manufacturer and certification has never been granted for that model.

### 3.2.2. Family Certification

Family certification (multiple models) may be granted to many models of radio equipment that are electrically identical, provided that each model is assigned a unique model number by the manufacturer.

Equipment is considered electrically identical if no changes are made to equipment that has been certified or if the changes made to the equipment qualify as Class 1 permissive changes.

There are two possibilities for family certification:

- New Family Certification — If family certification is requested and none of the models in the family has ever been certified.
- Family to a Previously Certified Model — If family certification is requested and at least one model in the family has been certified.

### 3.2.3. Multiple Listing

Multiple listing of a certified model is required when a manufacturer or distributor wishes to list under its name and unique model number certified equipment of an original equipment manufacturer (OEM).

A model of equipment may be multiple-listed to other manufacturers or distributors based upon the approval granted to the original applicant and certificate holder.

### 3.2.4. Class II Permissive Change (C2PC)

A reassessment is required when a Class II permissive change is made to previously certified equipment.

A Class II permissive change includes the next modifications:

- hardware modifications to the certified product that do affect fundamental RF characteristics and/or do degrade the unwanted emissions of the product
- modifications to a certified product that do change the RF characteristics, but not beyond the requirements established in the applicable RSS regulations in the original certification
- modifications that do change external or internal mechanical characteristics significantly enough to require new photographs to identify the modified product
- any change to the PMN or HVIN of the certified product

### 3.2.5. Class III Permissive Change (C3PC)

A reassessment is required when a Class III permissive change is made to previously certified equipment.

A Class III permissive change includes the next modifications:

- firmware modifications to a certified product that affect the RF characteristics of a certified product (a new and unique FVIN must be provided for such modifications)
- firmware modifications to enable new frequency bands but without hardware modification (A new and unique FVIN must be provided for such modifications.)

### 3.2.6. Class IV Permissive Change (C4PC)

A reassessment is required when a Class IV permissive change is made to previously certified equipment.

A Class IV permissive change includes the next modifications:

- a certified module(s) (LMA or MA) that is integrated into a new host product, which results in changes to the original reported RF emissions characteristics and/or RF exposure evaluation
- a certified module(s) (LMA or MA) that is integrated into a new host product where a new RF exposure information/evaluation (as per RSS-102) and/or RF emissions information needs to be updated with Innovation, Science and Economic Development Canada (ISED)

### 3.2.7. Transfer of a Certification

Certification ownership may be transferred from the current owner to a new entity that wishes to assume all of the previous owner's responsibilities associated with the certificate. To transfer the ownership, the new entity shall send a letter to the Bureau providing a copy of a signed letter from the current certificate holder, authorizing the Department to transfer the ownership from the current owner to the new entity and change the certificate file information to reflect the new owner's information. The letter must also attest that the equipment covered by the certificate is identical in design and construction to the originally-approved model.

## 4. Required documentation

Submissions from a TCB/FCB to the FCC/ISED are required to be electronic and in a standard structure, for that reason separate exhibits covering the different type of requested documentation should be provided.

The application supporting documentation should be submitted electronically as Adobe PDF and individual file sizes must be less than 6 Mb. If necessary, split documents into several parts.

The following content is required (as appropriate to your particular application):

### 4.1. FCC type of applications

| Document                       | Description  | Mandatory for |                            |                             |                  |
|--------------------------------|--|---------------|----------------------------|-----------------------------|------------------|
|                                |  | Original      | Class II permissive change | Class III permissive change | Change of FCC ID |
| Form 731                       | Application form for FCC certification services  | X             | X                          | X                           | X                |
| Confidentiality Request Letter | Request for confidentiality according to FCC 47 CFR Sec. 0.457 and 0.459.  |               |                            |                             |                  |
| Agent letter                   | Letter to allow a third party to submit the application and/or to sign the application on behalf of the applicant.   |               |                            |                             |                  |
| User's Manual                  | A copy of the installation and operating instructions to be furnished the user per Section 2.1033 of the FCC Rules. It must contain information per Sections 15.21, 15.105, 18.213 and RF Safety instructions as needed. A draft document is acceptable. | X             | X <sup>(1)</sup>           | X <sup>(1)</sup>            |                  |
| Parts List / Tune-up Info      | Tune-up procedure over the power range, or at specific operating power levels per Section 2.1033(c)(9). Only required for licensed radio devices.  | X             | X <sup>(1)</sup>           | X <sup>(1)</sup>            |                  |

|                         |  |   |                  |                  |   |
|-------------------------|--|---|------------------|------------------|---|
| Operational Description | <p>A brief description of the circuit functions of the device along with a statement describing how the device operates, including a description of the radio circuitry and how the radio signal is developed. This statement should contain a description of the ground system and antenna, if any, used with the device per Section 2.1033. For certifications for licensed radio under rule parts other than 11, 15, and 18, the following additional items must be included:</p> <p>1) 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.</p> <p>2) A description of all circuitry and devices provided for determining and stabilizing frequency, for suppression of spurious radiation, for limiting modulation, and for limiting power.</p> <p>3) For equipment 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 wave train, shall be submitted for the maximum rated conditions under which the equipment will be operated.</p> | X | X <sup>(1)</sup> | X <sup>(1)</sup> |   |
| 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 per Section 2.1033(b)(5). This exhibit is only required for unlicensed devices operating under parts 11, 15, or 18.   | X | X <sup>(1)</sup> |                  |   |
| Schematics              | A schematic diagram for intentional radiators per Section 2.1033 of the FCC rules.   | X | X <sup>(1)</sup> |                  |   |
| Test Report             | A report of measurements showing compliance with the pertinent FCC technical requirements. This report shall identify the test procedure used, the date the measurements were made, the location where the measurements were made, and the device that was tested per Section 2.1033, as well as sample calculations for all measurement calculations in the report.   | X | X                | X                |   |
| Test Setup Photographs  | FCC request test Set up photos as a separate exhibit while ISED accept them as integral part of the test report.   | X | X                | X                |   |
| External Photographs    | FCC: A sufficient number of photographs to clearly show the exterior appearance, the construction, the component placement on the chassis, and the chassis assembly per Section 2.1033.  | X | X <sup>(1)</sup> |                  | X |
| Internal Photographs    | FCC: A sufficient number of photographs to clearly show construction, component placement, chassis assembly per Section 2.1033.  | X | X <sup>(1)</sup> |                  |   |



|                                       |   |                  |                      |                      |                      |
|---------------------------------------|---|------------------|----------------------|----------------------|----------------------|
| RF Exposure                           | Exhibit detailing how the device complies with FCC RF exposure requirement. It can be, depending on the product output power and the product proximity to the different part of the human body:<br><ul style="list-style-type: none"> <li>- SAR test report</li> <li>- RF fields tests or calculations</li> <li>- Statement of exemption from evaluation properly justified.</li> </ul> | X                | X                    | X                    |                      |
| Label design and label location       | A photograph, sample drawing or picture of the device should be provided including FCC ID of the device.<br>A photograph or picture indicating the label location of the device should be also provided.  | X                | X <sup>(1)</sup>     | X <sup>(1)</sup>     | X                    |
| Modular approval letters              | In case that the product to be certified is a module, a letter stating that modular approval conditions are met must accompany the application.   | X                |                      |                      |                      |
| SDR software and security information | Describe the software and security information required by Section 2.944.<br>Only required for Software Defined Radio / Cognitive radio   | X                | X <sup>(1)</sup>     | X                    |                      |
| Cover letters                         | Depending on the type of product and type of application, some cover letters may be required explaining or detailing some aspect of the application.  | X <sup>(5)</sup> | X <sup>(2) (5)</sup> | X <sup>(3) (5)</sup> | X <sup>(4) (5)</sup> |

(1) Required if different from the originally submitted.

(2) Detailed description of the differences between the modified device and the previously certified device, with particular emphasis on the following:

- o the radio frequency and RF output power;
- o the radio frequency circuitry;
- o functional capabilities;

It should include a brief statement as to why the modified product still complies with FCC rules.

(3) Detailed description of the software changes, with particular emphasis on the following:

- o the radio frequency and RF output power;
- o the radio frequency circuitry;
- o functional capabilities;

It should include a brief statement as to why the modified product still complies with FCC rules.

(4) The applicant shall attach a statement setting out:

- The original identification used on the equipment prior to the change in identification.
- The date of the original grant of the equipment authorization.
- How the equipment bearing the modified identification differs from the original equipment.
- Whether the original test results continue to be representative of and applicable to the equipment bearing the changed identification.

If the grantee of the original FCC ID differs from the grantee of the new FCC ID, an authorization letter from the original grantee to new company to proceed with the Change of FCC ID process and to use the certification documents.

(5) In case that test reports from other products are used for certification, it will be required a Permission letter from the grantee responsible for the product whose reports are being used and an Integration letter from the grantee of the new product listing all the reports used to show compliance with rules.

## 4.2. ISED type of applications

| Document                       | Description  | Mandatory for |            |  |                  |                           |                           |
|--------------------------------|--|---------------|------------|--|------------------|---------------------------|---------------------------|
|                                |  | Single new    | New Family | Family to a Previously Certified Model | Multiple listing | Class x Permissive Change | Transfer of Certification |
| RSP-100 Annex A                | Application form for ISED certification services   | X             | X          | X                                      | X                | X                         | X                         |
| RSP-100 Annex B                | Test report cover sheet with a summary of the Main items tested for compliance with ISED Rules.  | X             | X          | X                                      | X                | X                         |                           |
| Canadian Representative Letter | The applicant must provide, in writing, the identity of a company representative in Canada who is responsible for all enquiries. The Canadian representative shall also be responsible for providing audit samples at no charge to ISED and the Applicant-Canadian representative agreement must be valid for as long as the applicant products are offered on the Canadian market.  | X             | X          | X                                      | X                | X                         | X                         |
| Application letter             | A covering letter explaining the type of certification services requested and a brief description of the radio equipment (operational description).  | X             | X          |  | X                |                           |                           |
| Confidentiality Request Letter | Request for confidentiality according to Clause 6.4 of ISED RSP-100 Issue 10.  |               |            |  |                  |                           |                           |
| Agent letter                   | Letter to allow a third party to submit the application and/or to sign the application on behalf of the applicant.   |               |            |  |                  |                           |                           |
| User's Manual                  | A copy of the installation and operating instructions to be furnished the user per Sec. 3.2 and 4 of RSP-100 of ISED Rules. It must contain information RF Safety instructions as needed and the regulatory notices prescribed in the applicable ISED RSS standards. A draft document is acceptable. Please note that according to Clause 3.2 of ISED RSS-100 Issue 10, the ISED regulatory notices must be included in both English and French. | X             | X          | X                                      | X                | X <sup>(2)</sup>          |                           |
| Block Diagram                  | A block diagram showing the frequency of all oscillators in the device. The signal path and frequency shall be indicated at each block.  | X             | X          | X <sup>(2)</sup>                       |                  | X <sup>(2)</sup>          |                           |
| Schematics                     | A schematic diagram for intentional radiators per Clause 4 of RSP-100 Issue 10   | X             | X          | X <sup>(2)</sup>                       |                  | X <sup>(2)</sup>          |                           |
| Test Report                    | Per Clause 4 of RSP-100 Issue 10. A detailed test report meeting the technical requirements of the applicable Radio Standards Specification (RSS).   | X             | X          | X <sup>(2)</sup>                       |                  | X <sup>(2)</sup>          |                           |

|                            |   |                  |                  |                      |                      |                      |                      |
|----------------------------|---|------------------|------------------|----------------------|----------------------|----------------------|----------------------|
| External Photographs       | A sufficient number of photographs to clearly show the exterior appearance, the construction, the component placement on the chassis, and the chassis assembly.   | X                | X                | X <sup>(2)</sup>     | X                    | X <sup>(2)</sup>     |                      |
| Internal Photographs       | A sufficient number of photographs to clearly show construction, component placement, chassis assembly.   | X                | X                | X <sup>(2)</sup>     | X                    | X <sup>(2)</sup>     |                      |
| RF Exposure                | Exhibit detailing how the device complies with ISED RF exposure requirement. It can be, depending on the product output power and the product proximity to the different part of the human body: <ul style="list-style-type: none"> <li>- SAR test report</li> <li>- RF fields tests or calculations</li> <li>- Statement of exemption from evaluation properly justified.</li> </ul> | X                | X                | X                    |                      | X                    |                      |
| RSS-102 Annex A and B or C | Summary statement of compliance with ISED RSS-102 RF exposure standard.   | X                | X                | X                    | X                    | X                    |                      |
| Label design*              | A photograph, sample drawing or picture of the device should be provided including ISED certification number and the model of the device preceded by the prefix "Model: " or equivalent prefix that clearly indicate the model number.<br>If label is going to be displayed electronically, exhibits demonstrating compliance with Notice 2014-DRS1003 should be provided.            | X                | X                | X                    | X                    | X                    |                      |
| Modular approval letters   | In case that the product to be certified is a module, a letter stating that modular approval conditions are met must accompany the application.   | X <sup>(1)</sup> | X <sup>(1)</sup> | X <sup>(1)</sup>     |                      |                      |                      |
| Cover letters              | Depending on the type of product and type of application, some cover letters may be required explaining or detailing some aspect of the application.  | X <sup>(7)</sup> | X <sup>(7)</sup> | X <sup>(3) (7)</sup> | X <sup>(4) (7)</sup> | X <sup>(5) (7)</sup> | X <sup>(6) (7)</sup> |

\* In case e-label is used. It is required to submit the packaging and the labelling for Importation & Purchasing.

(1) Only if the equipment to be certified is a module.

(2) Required if different from the previously certified model.

(3) It should include at least the following information:

- the model number and the previous certification number of the approved equipment;
- a detailed description of the differences between the new device and the previously-certified device, with particular emphasis on the radio frequency and RF output power, the radio frequency circuitry; and functional capabilities;
- a brief statement as to why the new product should qualify for family approval.

(4) A signed letter from the original applicant and certificate holder authorizing the ISED to use information on file to grant a multiple-listing certification. The name / model number and certification number of the radio equipment must be shown. The letter must also declare that the model to be multiple-listed is identical in design and construction to the originally-approved model;

(5) It should include at least the following information:

- the model number and certification number of the approved radio equipment
- detailed description of the differences between the modified device and the previously certified device, with particular emphasis on the following:
  - o the radio frequency and RF output power;

- the radio frequency circuitry;
  - functional capabilities;
  - a brief statement as to why the modified product still qualifies for certification.
- (6) The new applicant shall send a letter to ISED providing a copy of a signed letter from the current certificate holder, authorizing ISED to transfer the ownership from the current owner to the new entity and change the certificate file information to reflect the new owner's information. The letter must also attest that the equipment covered by the certificate is identical in design and construction to the originally-approved model.
- (7) In case that test reports from other products are used for certification, it will be required a Permission letter from the Company responsible for the product whose reports are being used and an Integration letter from the Company of the new product listing all the reports used to show compliance with rules.

## 5. Disclosure of Information

Applicant cannot claim confidentiality to avoid the provision to the TCB/FCB on any document required to perform the appropriate evaluation by the certification body according to FCC and ISED rules.

Once the revision has been concluded and the decision of certification has been taken, all the documentation and correspondence related to an application is provided to the FCC and ISED (as appropriate) who will store them.

Currently, the most of the documents provided to the FCC will be public and can be accessed through the corresponding database. For the time being, the technical documents provided to ISED are not public. However, per FCC 47 CFR Sec. 0.457 and 0.459 and Clause 9.4 of ISED RSP-100 Issue 11, the applicant may claim to keep confidential, from public disclosure, the following documentation:

| Document                              | FCC       |            | ISED |
|---------------------------------------|-----------|------------|------|
|                                       | Permanent | Short-term |      |
| External Photographs                  | No        | Yes        | No   |
| Block Diagram                         | Yes       | Yes        | Yes  |
| Schematics                            | Yes       | Yes        | Yes  |
| Test Setup Photos                     | No        | Yes        | No   |
| User's manual                         | No        | Yes        | No   |
| Internal Photographs                  | No        | Yes        | No   |
| Parts List / Tune Up                  | Yes       | Yes        | Yes  |
| Operational Description               | Yes       | Yes        | Yes  |
| SDR software and security information | Yes       | No         | Yes  |

For FCC, Short-Term Confidentiality can be requested for a maximum of 180 days from the date of a grant. Grants initially granted confidentiality less than 180 days are permitted to extend the confidentiality up to the 180 day maximum by submitting an enquiry to DEKRA. When the device is marketed the grantee must inform DEKRA to release the Short-term Confidentiality information withheld on the FCC equipment authorization website.

The documentation provided will be stored in specific location in the DEKRA internal network which will be only accessible by the certification body staff except as follows:

- DEKRA has been accredited according to ISO/IEC 17065 and has been designated as TCB for certification according to the FCC rules and FCB for certification according to ISED rules. During the accreditation/designation procedure information and documentation of some specific certification projects may be available to the accreditation body or designating authority.
- When required by law to release confidential information the applicant will be notified except if this notification is forbidden by law.

## 6. Labeling information

### 6.1. FCC labeling requirements

Each equipment covered in an application for equipment authorization shall bear a nameplate or label listing the following:

- (1) FCC Identifier consisting of the two elements in the exact order specified in §2.926. The FCC Identifier shall be preceded by the term FCC ID in capital letters on a single line, and shall be of a type size large enough to be legible without the aid of magnification. However, the type size for the FCC Identifier is not required to be larger than eight-point. The FCC ID is composed by:
  - A Grantee Code is assigned by the FCC to a specific applicant at a specific address. The Grantee Code format is three or five characters (Arabic numerals, capital letters, or other characters) in length.
  - The equipment product code assigned by the grantee shall consist of a series of Arabic numerals, capital letters or a combination thereof, and may include the dash or hyphen (-). The total of Arabic numerals, capital letters and dashes or hyphens shall not exceed 14 and shall be one which has not been previously used in conjunction with:
    - (1) The same grantee code, or
    - (2) An application denied pursuant to §2.919 of this chapter.
- (2) Any other statements or labeling requirements imposed by the rules governing the operation of the specific class of equipment, except that such statement(s) of compliance may appear on a separate label at the option of the applicant/grantee.

The label shall be permanently affixed to the equipment and shall be readily visible to the purchaser at the time of purchase.

- (1) As used here, permanently affixed means that the required nameplate data is etched, engraved, stamped, indelibly printed, or otherwise permanently marked on a permanently attached part of the equipment enclosure. Alternatively, the required information may be permanently marked on a nameplate of metal, plastic, or other material fastened to the equipment enclosure by welding, riveting, etc., or with a permanent adhesive. Such a nameplate must be able to last the expected lifetime of the equipment in the environment in which the equipment will be operated and must not be readily detachable.
- (2) As used here, readily visible means that the nameplate or nameplate data must be visible from the outside of the equipment enclosure. It is preferable that it be visible at all times during normal installation or use, but this is not a prerequisite for grant of equipment authorization.

Alternatively, devices that have an integrated display or devices that are subject to rules for software-defined radios or modular transmitters and are used in a host device that has an integrated display may display electronically the labelling information, provided that the provisions of [KDB 784748 D02 e labelling v01](#) are fulfilled.

Devices authorized under the Declaration of Conformity (DoC) procedure shall be labeled with the following logo as a visual indication that the product complies with the applicable FCC requirements.



This logo may also be applied on a voluntary basis under the Supplier DoC authorization procedure.

DoC authorization procedure is only available until 2 Nov 2018.

## 6.2. ISED labeling requirements

Every unit of certified product for marketing and use in Canada shall be identified as per these requirements:

- The HVIN and ISED certification number shall be permanently indicated on the exterior of the product or displayed electronically according to e-labelling requirements:
  - the HVIN and ISED certification number are permitted to be placed on a label, which shall be permanently affixed to the product
  - the ISED certification number shall be preceded by "IC:"
  - the HVIN is permitted to be listed or placed with or without any prefix (HVIN:, Model#, M/N:, P/N:, etc.)
  - the HVIN and ISED certification number are not required to be adjacent to each other
- The PMN must be displayed electronically (e-labelling), or indicated on the exterior of the product or product packaging or product literature, which shall be available with the product or online.
- The PMN, HVIN and ISED certification number are permitted to be etched, engraved, stamped, printed on the product, or permanently affixed to a permanently attached part of the product.
- The PMN, HVIN and ISED certification number indicated/displayed (e-labelling) on any product on the Canadian market must be listed in the REL.
- When the FVIN is the only differentiation between different product versions (PMN and HVIN remain identical) listed in the REL within a family certification, the FVIN shall be displayed electronically or stored electronically and be easily retrievable.
- In all cases, the PMN, FVIN, HVIN and ISED certification number text shall be clearly legible.

Note: The ISED certification number, HVIN, applicable PMN and FVIN are not required to be adjacent to each other.

The certification number is made up of a Company Number (CN), assigned by Innovation, Science and Economic Development Canada's Certification and Engineering Bureau, followed by the Unique Product Number (UPN) assigned by the applicant. The certification number format is:

IC: XXXXXX-YYYYYYYYYYYY

where:

- The letters "IC:" indicate that this is an Innovation, Science and Economic Development Canada certification number, but they are not part of the certification number. XXXXXX-YYYYYYYYYYYY is the ISED certification number.
- XXXXXX is the CN assigned by Innovation, Sciences et Développement économique Canada. Newly assigned CNs will be made up of five numeric characters (e.g. "20001") whereas existing CNs may consist of up to five numeric characters followed by an alphabetic character (e.g. "21A" or "15589J").
- YYYYYYYYYYYY is the Unique Product Number (UPN) assigned by the applicant, made up of a maximum of 11 alphanumeric characters.
- The CN and UPN are limited to capital alphabetic characters (A-Z) and numerals (0-9) only. The use of punctuation marks or other symbols, including "wildcard" characters, is not permitted.
- The HVIN may contain punctuation marks or symbols but they shall not represent any indeterminate ("wildcard") characters.

If the label is displayed electronically provisions of [Notice 2014-DRS1003](#) shall be applied.

If the dimensions of the product are extremely small or if it is not practical to place the label or marking on the product and electronic labelling has not been implemented, the label shall be, upon agreement with Innovation, Science and Economic Development Canada prior to certification application, placed in a prominent location in the user manual supplied with the product.

## 7. Required notices to the user

### 7.1. FCC user's manual requirements

#### 7.1.1. User Manual and User Information for Part 15 Devices

Section 15.21 requires that in the user manual, the user shall be cautioned that changes / modifications not approved by the responsible party could void the user's authority to operate the equipment. The acceptable formats for user information dissemination are paper, computer disk or over the Internet.

Where special accessories such as shielded cables and/or special connectors are required to comply with the emission limits, the instruction manual shall include appropriate instructions on the first page of the text describing the installation of the device (Section 15.27(a)).

For a Class A or Class B digital device (unintentional radiator), as well as any composite device that is both an intentional and unintentional radiator, the text specified in Section 15.105 must be placed in the user manual.

Devices authorized under the DoC or Supplier DoC procedure must also include a compliance information statement (in the user manual or on a separate sheet) as required by Section 2.1077. The objective of this compliance statement is to allow the FCC to associate the equipment with the party responsible for compliance with the identification, by name, address and telephone number, of the responsible party, as defined in §2.909. The responsible party for a Declaration of Conformity must be located within the United States.

Additional statements and information may be required for compliance to specific or general rule parts. The following are examples of some additional user information requirements. The party responsible for compliance must provide any additional statement(s) required:

- Kits - TV interface and cable system terminal device marketed as kits: Section 15.25(d);
- TV interface devices, including cable system terminal devices: Section 15.115 (c)(5);
- Labelling of digital cable ready products: Section 15.123 - use of the term "cable ready/compatible";
- External power amplifiers and antenna modifications: Section 15:204(d)(2) - notice of authorized amplifiers;
- Cordless telephones: Section 15.214(c) & (d)(3) - privacy statement & security code statement;
- Cordless telephones: Section 15.233(b)(2)(ii) - interference to TV;
- Cordless telephones: Section 15.233(h) - cordless telephones without digital security (Section 15.214);
- Professionally installed systems: Section 15.247(c)(1)(iii);
- Operation within the band 92-95 GHz: Section 15.257(a)(4) - indoor use only;
- Unlicensed PCS: Section 15.311 - notification and co-ordination with UTAM, Inc.;
- RF exposure statements: Section 2.1091(d)(3) - Mobile devices (a minimum separation distance may be required).

#### 7.1.2. User Manual and User Information for Part 18 Devices

For all industrial, scientific, medical (ISM) devices, the instruction manual or, if no instruction manual is provided, the product packaging, must provide information that addresses the following: (1) interference potential of the device, (2) maintenance of the system and (3) simple measures that can be taken to correct interference. RF lighting devices must add a statement similar to the following: "This product may cause interference to radio equipment and should not be installed near maritime safety communications equipment, ships at sea or other critical navigation or communications equipment operating between 0.45-30 MHz." (Section 18.213)

In addition, Part 18 devices that are authorized under the DoC procedure shall also include in the instruction manual, on a separate sheet, or on the packaging the following: (1) identification of the product (e.g. name and model number), (2) a statement similar to "This device complies with Part 18 of the FCC Rules" (Section 18.212), and (3) the name and address of the responsible party (Section 2.909).

### 7.2. ISED user's manual requirements

The required notices are specified in the RSS documents applicable to the equipment model. These notices are required to be shown in a conspicuous location in the user manual for the equipment, or to be displayed

on the equipment model. If more than one notice is required for multiple equipment model(s), the equipment model(s) to which each notice pertains should be identified. Suppliers of radio apparatus shall provide the notices and / or statements in both English and French. Variable formats are acceptable for providing the notices (i.e., in paper form, CD, DVD, or insert with download link on the company's website).

In cases where the applicant has not completed the requirement in this section at the time of equipment certification, the applicant may provide a declaration in writing that the user notices and / or statements to the user of the equipment will be in both English and French at the time each unit of equipment model is offered for sale and / or lease in Canada.

The user manual may be in an electronic format and must be readily available.

## 8. Certification process overview

### 8.1. Administrative Review

When all the required information has been received by DEKRA, DEKRA's administrative review will examine the documents to determine if all submittal information is complete, accurate, and correctly prepared for certification. A complete application is required before the technical review can begin and before the application can be processed. Once the administrative reviewer has determined that all necessary documents are present, the application documents will be forwarded to the technical reviewer.

If information/documentation is missing during the administrative review, the applicant will be informed about the administrative or technical information that is still needed. The applicant will also be informed they have 30 days to respond before the application is dismissed.

If the application is dismissed, DEKRA shall arrange for all test data, exhibits, samples, or other related items to be deleted or returned to the applicant. DEKRA will also notify the client of a decision not to grant certification, and will identify the reasons for the decision.

### 8.2. Technical Review

Next, a technical review shall be performed by DEKRA to determine if the applicant's test data and report satisfy the applicable requirements.

A Technical Review of the application shall be performed. Items relating to the conformance of the equipment to the necessary technical requirements shall be evaluated, including, but not limited to:

- Test procedures performed
- Test data
- Test equipment used including information about its calibration status
- User's Manual
- Schematics and block diagram supplied by the manufacturer
- Operational Description Supporting descriptions, if necessary
- Plots or other data, if necessary

If information/documentation is missing during the technical review, the applicant will be informed about the information is still needed. The applicant will also be informed they have 30 days to respond before the application is dismissed.

If the application is dismissed, DEKRA shall arrange for all test data, exhibits, samples, or other related items to be deleted or returned to the applicant. DEKRA will also notify the client of a decision not to grant certification, and will identify the reasons for the decision.

### 8.3. Decision about certification

After DEKRA has completed the administrative review and the technical review, the findings from each shall be forwarded to the responsible for certification. The responsible for certification shall analyze the findings and the recommendations from the administrative and technical revisions and then present a decision to the



applicant and will review that the documentation provided is complete to take a decision about the certification of the device.

If the responsible for certification determines that the device fails to meet the requirements, DEKRA shall immediately notify the applicant in writing regarding the specific cause of the negative finding. The applicant will also be informed they have 30 days to respond before the application is dismissed.

If the application is dismissed, DEKRA shall arrange for all test data, exhibits, samples, or other related items to be deleted or returned to the applicant. DEKRA will also notify the client of a decision not to grant certification, and will identify the reasons for the decision.

## 8.4. Filing Applications and equipment authorization certificate

Upon successful approval by responsible for certification, DEKRA will electronically file the application on the FCC or ISED internet database web site.

For FCC certification, DEKRA will generate the equipment authorization certificate from the FCC TCB internet web site.

For FCC equipment authorization grants, DEKRA can modify or revoke the grant up to 30 days after it has granted the authorization if we or the applicant identify a specific fault in the grant not previously noted.

For the ISED certification, DEKRA directly generates an equipment authorization certificate. Any modifications or non-compliance found on ISED grants shall follow the provisions stated in RSP-100 – Certification of Radio Apparatus.

## 8.5. Retention of records

DEKRA will retain, for 10 years, all documentation furnished in support of an application for certification and will make such documentation available to FCC or ISED upon request received from them.

## 9. Product modifications

When an applicant modifies a certified product, the applicant shall determine if the changes made to the product require a recertification of the device or if the device can be modified under a permissive change. For recertification and for class II permissive changes (reassessments for ISED) (changes that change the performance of the certified product), the applicant shall submit an application for equipment certification to DEKRA or any other authorized certification body.

For changes that do not change the performance characteristics of the certified device, the applicant is not required to submit an application to DEKRA or other certification body, but the applicant is required to keep a record of the modifications to the device.

## 10. Product Audit Requirements

DEKRA shall conduct appropriate product audit activities in accordance with the latest edition of ISO/IEC 17065. These activities are based on FCC Section 2.962(g)(2) and ISED CB-02 Clause 6.2 which requires DEKRA to perform post-market surveillance activities based on type testing of products that DEKRA has certified.

Applicant should make provision to always have production samples available upon request by DEKRA or by the FCC or ISED, for auditing purposes for at least one year after the last production date.