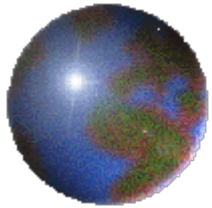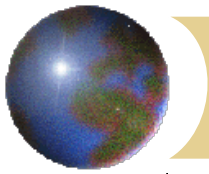# *TCB Activities for FCC certifications*

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TCB Council Chairman

February 2014

Introduction

- ❖ TCB Authorization Activities
- ❖ TCB Market Surveillance
- ❖ TCB Audit Sampling
- ❖ TCB Scope and Responsibilities
- ❖ Reporting non-compliances to a TCB
- ❖ Faked Test Data or Test Reports

TCB Authorizations

- TCBs perform FCC product certifications
  - Controlled by the FCC
    - "TCB Exclusion List" of devices and methods
    - TCB "Permit but Ask" list of devices and methods
    - Approximately 98% of certifications done by TCBs
  - Certification completed by the TCB
    - TCB performs full review to FCC requirements
    - TCB login to FCC website to complete the certification
      - This is unlike Industry Canada, where the CB completes an application and Industry Canada completes the certification

TCB Authorizations

- ⊞ TCB not involved with Verification or DoC
- ⊞ All documentation uploaded to FCC website
  - FCC website creates 'Certificate', known as 'Grant'
    - The applicant company is known as the 'Grantee'
  - FCC website holds all the certification documentation
    - Most documentation is public
    - Some technical documents are held confidential

TCB Market Surveillance

- TCB instructed to perform Market Surveillance by the FCC
  - Instructions to TCB in a KDB document
    - KDB 610077, TCB Post-Market Surveillance
    - There is a future proposal to include TCB market surveillance responsibility directly into the FCC rules
  - TCB submits an annual surveillance report to FCC
  - TCB audit program assessed during accreditation
    - Part of the TCB's accreditation audit

TCB Audit Sampling

- TCB Requests sample from Grantee
  - Sample based on certifications by the TCB
    - Request a sample that the TCB has certified
    - ≥5% of devices certified, must be sampled
    - ≥1% of devices with SAR, must be sampled
  - Device must be sent by Grantee to TCB
    - Failure to send device most likely leads to dismissal
      - Significant non-compliance
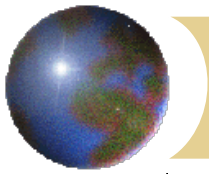   - If no units were manufactured, certification dismissed

TCB Audit Sampling

- ✪ TCB Audit Sampling process
  - ▪ Audit Sampling paperwork and physical test
    - Review product label, user manual, appearance
    - Perform RF, EMC, SAR testing of the sample
  - ▪ Testing summary of main characteristics
    - Worst case power, frequency, emissions, etc.
  - ▪ Testing for compliance and consistency
    - Does it meet the FCC requirements?
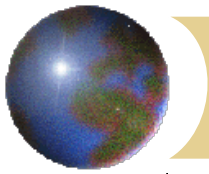   - Are results the same as during certification?

TCB Audit Sampling

- ⬥ TCB Audit Sampling results and reporting
  - ⊞ TCB actions from Market Surveillance results
    - • Compliant results are stored by TCB
    - • Non-compliant results are reported to the FCC
  - ⊞ TCB responsibilities
    - • TCB is not responsible for enforcement or punishment
      - – Only FCC is responsible for enforcement
    - • TCB is permitted to discuss surveillance results with Grantee but it must be reported to the FCC
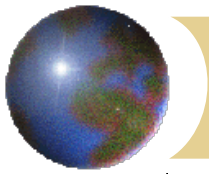
TCB Scope and Responsibilities

- TCB Limitations with Market Surveillance
  - TCB is not responsible for enforcement
  - TCB is not responsible for punishment
  - TCB must stay within scope of responsibilities
    - Certification, Surveillance, Reporting and Education
  - TCB Council provides education and guidance
    - Conference call for members and FCC, once per month
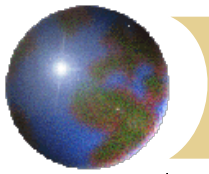   - Extensive training workshops, twice per year

Report Non-Compliance to TCB

- TCB ability to react to complaints
  - Complaints should be directed to the FCC
  - TCB Council has a 'complaint' e-mail address
    - issues@tcbcouncil.org
    - Complaints are assessed by TCB Council Directors
    - Actions dependent on decision of TCBC Directors
      - If complaint is mistaken, person complaining is educated
      - If complaint is correct, the TCB who certified is informed
      - If complaint is significant and not corrected, FCC is informed
      - Subject of complaint is added to future education topics

Report Non-Compliance to TCB

- TCB ability to react to complaints
  - Most complaints come from viewing FCC website
  - People complain if competitor has made mistake
    - Manufacturers, Test Labs, TCBs
  - Most complaints say someone else "doing less" or "getting away with something"
    - Some are genuine mistakes or misunderstandings
    - Some are deliberate attempts to reduce workload
    - Some are actually correct but facts are confidential

Incorrect Data in Certification

- Mistakes or incorrect data in certification file
  - May be referred to as "false data"
  - Incorrect data appearing in a test report
    - This may be an accident or a misunderstanding
  - The FCC may dismiss it, if it is significant
    - Most likely the problem may be fixed without dismissal
    - TCB request application to be opened for correction
  - Opportunity for TCB Council educational role
    - This would become a focus of Workshop or phone call

Fake Data in Certification

- 🔶 Fraudulent data in certification file
  - May be referred to as "fake data"
- ▪ Incorrect data appearing in a test report
  - A deliberate abuse of the rules
  - False creation of test results or report, to avoid testing
  - Significant impact to business of honest companies
  - True performance of device may not be known
    - Data may have been faked to save money, or may have been faked because it was known the device would fail

Fake Data in Certification

- Guidance for identifying fake data in reports
  - Small group of TCBs formed a working group
  - Created a guidance document for the industry
    - Of course, not perfect and cannot catch every situation
  - Supported by the TCB Council and on website
    - Working group received FCC support also
  - Not needed by all TCBs
  - Very useful for some TCBs
    - Of course, relies on TCB wanting to do the right thing

Fake Data in Certification

- Identification of areas of concern
  - Agent creates fake report without lab knowledge
    - Agent claims to get testing cheap, but does not test
  - Lab creates fake report without manufacturer
    - Lab takes money from manufacturer but does not test
  - Fake report created by all parties
    - Manufacturer and lab work together
      - This is the most difficult to identify

Fake Data in Certification

- Guidance for TCBs
  - For the TCB, solution is in communication
    - Form relationships with customers
    - Speak with unknown applicants
    - Examine documentation closely
    - Use engineering knowledge, not just accept numbers
      - Thorough engineering assessment and review
  - Report non-compliances to the FCC
    - FCC does take this seriously
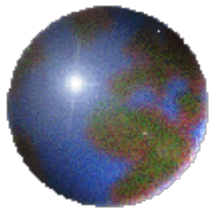   - FCC has been known to call multiple devices for audit sample

Future FCC Rule Proposal

- FCC has introduced Proposed Rule Changes
  - TCB to do 100% of certifications
  - TCB formally responsible for Market Surveillance
  - FCC to dedicate more time to enforcement

  - This change is not guaranteed, it is a proposal

Thank You

Michael Derby

TCB Council, Chairman

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