



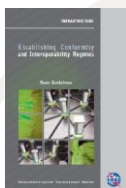
Regional Workshop for CIS on Conformance and Interoperability

Moscow, Russian Federation, 20-22 August 2014

ITU Conformity and Interoperability - Guidelines -

Riccardo Passerini
Head Telecommunication Technologies and Network Development
ITU-BDT, Focal Point Q.4/2 riccardo.passerini@itu.int

C&I Guidelines



Establishing Conformity
and Interoperability
Regimes – Basic
Guidelines



Guidelines for the
development, implementation
and management of mutual
recognition
arrangements/agreements
(MRAs) on conformity
assessment



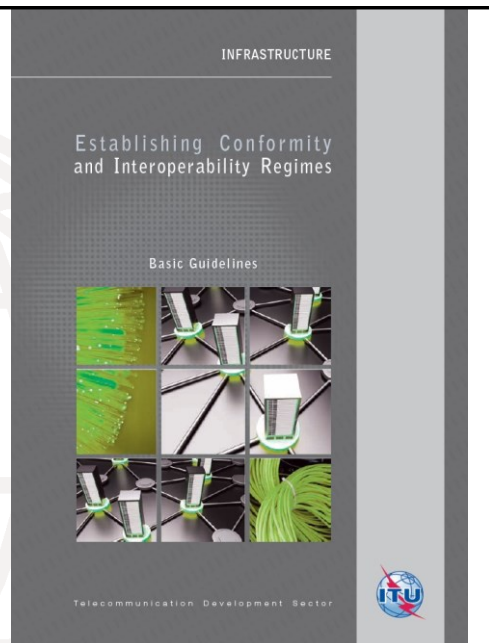
Guidelines for developing
countries on Establishing
Conformity assessment Test
Labs in Different Regions



Feasibility Study for the
establishment of a
Conformance Testing Centre

1. Establishing Conformity and Interoperability Regimes

Basic Guidelines



Guidelines [here](#)

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C&I Guidelines

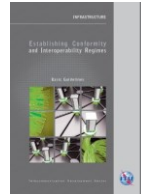


4. Guidelines for establishing Conformity and Interoperability Regimes for Developing Countries (2014)

Typical procedures used worldwide are going to be addressed. Any country may use as guidelines and tailoring/adapting such procedures to the existing national regulation and rules:

- A. Query for new products to be homologated (accepted)
- B. Import procedures for testing proposals
- C. Reference Standards for conformance testing
- D. Issuing and validating the Type Approval Certificate
- E. Homologation (acceptance)
- F. Suspension and Withdrawal of the Homologation Certificate
- G. Performing the Tests and Test Reports acceptance
- H. Conformance Assessment Management System
- I. Monitoring, Enforcement, Counterfeit, Sanctions and Post-Market Surveillance

Content



1. Introduction
2. Definitions
3. Development and review of regulatory framework and roadmap for the establishment of C&I regimes
4. Definition and publication of ICT reference standards
5. Accreditation, recognition and acceptance of laboratories and qualified professional

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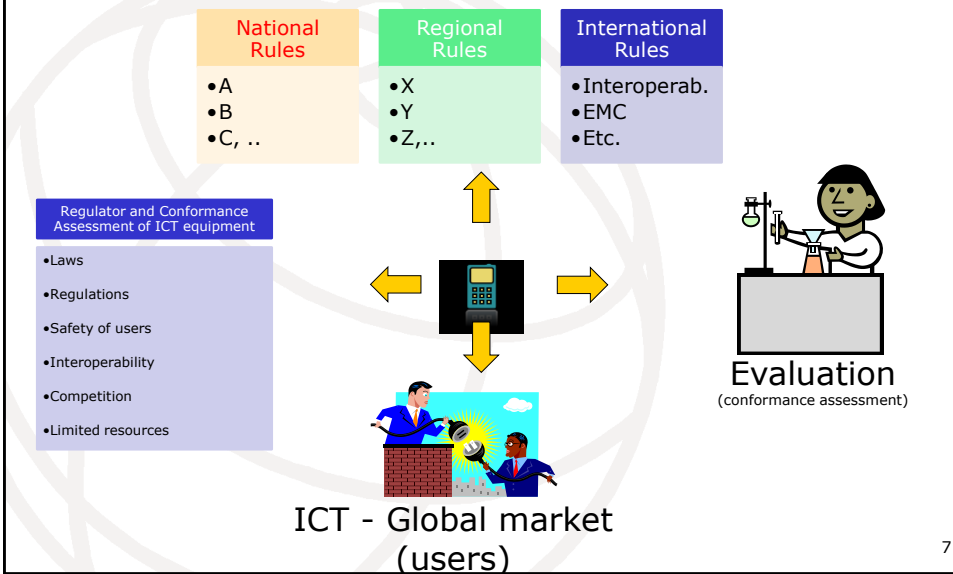
Conformity – different perspectives



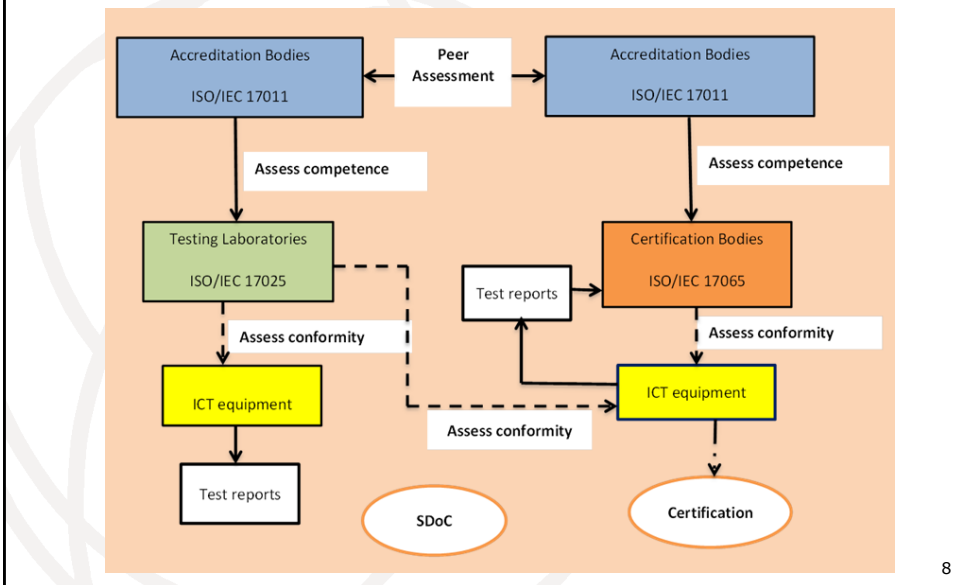
1. Service providers and operators specify standards and specifications for equipment and systems which they employ to provide services to their customers.
2. National regulators mandate regulations, standards and specifications for equipment and systems which are deployed and used in their territories.
3. Users of the equipment and systems along with the service providers and national regulators require evidence and proof that the equipment and systems conform to the appropriate standards and specifications and to the extent that they interoperate with each other as specified.
4. The process used to obtain the evidence and proof is called conformity assessment – the demonstration that specified requirements relating to a product, process, system, person or body are fulfilled

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Conformance of ICT equipment and systems to standards and homologation process



Conformity Assessment Regimes



ITU/IEC 17000 Series - Conformity Assessment -



- 17000:2004- Vocabulary and general principles
- 17001:2005- Impartiality – Principles and requirements
- 17002:2004- Confidentiality – Principles and requirements
- 17003:2004- Complaints and appeals – Principles and requirements
- 17004:2005- Disclosure of Information – Principles and requirements
- 17005:2008- Use of Management systems – Principles and requirements
- 17007:2009- Guidelines for drafting normative documents suitable for use for conformity assessment
- 17011:2004- Requirements for accreditation bodies accrediting conformity assessment bodies
- 17020:2012- Requirements for the operation of various types of bodies performing inspection
- 17021:2011- Requirements for bodies providing audit and certification of management systems
- 17024:2012- General requirements for bodies operating certification of persons
- 17025:2005- General requirements for the competence of testing and calibration laboratories
- 17030:2003- General requirements for third-party marks of conformity
- 17040:2005- General requirements for peer assessment of conformity assessment bodies and accreditation bodies
- 17043:2005- General requirements for proficiency testing
- 17050-1:2007- Supplier's declaration of conformity – Part 1: General requirements
- 17050-2:2007- Supplier's declaration of conformity – Part 2: Supporting document
- 17065:2012- Requirements for bodies certifying products, processes and services
- 17067:2013- Fundamentals of product certification and guidelines for product certification schemes

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Regulatory framework and roadmap for the establishment of conformity and interoperability regimes



- A telecommunication act reflects the policy of the sovereign state in question and can include a clear statement of the underlying policy. This statement would cover such elements as:
 - reliable and affordable telecommunication services of high quality;
 - highlighted role of telecommunications to enhance efficiency and competitiveness;
 - efficient and effective regulation where required;
 - responsiveness to the economic and social requirements of users of telecommunication services;
 - international telecommunication services and licenses;
- Telecommunication apparatus and administration:
 - application to apparatus subject to regulation;
 - government powers and exercise of powers;
 - certification and marking;
 - appeals and evidence;
 - regulations including fees and mandatory requirements.
- Investigation and enforcement:
 - administrative and monetary penalties;
 - inspection and market surveillance;
 - civil liability

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Conformance Assessment Procedures



Procedures for establishing a conformance assessment regime may include the following procedures:

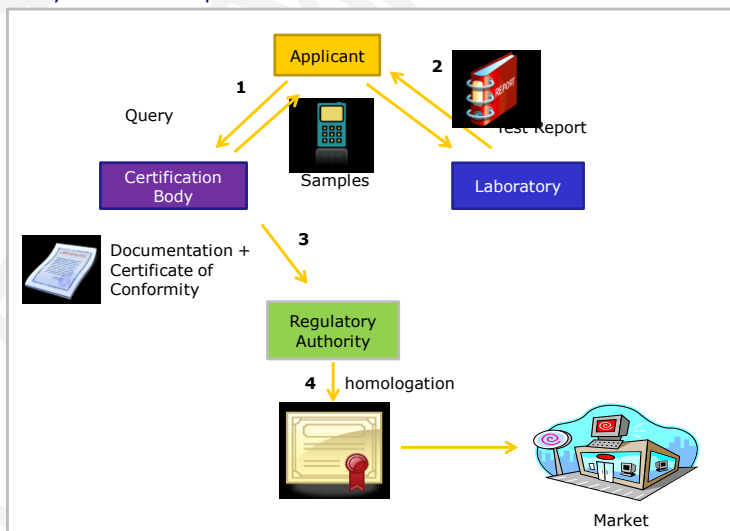
- A. Query for new products to be homologated
- B. D. Import procedures for testing proposals
- C. Reference Standards for conformity assessment
- D. Test, Recognized Laboratories, Test Reports
- E. Issuing and/or validating a Certificate of Conformity
- F. Issue of the Homologation (or acceptance)
- G. Suspension and Withdrawal of the Homologation Certificate
- H. Monitoring, Enforcement, and Sanctions and Post-Market Surveillance

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Regulatory Aspects – Conformance assessment procedures



Example of interactions that may exist among the entities participating in a conformity assessment process that uses certification mechanism:

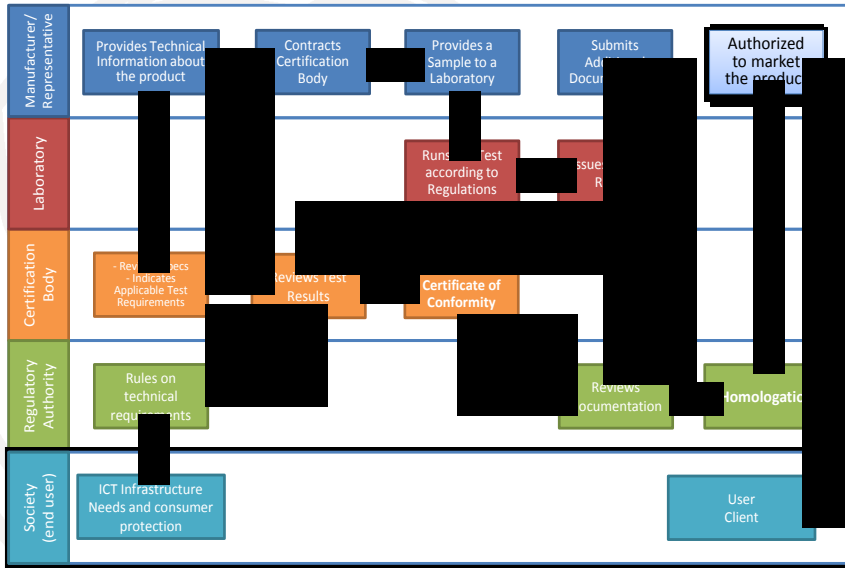


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Procedures for Establishing Conformity Assessment Regimes (cont.)



Another example of interactions that may exist among the entities participating in the conformity assessment process



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Conformance Assessment Procedures



■ Fees

- **Assessment and reassessment fee**
- **Technical expertise fee**
- **Listing fees**
- **Registration fees**
- **Payment of fees**

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Definition and publication of ICT reference standards for conformity assessment of ICT equipment



- Sub-category of equipment has specific mandatory technical specifications as part of the regulatory requirements which must be met in order to be deployed in the marketplace
- These standards are developed primarily in accordance with decisions made and ratified in the International Telecommunication Union (ITU), International Organization for Standardization (ISO) and International Electrotechnical Commission (IEC) combined with regional, national and industry standards requirements and are therefore a complex and very complete set of requirements which are vitally important to an interference free and safe environment for ICT products:



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Definition and publication of ICT reference standards for conformity assessment of ICT equipment



- A number of regional standards bodies serving specific regional policies, regulations and requirements are heavily engaged in development and promulgation of the product standards and include the European Telecommunications Standards Institute, USA Telecommunications Industry Association, and various important forums and consortia such as 3GPP



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Definition and publication of ICT reference standards for conformity assessment of ICT equipment



The next table gives an example of international standards, regional standards and forum and consortia standards that may be used by some countries

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Category	Product	Standard	Technical Requirement
User equipment	Mobile	3GPP	Power; frequency stability, frequency in-band emission.
	Fiix Telephone	CEI	Power; frequency stability, frequency in-band emission.
	PABX	<ul style="list-style-type: none"> Rec. UIT-T G.711. Rec. UIT-T Q.921. 	Protocols
	Charge and power adapter	Rec. UIT-T L.1000	Power, energy efficiency, eco-environment specifications
	Personal area communication	Allocation of national frequencies	Gain, transmission power, bandwidth, frequency stability.
	Residential optical unit	UIT-T G.984	Power; frequency stability, frequency in-band emission, SAR limits.
	UTP cable	ISO/CEI 11801	Return Loss, FEXT, NEXT, bandwidth
RTTE	Mobile - Broadband base station	ETSI	Gain, transmission power, bandwidth.
	Antenna	ETSI	Radiation Diagram, Gain, VSWR.
	Broadcast transmitter	ETSI	Gain, transmission power, frequency width.
	Earth station equipment / VSAT	ETSI	Gain, transmission power, bandwidth
Network equipment	Transmission equipment	Rec. UIT-T G.707	Protocols
	Network switches and routers.	MPLS - G.8121 Ethernet - G.8021 TVIP - H.62X	Protocols
	Cables	ISO/CEI 11801	Return Loss, FEXT, NEXT, bandwidth
	IPVT	Rec. UIT-T	See Standard
Electromagnetic Compatibility	All equipment	Rec. UIT-T K.48	Radiated spurious emission, conducted spurious emission, resistibility
Safety	All equipment	Rec. UIT-T K.21	Electrical chock protection, fire protection, overcurrent protection

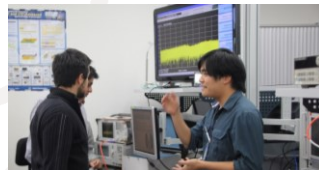
Definition and publication of ICT reference standards for conformity assessment of ICT equipment



Terminal equipment: Technical specifications/standards list

In some countries the standard provides technical requirements for:

- connection of terminal equipment to public networks
- hearing aid compatibility with handsets.
- compliance specifications for terminal equipment, terminal systems and network protection devices



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Definition and publication of ICT reference standards for conformity assessment of ICT equipment



Specific absorption rate (SAR)

Specialized measurement systems have been developed to permit determination of the SAR value of a given product or system in order to assess compliance with the definitions of limits set by different SDOs (e.g. IRCNIRP)



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List of ICT equipment requiring conformity assessment



■ Examples:

Types of Equipments

Radio apparatus: A device or combination of devices intended for, or capable of being used for, radiocommunication

Interference-causing equipment: Any device, machinery or equipment, other than radio apparatus, that can cause interference to radiocommunication

Radio-sensitive equipment: Any device, machinery or equipment, other than radio apparatus, that can be adversely affected by radiocommunication emissions

Equipment that must meet technical standards

Broadcasting transmitters
Portable radio transmitters
Digital scanner receivers
Remote car alarms and starters
Garage door openers
Wireless computer links
Cellular phones
Cordless phones
Fax machines
GSM telephones
Mobile radios
Modems
Wireless remote devices
PABXs (including small business systems and key systems)
Pagers
Radio receivers
Radio transmitters
Telephone instruments
Telex equipment
Other equipment emitting a radio signal
Any customer premises equipment to be attached to any part of a licensed telecommunication network

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Definition and publication of ICT reference standards for conformity assessment of ICT equipment



Other References:

- Table of ITU-T Recommendations and relevant parameters to be tested: <http://www.itu.int/md/T13-SG11-131107-TD-GEN-0300/en>
- ITU-R Recommendations ([link](#))
- USA: FCC Testing ([link](#))
- European Commission: Harmonised standards under Directive for R&TTE: http://ec.europa.eu/enterprise/sectors/rtte/documents/standards/index_en.htm
- Canada: Technical Requirements for Radio Systems: <http://www.ic.gc.ca/eic/site/icgc.nsf/eng/06957.html#q=srsp;>
- UAE: Technical Standards: http://www.tra.gov.ae/type_approval.php
- Brazil: Technical requirements for user's terminals: www.anatel.gov.br
- Mauritius: ICT Authority is the national regulator for the ICT sector and Postal Services: http://www.icta.mu/telecommunications/std_list.htm

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Accreditation, recognition and acceptance of laboratories and qualified professional



- Designation/recognition of accreditation and certification bodies, and testing laboratories
 - Appointment and peer assessment of accreditation bodies
 - Designation/recognition of certification bodies
 - Designation/recognition of testing laboratories

- Recommendations on policies and strategies for developing conformity assessment testing laboratories compliant with international standards
 - Legal status/legal entity
 - Financial policy
 - Management structure
 - Personnel
 - Training system
 - Premises
 - Equipment

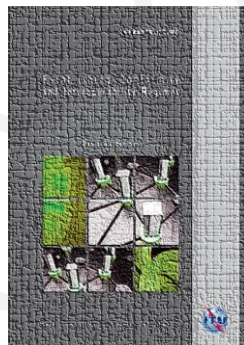
- Recommendations on how to become accredited by international accreditation bodies (ILAC, IAF, APLAC, IECEE, etc.) in the relevant ICT scope

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In production... (2014)

**Establishing Conformity
and Interoperability Regimes**

Complete Guidelines



Terms of Reference [here](#)

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Revision of a Conformance Assessment Regime (Case study)



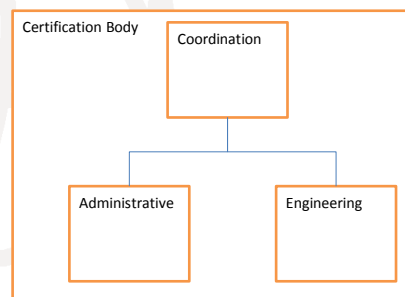
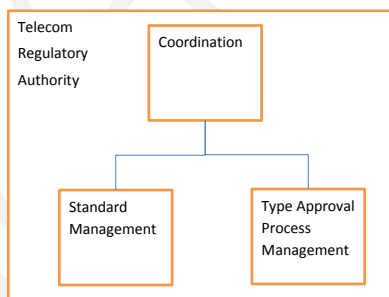
- Review of a Conformance Assessment Regimes. Some necessities of improvement:
 - Self-Declaration of Conformity acceptance;
 - Accountability of vendor's local representatives (manufacturer's representative);
 - Adapting existing equipment to new conformity assessment rules, standards, and procedures;
 - Revision of the Application Form to ensure, among other, product origin verification;
 - Renewal of certificates (procedures and fees);
 - Review of the fee structure.

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Revision of a Conformance Assessment Regime (Case study)



- Type Approval Division and Certification Body Structures



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Conformance Assessment Regime: Roadmap implementation



Time	2014				2015			
	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q
Action								
Standard Adoption								
EMC	x	x	x	x				
Safety	x	x	x	x				
SAR		x	x	x	x			
Digital TV	x							
Radio (emissions limits compliance check; spectrum regulation)	x							
Interoperability					x	x	x	x
Conformity Assessment Mechanisms								
Check-list for Type Approval	x	x	x	x	x	x	x	
Fee general formula	x							
Marking experience	x							
Direct Assistance								
Assistance from ITU			x					
Fee personalized formula		x	x					
Type Approval Res. review	x	x	x					
Training								
C&I Procedures (Type Approval, Standards, etc.)			x					
C&I Domains (EMC, mobile, NGN, etc.)				x				
MRA			x					

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2. Guidelines for the development, implementation and management of mutual recognition arrangements/agreements (MRAs) on conformity assessment



Guidelines [here](#)

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Guidelines for MRAs



- These guidelines aim at promoting the understanding and establishment of MRA, known as efficient tools to promote regional integration
- Through the share and efficient use of Conformance and Interoperability (C&I) infrastructures – as laboratories, accreditation bodies and regulatory practices – technical requirements can be harmonized and the transit of ICT goods and services can be facilitated, increasing trade and regional development

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Guidelines for MRAs (cont.)



Topics:

- Benefits
- Types of MRA
- Attributes
- Development
- Implementation
- Management
- Consultation and Training
- Stakeholders
- Procedures for contesting the competence of conformity assessment bodies
- A typical MRA operation
- Recommendation

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Guidelines for MRAs (cont.)

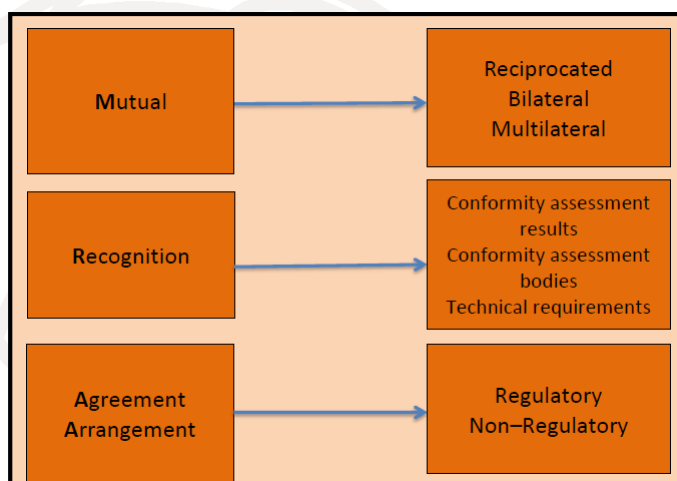


Agreement x Arrangement

- A **Mutual Recognition Agreement** is a formal legal commitment between parties for recognition of conformity assessment results for telecommunication equipment. It deals with regulatory requirements and it is referred to in the text as "regulatory MRA". Often such agreements are made bilaterally, regionally or multilaterally between two or more governments.
- A **Mutual Recognition Arrangement** is a voluntary arrangement between parties for recognition of conformity assessment results for telecommunication equipment. It deals with nonregulatory requirements and it is referred to in the text as "non-regulatory MRA". An example of a mutual recognition arrangement is amongst accreditation bodies to mutually recognize the conformity assessment results from accredited conformity assessment bodies.

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Guidelines for MRAs (cont.)



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MRA Benefits



For manufacturers:

- an opportunity to test and certify products one time to the requirements of multiple markets and ship products without further conformity assessment;
- increase certification efficiency for products exported to foreign markets, thus increasing export opportunities for small and medium-sized enterprises (SMEs); and
- decreasing time-to-market for companies manufacturing telecommunication equipment with shorter and shorter product life cycles, thus maximizing export opportunities and allowing for rapid reinvestment in research and development for next-generation technologies.

For conformity assessment bodies:

- Allowing conformity assessment bodies (CABs) to increase the value of their service by offering their clients a substantially wider portfolio, including testing and certifying products for multiple markets.

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MRA Benefits (Cont.)



For regulators:

- reduction of regulatory resources required to certify terminal attachment and radio equipment;
- an opportunity to reallocate a portion of these former certification costs to other areas;
- a potential stepping stone towards further harmonizing of technical requirements and of regional and national conformity assessment systems; and
- access to a pool of knowledge about the latest global trends and experiences regarding conformity assessment and regulatory systems.

For consumers:

- increasing consumer access to the widest variety of available technology;
- faster access to equipment at a lower cost; and
- speeding the development of telecommunication and Internet infrastructure.

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Guidelines Highlights



Attributes of an MRA

- Designation
- Accreditation
- Recognition
- Retaining designation or recognition
- Suspension or withdrawal of designation or recognition
- Dispute resolution

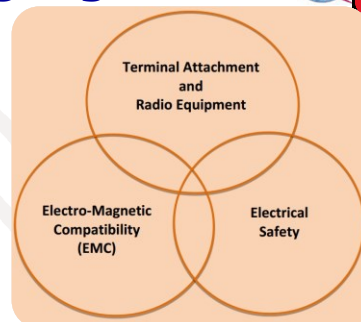
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Guidelines Highlights



Development of an MRA

- Framework for MRAs
- Coverage and Scope
- Identification of parties to the MRA
- Obligations under an MRA
- Duration and disestablishment of a MRA
- Examples of some MRAs on conformity assessment



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Guidelines Highlights



Implementation of an MRA

- Conformity Assessment
- Pre-implementation preparation
- Confidence building and start-up
- **Identification of scope – technical requirements and phases**
- Identification of contacts
- Information exchange
- Nomination of designating authorities
- Identification of MRA host and repository of signatories
- Nomination of regulatory authorities
- Identification of accreditation bodies
- Notification of conformity assessment bodies
- Recognition of conformity assessment bodies
- Formation of a joint committee
- Monitor and surveillance programmes
- Experience from implementation of existing MRAs

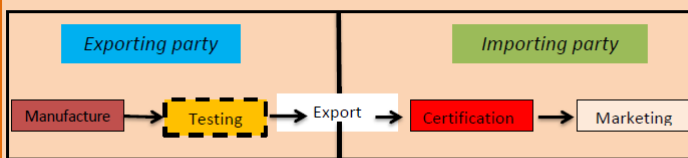
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Implementation of an MRA

Identification of scope – technical requirements and phases

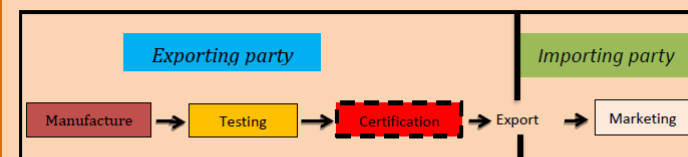


Figure 4: Phase 1 – Mutual acceptance of test reports



Source: Andrew Kwan

Figure 5: Phase 2 – Mutual acceptance of certification



Source: Andrew Kwan

Parties can choose to implement the phases of the MRA one at a time or both together. Typically the parties will implement Phase 1 and after gaining experience and confidence with the Phase 1 procedure, they will then proceed to implement the Phase 2 procedure.

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Guidelines Highlights

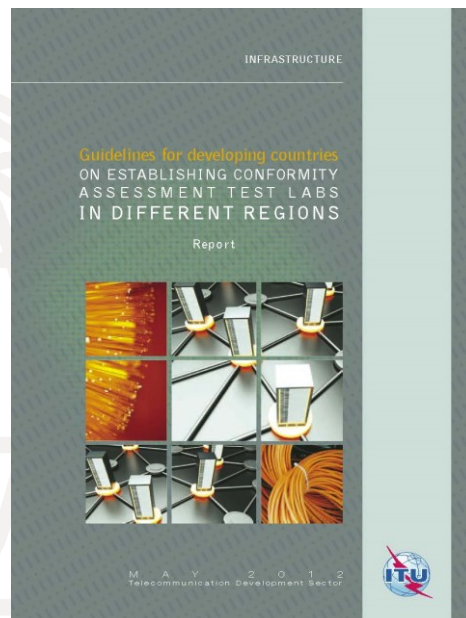


Management of an MRA

- Joint committee
- Update and surveillance of accreditation bodies and conformance assessment bodies (CABs)
- Management of data
- Record of notifications and changes
- Termination and withdrawal from an MRA

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3. Guidelines for developing countries on Establishing Conformity assessment Test Labs in Different Regions



Guidelines [here](#)

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C&I Guidelines



Guidelines for developing countries on Establishing Conformity assessment Test Labs in Different Regions (2012)

This set of guidelines is the first publication on C&I, its valuable content includes information concerning:

- The process required for building testing labs
- A site analysis (e.g. existing testing labs, know-how)
- Collaboration mechanisms;
- Best practices;
- Reference standards and ITU Recommendations.
- And more... *access to the Guideline [here](#)*

Guidelines for Developing Countries for Establishing Test Labs in Different Regions



<http://www.itu.int/ITU-D/tech/ConformanceInteroperability/ConformanceInterop/indexGuidelines.html>

- **Status** in the regions and needs
- **Funding and Training Sources**
- **Criteria** to establish Accreditation and Conformity Assessment Bodies - **International Telecommunications Testing Centres (ITTCs)**
- Economics and **Cost Implications** for ITTCs
- **Roadmap** for ITTC rollout

Conclusions from Guidelines



- Members to:
 - ◆ advise the ITU of **interoperability problems**
 - ◆ Regulators to establish market access requirements
 - ◆ assess **legislation and regulations**
 - ◆ **prioritize areas of concern** for products and systems
- Establishment of Accreditation Bodies and approach to **MRAs and MLAs**
- Establishment of **Test Centres** on a regional basis, wide areas and possibly common infrastructures

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Steps to Establish an ISO 17025 Compliant Test Lab



- Management requirements and systems
- Lab requirements, test methods and procedures, audits, equipment handling, technical competence
- Document control, calibration records and staff records
- Handling of test reports and calibration certificates
- Service to customers and handling of complaints

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4

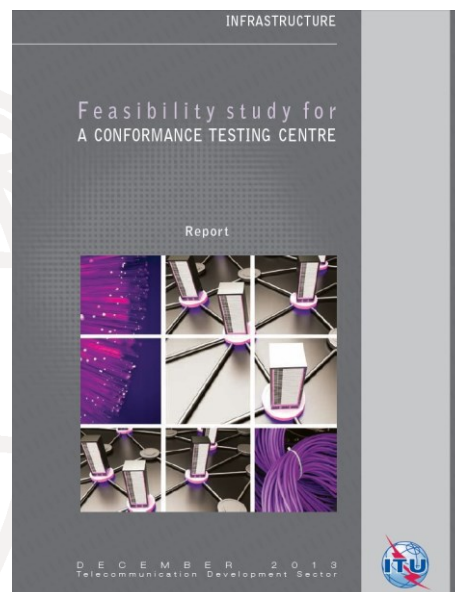
Funding and Training Sources



- UNIDO, major Banks in each region, specialized funding agencies for telecoms projects and others
- Requirements to access funds vary from low interest loans, to grants, seed funding and cost underwriting
- Repository of international telecom training organizations
- Costs of training may vary from just travel to and from location, to government and supplier subsidized training, to private for-profit fully costed training.

4
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4. Feasibility Study for the establishment of a Conformance Testing Centre



Feasibility Study [link](#)

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C&I Guidelines



Feasibility Study for the establishment of a Conformance Testing Centre (2013)

This feasibility study describes environments, procedures and methodologies to be adopted to establish, manage and maintain a testing center covering different kind of conformance and interoperability testing areas. Different Type Approval Testing domains (e.g. electromagnetics, safety, fixed and mobile networks, broadcast) will be considered.

The feasibility study address all necessary aspects: i) Implementation; ii) Functional Model of Type Approval Institution; iii) Sustainability of operations; iv) Pricing policies; v) Proposal of the Organization Scheme; vi) Technical requirements for Type Approval Laboratories; vii) Staff requirements; viii) Project Implementation Recommendations; and ix) Investment costs estimation.

Link to Terms of

C&I Guidelines



Feasibility Study for the establishment of a Conformance Testing Centre (2013)

Preview: Steps to an ISO 17025 Compliant Test Lab

- **ISO 17025 establishes a set of management requirements and systems**
- **Lab requirements, test methods and procedures, audits, equipment handling, technical competence**
- **Document control, calibration records and staff records**
- **Handling of test reports and calibration certificates**
- **Service to customers and handling of complaints**

Feasibility Study for the establishment of a Conformance Testing Centre



The feasibility study will address:

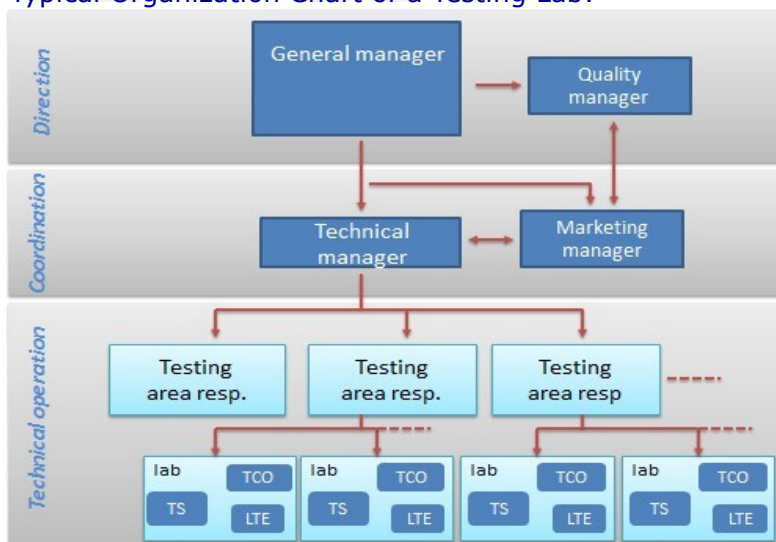
- I. Implementation;
- II. Functional Model of Type Approval Institution;
- III. Sustainability of operations;
- IV. Pricing policies;
- V. Proposal of the Organization Scheme;
- VI. Technical requirements for Type Approval Laboratories;
- VII. Staff requirements;
- VIII. Project Implementation Recommendations; and
- IX. Investment costs estimation (summary).

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Feasibility Study for the establishment of a Conformance Testing Centre



Typical Organization Chart of a Testing Lab:



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Feasibility Study for the establishment of a Conformance Testing Centre (cont.)



Testing laboratory infrastructures:

Area of competence
Specific Absorption Rate lab
User experience lab
Broadband access lab
Mobile value added services lab
Electrical safety & protection lab
Electroacoustic lab
Electromagnetic compatibility lab
Radio & Signalling lab
Powering efficiency lab
Quality of material lab
Personal area network lab
Fixed Test plant
Mobile Test plant

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Feasibility Study for building a Conformance Testing Centre (cont.)



Overview 1

Broadband access laboratory (BBA):

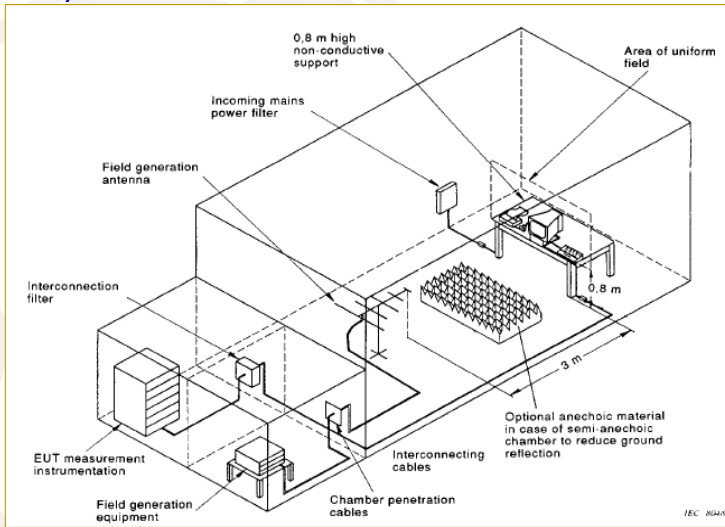
- The scope of the broadband access laboratory is to evaluate all different equipment and functionalities used in next generation access networks, ranging from the physical layer to networking aspects
- In particular xDSL transmission performances and optical parameters are tested for copper and fiber solution in relation to the different architectural choices (FTTx)

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Overview 2



EMC: Typical set-up for table top equipment for radiated immunity tests



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Laboratorios	Activity	m ²	Location Rent 1 000 EUR/year	Utility 1 000 EUR /year	Instrument Asset 1 000 EUR	Number of staff	Instrument Opex 1 000 EUR /year
SAR	Specific absorption rate lab	150	19	28	800	4	25
USX	User experience lab	130	17	24	100	6	0
BBA	Broadband access lab	300	39	56	1.400	7	5
VAS	Mobile value added services lab	40	5	7	0	3	0
EPS	Electrical safety and protection lab	80	10	15	1.200	4	25
ELA	Electroacoustic lab	250	32	46	800	4	5
EMC	Electromagnetic compatibility lab	300	39	56	1.600	5	5
RSL	Radio and signalling lab	250	32	46	2.000	12	10
PWR	Powering consumption lab	80	10	15	200	2	5
QML	Quality of material lab	250	32	46	1.300	6	15
WIF	Personal area network lab	170	22	31	500	5	5
TPF	Fixed test plant	900	117	167	3 000	33	120
TPM	Mobile test plant	2 500	324	463	3 000	55	300
management						10	
cross activities (*)						24	
TOTAL		5 400	700	1 000	15 900	180	520

(*) Cross-activities: District office, ICT management, quality, operations

Thank you



C&I [Portal](#)

Riccardo Passerini

Telecommunication Development Bureau, ITU