



## **Administrative Council for Terminal Attachments (ACTA)**

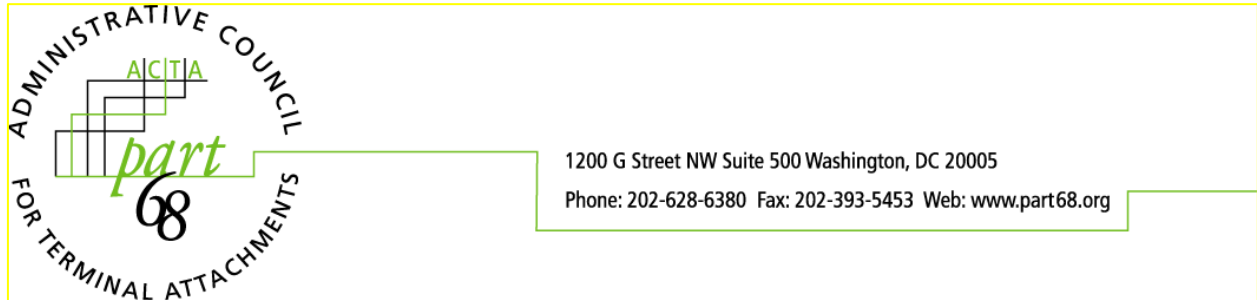
### **Guidelines & Procedures for submittal of information to the ACTA for inclusion in the database of approved Telephone Terminal Equipment**

**Revision 3.9  
October 2012**

The ACTA is jointly sponsored by the  
Alliance for Telecommunications Industry Solutions and the  
Telecommunications Industry Association

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Guidelines & Procedures for Submittal of Information to the ACTA for Inclusion in the Database of Approved Telephone Terminal Equipment



October, 2012

NOTICE

The ACTA Secretariat has made the changes listed below in Version 3.9 of the “Guidelines & Procedures for submittal of information to the ACTA for inclusion in the database of approved Telephone Terminal Equipment.” This document supersedes all previous versions.

- Revised Section 3.1, Appendix I, and other parts of the document to reflect a change in the filing fee.
- Revised Section 6.2 Customer Information, moved information from Appendix E to Section 6.2, and deleted Appendix E. Appendix E is retained as a placeholder for future use.
- Added references to several of the appendixes in the body of the document.
- Updated the use of acronyms for consistency.
- Updated ATIS Standards to current references in Appendix A.
- Consolidated Appendixes G and H. Appendix H is retained as a placeholder for future use.
- Revised Sections 3.2 and 3.3 to reflect changes to various Appendixes.
- Made minor formatting changes throughout the document.

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**Commonly used Acronyms**

<b>Acronym</b>	<b>Definition</b>
ACTA	Administrative Council for Terminal Attachments
ANSI	American National Standards Institute
AOF	ACTA Online Filing
ATIS	Alliance for Telecommunications Industry Solutions
DTMF	Dual Tone Multi-Frequency
FCC	Federal Communications Commission
FIC	Facility Interface Code
HAC	Hearing Aid Compatibility
MRAs	Mutual Recognition Agreements/Arrangements
NIST	National Institute of Standards and Technology
OP&P	Operating Principles & Procedures
PSTN	Public Switched Telephone Network
R&O	Report & Order
RJ31 or RJ31X	Type of jack that deals with alarm dialers
RP	Responsible Party
RPC	Responsible Party Code
SDO	Standards Developing Organization
SDoC	Supplier's Declaration of Conformity
TCB	Telecommunications Certification Body
TIA	Telecommunications Industry Association
TTE	Telephone Terminal Equipment
USOC	Universal Service Order Codes

## **1 Introduction**

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The ACTA was established pursuant to the FCC Report and Order in the 2000 Biennial Review of Part 68 of the Commission's Rules and Regulations, CC Docket No. 99-216, FCC 00-400, adopted November 9, 2000 and released December 21, 2000 ("Order" or "R&O"). The Order directed the industry, through the co-sponsorship and support of ATIS and TIA to establish the ACTA as the balanced and open body that would assume the Commission's Part 68 role for those items privatized in the Order (§68.602).

## **2 Mission & Scope**

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### **2.1 Mission of the ACTA**

The mission of the ACTA is to: (1) adopt technical criteria for terminal equipment to prevent network harm through the act of publishing such criteria developed by ANSI-accredited standards development organizations; and (2) establish and maintain database(s) of equipment approved as compliant with the technical criteria. The ACTA makes no substantive decisions regarding the content of such technical criteria.

### **2.2 Scope of the Submission Guidelines**

This document outlines the guidelines and procedures relevant to maintaining a database(s) of terminal equipment approved as compliant to FCC Part 68 and ACTA-adopted technical criteria. These guidelines and procedures apply to information submitted by both TCB and suppliers utilizing an SDoC.

Pursuant to §68.610(b), Responsible Parties, whether they obtain their approval from a TCB or utilized the SDoC process, shall submit to the ACTA Secretariat all information required by the ACTA.

### **2.3 Notice of FCC Part 68 Compliance Requirement for Terminal Equipment**

Compliance with Part 68 and ACTA Adopted Technical Criteria is mandatory for terminal equipment (TE) connected to the PSTN or wireline facilities owned by wireline telecommunications providers and used to provide wireline subscriber services. Penalties for failure to comply with the requirement fall under US federal jurisdiction. Penalties can be found in 47 U.S.C. Section 503.

Questions about the compliance requirements for a particular device should be addressed to a TCB with Scope C certification (or other CAB). More information on finding Scope C certified testing bodies can be found on the ACTA and FCC websites. Questions about a specific technical requirement should be addressed to the standards development organization from which the technical requirement was submitted to the ACTA.

### **2.4 Description of Terminal Equipment Subject to Submission to the ACTA Database**

This is an informative description of terminal equipment subject to submission to the ACTA Database provided to inform the public of the scope of devices subject to the ACTA's adopted technical criteria and database and is not in any way intended to serve as a qualitative analysis of any device. The controlling document for determining the need for equipment compliance is the United States Code of Federal Regulations, Title 47, Part 68 (47 C.F.R. Part 68).

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For ACTA Part 68 Database purposes, terminal equipment that requires formal Approvals testing for “do not harm” requirements and has provision and requirement for listing in the ACTA Part 68 Database is any communication equipment located on a customer’s premise at the end of a communications link as provided in 47 C.F.R. 68, used to permit the TE involved to accomplish the provision of telecommunication or information services including but not limited to:

1. Single-line or Multi-line Telephones;
2. Modems (any device that is or contains an analog, digital or Ethernet modem used as an interface to the network);
3. Facsimile Machines;
4. xDSL Modems (ex. ADSL, HDSL, VDSL & GDSL) ;
5. DSL Splitters & Filters;
6. Voltage Transient Protective devices;
7. Electronically Controlled Line Switches, Indicators and Devices;
8. Private Branch Exchanges (PBXs);
9. Key Telephone System (KTS) equipment;
10. Local Area Network (LAN) Gateways to the PSTN;
11. Caller Identification (CID) devices;
12. Music on hold devices;
13. Interactive Voice System (ACD or IVR);
14. CSUs;
15. Answering Machines; and
16. Any remote control or Utility Metering or Alarm System device that connects to the PSTN.

The following items do not require formal approval or listing in the ACTA Part 68 Database and no provision has been made for listing such items in the ACTA Part 68 Database:

1. Electronically transparent adapters and extension cords;
2. Cross connect panels;
3. Manually operated line switches; and
4. Professionally used diagnostic instrumentation that is disconnected from the network when unattended.



### 3 General Filing Guidelines

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Parties submitting information to the ACTA for inclusion in the centralized database of approved Part 68 Terminal Equipment should file submissions using the AOF system. Filing types currently supported by AOF are Original, Modification, Notice of Change, Re-certification and Request for RPC. Filing types not specified must be submitted, by postal mail or E-mail, to the ACTA Secretariat using the TTE Submission Form in Appendix F. Unless otherwise noted, documents requested should be submitted in Adobe (PDF) format. Filings not submitted in the format requested could delay the processing procedure.

#### 3.1 Filing Fees and Payment

A fee for recording, updating, and maintaining information/content in the ACTA Database is required. The basic fee for all filings is \$825<sup>1</sup> (US). An additional \$95(US) handling fee is required for Original, Modification and Notice of Change filings that are submitted directly to the ACTA Secretariat for processing. Fees for filings submitted directly to the ACTA Secretariat can be made by check payable to ATIS/ACTA Secretariat, or by credit card using the “Credit Card Payment Form” in Appendix I. Fees for filings submitted utilizing AOF must be paid via credit card.

The following provides a breakdown in associated filing fees. Parties are encouraged to visit the ACTA website at <a href="http://www.part68.org">http://www.part68.org</a> for updates or revisions to the appropriate Filing fee. Questions about the filing process or filing fees should be directed to <a href="mailto:AOFquestions@atis.org">AOFquestions@atis.org</a> .		
<b>Fees associated with Filings submitted to the ACTA Secretariat</b>		
Item	Fee	Applicability
Original, Modification & Notice of Change Filing Fee	\$825.00 <sup>1</sup>	This fee is required for recording, updating, and maintaining TE information.
Request for RPC	\$825.00 <sup>1</sup>	This fee is required for the initial assignment of a RPC.
RPC Data Validation	\$95.00/\$125.00	This fee is to validate the RP data on an annual basis to ensure all of the data contained in the Part 68 database is accurate and up to date.
Transfer of RPC Filing	\$825.00 <sup>1</sup>	This fee is required for the transfer of control or ownership of a RPC between two parties.
SDoC Posting	\$825.00 <sup>1</sup>	This fee is required for making a RP’s SDoC publicly accessible on the ACTA website. See Section 5.4 for applicability.
Handling Fee	\$95.00	This fee is required for handling filing types that are supported by AOF but submitted to the ACTA Secretariat for processing. The fee is per TE Form submitted.

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<sup>1</sup> Effective October 1, 2012

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<b>Fees associated with Filings submitted using AOF</b>		
Original, Modification & Notice of Change Filing Fee	\$825.00 <sup>1</sup>	This fee is required for recording, updating, and maintaining information.
Request for RPC	\$825.00 <sup>1</sup>	This fee is required for the initial assignment of a RPC
RPC Data Validation	\$95.00/\$125.00	This fee is to validate the RP data on an annual basis to ensure all of the data contained in the Part 68 database is accurate and up to date.
SDoC Posting	\$825.00 <sup>1</sup>	This fee is required for making a RP'S SDoC publicly accessible on the ACTA website. See Section 5.4 for applicability.
AOF Corrections	\$95.00	This fee is for making administrative changes to the Part 68 database to correct AOF Filing errors, misspellings, updates, etc that are made by the Secretariat. Request for AOF corrections must be submitted to the ACTA Secretariat directly.
Audit Corrections	TBD	This fee is for making changes to a filing that has been returned for errors during the audit process. These changes are made by the filer and should be made within 15 days of the return notice at no charge. Failure to correct a filing during this period will prevent the submission from being included in the ACTA database and fees for corrections may be incurred.

Filings sent by postal mail should be sent to:

**ATIS**  
**Attention: ACTA Secretariat**  
**1200 G Street N.W., Suite 500**  
**Washington, DC 20005**

Filings sent by E-mail should be sent to [AOFquestions@atis.org](mailto:AOFquestions@atis.org).

### **3.2 Filing for a Responsible Party Code**

The ACTA-specified RPC is a unique identifier assigned to the Party responsible for terminal equipment. Historically, the FCC Common Carrier Bureau (CCB), now called the Wireline Competition Bureau (WCB), referred to this code as an Applicant or Grantee Code<sup>2</sup>. Codes previously assigned by the FCC CCB, therefore, remain valid and, unless otherwise warranted, may continue to be used. A new RPC is needed:

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<sup>2</sup> Note that both the FCC WCB (in charge of TE) and the FCC Office of Engineering Technology (“OET”), for RF Devices, issued Grantee Codes. The codes issued were identical in format, but maintained in separate lists. Only those Grantee Codes assigned by the WCB are valid as RPCs.

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- When the Responsible Party does not have an RPC or FCC Common Carrier Bureau Grantee Code.
- When it is required for a partial transfer of ownership (see 3.2).

The Responsible Party or its Authorized Submitter (*e.g.*, a TCB or independent lab) can request an RPC through AOF or by submission to the ACTA Secretariat using the Responsible Party Code Form in Appendix G.

### **3.3 Changes in Name, Address, Ownership or control of Responsible Party:**

Whenever there is a change in the name, address or other contact information from the Responsible Party, notice of such change(s) shall be submitted to the ACTA within 30 days after the Responsible Party starts using the new name, address, or other contact information.

RPCs are assigned to Parties responsible for terminal equipment. Accordingly, multiple Parties cannot use the same RPC.

As specified in §68.322, Responsible Parties for an SDoC may license or otherwise authorize a second party to manufacturer the terminal equipment covered by the SDoC provided the Responsible Party retains sole responsibility for ensuring the equipment remains compliant with the relevant FCC rules and ACTA-adopted technical criteria.

In the case of transactions affecting the identification of the Responsible Party of an SDoC, such as a transfer of control or sale to another company, mergers, or transfer of manufacturing rights, the successor entity shall become the responsible party and notice shall be given to the ACTA within 60 days after the consummation of the transaction.

NOTE: Notification to ACTA within 60 calender days is also applicable to Responsible Parties using the TCB process.

For example, in the event a party transfers complete control (*i.e.*, ownership) of its operations to another entity (the “successor”), the original party may transfer its RPC to the successor provided the original party discontinues use and reference of its assigned RPC. Alternatively, a new RPC can be assigned to the successor in accordance with Section 3.1. Use of a new RPC requires a Re-approval notice and, therefore, reformatting of the equipment’s identification number to reflect the ACTA Product-Labeling format, if applicable.

Parties filing a request to transfer a RPC must file notice with the ACTA in accordance with Section 3, General Filing Guidelines. Notification shall include:

- 1) A letter from the original Responsible Party (on company letterhead) informing the ACTA as to the type and extent of transfer of control to the successor.
- 2) A completed Appendix G: Responsible Party Code Form.
- 3) A Revised SDoC (for SDoC Filings only):

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The new Responsible Party shall provide the ACTA with a copy of updated/revised SDoCs reflecting the name of the new Responsible Party on the SDoC for those products they continue to market. If a Responsible Party wishes to provide updated/revised SDoCs for additional products, this also may be done during the transfer on a voluntary basis.

In the event a party transfers “partial” control (*i.e.*, responsibility) of its operations or transfers a product or product-line to another entity (the “successor”), a Re-approval notice shall be filed with the ACTA for each product transferred. Notification(s) shall include a letter from the original Responsible Party (on company letterhead) informing the ACTA of the transfer in addition to all items specified for an Original Filing. Re-approval Filings shall be made by the successor.

In the event a Responsible Party grants another party or parties (*i.e.*, 3<sup>rd</sup> party) rights to re-label an Part 68 approved product under the 3<sup>rd</sup> party’s Responsible Party Code (for marketing reasons) and distribute that product in addition to the original Responsible Party maintaining its distribution of the same product, a Re-approval notice shall be filed with the ACTA for each product effected. Notification(s) shall include a letter from the original Responsible Party (on company letterhead) informing the ACTA of the agreement and separate distribution of the product in addition to all items specified for an Original Filing. Filings will be presented as an “Original” submission in the ACTA database of approved Part 68 products. *The 3rd party shall submit the Re-approval Filing.*

When responsibilities are transferred from one party to another, the "new" Responsible Party is required to ensure the SDoC(s) for product(s) they continue to produce and market is/are updated to reflect the correct identification of the party responsible for the product. This requirement is applicable for Responsible Parties that assume responsibility for products approved utilizing the SDoC approach only. Parties assuming responsibility for products approved via a TCB are not required to submit a revised TCB certificate, given that parties are not required by the FCC to provide this information to the consumer. However, if/when a Responsible Party modifies a product after the transfer, a revised/updated TCB certificate or SDoC must reflect the new company name.

Pursuant to §68.324, Responsible Parties assuming responsibility for products approved utilizing the SDoC process also assumed responsibility for maintaining a copy of the original and any revised/updated SDoCs on their website for ALL the products they assumed responsibility for; regardless if the product is still being produced or not. Should the new Responsible Party inform the ACTA that a copy of the SDoC is not available to the general public and accessible to the disabled community on a functional and reliable website that it maintains, and needs the ACTA to maintain a copy of the original or revised/updated SDoC on the ACTA website, the new Responsible Party will be charged an additional posting fee per SDoC, pursuant to the ACTA Guidelines.

Parties unfamiliar with RPC transfers should contact the ACTA Secretariat before filing a RPC transfer request.

### **3.4 Maintenance of the ACTA Database**

#### **3.4.1 Responsible Party Code (RPC) Data Validation**

An important responsibility of the ACTA is to maintain an accurate and up to date database of all Part 68 TTE. The information associated with a RPC is used by the FCC, U.S. Customs and consumers and therefore must be accurate. The RPC is critical in establishing the connection between the responsible party and the telephone equipment stored in the database.

The Responsible Party or its Authorized Submitter (*e.g.*, a TCB or independent lab) must annually validate the RPC contact information including but not limited to RPC's point(s) of contact, address(es), phone number(s), email address(es) and website URL.

Requests for an RPC Data Validation can be submitted electronically through AOF, or by submission to the ACTA Secretariat using the Responsible Party Code Form in Appendix G. The annual fee for Data Validation via AOF is \$125.00 (a discounted fee of \$95.00 is available to Responsible Parties that file between November 1 and January 31 of the previous calendar year.) Data Validation filing can only be done on a yearly basis. Responsible Parties are required to validate their data on a yearly basis regardless of whether any changes occurred.

On an annual basis ACTA will provide the FCC a detailed report of validated and non-validated Responsible Parties.

### **3.5 ACTA Online Filing AOF System**

The AOF system is provided for parties to electronically file TE information to the ACTA for inclusion in the centralized database of approved Part 68 terminal equipment. Parties wishing to use AOF must establish a "Filer Account" and obtain a Username and Password to gain access.

The level of access to AOF will hinge on a party's filing classification (specified below). TCBs using AOF to submit TE information, and its associated Certificate, will have access to all the RPCs, and their corresponding records, on file with the ACTA. Due to this level of access, TCBs are required to authenticate their standing as a recognized TCB before access to AOF is granted. Accordingly, TCBs must always contact the ACTA Secretariat to establish a Filer Account.

Responsible Parties using the SDoC method will have access to their respective RPC, or RPCs only. Agents filing for multiple RPCs though the SDoC method will be able to establish a single Filer Account in order to file for each RPC.

In all cases, all users of the AOF are expected to be familiar with these Submission Guidelines & Procedures. Knowledge of telecommunications and Part 68-specific terminology is also expected.

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Once a Filer Account has been established, and a Responsible Party's test plan or test procedures on file with the ACTA Secretariat (if applicable), parties can "login" to AOF and electronically file TE information to the ACTA-maintained database.

Filing types supported by AOF are Original (or New Filing), Modifications, Notice of Change, Re-approvals or Re-certification, and Request for RPCs. Filing types not currently supported are Transfer of Control or Ownership of an RPC (as specified in Section 3.2), Blanket Modifications, and Administrative change requests. These filing types must be sent directly to the ACTA Secretariat for entry into the database. No additional handling fee is required for filings types not supported by AOF.

During the AOF process, parties submitting information will be required to acknowledge that the information submitted is accurate, complete, and descriptive of the TE approved for connection to the telephone network. Parties must also acknowledge that submitted information is subject to a 30 calendar day administrative audit by the ACTA or its Secretariat and that the submitting party is responsible for correcting any errors identified within 15 calendar days of notice from the Secretariat. Failure to correct errors identified by the Secretariat in the allotted timeframe could result in the removal of the record from the database and forfeiture of the processing fee.

NOTE: An additional processing fee, beyond the fees specified in Section 3, may be required should a submission compromise the accuracy of the Part 68 database.

AOF classifies parties filing with the ACTA into three categories:

*(1) SDoC: Authorized Filer for Responsible Parties utilizing the SDoC method*

Description: An Authorized Submitter, or Filer, under this classification is **directly** associated with a Responsible Party and submits terminal equipment information under the SDoC method to the ACTA. This classification also applies to Responsible Parties that wish to personally submit terminal equipment information that obtained certification from a TCB. Should this happen, the Filer would be required to "upload" the TCB Certificate instead of the SDoC statement when prompted. Also, under this classification, only one RPC per Filer Account is permitted, and Responsible Parties must provide assurance that an electronic copy of its test plan, or test procedure, is on file with the ACTA Secretariat. Note that all new Filer Accounts are created under this classification.

*(2) TCB: Authorized Filer for a Telecommunications Certification Body*

Description: An Authorized Submitter, or Filer, under this classification is a TCB that submits terminal equipment information, along with a TCB Certificate, to the ACTA. Under this classification, the Filer has access to all the RPC's and their corresponding records contained in the database.

*(3) Agent: Authorized Filer on behalf of a Responsible Parties utilizing the SDoC method*

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Description: An Authorized Submitter, or Filer, under this classification is *indirectly* associated (*e.g.*, external laboratory or consultant) with a Responsible Party and submits terminal equipment information under the SDoC method to the ACTA on behalf of the Responsible Party. Under this classification, the Filer must use the Responsible Party's Filer Account to access AOF. See SDoC: Authorized Filer for Responsible Parties utilizing the SDoC method.

## 4 Telecommunications Certification Body Filings

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### 4.1 Background

In 1998, the FCC adopted procedures whereby terminal equipment suppliers may submit their products to private Telecommunications Certification Bodies for terminal equipment certification<sup>3</sup>. The TCB program was designed in connection with Mutual Recognition Agreements/Arrangements (MRA) between the United States and the European Union (EU), and the Asia-Pacific Economic Cooperation (APEC). The objective of the MRA is to facilitate market access and competition in the provision of telecommunications products that require testing and/or approval.

TCBs satisfying specific qualification criteria may certify equipment. Questions regarding the TCB program should be directed to the TCB Council. Questions regarding a TCB's test methodologies, procedures, or application, should be directed to that TCB. A current listing of TCBs is available from the ACTA website at <http://www.part68.org/TechInquiries.aspx>.

### 4.2 Filing Utilizing TCBs

TCBs must provide the following information to the ACTA for all types of filings (*i.e.*, Original, Modification, Notice of Change, or Re-approval) to allow input to the database of approved equipment maintained by the ACTA:

- 1) **Fee:** Refer to “General Filing Guidelines.”
- 2) **Copy of Certification:** A copy of the certification granted to the Responsible Party by the TCB must be submitted with each filing. Certificates are required to include a statement that terminal equipment conforms to (1) each specific ACTA-adopted technical criteria document, including addendums, that has reached its mandatory compliance date at the time of the approval of the TTE, and (2) the requirements found in FCC 47 C.F.R. Part 68. Technical criteria which have been adopted by the ACTA and have reached their effective date may be included on the TCB Certificate at the discretion of the TCB as they are able to certify compliance to those technical criteria. Also refer to Section 6.3, FCC Issued Waivers, if applicable.
- 3) **Product Information:** All relevant information specified in Appendix A: Terminal Equipment Details must be provided. The extent of information submitted will depend on the type of filing (*i.e.*, Original, Re-certification, Modification, etc.).
- 4) **List of Authorized Submitters:** Unless previously submitted and on file, a list of personnel authorized to file on behalf of the TCB must be provided. Information must include Company Name, Address, Phone Number, Name and E-mail address for each individual listed. Additionally, at least one (maximum of three) individual(s) must be identified as a “Primary Contact.” Primary Contact(s) will be copied on all confirmation notices issued by the ACTA Secretariat, and serve as the company representative(s) for ACTA issues.

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<sup>3</sup> MRA Order, 13 FCC Rcd at 24693, ¶14.



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- 5) **Indemnification and Liability Statement:** For all filing types submitted to the ACTA Secretariat for inclusion in the database of Part 68 products, a statement must be included (from the responsible party) with each filing. Refer to Appendix B, Indemnification and Liability Statement. Also refer to Section 6.1, Indemnification and Liability Statements.

The ACTA Secretariat will issue a confirmation notice via E-mail to the TCB and/or Responsible Party (if applicable) typically within 7-10 calendar days for Filings sent to the Secretariat. Contact the ACTA Secretariat if an E-mail is not received. An alternative method (*e.g.*, regular mail) is available on request. Incomplete or incorrect submissions will not be entered into the database until completed and/or corrected.

## 5 Supplier's Declaration of Conformity Filings

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### 5.1 Definition

A SDoC is a procedure where the responsible party takes steps necessary to ensure that the terminal equipment complies with FCC 47 C.F.R. Part 68 and ACTA-adopted technical criteria.

### 5.2 SDoC Content

As specified in §68.324, the SDoC must, at a minimum, include the following information:

- 1) The identification and description of: (a) the responsible party for the SDoC; and (b) the product; including the model number of the product.
- 2) Statements are required to include a statement that terminal equipment conforms to (1) each specific ACTA-adopted technical criteria document, including addendums, that has reached its mandatory compliance date at the time of the approval of the TTE, and (2) the requirements found in FCC 47 C.F.R. Part 68. Technical criteria which have been adopted by the ACTA and have reached their effective date may be included on the SDoC at the discretion of the Supplier as they are able to certify compliance to those technical criteria.
- 3) Date and place of issue of the declaration.
- 4) Signature, name and function of person making declaration.
- 5) A statement that the product, if it incorporates a handset, does or does not comply with §68.316 of the FCC Rules defining Hearing-Aid Compatible (HAC) terminal equipment.
- 6) For a telephone that is not HAC, as defined in §68.316, the responsible party shall provide the following in the SDoC: (a) notice that FCC rules prohibit the use of that handset in certain locations; and (b) a list of such locations (see §68.112).

NOTE: Equipment designed to operate in conjunction with other equipment, the characteristics of which can affect compliance of such device with Part 68, and/or ACTA-adopted technical criteria, then the Model Number(s) of such equipment shall be supplied, and such other equipment must also include an SDoC or TCB grant of certification.

### 5.3 Filing Utilizing SDoCs

Responsible Parties utilizing an SDoC must provide the following information for all filings to the ACTA:

- 1) **Fee:** Refer to “General Filing Guidelines” and “SDoC Posting on the ACTA Website.”
- 2) **Copy of SDoC:** An SDoC must contain the statements and information as specified in §68.324; including an explicit reference to the ACTA-adopted technical criteria. Also refer to Section 6.3, FCC Issued Waivers, if applicable.

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- Refer to Appendix D, Example Language for an SDoC. SDoCs must be provided in a format accessible to persons with disabilities.
- 3) **Product Information:** All relevant information specified in Appendix A: Terminal Equipment Details must be submitted. The amount of information provided will depend on the type of filing (*i.e.*, Original, Re-certification, Modification, etc.).
  - 4) **Indemnification and Liability Statement:** For all filing types submitted to the ACTA Secretariat for inclusion in the database of Part 68 products, a statement must be provided with each filing. Refer to Appendix B, Indemnification and Liability Statement. Also refer to Section 6.1, Indemnification and Liability Statements.
  - 5) **List of Authorized Submitters:** Unless previously submitted and on file, a list of personnel, or external companies (*e.g.*, independent laboratories) authorized to file on behalf of the Responsible Party must be provided. Information must be provided on company letterhead and include Company Name, Address, Phone Number, and Name and E-mail address for each individual listed. Additionally, at least one (maximum of three) individual(s) must be identified as a “Primary Contact.” Primary Contact(s) will be copied on all confirmation notices issued by the ACTA Secretariat, and serve as the company representative(s) for ACTA issues.

The ACTA Secretariat will issue confirmation notices via E-mail to the Authorized Submitter and/or Responsible Party typically within 7-10 calendar days for Filings sent to the Secretariat. Contact the ACTA Secretariat if an E-mail is not received. An alternative method (*e.g.*, regular mail) is available on request. Incomplete or incorrect submissions will not be entered into the database until completed and/or corrected.

### 5.4 SDoC Posting on the ACTA Website

Parties informing the ACTA (pursuant to §68.324 (e)(3)) that a copy of the SDoC is not available to the general public, and accessible to the disabled community on a functional and reliable website that it maintains, are charged an additional fee to make the SDoC publicly available on the ACTA website. This fee is in addition to the fee for recording, updating, and maintaining information/content in the ACTA Database.

## **6 General Requirements**

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As specified in §68.326 and §68.610, TCBs and parties filing an SDoC shall maintain, and have readily available, records containing the following information (unless otherwise noted):

- 1) Copy of the SDoC; for SDoC Filings.
- 2) Copy of the TCB Certificate of Approval; for TCB Filings.
- 3) The identity of the testing facility, including the name, address, phone number and other contact information.
- 4) A detailed explanation of the testing procedure utilized to determine whether terminal equipment conforms to the appropriate technical criteria.
- 5) A copy of the test results for terminal equipment compliance with the appropriate technical criteria.

Responsible parties utilizing SDoCs shall maintain all records required under §68.326(a) for at least ten years after the manufacture of the equipment on file has been permanently discontinued. TCBs shall adhere to the guidelines specified in the National Institute of Standards and Technology (NIST) accreditation program under the applicable MRAs.

### **6.1 Indemnification and Liability Statements**

Parties submitting information for inclusion in the Part 68 database of approved terminal equipment are required to provide the appropriate Indemnification and Liability Statement to the ACTA Secretariat. With the introduction of the AOF system, however, two versions of the Indemnification and Liability Statement have been established.

The traditional statement specified in Appendix B is required to be submitted for each filing made directly to the ACTA Secretariat. The additional, and most recent, statement in Appendix C is required to be submitted to the ACTA Secretariat by parties that have filed with the ACTA Secretariat in the past and wish to use AOF. This statement, entitled “AOF Indemnification and Liability Statement,” is submitted only once for all AOF transactions. Parties filing an AOF statement are still required to provide the traditional statement when submitting information directly to the ACTA Secretariat. New parties registering on-line for a “Filer Account” will be required to agree to the statement before setting up their account.

In all cases, the Responsible Party shall indemnify and hold harmless the ACTA, its members, affiliates, Secretariat, and Sponsors, and each of their officers, directors, employees, participants, agents and representatives (the “ACTA Parties”), of and from any and all liabilities, losses, costs, damages, claims, suits or expenses (including reasonable attorneys’ fees and costs) of any kind whatsoever, arising from or relating to the TE or the Responsible Party’s SDoC or TCB Grant of Certification submitted to the ACTA in connection therewith.

The responsible party shall acknowledge and agree that the ACTA, and the ACTA Parties shall not, and do not, assume, and expressly disclaim, any and all liability, responsibility

and obligation in connection with any loss, damage or claim arising from or relating to, in any way, the ACTA's inactions or actions relating to publication, distribution or other use of any information relating to or concerning the TE, including without limitation in connection with any claims or liabilities sounding in contract, tort (including negligence or strict liability), or otherwise, and in no circumstances shall the ACTA or the ACTA Parties be liable for any loss of profits, loss of use, loss of production, loss of goodwill, or incidental, direct, indirect or consequential damages of any kind.

## **6.2 Consumer Information**

Pursuant to 47 CF R §68.218(b)(1), the responsible party or its agent shall provide the user of approved terminal equipment with consumer instructions as specified by the ACTA.

The latest version of the ACTA-adopted Consumer Information requirements document is available on the ACTA web site at [www.Part68.org](http://www.Part68.org). The customer information described in that document must be provided to customers with each unit of approved terminal equipment.

If the equipment is being approved by the TCB process, a copy of the required customer information must be provided to the TCB. These materials must be identical to what is provided to the customer.

## **6.3 FCC Issued Waivers**

Requests for waivers (as historically defined) processed and granted by the FCC to technical criteria previously included in Part 68, and newly ACTA-adopted technical criteria, are no longer accepted by the FCC nor allowed by the ACTA. Parties developing and marketing products that fall outside established technical criteria or products for which technical criteria do not currently exist are now required to directly pursue necessary modifications to existing criteria or the development of new criteria for Part 68 approval via an ANSI-accredited SDO. An SDO's acceptance of a technical change request to existing criteria or the development of new criteria will be based solely on the technical merit of the request, pursuant to ANSI procedures.

Aside from submitting a request for a waiver, parties may appeal ACTA-adopted technical criteria by filing opposition to: (1) the submitting SDO; (2) ANSI for procedural issues; or (3) the FCC directly for a de novo review pursuant to §68.614. Refer to the latest version of the ACTA Operating Principles and Procedures ("OP&P"), for more information on filing opposition to ACTA-adopted technical criteria.

In accordance with FCC Rules and Regulations (§68.218), parties acquiring approval of terminal equipment for connection to the PSTN must warrant – whether through a TCB or an SDoC -- that each unit of equipment complies with all the applicable rules and regulations in 47 C.F.R. Part 68, and with the applicable ACTA-adopted technical criteria. Parties are required to also explicitly indicate the technical criteria under which the equipment was approved and to file this information with the ACTA for inclusion in its database of approved equipment.

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In circumstances, therefore, where equipment has obtained approval as a result of a FCC granted waiver, parties filing this equipment for inclusion in the ACTA-maintained database are required to explicitly indicate on the SDoC or TCB certificate a reference to the technical criteria **and** a reference to the FCC-issued order wherein the FCC waived its requirements for approval (*i.e.*, “DA” number).

Guidelines & Procedures for Submittal of Information to the ACTA for Inclusion in the Database of Approved Telephone Terminal Equipment

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**Appendix A: Terminal Equipment Details (NORMATIVE)**

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<b>Ref</b>	<b>Item Description</b>
1a	Name of Organization Granting Approval of Equipment or Submitting Request for RPC
1b	TCB Identification Code (ID), if applicable
1c	Supplier's Declaration of Conformity (SDoC), if applicable
2	Terminal Approval Date
3	Product Identifier (selected by the responsible party: 1 to 9 digits)
4	Responsible Party Name and Address
5	US Product Information Contact Name, Department, Address and Phone number
6	Equipment Description
7	Responsible Party Code (RPC)
8	Manufacturer's Code(s)
9	Current ACTA or FCC product label number (only if Modification, Notice, Re-certification, and/or Re-declaration Filing)
10	Equipment Code
11a	List of Trade Names; including new & existing Trade Names
11b	List of Model Numbers including new & existing Model Numbers
12	Network address signaling code
13a	Consumer product characteristics -- AC REN
13b	Consumer product characteristics -- HAC
13c	Consumer product characteristics -- USOC jack(s) (N/A for equipment with no network connection)
13d	Consumer product characteristics -- Repeat dials to same number? (Yes or No)
14	Filing Status (Modification, Original, etc)
15	Facility Interface code (FIC)
16	Manufacturer's Port ID
17	Service Order Code(s) (SOC)
18	Answer Supervision Codes
19	Ancillary equipment (consoles, telephones, modems, external power supplies, etc.)

**Definition of Terminal Equipment Detail Items:**

**Item 1a: Name of Organization Granting Approval of Equipment or Submitting Request for RPC**

List the complete name and address of the organization (including the contact information of the submitter; *i.e.*, E-mail and phone number) attesting to the terminal equipment's conformity to Part 68 rules and ACTA-adopted technical criteria, or the name of the organization applying for an RPC. Authorized Submitters (*e.g.*, Agents) forwarding information to the ACTA on behalf of a Responsible Party utilizing the SDoC method should use the table entitled "Submitter's Information."

**Item 1b: Telecommunications Certification Body Identification Number**

List the TCB identifier for terminal equipment information submitted by a registered TCB.

**Item 1c: Supplier's Declaration of Conformity**

Provide a copy of the SDoC for terminal equipment submitted under an SDoC.

**Item 2: Terminal Equipment Approval Date**

Provide the date the terminal equipment was approved (date of TCB Certificate or SDoC Statement).

**Item 3: Product Identifier**

Provide the responsible party's unique terminal identifier. Refer to *TIA Standard – TIA-168-B, Telecommunications –Telephone Terminal Equipment –Labeling Requirements*. Example: **US: AA AEQ##TXXX**, where xxx is the product identifier. The Responsible Party shall define this identifier.

NOTE: The FCC historically assigned a 5-digit product identifier number. Example: **AA BBBB-NNNNN-XX-Y**, where NNNNN is the assigned number. Parties submitting data for products that will retain its existing FCC Registration number (Modification, or Notice of Change) should enter the FCC-assigned 5 digit number.

**Item 4: Responsible Party**

List the complete name and address of the responsible party; including the contact information of the submitter; *i.e.*, E-mail and phone number. The Responsible Party is the individual or company that accepts responsibility for the product and its compliance to Part 68 rules and ACTA-adopted technical criteria. Pursuant to the "Order on Reconsideration in CC Docket No. 99-216 and Order Terminating Proceeding in CC Docket No. 98-163," FCC 02-103, Released April 10, 2002, the Responsible Party is not required to be located in the United States but, must designate an agent for service of process that is physically located in the United States. See 47 C.F.R. §68.418(b). For parties utilizing the SDoC method, this may be the same information contained in Item 1a.



**Item 5: US Product Information Contact**

The US Product Information Contact is defined as “A point of contact accessible within the U.S.A. for additional product information (for example, repair, servicing, instructions, technical support, etc.)” Original Filings will not be processed without a US Product Information Contact.

Responsible Parties must identify a contact (or department designation), complete company name, business address, telephone number and, if available, TTY (teletypewriter) number, facsimile number, and URL of the declared US Product Information Contact.

NOTE: This field was previously used for “Agent for Service” contact information. The FCC no longer requires ACTA to collect “Agent for Service” information. [See 47 C.F.R. §68.418(b)] “US Agent of Service” information is filed directly with FCC to declare a specific responsible party that is physically located within the U.S.A. to response to all inquiries related to accessibility related matters (i.e. FCC Section 255 / Access for Persons with Disabilities.)

**Item 6: Equipment Description**

For an Original Filing provide a brief description (in 10 words or less) of the terminal equipment. Example: “Two-line telephone with built-in answering machine.” For Modification Filings, provide a brief description of the technical change.

**Item 7: Responsible Party Code (RPC)**

List Responsible Party’s assigned ACTA RPC or FCC CCB assigned Applicant Code. Refer to Section 3, General Filing Guidelines.

**Item 8: Manufacturer Code**

List manufacturer's previously assigned FCC ID code(s), if known; otherwise leave blank.

**Item 9: Current ACTA or FCC Product Label Number**

Provide current product label number. This could be the ACTA “US” Number or FCC certification or registration number(s). This is required for Modification, Notice of Change, and Re-certification Filings.

**Item 10: Equipment Code**

Refer to *TIA Standard – TIA-168-B, Telecommunications –Telephone Terminal Equipment –Labeling Requirements* for a complete list of codes. Only one code may be specified. Select the code that best matches your product. If your equipment is currently approved, include the equipment code already assigned to your equipment.

**Item 11a: List of Brand or Trade Names including new & existing Names**

List of Trade or Brand Names, including new and existing Trade Names, under which this product will be marketed and sold.

NOTE: The type of application being made impacts what information is to be included in this field. See also Item 14.

**Item 11b: List of Model Numbers including new & existing Brand or Trade Names**

List of model numbers for each Trade or Brand Name under which this product will be marketed and sold. Note: The type of application being made impacts what information is to be included in this field. *See also* Item 14.

**Item 12: Network Address Signaling Code**

Show the network address signaling code. This is required for all applications. Indicate the type of network address signaling by one of the following code letters:

- T If the device performs dual-tone multi-frequency (DTMF) signaling;
- R If the device performs rotary (pulse) signaling;
- E If the device performs either DTMF or pulse signaling (selectable);
- N If the device does no signaling.

**Item 13a: AC Ringer Equivalence Number (REN)**

The format used to enter the AC REN is, ##T. The "##" symbols represents the REN. The "T" represents the ringer type associated with the REN. Note: the code for approved equipment without a network interface and equipment not connecting to circuits with analog ringing supplied, is "NAN." Examples of a valid REN format are: "10A," "01B," and "NAN." Refer to *TIA Standard – TIA-168-B, Telecommunications –Telephone Terminal Equipment –Labeling Requirements*.

**Item 13b: Hearing Aid Compatible (HAC)**

Telephones (corded and cordless) imported into (or manufactured in) the U.S., unless otherwise exempt, must be HAC (magnetic flux strength, §68.316). Marking of devices with the letters HAC prominently displayed is required for all HAC telephones manufactured or imported after April 1997. Enter Yes, No, or Not Applicable (N/A).

**Item 13c: Universal Service Order Codes (USOC) Jacks**

List type(s) of jack(s) required at the network interface. Use N/A for adjuncts that do not make direct connection to the network. Use "hardwired" for meter readers and alarm dialers, if applicable (some alarm dialers preferentially use the type RJ31X jack because of its call preemption feature). Refer to [\*ATIS Technical Report No. 5\*](#).

**Item 13d: Repetitive Dialing to a Single Number**

Many telephones, dialers, and alarm systems have the capability of repeat dialing to a single number. Indicate if the device or system has this feature. In CC Docket No. 81-216, Fourth Notice of Proposed Rulemaking, FCC 86-352, the Commission permitted computer-controlled automatic redialing but reserved the right to revisit this decision to ensure network protection, if necessary. Enter Yes or No.

**Item 14: Filing Status**

Describe the primary reason for the Filing. Each Filing must demonstrate that the covered equipment will not harm the network.

### **Original Filing**

Original Filings are required for covered equipment to be sold that previously has not been approved. Each Filing must be complete and without reference to a previously submitted application.

### **Modification Filing**

Modification Filings are required to maintain database accuracy when a change that alters the compliance characteristics has been made to the equipment, such as network interface circuitry, as filed under an original application. A Modification Filing is required when these changes affect the contents of the ACTA-maintained database of approved Part 68 products, a Responsible Party's SDoC, or a TCB's Certificate. A Modification Filing will be processed only when an Original Filing for the terminal equipment has previously been processed.

NOTE: Should any change alter the product label, it would require a new Original Filing.

### **Blanket Modifications**

The Blanket Modification allows a single product or product family that has more than one approval number to be changed for one Filing. A product family is a number of products, each having two or more approval numbers, where all of the approval numbers appear on each product. Similarly, all listings for a product approved for different manufacturing sites before the FCC's use of the "MUL" designator to signify multiple country codes can also be changed using a Blanket Modification.

For example, Blanket Modifications may be used to change the listings for a PBX or family of PBXs with several approval numbers as long as each product in the family has all the same approval numbers.

A Blanket Modification may not be used if the products being considered have a range of approval numbers that are not common to all products. For example, a corded phone, a cordless phone, and a corded speakerphone each with its own unique approval number cannot be changed using a Blanket Modification.

Because of the possibility of confusion and invalid or incomplete entries in the database, all Blanket Modifications must be submitted on CD ROM to the ACTA Secretariat for processing.

### **Notice of Change (Notice) Filing**

Notice Filings are required to maintain database accuracy when no electrical change has been made to the equipment that alters the compliance characteristics, such as network interface circuitry, as filed under an original application. A notice Filing is required, for example, when a trade name, model number, or some feature that does not affect compliance characteristics is added to a previously approved device or system. Typically, such additions describe cosmetic variations, or are for marketing the product under a different trade name or model number.

### **Re-certification/Re-approval**

Re-certification/Re-approval applications are required for limited cases requiring the processing of a new filing. They can include:

- (a) Changes in the network address signaling code (*e.g.*, changing from a T to an E), for products using the historical FCC Registration Number format;
- (b) Establishing a new classification for equipment (*e.g.*, a change to a MF classification based on a previously approved KF system);
- (c) Adding a new manufacturer; when manufacturing/distribution rights are transferred to another party;
- (d) When a vendor wants its own product identification number for marketing reasons (with permission of the original responsible party);
- (e) When changing from the FCC Reg. number format to the ACTA “US” number format.

Re-certification/Re-approval Filings will result in a new product identification number. Products using the historical FCC Reg. number will be required to change over to the ACTA “US” number.

In the event a 3<sup>rd</sup> party vendor wants its own product identification number on a product also distributed by the original Responsible Party, as noted under case (d) above, the 3<sup>rd</sup> party’s product will be listed in the database as an “Original” Filing. Accordingly, the 3<sup>rd</sup> party vendor shall assume full responsibility, as specified in 47 C.F.R. Part 68, for the products distributed under its RPC. Refer to Section 3.2 for more information.

In the event a Responsible Party elects to distribute both the original product and the new product stemming from a Re-certification/Re-approval, as noted in cases (a) and (b) above, the new product(s) are considered “self-standing” product(s) and thus must be filed in the database as an “Original” Filing. Users of AOF must consider this circumstance and submit their filings accordingly.

### **Item 15: Facility Interface Codes (FIC)**

The FIC identifies the type of interface that the terminal equipment requires for compatible interconnection with wireline carrier facilities. A partial list of the more commonly used FIC codes is provided in the table below.

Many FIC codes use the Network Channel Interface (NCI) Code structure described in ATIS-0300223.2009, *Structure and Representation of Network Channel (NC) and Network Channel Interface (NCI) Codes for Information Exchange* [1]. Additional NCI codes and their definitions may be found in *ATIS Technical Report #5*.

[1] Alliance for Telecommunications Industry Solutions  
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<b>Analog Services</b>	
<b>FIC</b>	<b>Description</b>
OL13A.	2-wire, Class A, Private Branch Exchange (“PBX”) off-premises station port
OL13B	2-wire, Class B, PBX off-premises station port.
OL13C	2-wire, Class C, PBX off-premises station port.
LADC	Local area data channels *
METALLIC	2- or 4-wire metallic private line. *
TL11E	E&M Tie Trunk, Lossless, 2W, Type I, originates with ground on E
TL11M	E&M Tie Trunk, Lossless, 2W, Type I, originates with battery on M
TL12E	E&M Tie Trunk, Lossless, 2W, Type II, originates with ground on E
TL12M	E&M Tie Trunk, Lossless, 2W, Type II, originates with battery on M
TL31E	E&M Tie Trunk, Lossless, 4W, Type I, originates with ground on E
TL31M	E&M Tie Trunk, Lossless, 4W, Type I, originates with battery on M
TL32E	E&M Tie Trunk, Lossless, 4W, Type II, originates with ground on E
TL32M	E&M Tie Trunk, Lossless, 4W, Type II, originates with battery on M
02AC2	2-wire voice transmission with customer-provided ringing 600 ohms*
02GS2	2-wire ground-start signaling closed end provided by end user 600 ohms
02LA2	2-wire, certified, Class A, PBX off-premises station port 600 ohms
02LB2	2-wire, certified, Class B, PBX off-premises station port 600 ohms
02LC2	2-wire, certified, Class C, PBX off-premises station port 600 ohms
02LR2	2-wire Private Line Automatic Ringdown, ringing from Local Exchange Carrier (“LEC”), 600 ohms*
02LS2	2-wire loop-start signaling closed end provided by end user 600 ohms
02NO2	4-wire voice transmission with no LEC-provided signaling 600 ohms*
02RV2.0	2-wire loop reverse battery signaling, loop closure from customer, reverse battery from LEC, 600 ohms. Used for PBX-E911 trunks. *
02RV2.T	2-wire loop reverse battery signaling, loop closure from customer, reverse battery from LEC, 600 ohms. Used for Direct Inward Dialing (“DID”) ports.
04AC2	4-wire voice transmission with customer-provided ringing 600 ohms*
04GS2	4-wire ground-start signaling closed end provided by end user 600 ohms*
04LR2	4-wire Private Line Automatic Ringdown, ringing from LEC, 600 ohms*
04LS2	4-wire loop-start signaling closed end provided by end user 600 ohms*
04NO2	4-wire voice transmission with no LEC-provided signaling 600 ohms. (Applicable to “hoot ‘n holler” circuits.) *
04RV2.T	2-wire loop reverse battery signaling, loop closure from customer, reverse battery from LEC, 600 ohms. Used for DID ports. *
06EA2.M	6-wire Type I E&M signaling – Battery on M lead to originate, 600 ohms. Same as TL31M except with transmit TLP values of -2 to +3 dBm.
08EB2.M	8-wire Type II E&M signaling – Battery on M lead to originate, 600 ohms. Same as TL31M except has expanded receive TLP values of 0 to –8 dBm.

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<b>Digital Services</b>	
<b>FIC</b>	<b>Description</b>
02DU5.56B	2-wire Switched 56 kbps Type III Public Switched Data Service ("PSDS"), 135 ohms.
02DU7.56B	2-wire Switched 56 kbps Type II PSDS, 124 ohms.
02IS5	2-wire Basic Rate Integrated Services Digital Network ("ISDN"), 135 ohms.
04DU5.19	4-wire 19.2 kbps digital interface, 135 ohms.
04DU5.19S	4-wire 19.2 kbps digital interface with secondary channel, 135 ohms.
04DU5.24	4-wire 2.4 kbps digital interface, 135 ohms.
04DU5.24S	4-wire 2.4 kbps digital interface with secondary channel, 135 ohms.
04DU5.38	4-wire 38.4 kbps digital interface, 135 ohms.
04DU5.38S	4-wire 38.4 kbps digital interface with secondary channel, 135 ohms.
04DU5.48	4-wire 4.8 kbps digital interface, 135 ohms.
04DU5.48S	4-wire 4.8 kbps digital interface with secondary channel, 135 ohms.
04DU5.56	4-wire 56 kbps digital interface, 135 ohms.
04DU5.56B	4-wire Switched 56 kbps Type I PSDS, 135 ohms.
04DU5.56S	4-wire 56 kbps digital interface with secondary channel, 135 ohms.
04DU5.64	4-wire 64 kbps digital interface, 135 ohms.
04DU5.96	4-wire 9.6 kbps digital interface, 135 ohms.
04DU5.96S	4-wire 9.6 kbps digital interface with secondary channel, 135 ohms.
04DU9.BN	4-wire 1.544 Mbps (DS1) with Super Frame ("SF"), Alternate Mark Inversion ("AMI"), no line power, 100 ohms.
04DU9.DN	4-wire 1.544 Mbps (DS1) with SF, Bipolar with eight-zero substitution ("B8ZS"), no line power, 100 ohms.
04DU9.1KN	4-wire 1.544 Mbps (DS1) with Extended Super Frame ("ESF"), AMI, no line power, 100 ohms.
04DU9.1SN	4-wire 1.544 Mbps (DS1) with ESF, Bipolar with Eight-Zero Substitution ("B8ZS"), no line power, 100 ohms. *

Analog Services: \* These services are subject to local availability

Digital Services: \* May be used for Primary Rate ISDN.

**Item 16: Manufacturer Port ID**

Manufacturer's part number or model number for circuit pack or card for that specific network port.

**Item 17 & 18: Service Order Codes (SOC) and Answer Supervision Codes**

A partial list of the most commonly used codes is provided below.

<b>Service Order Codes</b>	
<b>Analog Services</b>	
<b>SOC</b>	<b>Description</b>
9.0F	Full protection to the network from systems using live voice. Only approved terminal equipment can be connected to station ports.
9.0N	Unprotected systems. Requires use of certified protective couplers or filing of affidavits with the telco. See §68.215(d) and (e)
9.0Y	Provides full Part 68 protection. Provides signal limiting for ALL signal sources (not just from Music On Hold ("MOH")).
7.0Y	Provides total protection to the network for connection of private communication systems.
7.0Z	Host system port provides partial protection to the network for connection of private communication systems. Requires filing of signal power affidavit with telco.

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<b>Digital Services</b>	
<b>SOC</b>	<b>Description</b>
6.0Y	Provides total protection, including billing protection and encoded analog content.
6.0F	Combinations of equipment provide full protection to digital service. Billing protection and encoded analog protection are provided either by including auxiliary equipment within the certification envelope or by use of a separately certified device.
6.0N	Does not provide billing and encoded analog protection. Uses either an integrated or external Channel Service Unit ("CSU"). Affidavit to telco is required.
6.0P	Provides billing and encoded analog protection (similar to 6.0F) but requires separate CSU.

<b>Answer Supervision Codes for Systems and Terminal Equipment</b>	
<b>Code</b>	<b>Description</b>
AS.2	System ports that provide answer supervision (for system types such as CD, KF, MF, PF, VM, etc.)
AS.3	Terminal equipment or combinations of terminal equipment that provides answered supervision.

Note: Include as a Service Order Code

**Item 19: Ancillary Equipment**

Enter each model and list subsystem elements by name and manufacturer's port number that fall within the product's registration/certification "envelope." If telephones and consoles are HAC, indicate by using HAC. Note; information is not required for single and two line devices. For cordless phones used as stations, indicate the frequency band used and that digital security coding is employed.

	Certification Status*	Trade Name	Model Number	List of Ancillary Equipment by Type**	Manufacturer's Identifier
1					
2					
3					

\*The certification status column indicates the type of filing for all entries using these codes:

**Status Code Definition of Code**

NEW -- New with this submission

MOD -- Modified from previous submissions

PREV -- Previously certified, no change

MD -- Manufacturing Discontinued, may exist in product in the field

RECERT -- Re-Certification

\*\*This includes items such as, but not limited to, consoles, telephones, external power supplies, and modems.

**Appendix B: Indemnification and Liability Statement (NORMATIVE)**

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Date

ACTA Secretariat  
c/o ATIS  
1200 G Street, NW  
Suite 500  
Washington, DC 20005

RE: Statement of Indemnification and Liability, and additional information about the *<insert product name, model number, and product-labeling number (ACTA or FCC)>* (the “Product”).

ACTA Secretariat:

*<Responsible party>* hereby indemnifies and holds harmless the Administrative Council for Terminal Attachment (ACTA), its members, affiliates, Secretariat, and Sponsors, and each of their officers, directors, employees, participants, agents and representatives (the “ACTA Parties”), of and from any and all liabilities, losses, costs, damages, claims, suits or expenses (including reasonable attorneys’ fees and costs) of any kind whatsoever, arising from or relating to the Product, or *<Responsible party’s>* Supplier’s Declaration of Conformity (SDoC) or Telecommunications Certification Body (TCB) Grant of Certification submitted to the ACTA in connection therewith.

*<Responsible party>* hereby acknowledges and agrees that the ACTA, and the ACTA Parties shall not, and do not, assume, and expressly disclaim, any and all liability, responsibility and obligation in connection with any loss, damage or claim arising from or relating to, in any way, the ACTA’s inactions or actions relating to publication, distribution or other use of any information relating to or concerning the Product, including without limitation in connection with any claims or liabilities sounding in contract, tort (including negligence or strict liability), or otherwise, and in no circumstances shall the ACTA or the ACTA Parties be liable for any loss of profits, loss of use, loss of production, loss of goodwill, or incidental, direct, indirect or consequential damages of any kind.

Pursuant to §68.218 and §68.348 in the FCC Rules and Regulations, no changes will be made to the above referenced Product or its protective circuitry that would result in any change in the information contained in the corresponding SDDoC or TCB Grant of Certification *<insert SDDoC or TCB Grant of Certification Reference Number (if applicable) >* without filing of a new SDDoC or TCB Grant of Certification.

[Submitter note: use the following language, if applicable.]

As specified in §68.324 (e)(3) a copy of the SDDoC is freely available to the general public, and accessible to the disabled community, on the company website at *<insert URL>*.



## Guidelines & Procedures for Submittal of Information to the ACTA for Inclusion in the Database of Approved Telephone Terminal Equipment

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[Submitter note: use the following alternative language, if applicable.]

In accordance with §68.324 (e)(3), *<Responsible party>* hereby informs the ACTA that a copy of the SDoC is not available to the general public, and accessible to the disabled community on a functional and reliable website that it maintains.

*<Name of company officer>*

*<Function of officer>*

*<Signature>*

Submitter Notes:

- (1) This statement is considered a legally binding contract and must be signed by individuals authorized to enter into a contractual agreement.
- (2) The product-labeling number must be included where indicated. This number is the ACTA product-labeling number (per TIA-168-B), or the previously assigned full FCC Registration number.
- (3) The submitter notes in the statement should be removed from the statement before submitting it to the ACTA Secretariat.
- (4) Parties filing TE information with the ACTA Secretariat for inclusion into the Part 68 database must provide the above statement with each and every submission.

**Appendix C: AOF Indemnification and Liability Statement (NORMATIVE)**

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Date

ACTA Secretariat  
c/o ATIS  
1200 G Street, NW  
Suite 500  
Washington, DC 20005

RE: Statement of Indemnification and Liability for use of the ACTA Online Filing (AOF) system

ACTA Secretariat:

To access the AOF database of Part 68 approved terminal equipment (TE), I acknowledge that it is necessary for each entity, organization and individual, whether accessing the database on its own behalf or on behalf of another, including each Telecommunications Certification Body (TCB) and each Responsible Party (RP), to obtain a password. By submitting this statement, I agree to the following terms and conditions and request a password.

As a Responsible Party I agree to indemnify and hold harmless the Administrative Council for Terminal Attachment (ACTA), its members, affiliates, Secretariat, and Sponsors, and each of their officers, directors, employees, participants, agents and representatives (the "ACTA Parties"), of and from any and all liabilities, losses, costs, damages, claims, suits or expenses (including reasonable attorneys' fees and costs) of any kind whatsoever, arising from or relating to submissions, filings, or information submitted to the ACTA, or the Responsible Party's Supplier's Declaration of Conformity (SDoC) or TCB Grant of Certification submitted to the ACTA in connection therewith.

I further acknowledge and agree that the ACTA, and the ACTA Parties shall not, and do not, assume, and expressly disclaim, any and all liability, responsibility and obligation in connection with any loss, damage or claim arising from or relating to, in any way, the the ACTA's inactions or actions relating to publication, distribution or other use of any information relating to or concerning submissions, filings, or information submitted to the ACTA, including without limitation in connection with any claims or liabilities sounding in contract, tort (including negligence or strict liability), or otherwise, and in no circumstances shall the ACTA or the ACTA Parties be liable for any loss of profits, loss of use, loss of production, loss of goodwill, or incidental, direct, indirect or consequential damages of any kind.

I further agree that pursuant to §68.218 and §68.348 in the FCC Rules and Regulations, no changes will be made to terminal equipment submitted to the ACTA for inclusion in the database of approved Part 68 equipment or the protective circuitry that would result in any change in the

## Guidelines & Procedures for Submittal of Information to the ACTA for Inclusion in the Database of Approved Telephone Terminal Equipment

information contained in the corresponding SDoC or TCB Grant of Certification without filing of a new SDoC or TCB Grant of Certification.

Where applicable, I also agree to make freely available to the general public and accessible to the disabled community a copy of any SDoC I submitted to the ACTA database of Part 68 approved TE or, in the alternative, to cause a copy of any SDoC I submitted to be freely available to the public via the ACTA website with the understanding that such service may be subject to an administrative fee.

I UNDERSTAND THAT AGREEMENT TO THE FOREGOING SHALL BE BINDING ON MYSELF, AS WELL AS ON EACH ENTITY AND ORGANIZATION ON WHOSE BEHALF I AM ACTING IN CONNECTION WITH THE ACTA DATABASE. IN ADDITION I AGREE TO BE BOUND TO EACH OF THE FOREGOING TERMS AND CONDITIONS TO THE EXTENT THEY ARE AGREED TO BY ANY ENTITY, ORGANIZATION OR INDIVIDUAL THAT, IN CONNECTION WITH THE ACTA DATABASE, REPRESENTS ITSELF OR HIMSELF TO BE ACTING ON MY BEHALF OR ON BEHALF OF ANY ENTITY OR ORGANIZATION REPRESENTED BY ME IN CONNECTION WITH THE ACTA DATABASE.

*<Name of company officer>*

*<Function of officer>*

*<Signature>*

Submitter Notes:

(1) Parties that have submitted information to the ACTA in the past and wish access to AOF must submit the above statement to the ACTA Secretariat before a AOF Passcode is assigned.

**Appendix D: Example Language for an SDoC (NORMATIVE)**

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**Supplier's Declaration of Conformity**

Reference Number: \_\_\_\_\_ (Optional)

Place of Issue: \_\_\_\_\_

Date of Issue: \_\_\_\_\_

**<Responsible party>** located at **<company address>** in the United States of America hereby certifies that the **<product name and model number>** bearing labeling identification number **<product-labeling number (based on TIA-168-B or FCC Part 68) >** complies with the Federal Communications Commission's (FCC) Rules and Regulations 47 C.F.R. Part 68, and the Administrative Council on Terminal Attachments (ACTA) adopted technical criteria **<specification number(s), title, revision, and date of issue of each ACTA-adopted technical criteria including addendums in effect at the time of submission of the equipment to the ACTA database>**. [Submitter note: Provided is an example of the technical criteria format: TIA-968-B, Telecommunications – Telephone Terminal Equipment -Technical Requirements for Connection of Terminal Equipment To the Telephone Network, September 2009 and TIA-968-B-1.]

[Submitter note: insert the following (if applicable) for a product (with a handset) compliant with §68.316.]

**<Responsible party>** hereby asserts that the **<product name and model number>** complies with §68.316 of the FCC Rules and Regulations defining Hearing Aid Compatible (HAC) and, as such, is deemed compatible with hearing aids.

[Submitter note: insert the following (if applicable) for a product (with a handset) that is not compliant with §68.316.]

**<Responsible party>** hereby issues notice that the **<product name and model number>** is not compliant with §68.316 of the FCC Rules and Regulations defining Hearing Aid Compatible ("HAC"). Accordingly, the FCC prohibits the use of this product in certain locations, such as, **<insert list of locations per §68.112>**.

[Submitter note: insert the following if equipment is designed to operate in conjunction with other equipment, the characteristics of which can affect compliance, as specified in §68.324(b).]

**<Responsible party>** hereby asserts that the **<product name and model number>** is designed to operate in conjunction with other equipment, the characteristics of which can affect compliance of the **<product name and model number>** with Part 68 Rules and Regulations and/or with technical criteria adopted by the ACTA. The other equipment is **<list all product name(s) and**

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*model number(s)*> and the <*Supplier's Declaration of Conformity or Telecommunications Certification Bodies certificate(s)*> relevant to each product listed are enclosed.

<*Name of company officer*>

<*Function of officer*>

<*Signature*>

Submitter Notes:

- (1) This statement is considered a legally binding contract and must be signed by individuals authorized to enter into a contractual agreement.
- (2) The product-labeling number must be included where indicated. This number is the ACTA product-labeling number (per TIA-168-B), or the previously assigned full FCC Registration number.
- (3) The submitter notes in the statement should be removed from the statement before submitting it to the ACTA Secretariat.

**Appendix E: (Reserved for future use)**

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(Information previously included in Appendix E has been moved to Section 6.2.)

**APPENDIX F: TTE Submission Form (Informative)**

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**Administrative Council for Terminal Attachments**



c/o ATIS  
 1200 G Street, NW Suite 500  
 Washington, D.C. 20005

**TELEPHONE TERMINAL EQUIPMENT (TTE) SUBMISSION FORM Ver. 1.08**

\*Please refer to the *Guidelines & Procedures for submittal of information to ACTA for inclusion in the database of approved Telephone Terminal Equipment ("TTE")* for a detailed item description of each field.

**NOTE: For SDoC filings only.**  
**Information of external company filing for Responsible Party, if applicable.**

**1a. Name of Organization Granting Approval**

Company Name:				Company Name:			
Address:				Address:			
City:	State:	Zip:	Country:	City:	State:	Zip:	Country:
Submitter's Name:				Submitter's Name:			
Phone Number:				Phone Number:			
Email Address:				Email Address:			
<b>1b. TCB Identification Number (if applicable)</b>				<b>1c. Declaration of Conformity Included? (yes/no)</b>			

**2. Terminal Approval Date**

**3. Product Identifier**

--	--

**4. Responsible Party**

**5. U.S. Product Information Contact**

Company Name:				Company Name:			
Address:				Individual or Department			
City:	State:	Zip:	Country:	Address:			
Responsible Party Point of Contact:				City:	State:	Zip:	
Phone Number:				Phone:			
Email Address:				URL:			

Guidelines & Procedures for Submittal of Information to the ACTA for Inclusion in the Database of Approved Telephone Terminal Equipment

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**6. Equipment Description**

**6a. Country Of Origin**

--	--

**7. Responsible Party Code (RPC)**

**8. Manufacturer's Code (if available)**

--	--

**9. Current Authorization Number (only if Modification, Notice, Re-certification, and/or Re-declaration filing)**

**10. Equipment Code**

--	--

**11a. List of Brand or Trade Name(s) Including New and Existing Names**

**11b. List of New and Existing Model Number(s) for Each Brand or Trade Name**


**12. Network address signaling code**

--

**13a. AC Ringer Equivalence Number (REN)**

**13b. Hearing Aid Compatibility (YES/NO/NA)**

**13c. USOC Jack(s)**

**13d. Repetitive Dialing to a Single Number (YES/NO)**


**14. Filing Status**

--

**15. Facility Interface Code(s)**

**16. Manufacturer Port ID**

--	--

**17. Service Order Code(s) (SOC)**

**18. Answer Supervision Code(s)**

--	--

**19. Ancillary Equipment**

	Certification Status	Trade Name	Model Number	List of Ancillary Equipment by Type	Manufacturer's Identifier
1.					
2.					
3.					
4.					



Guidelines & Procedures for Submittal of Information to the ACTA for Inclusion in the Database of Approved Telephone Terminal Equipment

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If you are submitting an original filing or re-certification please fill out the following information. This will give you your ACTA Product-Labeling Number.

ACTA PRODUCT LABEL				
US:				

#7      #10      #13a (leave out the decimal point)      #3

- #7. Responsible Party Code (RPC)
- #10. Equipment Code
- #13a. AC Ringer Equivalence Number (REN)
- #3. Product Identifier

**APPENDIX G: Responsible Party Code Form (Informative)**

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**Administrative Council for Terminal Attachments**

c/o ATIS  
 1200 G Street, NW Suite 500  
 Washington, D.C. 20005

**RESPONSIBLE PARTY CODE (RPC) FORM Ver. 2.0**

\*Please refer to the *Guidelines & Procedures for submittal of information to ACTA for inclusion in the database of approved Telephone Terminal Equipment (TTE)* for a detailed item description of the requirements for the request for RPCs, transfers of RPCs, RPC data validation and for additional required documentation. A copy of the Guidelines and Procedures can be found on the web at [www.part68.org/documents.aspx](http://www.part68.org/documents.aspx)

1. **Please select filing type:** (please put a check next to the type of filing you wish to conduct, select only one)

- Obtain a Responsible Party Code (RPC)
- Transfer a Responsible Party Code (RPC)
- Validate a Responsible Party Code (RPC)

2. **Responsible Party Information:** (This is the information that will be visible on the Part 68 Database)

Responsible Party Code:			
Company Name:			
Street Address 1:			
Street Address 2:			
City:	State:	Zip:	Country:
Phone:		Fax:	
TTY:			
Email:		Company Website:	

3. **Responsible Party Primary Point of Contact**  
*(Must Be Employee of the Responsible Party)*

4. **Responsible Party Additional Point of Contact**  
*(May be a third party agent or contact)(Optional)*

Name:				Name:			
Company Name:				Company Name:			
Address:				Address:			
City:	State:	Zip:	Country:	City:	State:	Zip:	Country:
Phone:				Phone:			
Email:				Email:			
Fax:				Fax:			
TTY:				TTY:			

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**5. Party Submitting Filing Request** (May Be TCB, Test Lab, Agent, or Responsible Party Contact)

Company Name:			
Street Address 1:			
Street Address 2:			
City:	State:	Zip:	Country:
Phone:		Fax:	
TTY:			
Email:		Company Website:	

**6. Original Responsible Party Information** (Only to be filled out for Transfer of RPC filings)

Company Name:			
Street Address 1:			
Street Address 2:			
City:	State:	Zip:	Country:
Phone:		Fax:	
TTY:			
Email:		Company Website:	

**7. US Product Information Contact** (Responsible Parties conducting a Transfer of RPC wishing to update the US Product Information Contact for all associated Telephone Terminal Equipment currently listed with the Part 68 database may do so by filling out the section below. This is optional and only available for Transfer of RPC filings)

Person/Department Name:			
Street Address 1:			
Street Address 2:			
City:	State:	Zip:	Country:
Phone:		Fax:	
TTY:			
Email:		Company Website:	

**Appendix H: (Reserved for Future Use)**

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(Information previously included in Appendix H has been moved to Appendix G.)

Guidelines & Procedures for Submittal of Information to the ACTA for Inclusion in the Database of Approved Telephone Terminal Equipment

Appendix I: Credit Card Payment Form (INFORMATIVE)

ACTA or FCC Product Number(s): \_\_\_\_\_

Charges:

Table with 4 columns: Filing Type, Cost Per Filing, Quantity, Cost. Rows include Original, Modification, Notice of Change, Request for RPC, RPC Data Validation (11/1-1/31), RPC Data Validation (2/1-10/30), SDoC Posting, Transfer of RPC, AOF Corrections, Handling Fee, and Total to be Charged.

Name: \_\_\_\_\_

Company: \_\_\_\_\_

Billing Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

Form of Payment:

Circle one: .....VISA..... MasterCard..... American Express

Card # \_\_\_\_\_ Exp. Date: \_\_\_\_\_

V Code \_\_\_\_\_ (FOR VISA AND MASTERCARD – The V Code is the last 3 digits on the back of the card)

I agree to the charges indicated above and authorize the Alliance for Telecommunications Industry Solutions (ATIS) to charge my credit card the submitted amount. I understand and acknowledge that the inclusion of the information submitted is subject to the receipt of payment in full of all relevant fees.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Name as it appears on credit card: \_\_\_\_\_

ACTA SECRETARIAT
c/o ATIS
1200 G Street NW, Suite 500
Washington, DC 20005

NOTE: Transactions will NOT be processed without a signature. Please keep a copy of this form for your records.