



Independent Communications Authority of South Africa
350 Witch-Hazel Avenue, Eco Point Office Park
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EQUIPMENT TYPE APPROVAL PROCEDURE MANUAL

FEBRUARY 2024

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The Executive responsible shall authorise the policy before submission to Exco.

The authorising and approving officers should sign and write the date of signature in the boxes below;

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Definitions

For purpose of this procedure, unless otherwise stated, the following definitions shall apply:

Activity An action, element or decision representing a prescribed step in a procedural process.

ASMS Automated Spectrum Management System is an online system used by the authority for end-to-end processing of type approval requests and other type approval related activities.

Associated Document An associated document, including guidelines and forms, supporting the effective implementation of procedures and related procedures. These are tools that enable the procedure and procedure to be put into practice, e.g. checklists, registration/application forms, information brochures, instructions, etc. It is expected that an associated document is linked to the parent procedure(s).

Code A mandatory or voluntary statement of recommended practice developed internally by the Authority or externally by an international, national or industry body or other organisation with which the Authority has chosen to comply with.

Compliance Adherence to the requirements of laws, industry and organisational standards and codes, principles of good governance and accepted ethical standards. This definition includes compliance with:

- Common Law,

- The ICASA and Electronic Communications Acts
- All relevant legislative statutes, and
- All internal procedures and procedures, including the Authority's code of ethics.

Compliance Breach or Failure An act or omission whereby any part of the Authority has not met its compliance, process or behavioural obligations.

Compliance Culture Means the values, ethics and beliefs that exist throughout the Authority and interact with the Authority's structures and control systems to produce behavioural norms that are conducive to compliance outcomes.

Compliance Management Framework A mechanism through which the Authority can monitor, review and comply with legislation, regulations, statutes, codes, standards, procedures and procedures.

Form A pre-formatted document containing instructions and placeholders for data entry to monitor progress through a particular procedure and to ensure proper recordkeeping.

Key Stakeholder A key stakeholder is someone directly affected by a procedure, including those responsible for implementation and compliance monitoring, and must be consulted during the development or revision of the procedure and its associated procedures. A key stakeholder may include ICASA Councillors, ICASA employees, ICASA employee unions, contractors as well as members of the external community.

Management ICASA staff at a management level who are normally the head of a business unit or department and are responsible for the

facilitation, monitoring, coordination and communication to all other staff within their area on compliance matters.

Manual	A system of approved procedure statements and corresponding procedural guidelines and supporting forms that direct the Authority towards its operational goals.
Obligation	The laws, regulations, statutes, codes, procedures, procedures and community standards to which the Authority should comply.
Procedure	A concise, formal and mandatory statement of principle which provides a framework for decision-making and a means by which the Authority reduces institutional risk. Procedures support the Authority's course for the foreseeable future and should therefore change infrequently.
Procedure decision	A stated course of action with a defined purpose and scope to guide decision making under a given set of circumstances within the framework of corporate objectives, goals and management philosophies.
Procedure owner	The procedure owner is a management position responsible for the development, oversight and review of a procedure.
Procedure	The mandatory steps required to implement and comply with a procedure and meet its intent. A procedure specifies who does what and when. A procedure may be reviewed and revised more frequently than the procedure it is associated with.

Process	A series of prescribed steps followed in a definite regular order which ensure adherence to the guidelines set forth in a procedure or procedure to which the process applies.
Responsibility	The management position is responsible for the implementation of the processes and procedures, and for monitoring implementation of and compliance with the procedure and its associated procedures.
Responsible Officer	A member of staff appointed by management to assist in the facilitation, monitoring and reporting of compliance within their business unit or department.
Task	A detailed component of an activity specifying required behaviour to complete that activity.

1. INTRODUCTION AND BACKGROUND

1.1 Introduction

1.1.1 In general, the electronic communication networks (public or private) are designed to handle a particular type of data or information between end users. Electronic communication networks comprise a large number of switching points, interconnected by various transmission media such as cable, radio, microwave or optical-fibre transmission links using various techniques for individual or group transmission. For this kind of network, it is a critical that any equipment that connects with electronic communication network complies with national and international standards to meet the relevant technical requirements.

1.1.2 Type Approval is therefore necessary to ensure that good network performance prevents distortion and degradation of networks, avoids harmful interference, safeguards and preserves network integrity as well as eliminating dumping of inferior or sub-standard equipment to the market. Type Approval protects manufacturers who produce high quality equipment, service providers who use the equipment and consumers purchasing it. Regarding the type approval regime, the international trend dictates that performance and functionality issues should be left to market players, while creating conditions to maintain confidence and reduces administrative procedures and delays.

1.1.3 The Equipment Type Approval process should take into consideration compliance with internationally recognized standards with reference to Electromagnetic Compatibility, Safety requirements and effective use of radio frequency spectrum for radio communication equipment and other technical parameters for interfacing/interconnecting with telecommunication networks. Interoperability takes the environment of operation into consideration to enable electronic communication devices, facility and apparatus from different countries to operate safely in every country. Type Approval is a term for the process to determine the kind of equipment that can be brought and used in a country without causing interference or damage to the network.

1.1.4 ICASA's type approval regulatory framework aims to ensure that equipment meets applicable technical and safety standards prior to connection to an electronic communications network; ensuring that users of the equipment in South Africa get quality equipment from the market; protecting personal health and safety of end users and protecting the integrity of the electronic communications networks.

1.1.5 The Type Approval Business unit comprises the following positions: Divisional Assistant; Client Type Approval Officer, Type Approval Specialists and the Manager.



1.2 Background

1.2.1. This procedure manual provides a framework for the implementation of Equipment Type Approval within the Authority. It sets out the detailed requirements and minimum levels of achievement necessary to establish a process for the approval of telecommunications and radio equipment at ICASA.

1.2.2. The aim of this Type Approval Procedure Manual is to prescribe the application of measures necessary to align the internal Type Approval processes to the objectives of the Type Approval Framework as outlined in section 1.3 of the Type Approval Guidelines.

2. PURPOSE

The main objective of this procedure is to provide guidance to the employees within Type Approval unit on the process for the Type Approval applications and to facilitate standardization and harmonization in the way applications are reviewed by various technical personnel.

3. SCOPE

- 3.1. This procedure applies to staff within Type Approval unit.
- 3.2. This procedure manual applies to the various application categories and related Type Approval requests which are as follows: RF Equipment; Telecommunications Line Terminal Equipment; Simplified Type Approval, Provisional Type Approval; Printed ICASA Labels; Label authorizations; transfer/amendments/re-issue.

4. PROCEDURE STATEMENT

This section describes the processes that are to be followed when various types of applications are received.

4.1 Receiving and Approval of Entity Registration Request

- 4.1.1. The Divisional Assistant receives company verification requests on Automated Spectrum Management Systems ("ASMS"). The Divisional Assistant verifies company registration documents, letter of authority, proof of address and directors' identity documents and approves such requests on ASMS <https://portal.icasa.org.za/Account/Login>.
- 4.1.2. The Divisional Assistant monitors the ASMS for new entity registration and application on behalf of other entities requests and approve them within 2 days.
- 4.1.3. The Divisional Assistant monitors the unit's mailbox TALApplications@icasa.org.za and reroutes the received general queries and

technical queries to the Client Type Approval Officer and Type Approval Specialists, respectively.

- 4.1.4. All received payment confirmed applications in the general Type Approval Specialist pool must be allocated promptly and considered within 30 working days.
- 4.1.5. Applications with outstanding supporting documents are sent back to the applicant on the online ASMS with detailed findings for applicant to effect corrective measures.

4.2. Invoice requests for registered applications

- 4.2.1 In terms of regulation 5(1) (e) of the Type Approval Regulations, 2013, the type approval application fee is nonrefundable and payable in advance. Applications with outstanding application fees are not considered for evaluation and are kept in the Finance Department ASMS pool until payment is confirmed by the Department. The ASMS automatically issues an invoice to the application upon submission of type approval application request.
- 4.2.2 The Finance Department reconciles/verifies the received proof of payments and clear applications for type approval evaluation/consideration.

4.3. Preparation for technical evaluation

- 4.3.1 The Client Type Approval Officer brings to the attention of Type Approval Manager any old applications that are in the general Type Approval Specialist pool for urgent allocation and consideration purposes.
- 4.3.2 The Type Approval Specialist evaluates the sufficiency of the submitted supporting documents and makes recommendation for approval of the type approval application or sends the application back to the applicant to effect corrective actions.

- 4.3.3 The application in the applicant's bin will be in abeyance and should such application be in abeyance for a period exceeding three (3) months, the Manager: Type Approval notifies the Applicant of the intention to close the application.
- 4.3.4 The application is processed no further, except at the discretion of the Manager: Type Approval.
- 4.3.5 The calculation of the turnaround time for processing the application excludes the period of abeyance.

4.4. Standard Type Approval process

- 4.4.1. The Type Approval Specialist considers the technical documents accompanying the application for type approval and evaluates the radio frequency performance, electromagnetic compatibility, and where applicable the electrical safety of the equipment requiring type approval in terms of the national frequency band plan, the Technical Regulations (as defined in the Type Approval Regulations, 2013), and other associated documents.
- 4.4.2. The Type Approval Specialist must verify that the application to be evaluated is accompanied by all the relevant test reports. Further, the specialist needs to ensure that the test reports are valid.
- 4.4.3. When considering test reports, it should be ensured that:
 - i. The test reports are valid, i.e. they were produced by accredited test laboratories that have been accredited by either an international or a national accreditation body.
 - ii. The equipment model stated on the application form is the same as the one stated in the test reports submitted.
 - iii. The tests conducted on the equipment were carried out in accordance with the standards prescribed in the Technical Regulations as defined in the Type

Approval Regulations, 2013. Should the standard used to test the equipment, not be found in the Technical Regulations, the test results should be subjected to an equivalent technical standard from the Technical Regulations. If an equivalent standard cannot be found, the test report is to be presented to the Manager: Type Approval for consideration and recommendation as to whether it should be accepted or not.

4.4.4. The technical evaluation of the equipment is to be done in considering the following parameters:

- i. The RF tests and measurements must be evaluated to ensure compliance with the applicable limits within the applied RF standard.
- ii. Emissions and immunity tests and measurements must be evaluated to ensure compliance with the applicable limits within the applied EMC/EMI standards.
- iii. If applicable, safety tests and measurements must be evaluated to ensure compliance with the applicable limits within the applied Safety standards.
- iv. Confirmation that the requested operating frequencies of the radio equipment are in line with the latest National Frequency Band Plan.

4.4.5. In the event of a successful evaluation outcome, it is recommended that the application be approved.

4.4.6. If the evaluation outcome is not successful, it is recommended that the application be rejected. A letter detailing the reasons for the rejection is prepared and submitted to the Manager of Type Approval for review and signature.

4.5. Simplified Type Approval process

4.5.1. When considering an application for Simplified Type Approval:

- i. It should be verified that the equipment requiring type approval has been previously approved by checking the Type Approval database and ensuring that the model of the equipment is identical to that of the equipment that has already been approved.
- ii. It should be ensured that the country of origin of the equipment is declared.
- iii. A representative sample of the equipment requiring type approval may be requested from the applicant.
- iv. It should be verified that the frequency of operation of the equipment is in line with the latest National Frequency Band Plan.
- v. Identification details such as the International Mobile Station Equipment Identity (IMEI) numbers of the equipment requiring type approval may be requested.
- vi. It should be ensured that the product manual and technical datasheet accompany simplified type approval application.

4.5.2. In the event of a successful evaluation outcome, it is recommended that the application be approved.

4.5.3. If the evaluation outcome is not successful, it is recommended that the application be rejected. A letter detailing the reasons for the rejection must be prepared and submitted to the Manager of Type Approval for review and signature.

4.6. Provisional Approvals

4.6.1. Equipment can be provisionally approved for the period stipulated in the Type Approval Regulations, 2013, provided that it is to be used for the purpose of research, demonstration, trial or testing.

4.6.2. The provisional approval is subject to the provisions of the Type Approval Regulations, 2013.

4.6.3. When considering an application for Provisional Type Approval:

- i. It should be ensured that the country of origin of the equipment is declared.
- ii. A representative sample of the equipment requiring type approval may be requested from the applicant.
- iii. It should be verified that the frequency of operation of the equipment is in line with the latest National Frequency Band Plan.
- iv. Identification details such as the International Mobile Station Equipment Identity (IMEI) numbers of the equipment requiring type approval may be requested.
- v. It should be ensured that the product manual, technical datasheet and proof of payment for the requisite fee accompany the application for provisional type approval.

4.6.4. In the event of a successful evaluation outcome, a provisional permit is drafted and forwarded to the Manager: Type Approval, for consideration and signature.

4.6.5. Where the evaluation outcome is not successful, a rejection letter is drafted by the Specialist and forwarded to the Manager: Type Approval, for consideration and signature.

4.7. Printed ICASA Labels/Authorisations for self-print

4.7.1. Approved equipment is subject to the provisions of the Labelling regulations, 2013.

4.7.2. The Client Type Approval Officer is to receive printed label order(s), compile a list thereof and submit it to the Finance department for invoicing. The list must have the following minimum details:

- i. name of the applicant,
- ii. type approval number,

- iii. contact person,
- iv. company responsible for payment,
- v. quantity and related fees to be invoiced, and
- vi. date of submission to the Finance department.

- 4.7.3. The label order(s) must be accompanied by a copy or copies of the type approval certificate(s) of the relevant equipment.
- 4.7.4. The Client Type Approval Officer must print the ordered labels within three (3) days upon receipt of the proof of payment, and inform the applicant concerned as soon as the labels are ready for collection.
- 4.7.5. The Client Type Approval Officer is to receive requests for self-print and prepare the authorisation letter for Manager: Type Approval's consideration and signature.
- 4.7.6. The Client Type Approval Officer must scan and email a copy of the authorisation letter to the applicant within two (2) days upon signature by Manager: Type Approval.

4.8. Transfer/amendments/re-issue of Type Approval certificates

Transfer of Type Approval certificates

- 4.8.1. A request for the transfer of a type approval certificate from the current certificate holder (transferor) to another Supplier (transferee) must be accompanied by the following:
 - i. A letter of consent from the transferor;
 - ii. Copies of the company registration documents of both the transferor and transferee;
 - iii. Proof of payment of the requisite transfer fee;
 - iv. Original copies of the type approval certificates that are to be transferred;
 - v. An affidavit, in the case whereby the issued original certificates are misplaced or lost.

- 4.8.2. The transferor must relinquish the Type Approval certificates prior to the approval of the transfer thereof, is granted. The records will be updated automatically on the ASMS.

Amendment of Type Approval certificates

- 4.8.3. A certificate of approved equipment can be amended free of charge, provided that the requested changes were necessitated by an unintentionally omission of details, from the original application.
- 4.8.4. In the event that an applicant discovers that information which was expected to appear on an issued certificate has been omitted as a result of the applicant having not stated such information in the original application, the applicant may submit a written request to the Authority to have the information included on the certificate. The request must be accompanied by the following:
- i. copies of the affected certificates,
 - ii. a letter stating the required changes on each certificate,
 - iii. supporting documentation (where applicable), and
 - iv. the proof of payment of the requisite fee.

Re-issue of Type Approval certificates

- 4.8.5. A valid Type Approval certificate may be reissued upon written request by a Type Approval holder or alternatively a representative of the Type Approval holder, however, the representative must furnish the Authority with a proof of consent or authorisation from the Type Approval holder.
- 4.8.6. A proof of payment of the requisite fee must accompany the request.

4.9. Database/ Record maintenance

- 4.9.1. The Type Approval Database is electronically saved on the Automated Spectrum Management System, and it gets updated instantly as activities/entries are made on the system.
- 4.9.2. Electronic files system EDRMS electronic document management system may be used to back up the type approval database.
- 4.9.3. All amendments effected on certificates of approved equipment will be updated instantly on ASMS with the relevant supporting documents justifying such amendments.
- 4.9.4. The database of approved equipment must be extracted from ASMS and published on the ICASA website on a monthly basis reflecting essential information as per Type Approval regulations 2015 and in compliance with the relevant legislative prescripts.
- 4.9.5. The technical parameters on the Type Approval database must be verification and validated by a Type Approval specialist prior to making the database available for access by ICASA's internal and external stakeholders.

5. PROCEDURE PRINCIPLES

5.1 Summary of roles and responsibilities

- 5.1.1. The Type Approval Specialist conducts technical analysis on the type approval applications and makes a recommendation for approval. The Type Approval specialist intervenes where technical assistance is required.
- 5.1.2. The Client Type Approval Officer verifies new applicants on the Automated Spectrum Management System ("ASMS"), Approves the linking of entities to apply on each other's behalf and provides guidance to clients on how to register and apply on the ASMS. The Client Type Approval Officer is responsible for the printing

of type approval stickers, issuing self- printing authorisation letters and facilitated administrative amendments of issued certificates.

- 5.1.3. The Divisional Assistant (s) serves as a link between the Type Approval unit and the customer by providing application status update to the customers, follow-up with Type Approval Specialists regarding old applications not concluded; manages the Type Approval records: databases, physical and electronic files, receive and register type approval Samples. The Divisional Assistant facilitates administrative amendments of issued certificates and assists finance in reconciling received payments.
- 5.1.4. The Manager: Type Approval oversees the implementation of the Type Approval application process.
- 5.1.5. The Senior Manager: Type Approval and Numbering supports approval recommendations made by the Type Approval Manager for the Executive: Licensing and Compliance's final approval signing off.
- 5.1.6. The Executive: Licensing and Compliance authorises the signing of the Type Approval certificates for approved applications.

5.2. Procedure implementation

- 5.2.1. Type Approval staff is responsible for the implementation of the approved procedures in the everyday activities of the unit and are accountable to the Manager: Type Approval.
- 5.2.2. Manager: Type Approval is responsible for the monitoring of the procedures in the everyday activities of the type approval unit and is accountable to the Senior Manager: Type Approval & Numbering.

5.2.3. The Senior Manager: Type Approval & Numbering is responsible for overseeing the type approval unit and is accountable to the Executive: Licensing and Compliance.

5.2.4. The Executive: Licensing and Compliance is responsible for overseeing the licensing division and is accountable to EXCO.

5.3. Communication

5.3.1. The Manager: Type Approval is to ensure that the contents of this procedure manual are communicated to all employees within the Type Approval unit and shall further ensure compliance with the Type Approval procedure Manual.

5.3.2. The communication of the Type Approval procedures will be conducted as follows:

- i. The responsibilities and accountability for the implementation of the end-to-end process relating to Type Approval Procedure Manual rests with the Manager: Type Approval and the Senior Manager: Type Approval & Numbering.
- ii. The staff within Type Approval unit are responsible and accountable for the roles and activities assigned to them in terms of this procedure Manual.

5.4. Reporting and monitoring

5.4.1. The Divisional Assistant is to extract type approval performance statistics monthly for the Manages to publish the list of the type approved equipment and the analysis of type approval unit performance status.

5.4.2. The staff within Type Approval is required to provide information regarding individual monthly performance reporting purposes.

6. COMPLIANCE

6.1. Adherence to procedures

- 6.1.1. It is the responsibility of the relevant delegation to make appropriate provision for establishing controls to ensure adherence to this procedure and its associated procedures.
- 6.1.2. No deviations to this procedure are permitted. Any incident where this procedure has been breached should be monitored and reported to the Authority's Compliance Office.
- 6.1.3. Any disciplinary action taken in terms of non-compliance with this procedure and its associated documents will be in accordance with the disciplinary procedures of the Authority.

6.2. Cross referencing

- 6.2.1. In terms of sections 35 and 36 of the Electronic Communications Act 36 of 2005 (ECA), as amended, ICASA is mandated to prescribe electronic communications facilities to be type approved and the related standards to be adopted. The adoption of standards is subjected to the Standards Act, 29 of 1993.

6.3. Review of procedure

- 6.3.1. The Manager: Type Approval shall initiate a review of this procedure, its processes and associated documents every after 3 years of effective date.

7. Annexure B: Associated documents

The Type Approval Procedure Manual makes reference to the following:

- 1. Type Approval Regulations, 2013, Gazette No. 36785;
- 2. Labelling Regulations, 2013, Gazette No. 36786;

3. Guidelines relating to Type Approval Framework, 36792;
4. Reasons document in respect of the Type Approval Regulations, 2013, Gazette No. 36791;
5. Regulations on Official List of ICASA Regulated Standards for Technical Equipment and electronic Communications Facilities, 2020, Gazette No. 43132;
6. Radio Frequency Spectrum Plan, 2021, Gazette No. 46088.
7. Radio Frequency Spectrum Regulations, 2015, Gazette No. 38641;