**OCGREDEMCD(18)069011r1 approved**

# **Working procedures for coordination on ETSI radio spectrum issues**

TC ERM is the Technical Committee within ETSI responsible for EMC and Radio spectrum Matters.

###### **Responsibility**

* ETSI TC ERM is mandated to co-ordinate ETSI positions by supporting the needs of the entire ETSI membership on radio spectrum matters, in order to ensure the effective and efficient use of the radio spectrum and spectrum allocation/designation.
* ETSI TC ERM acts as the formal ETSI-interface to other organisations (e.g. EC and its committees under the Radio Spectrum Decision or those responsible for European Directives relevant for ETSI (e.g. 1999/5/EC and 2014/53/EU), CEPT/ECC, ITU) relating to radio spectrum matters.
* ETSI TC ERM administers the CEPT ECC / ETSI MoU[[1]](#footnote-1) on behalf of ETSI.

###### **Areas of activity**

* ETSI TC ERM established a close liaison and an interactive process of consultation with CEPT/ECC and all its Working Groups (e.g. CPG, WG FM, WG NaN, WG SE) by the nomination of Liaison Officers (to the CEPT/ECC) to present ETSI views in meetings of these external bodies. In CEPT/ECC WG sub-groups, ETSI may be represented by Reporters for the basis of information gathering and dissemination within ETSI.
* ETSI TC ERM coordinates support to the ETSI DG (or his/her representative) in providing communication to the EC and its committees under the Radio Spectrum Decision or those responsible for European Directives relevant for ETSI (e.g. 1999/5/EC and 2014/53/EU).
* ETSI TC ERM, throughout the standardization process, establishes a close liaison with other ETSI TBs that produce harmonised standards and other deliverables for radio equipment and systems.
* ETSI TC ERM prepares/reviews, in co-operation with concerned ETSI TBs, ETSI deliverables/positions relating to effective and efficient use of the radio spectrum and spectrum allocation/designation. Information on the preparation/review of these deliverables/positions will be exchanged with CEPT/ECC, as agreed by CEPT/ECC-ETSI MoU.
* ETSI TC ERM provides, in co-operation with concerned ETSI TBs and ISGs, assistance in the field of radio spectrum matters, if requested by external bodies (e.g. CEPT/ECC).

# **The CEPT/ECC - ETSI MoU**

In order to ensure efficient execution of the CEPT/ECC - ETSI MoU, the following liaison with CEPT/ECC and ETSI is established:

* ETSI Secretariat representatives act as Observers to (re-)present the ETSI views when attending meetings of CEPT/ECC Plenary as applicable.
* ETSI TC ERM appoints Liaison Officers to (re-)present the ETSI views when attending meetings of CEPT/ECC Working Groups as applicable.
* ETSI TC ERM may also nominate Reporters to gather information about ongoing work in CEPT/ECC WG sub-groups and disseminate it within ETSI.
* When necessary the Observers and Liaison Officers at meetings of the CEPT/ECC and its Working Groups may request assistance from experts from ETSI TBs and ISGs for providing expertise on particular topics.
* CEPT/ECC WG sub-groups (i.e. Project Teams, Forum groups etc.) are open for participation by every ETSI member but they can only represent their own company/organisation and cannot represent ETSI.

**Role of the ETSI Observers to CEPT/ECC**

* Observers are representatives from the ETSI Secretariat to (re-)present ETSI views within CEPT/ECC Plenary.
* Observers shall only (re-)present ETSI views and positions that have been agreed within ETSI TC ERM (by means of approved ETSI documents). In case there is a need to submit draft documents/positions to CEPT/ECC, their status shall be made clear. Observers may also inform the CEPT/ECC of the status of expected ETSI documents.
* Observers shall not present contributions, documents or views on behalf of themselves or other companies/organisations.
* Observers shall, prior to a CEPT/ECC meeting they attend, organise an ETSI internal preparatory meeting via ETSI meeting calendar and make the agenda and document list of the CEPT/ECC Plenary meeting available as contributions to this preparatory meeting. Experts and officials from the originating ETSI TBs and ISGs as well as from the impacted ETSI TBs and ISGs are encouraged to participate these preparatory meetings.
* Observers shall produce reports of the CEPT/ECC Plenary meetings attended and make them available to ETSI TC ERM.

**Role of the Observers to EC and its committees**

See ETSI Directives/Rules of procedures clause 8.3.7, where it says that representation of ETSI within the relevant committees of the European Commission and EFTA concerning advisory or regulatory standardization issues is responsibility of the ETSI DG.

**Role of the ETSI Liaison Officers to CEPT/ECC WGs**

* Liaison Officers are appointed to (re-)present ETSI views within a particular CEPT/ECC Working Group.
* Liaison Officers shall be appointed by ETSI TC ERM for a period of two years, and may be re-appointed.
* Liaison Officers shall only (re-)present ETSI views and positions that have been agreed within ETSI TC ERM (by means of approved ETSI documents) within CEPT/ECC WG meetings. In case there is a need to submit draft documents/positions to CEPT/ECC WGs, their status should be made clear. Liaison Officers may also inform the CEPT/ECC WGs of the status of expected ETSI documents.
* Liaison Officers shall not present contributions, documents or views on behalf of themselves, their company/organisation or other companies/organisations.
* Liaison Officers shall, prior to a CEPT/ECC WG meeting they attend, organise an ETSI internal preparatory meeting via ETSI meeting calendar and make the agenda and document list of the CEPT/ECC WG meeting available as contributions to this preparatory meeting. Experts and officials from the originating ETSI TBs and ISGs as well as from the impacted ETSI TBs and ISGs are encouraged to participate these preparatory meetings.
* Liaison Officers shall produce reports of the CEPT/ECC WG meetings attended and make them available to ETSI TC ERM.

**Role of the ETSI Reporters from CEPT/ECC WG sub-groups**

* Reporters are appointed to participate (on behalf of their own companies/organisations), when necessary, in CEPT/ECC WG sub-groups, such as CEPT/ECC Project Teams. Since Reporters participate on behalf of their own companies/organisations they shall not (re-)present ETSI views in these CEPT/ECC WG sub-groups.
* Reporters shall be appointed by ETSI TC ERM, on an ad-hoc basis, for a maximum period of two years and may be re-appointed.
* Reporters shall only gather relevant information in CEPT/ECC WG sub-group meetings and disseminate it within ETSI (i.e. to ETSI TC ERM and any ETSI TB that have a known interest in that particular area).

# **The ‘System Reference document’ (SRdoc)**

**Definition**: A 'System Reference document' is an ETSI Technical Report created according to the ETSI Technical Working Procedures and based on ETSI Guide EG 201 788 'Guidance for drafting an ETSI System Reference document'. However, the ETSI Technical Working Procedures for Technical Reports do not apply for the approval of a System Reference document.

A 'System Reference document' is produced for a new system, service or application requiring a change of the present frequency designation / utilisation within CEPT/ECC or a change in the present regulatory framework for the proposed band(s) regarding either intended or unwanted emissions.

It should include as a minimum:

* a system description, e.g. the type of service, the traffic evaluation, the market situation and forecast, the spectrum need, etc.
* information on key spectrum requirements such as RF power and spectral characteristics (e.g. mean and peak power, bandwidth, type of modulation, duty cycle), access method, proposed frequency bands, channel arrangements, receiver requirements, antenna pattern, etc.
* information on potential interference to other systems/services within the same or adjacent to the proposed radio spectrum if already available or concerns expressed by other spectrum users.
* the status of the ‘System Reference document’.

**Exchange of information with CEPT/ECC related to a new ‘System Reference document’:**

* + The first time ETSI TC ERM submits a new ‘System Reference document’ to CEPT/ECC, the document shall be submitted solely to CEPT/ECC WG FM.
	+ A template for the Liaison Statement to CEPT/ECC WG FM on ‘System Reference documents’ is available in Annex A or in the ETSI TC ERM docbox.

**‘System Reference document’ (SRdoc) drafting procedure:**

**NO**

**11**

**7**

**3**

Draft SRdoc

**2**

Contact other radio TBs and external bodies

**5**

Collect comments

**7**

**6**

Comments received?

resolution meeting

**9**

Revised document for publication approval

**YES**

**1**

Work item for SRdoc

**4**

Coordination activities

Announce to radio TBs and external bodies

**10**

All comments included?

iincludedincludedincluded?

**YES**

**NO**

1. A new work item proposal for an ETSI Technical Report – ‘System Reference document’ (SRdocNWI) is made available on the ETSI TC ERM docbox for at least 14 days for adoption by ETSI TC ERM (preferably by remote consensus), possibly following the proposal from another ETSI radio TB/WG/TG. The supporting Full and/or Associate ETSI members (including the rapporteur) of the new work item proposal are encouraged to be members of the ETSI radio TB/WG/TG in which the ‘System Reference document’ is developed, to ensure their active contribution to the work.

NOTE 1: When a new work item proposal for a ‘System Reference document’ (SRdocNWI) is coming from an ISG, it can be proposed only by ETSI members of the ISG. ETSI TC ERM will maintain it within its work programme.

NOTE 2: The frequencies related to the ‘System Reference document’ should be recorded in the new work item proposal and included in the ETSI Work Programme (EWP).

NOTE 3: Any new work item proposal for a ‘System Reference document’ should be entered into the ETSI Work Programme of ETSI TC ERM.

**2**. An announcement to all ETSI radio TBs/ISGs and external bodies (i.e. CEPT/ECC, the European Commission, Radio Spectrum Committee and TCAM) is made by the ETSI Secretariat to make them aware of the adopted new work item proposal (SRdocNWI) for a ‘System Reference document’ including a list of the concerned ETSI radio TBs/WGs/TGs and ISGs.

NOTE 1: To inform all ETSI radio TBs/ISGs the E-Mail list can be used, where all ETSI radio TB/ISG officials are subscribed to. The E-Mail list is maintained by the ETSI Secretariat.

NOTE 2: To inform CEPT/ECC (WG FM) a template for a Liaison Statement is available in Annex A or in the ETSI TC ERM docbox.

**3**. A draft ‘System Reference document’ is developed by ETSI TC ERM or possibly by the originating ETSI radio TB/WG/TG.

**4**. During drafting co-ordination activities within ETSI are undertaken by the Work Item Rapporteur by contacting concerned ETSI radio TBs/WGs/TGs (as noted under step 2) in order to identify any issue in relation to the frequency or application and advise the originating ETSI radio TB/WG/TG accordingly.

**5**. The final draft ‘System Reference document’ is made available on the ETSI TC ERM docbox for at least 30 days for internal enquiry (SRdocIE) by remote consensus. An announcement to all ETSI radio TBs/ISGs is made by the ETSI Secretariat to inform them of the start of the internal enquiry.

NOTE 1: Comments should be submitted using either the template for internal enquiry (SRdocIE) e-approval (see Annex B) and/or uploading “Change Request” – type documents.

NOTE 2: In parallel ETSI TC ERM can decide, on an ad-hoc basis, to announce and forward a final draft ’System Reference document’ to external bodies (as noted under step 2) for initial feedback which might help to finalize the document.

NOTE 3: During the ETSI internal enquiry (SRdocIE) only comments related to the subject matter of the ‘System Reference document’ should be submitted.

**6**. The branch for continuing the procedure depends on the kind of comments received during the internal enquiry (SRdocIE).

**7.** Upon receipt of no comments, or editorial comments only, the Work Item rapporteur will incorporate the comments in the ‘System Reference document’ and the ‘System Reference document’ is presented to ETSI TC ERM for approval for publication, point 10.

**8**. Upon receipt of general or technical comments, the Work Item Rapporteur will attempt to resolve the comments by an online or physical resolution meeting under the responsibility of TC ERM. The Work Item Rapporteur within 14 days should inform, especially those ETSI members who submitted comments, about the date of the resolution meeting, which will be announced on the ETSI TC ERM portal. All ETSI members of the interested parties and especially those who submitted comments are encouraged to participate.

9. During the resolution meeting the work item rapporteur will attempt to reach consensus to resolve all the issues in the main part of the ‘System Reference document’. In case of a lack of consensus, the unresolved comments reflecting the divergent opinions on certain parts of the ‘System Reference document’ will be included in clause 4.1. With the approval of the comments that could be addressed in the main part of the document in addition to the insertion of the unresolved oppositions/comments in clause 4.1, the resulting ’System Reference document’ is considered as consolidated document, achieving the best result of consensus between all ETSI members and ready for publication. Therefore, from this point, no opposition should be raised. This is because a comment is either incorporated in the main part of the document or included in clause 4.1, as a result of no consensus to address that comment in the main part of the ‘System Reference document’. The final ’System Reference document’ (that includes all resolved comments and oppositions) as well as the resolution table is then presented to ETSI TC ERM for approval and publication.

**10.** The consolidated ’System Reference document’ (with all resolved comments and oppositions included), together with the resolution table, will be sent to ETSI TC ERM for approval and publication (SRdocPU) for at least 14 days by remote consensus. The document is considered approved for publication if no objections are received. Should any opposition be raised during SRdocPU, TC ERM chairman will consider whether the objections are justified or not. Should TC ERM chairman reject the objections as not justified, this ’System Reference document’ is considered approved for publication. If justified, the TC ERM chairman requests the originating TB/WG/TG officials including the rapporteur to review/revise the ’System Reference document’ based on the objections received and sent it to ETSI TC ERM for a 2nd SRdocPU after consolidation. Oppositions/comments received during SRdocIE, already incorporated in clause 4 or somewhere else in the ’System Reference document’, are to be considered as not justified.

**11**. An announcement to all ETSI radio TBs/ISGs and external bodies (as noted under step 2) is made by the ETSI Secretariat to make them aware of the approved ‘System Reference document’.

**ETSI position on radio spectrum issues**

Whenever necessary ETSI TC ERM will coordinate the ETSI position on radio spectrum issues according to the ETSI Directives and its ToR.

**ETSI Liaison Statement on radio spectrum issues**

A Liaison Statement is a formal vehicle of communication with bodies within and outside of ETSI.

In ETSI any Liaison Statement on radio spectrum issues is the sole responsibility of ETSI TC ERM.

Only Liaison Statements addressing matters not related to radio spectrum issues may be communicated directly by ETSI groups (others than ETSI TC ERM) towards CEPT/ECC WG sub-groups, providing that ETSI TC ERM chairman and Technical Officer are in copy.

When in doubt on whether a topic is spectrum related or not, the chairman of the originating ETSI TB/ISG shall seek guidance from the ETSI TC ERM chairman before proceeding.

The Liaison Statement on radio spectrum issues has the following procedure:

* All draft Liaison Statements for approval by ETSI TC ERM should be uploaded for decision to the ETSI TC ERM docbox by the originating ETSI TB/WG/TG chairman.
* When using remote consensus for approving Liaison Statements the time period for comments and approval should be maximum 30 days.
* ETSI TC ERM may delegate its authority to approve/send a Liaison Statement on a case-by-case basis to another ETSI TB. In such a case, ETSI TC ERM chairman, Technical Officer and ETSI Observers and/or Liaison Officer (as relevant) shall be in copy of the Liaison Statement.

**Annex A – template LSout to CEPT/ECC on SRdocs**

|  |
| --- |
| **Liaison Statement** |
| **Title:** | TR <number of SRdoc> <working title of SRdoc> |
| Date: | dd/mm/yyyy |
|  |  |
| **From** (source): | ETSI TC ERM |
| Contact(s): | Chairman Mr. Holger Butscheidt (holger.butscheidt@bnetza.de) ERMsupport@etsi.org |
|  |  |
| **To:** | CEPT/ECC-WG FM, Chairman [Mr. Vincent Durepaire (vincent.durepaire@anfr.fr)] |
| **Copy to:** | CEPT/ECC-WG SE, Chairman [Mr. Jérôme Andre (jerome.andre@anfr.fr)]ETSI <group responsible for TR>, Chairman <name>ETSI Rapporteur for TR <number of SRdoc>, <name>ETSI Liaison Officer to CEPT/ECC-WG FM, [Mr. Ian Marshall (ian.marshall@CommScope.com)]ETSI Liaison Officer to CEPT/ECC-WG SE, [Dr. Michael Mahler (Michael.Mahler@de.bosch.com)]ETSI contact person for CEPT, [Dr. Michael Sharpe (Michael.Sharp@etsi.org)]ETSI TC ERM Technical Officer, [Mr. Marcello Pagnozzi (marcello.pagnozzi@etsi.org)] |
|  |  |
| Response to:(if applicable) | Reference to previous correspondence - if applicable |
|  |  |
| Attachments: (if applicable) | Attached document reference(s) - if applicable |
|  |

*GUIDANCE NOTE*

*Please check the SRdoc with the checklist given in Annex A.1 of EG 201 788 v2.1.1.*

*END GUIDANCE NOTE*

Dear [Vincent],

This Liaison Statement concerns the following ‘System Reference document’ (SRdoc):

*GUIDANCE NOTE*

*Go to* [*http://webapp.etsi.org/WorkProgram/SimpleSearch/QueryForm.asp*](http://webapp.etsi.org/WorkProgram/SimpleSearch/QueryForm.asp) *or* [*http://webapp.etsi.org/WorkProgram/Expert/QueryForm.asp*](http://webapp.etsi.org/WorkProgram/Expert/QueryForm.asp)*, retrieve the information about the work item, and paste it here. For example,*

|  |  |  |  |
| --- | --- | --- | --- |
|    | IDENTIFICATION  | TITLE (Formal & Working)  | STATUS  |
| **1** | Doc. Nb. [TR 103 108](http://webapp.etsi.org/WorkProgram/Report_WorkItem.asp?WKI_ID=39518&curItemNr=1&totalNrItems=1&optDisplay=10&titleType=all&qSORT=HIGHVERSION&qETSI_ALL=&SearchPage=TRUE&qINCLUDE_SUB_TB=True&qINCLUDE_MOVED_ON=&qSTOP_FLG=N&qKEYWORD_BOOLEAN=OR&qCLUSTER_BOOLEAN=OR&qFREQUENCIES_BOOLEAN=OR&qTITLE=3G+technology&qSTOPPING_OUTDATED=&butExpertSearch=Search&includeNonActiveTB=FALSE&includeSubProjectCode=FALSE&qREPORT_TYPE=SUMMARY) Ver. **0.0.5**Ref. **DTR/ERM-028**Technical Body: [ERM](http://webapp.etsi.org/tbhomepage/TBDetails.asp?TB_ID=286&TB_NAME=ERM)Directives: [Details and Download](http://webapp.etsi.org/WorkProgram/Report_WorkItem.asp?WKI_ID=39518&curItemNr=1&totalNrItems=1&optDisplay=10&titleType=all&qSORT=HIGHVERSION&qETSI_ALL=&SearchPage=TRUE&qINCLUDE_SUB_TB=True&qINCLUDE_MOVED_ON=&qSTOP_FLG=N&qKEYWORD_BOOLEAN=OR&qCLUSTER_BOOLEAN=OR&qFREQUENCIES_BOOLEAN=OR&qTITLE=3G+technology&qSTOPPING_OUTDATED=&butExpertSearch=Search&includeNonActiveTB=FALSE&includeSubProjectCode=FALSE&qREPORT_TYPE=SUMMARY)  | **Electromagnetic compatibility and Radio spectrum Matters (ERM);System Reference document (SRdoc);Broadband Direct-Air-to-Ground Communications System operating in the 5,855 – 5,875 GHz band using 3G technology**SRdoc Broadband Direct Air-to-Ground Communications system employing 3G TDD technology  | **Drafting Stage** Current Status:[Final draft for approval(2013-01-13)](http://webapp.etsi.org/WorkProgram/Report_Schedule.asp?WKI_ID=39518) Next Status:[TB approval (2013-03-20)](http://webapp.etsi.org/WorkProgram/Report_Schedule.asp?WKI_ID=39518)  |

*END GUIDANCE NOTE*

The rightmost column of the above table provides the status of the SRdoc when this Liaison Statement was written. By clicking on the weblinks, the current status and time planning can be viewed.

*GUIDANCE NOTE*

*Delete the following two sentences if clause 4.1 is empty.*

*END GUIDANCE NOTE*

The proposal included in this SRdoc is the best possible consensus achieved between all ETSI members. Divergent opinions are included in clause 4.1.

*GUIDANCE NOTE*

*Delete the following sentence if the document has undergone the ETSI internal enquiry.*

*END GUIDANCE NOTE*

Please be aware that during the further drafting process or during the ETSI internal enquiry coordinated by ETSI TC ERM, changes to the main part or clause 4.1 of the draft SRdoc might still be likely.

The SRdoc is attached.

This LS is sent for:

*GUIDANCE NOTE*

*Delete the row below which is not applicable.*

*END GUIDANCE NOTE*

|  |  |
| --- | --- |
| Information | <add specific information, if desired> |
| Action | <specify action(s)>*GUIDANCE NOTE**The clauses “Expected ETSI actions” and “Requested ECC actions” should* ***not*** *be in the SRdoc itself but in this Liaison Statement in accordance with EG 201 788 v2.1.1. By keeping the management information (e.g. actions, time planning) in a Liaison Statement rather than in the SRdoc, the long term value of the SRdoc increases since the dated information is removed. In addition, actions need to be discussed and agreed with other parties, so it is more appropriate to put them in a Liaison Statement than in a published document.* *END GUIDANCE NOTE* |

*GUIDANCE NOTE*

*Optional text. Please see Annex A of EG 201 788 v2.1.1 where an explanation of version numbering is given. Please delete the text below if it is not applicable.*

*END GUIDANCE NOTE*

{A previous LS on this SRdoc has been sent, with reference <filename>. The main differences between version <insert version number> and the one referred to in the previous LS, version <insert version number>, are: <describe the main differences>.}

*GUIDANCE NOTE*

*Optional text. Delete it if it is not applicable.*

*END GUIDANCE NOTE*

{In response to the questions in your LS with reference <filename>, we would like to provide the following clarifications: <insert answers to questions raised in LS>.}

The next meeting of ETSI <group responsible for TR> is scheduled for <insert date>.

If you have any questions on this material, please do not hesitate to ask.

Best regards,

Holger Butscheidt

Chairman ETSI TC ERM

*GUIDANCE NOTE*

*Delete all guidance notes before submitting this document to TC ERM.*

*END GUIDANCE NOTE*

**Annex B – Template SRdocIE resolution meeting**

**SRdocIE <*Remote Consensus Reference number*>: Comments on Draft ETSI TR <*ETSI number*> v<#>**

***<Deliverable Title>***

*Example:*

***SRdocIE ERM(14)DIS157: Comments on Draft TR 103 245 v1.0.0***

***Electromagnetic compatibility and Radio spectrum Matters (ERM);
System Reference document (SRdoc);
Technical characteristics and spectrum requirements of wideband SRDs with advanced spectrum sharing capability for operation in the UHF 870-876 MHz and 915-921 MHz frequency bands***

Note to the rapporteur: Please identify for each comment whether it has been **Noted**, **Accepted**, **Accepted with Modifications** or **Rejected** and, for non editorial comments, give some short explanation.

| **ETSImember/ TB/ ERMTG** | **Clause/ Subclause** | **Paragraph Figure/ Table** | **Type of comment** (General/ Technical/Editorial) | **COMMENTS** | **Proposed change** | **OBSERVATIONS**on each comment submitted |
| --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |

1. http://webapp.etsi.org/AgreementView/AgreementDetail.asp?AgrID=74 [↑](#footnote-ref-1)