Administrative Process

Version 2.6b
December 2016
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Revision Log – Version 2.6b

The following changes have been made to the document since the publication of Version 2.5a. Some of the numbering and cross references in this version have been updated to reflect changes introduced by the published bulletins. The numbering of existing requirements did not change, unless explicitly stated otherwise.

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1 Introduction

EMVCo, LLC ("EMVCo") is the owner of the EMV Contactless Specifications for Payment Systems – Book D – Communication Protocol Specification, hereinafter called the EMV Specifications.

EMVCo's objective in establishing the Type Approval Process described in this document is to create a limited mechanism for testing Proximity Coupling Devices (PCDs) used in proximity integrated circuit chip card terminals for sufficient conformance with the EMV Specifications for their stated purpose as of the date of such testing, subject to all of the limitations and restrictions of the Type Approval Process set forth herein.

All readers of this document are advised that type approval, when granted by EMVCo, shall not be construed as a warranty or representation of any sort, nor may it be relied upon by any party as an assurance of quality or functionality of any product or service. Please note the legal notice stated above at page ii of this document for important limitations on the scope of type approval.

This document describes the overall contactless terminal level 1 Type Approval Process and the templates and forms to be completed by the participants in the process.

1.1 Audience

The target audience of this document includes:

- PCD Vendors
- Testing laboratories accredited to perform the type approval tests
- Auditors qualified by EMVCo to evaluate testing laboratories for EMVCo accreditation

1.2 Normative references

1.2.1 EMV Specifications

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<th>Publication Name</th>
<th>Version</th>
</tr>
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<tbody>
<tr>
<td>[TB1]</td>
<td>EMV Terminal Type Approval Bulletin 185</td>
<td>First Ed September 2016</td>
</tr>
</tbody>
</table>
1.3 Definitions

The following terms are used in this specification:

<table>
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<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Analogue Test</td>
<td>Set of tests that checks the Radio Frequency of the hardware and software/firmware of the PCD against the EMV Specifications.</td>
</tr>
<tr>
<td>Card Reader</td>
<td>Reader, to be connected to a Terminal, to allow the Terminal to perform a financial transaction, when the Terminal does not embed the implementation(s) needed for its intended use.</td>
</tr>
<tr>
<td>Fully Integrated Terminal</td>
<td>Terminal embedding a PCD, Entry Point and POS System Architecture according to Book A &amp; B, and EMV Kernel(s) according to Book C-1 to C-4.</td>
</tr>
<tr>
<td>Intelligent Card Reader</td>
<td>Card Reader, embedding a PCD, Entry Point and POS System Architecture according to Book A &amp; B and EMV Kernel(s) according to Book C-1 to C-4. Components can be either all in the reader (Single Component ICR) or only part of component can be present (Multiple Component ICR).</td>
</tr>
<tr>
<td>Contactless Product</td>
<td>The final product according to definition of section 4.2.2 for Product Approval. This Contactless Product contains the PCD concerned by the present Level 1 Approval Process.</td>
</tr>
<tr>
<td>Transparent Card Reader</td>
<td>Card Reader, embedding a PCD, but no Entry Point and no EMV Kernel(s).</td>
</tr>
<tr>
<td>Device Test Environment</td>
<td>Part of the Test Environment needed to perform the Type Approval Test, which the Vendor needs to develop and submit to the Test Laboratory at the same time as the Samples.</td>
</tr>
<tr>
<td>Device Under Test (DUT)</td>
<td>Sample within which the PCD submitted for Type Approval is actually tested.</td>
</tr>
<tr>
<td>Digital Test</td>
<td>Defined set of tests that checks the software responsible for the data exchange between PICC and PCD against the EMV Specifications.</td>
</tr>
<tr>
<td>EMV Kernel</td>
<td>Software module that is developed for exclusive support of the EMV contactless debit/credit functions requirements according to EMV Book C-1 to C-4.</td>
</tr>
<tr>
<td>EMV Specifications</td>
<td>Set of documents defining the requirements, which the PCD shall comply with for PCD Type Approval (and listed in the “Normative References” section of the PCD Type Approval Administrative Process document).</td>
</tr>
<tr>
<td>EMVCo</td>
<td>Organization established to maintain the EMV specifications and administer Type Approvals against those specifications.</td>
</tr>
<tr>
<td>Entry Point</td>
<td>Software module according to Book A, that is developed for protocol activation and deactivation as well as for selection of an EMV Kernel.</td>
</tr>
<tr>
<td><strong>Environment</strong></td>
<td>Part(s) of the product constituted of components that are not part of the PCD - as they are not involved in PCD functionality - but interface with the PCD (for example used by, connected to,..) or have a direct impact on the behavior of the PCD.</td>
</tr>
<tr>
<td>-----------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Implementation Conformance Statement (ICS)</strong></td>
<td>Form completed by the Vendor identifying the PCD implementation and to be submitted to the Test Laboratory along with the Samples.</td>
</tr>
<tr>
<td><strong>Landing Plane</strong></td>
<td>The identified area where a cardholder must ‘tap’ their contactless card or device to achieve a successful read.</td>
</tr>
<tr>
<td><strong>Loop-Back Application</strong></td>
<td>Test application that the vendor needs to develop and implement in the Device Test Environment.</td>
</tr>
<tr>
<td><strong>Major Modification</strong></td>
<td>Technical change to a characteristic of the PCD – or of the product embedding it – which can potentially change its Conformance.</td>
</tr>
<tr>
<td><strong>Minor Modification</strong></td>
<td>Technical change to a characteristic of the PCD – or of the product embedding it – which cannot potentially change its Conformance.</td>
</tr>
<tr>
<td><strong>Operating System (OS)</strong></td>
<td>Set of software components allowing the PCD software/firmware</td>
</tr>
<tr>
<td><strong>Operating Volume</strong></td>
<td>3-dimensional space in which the PCD can communicate with a PICC by means of a magnetic field.</td>
</tr>
<tr>
<td><strong>PCD Letter of Approval (LoA)</strong></td>
<td>Written statement that documents the decision of EMVCo that a specified PCD implemented within a specified Contactless Product has demonstrated sufficient conformance to the EMV Specifications on the date of testing.</td>
</tr>
<tr>
<td><strong>PCD Type Approval</strong></td>
<td>Acknowledgment by EMVCo that a specified PCD within a specified Contactless Product has demonstrated sufficient conformance to the EMV Specification.</td>
</tr>
<tr>
<td><strong>PCD Type Approval Documentation</strong></td>
<td>Set of documents and procedures issued by EMVCo to enable the PCD Type Approval Process.</td>
</tr>
<tr>
<td><strong>PCD Type Approval Process</strong></td>
<td>Steps necessary to for a PCD to obtain an EMVCo Letter Of Approval.</td>
</tr>
<tr>
<td><strong>PCD Under Test</strong></td>
<td>PCD embedded in the Sample that is actually tested during Type Approval Test.</td>
</tr>
<tr>
<td><strong>PCD Vendor</strong></td>
<td>Entity that submits the PCD for PCD Type Approval.</td>
</tr>
<tr>
<td><strong>Pre-validation Test</strong></td>
<td>Defined set of tests that checks whether a transaction takes place when a series of PICCs are presented in a series of parameterized positions at the PCD Under Test.</td>
</tr>
<tr>
<td><strong>Pre-validation Test Application</strong></td>
<td>Test application that the vendor needs to develop and to implement in the Device Test Environment.</td>
</tr>
<tr>
<td><strong>Proximity Coupling Device (PCD)</strong></td>
<td>Peripheral device of the terminal, that uses inductive coupling to provide power to the PICC and also to control the data exchange with the PICC, up to the transport layer (included), as specified in the EMV Specifications.</td>
</tr>
</tbody>
</table>
1.4 Notational conventions

1.4.1 Abbreviations

The abbreviations listed in Table 1 are used in this specification.

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>ICS</td>
<td>Implementation Conformance Statement</td>
</tr>
<tr>
<td>DUT</td>
<td>Device Under Test</td>
</tr>
</tbody>
</table>
1.4.2 Terminology & conventions

The following words are used often in this specification and have a specific meaning:

**Shall**
- Defines a product or system capability which is mandatory.

**May**
- Defines a product or system capability which is optional or a statement which is informative only and is out of scope for this specification.

**Should**
- Defines a product or system capability which is recommended.

The following conventions apply:

**Requirement Numbering**
- Requirements in this specification are uniquely numbered with the number appearing next to each requirement: For example:
  
  5.4.2.1 Example The PCD shall verify the BCC included in the UID CLn.
  The PCD shall consider an incorrect BCC as a transmission error.

A requirement may have different numbers in different versions of the specifications. Hence, all references to a requirement should include the version of the specification as well as the requirement’s number.

Requirements may include informative statements. In this case the statement is written in the italic font and the verb ‘may’ instead of ‘shall’ is used.

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>LoA</td>
<td>Letter of Approval</td>
</tr>
<tr>
<td>OS</td>
<td>Operating System</td>
</tr>
<tr>
<td>PCD</td>
<td>Proximity Coupling Devices</td>
</tr>
</tbody>
</table>
2 PCD Type Approval Overview

The following sections identify the scope of PCD Type Approval, the PCD Type Approval Procedure as well as Roles and Responsibilities.

2.1 Scope of PCD Type Approval

EMVCo PCD Type Approval establishes an increased level of confidence that PCD Vendors have understood and can successfully implement the EMV Specifications. The component(s) supporting the functionality required by the EMV Specifications (as defined in the scope section 1) is called the Proximity Coupling Device (PCD). The PCD Vendor is required to identify the PCD and assign it a unique label according to the PCD Vendor's naming conventions.

**Note:** Contactless Product architecture, identification and version control (naming) is outside the scope of the EMV Specifications.

PCD Vendors submit their card acceptance device (Terminal or Card Reader with embedded PCD) with the necessary Device Test Environment and appropriate documentation, including the Implementation Conformance Statement (ICS), to an EMVCo accredited laboratory for testing. The laboratory executes a set of EMVCo defined Test Cases and prepares a test result document for the PCD Vendors that may then be submitted to EMVCo for evaluation. EMVCo’s evaluation of the test results concludes with the issuance of Letter of Approval or decline notification.

Approval, when granted, applies to the vendor–supplied EMV PCD identification.

- Major changes or additions to the PCD create a new unapproved PCD that requires retesting and approval before EMV compliance can be claimed.

- Common industry practice requires PCD vendors to accommodate local acquirer requirements in their card acceptance devices. These acquirer requirements are outside of scope for EMVCo type approval. EMVCo limits type approval to the EMV PCD as tested in the submitted card acceptance device, leaving the responsibility to the appropriate local acquiring entity (also referred to as the owner of the environment of use) to validate continued compliance with the EMV Specifications functionality in the integrated acquiring environment.

Obtaining an EMV PCD approval from EMVCo has the advantage that:

- Acquirers have access to terminal implementations in respect of which compliance to the EMV Specifications has already been tested – yielding a likely reduction in testing costs as well as improved time to market for final implementations.

- PCD vendors can sell standard terminal implementation devices on a worldwide basis and differentiate themselves from the competition.
2.2 PCD Type Approval Life Cycle Concept

The following sections identify the PCD Type Approval life cycle which is a logical concept regarding the design and key approval milestones of a PCD.

2.2.1 PCD Life Cycle and Type Approval Milestones

Type Approval shall be done on a Sample that is representative of future production. Therefore, the Type Approval milestone shall occur at a particular moment in the PCD Life cycle.

![Figure 2.1: Life cycle of a PCD](image)

2.2.1.1 Design Phase

The PCD is developed by an entity directly related to the PCD or terminal provider and/or the manufacturer of the PCD(s). Most importantly, PCD design and development must be in accordance with the EMV Specifications, as well as any other applicable specifications (e.g. government standards).

2.2.1.2 Debugging Phase

The PCD design is checked and tested against all related specifications. EMVCo recommends that conformance testing against the EMV Specifications is conducted on the representative Sample before proceeding to type approval, preferably with tools equivalent to those used for type approval tests.

Before starting production, implementations of the PCD type must be submitted for type approval tests to demonstrate conformance with the required specifications. The PCD Vendor must identify which options its PCD design has incorporated from the EMV Specifications and gather the information to be submitted in the PCD Type Approval Process.
2.2.1.3 PCD Type Approval Phase

EMVCo assesses conformance of the PCD design against the EMV Specifications. To determine conformance, identified implementations of the PCD type must undergo predefined tests in a specified test environment (Test Laboratory).

The Samples submitted to Test Laboratory must be representative of final product.

After the PCD Letter of Approval has been granted, it is valid as long as the following applies:

- The design and implementation of the PCD within the Contactless Product embedding it is the same in production as it was within the Samples, which was tested and approved.
- The approval is not revoked by EMVCo.
- The renewal date is not past.
- No non-conformance is found at the Contactless Product testing which impacts the PCD conformance.

Any change in the Contactless Product design or any re-use of the PCD in another Contactless Product, as specified in the section titled “PCD change management” of this document, may also impact the PCD compliance. PCD approval in this new or modified product is not presumed.

2.2.1.4 PCD approval renewal Phase

Prior to the renewal date, vendors may request a renewal by submitting the originally approved product to EMVCo for renewal testing. The purpose of this renewal testing is to assure that these products pass the most current EMVCo testing. By passing the renewal test, the product will receive an extension to the Letter of Approval.

After the renewal date, products not passing renewal testing will be removed from the approved products list, and their Letters of Approval will be considered revoked.

Should there be a case where a product reaches its renewal date without any applicable test plan updates, such products will be issued an extension to their Letter of Approval.

2.2.1.5 End of Design Life

The end of the design life of an approved PCD type is reached when production of that type is finally stopped.
2.3 EMVCo Contactless Approach

EMVCo contactless type approval ascertains the level of confidence that Product Providers have correctly implemented the EMV Contactless Specifications. Product Providers submit their Product with the software and appropriate documentation, including the Implementation Conformance Statement (ICS), to an EMVCo accredited Laboratory for testing. The Laboratory executes a set of EMVCo-defined test cases and prepares a test report document for the Product Provider that may then be submitted to EMVCo for evaluation. EMVCo's evaluation of the test report concludes with the issuance of a Letter of approval or decline notification.

Obtaining an EMV Product approval from EMVCo has the following advantages:

• Acquirers have access to terminal implementations for which compliance to the EMV Contactless Specifications has already been tested, yielding a likely reduction in testing costs as well as improved time to market for final implementations.

• Product Providers can sell the approved EMVCo compliant product on a worldwide basis and differentiate themselves from the competition.

Note: The integration of an OEM product into a final Product may impact its analogue performances. As a result, EMVCo does not approve OEM products, each final implementation of an OEM product shall be separately submitted to EMVCo Type Approval.

2.4 EMVCo Contactless Terminal Type Approvals Description

2.4.1 Contactless Product Definition

This section defines the Contactless Product definitions that that vendor can implemented, based on the POS System defined in Book A.

A POS System is the device that communicates with contactless cards, processes contactless transactions, and may support other payment functionalities such as magnetic stripe or contact chip transactions. The basic functions of the POS System include:

• communication with contactless cards.
• application selection and kernel activation.
• displaying messages to the cardholder.
• displaying messages to the merchant.
• accepting merchant data entry of the transaction amount.
• cardholder verification (e.g. signature).
• provision of online connections.
• provision of data capture for clearing and settlement.
• Additionally Entry Point and Kernels C-1 to C-4 shall be located in the POS System.
The physical architecture of the POS System can be any of the following, according to Book A definition:

- **Fully integrated terminal 'FIT'**: All elements included in a single device.
- **Intelligent card reader 'ICR'**: The reader handles most of the contactless transaction processing, passing the results for completion by the terminal.
- **Combination of terminal and transparent card reader**: The reader provides communication with the card, while kernels and other processes are in the terminal.

1/ **Fully Integrated Terminal (FIT)**: All elements of POS System included in a single device.

![Figure 2.2: Fully Integrated Terminal](image)

The FIT includes:

- Level 1 Contactless PCD according to Book D.
- Entry Point and POS System Architecture according to Book A and B.
- EMV Kernels according to Book C-1 to C-4 including:
  - Kernel transactions flow,
    - Kernel functions
    - EMV data management,
    - Cryptography,
    - ...
  - Consumer & merchant interface(s).
- If present, the contact and mag stripe part of the FIT:
  - IFM (L1),
  - EMV contact Kernel (L2),
- Acquiring Network interface.
2/ Intelligent Card Reader (ICR), the reader handles most of the contactless transaction processing, transmitting the results for completion to the terminal, where two implementations are possible:

2.1/ Single Component ICR (S-ICR), where all EMV components (EMV requirements defined in Book A, B, C and D) are in the reader.

The ICR includes:

- Level 1 Contactless PCD according to Book D.
- Entry Point and POS System Architecture according to Book A and B.
- EMV Kernels according to Book C-1 to C-4 including:
  - Kernel transactions flow,
- Kernel functions
- EMV data management,
- Cryptography,
- ....

- If present, the contact part of the ICR:
  - IFM (L1),
  - EMV contact Kernel (L2),

2.2/ Multi Component ICR (M-ICR): In this second case, The M-ICR contains most of the EMV components (EMV requirements defined in Book A, B, C and D) are in the reader.

**Figure 2.5: Multiple Component ICR (example 1)**
The ICR include:

- A valid Level 1 Contactless PCD with an EMVCo Letter of Approval according to Book D.
- Part of Entry Point and POS System Architecture according to Book A and B
- Part of EMV Kernels according to Book C-1 to C-4
- If present, the contact part of the ICR:
  - IFM (L1)
  - EMV Contact Kernel (L2)

3/ Combination of terminal and transparent card reader: The reader provides communication with the card, while kernels and other processes are in the terminal:
Figure 2.7: Transparent Reader Combination (example 1)

Note: In case the reader contain the PCD L1 Hardware and analog, and if the PCD L1 Digital software is not present in the reader but in the terminal, then the Product is considered as a Fully Integrated Terminal (FIT).
2.4.2 EMVCo Contactless Product Type Approval Processes Overview

The present document focuses on the PCD Level 1 type Approval only. This section is for information on the overall Contactless Product Type Approval. EMVCo Contactless Product Type Approval is a process that tests a Contactless Product for compliance with the full set of EMV specifications (Book A, B, C & D). This section and figure 2.9 overview the EMVCo Contactless Product Type Approval Processes.

Figure 2.9: Process overview
2.4.2.1 General: Registration and Contract

Vendor registration and contract(s) are required to start Type Approval. Registration Number and contract(s) document will be sent by EMVCo Type Approval Secretariat upon receiving the registration request form. The registration is valid for all EMVCo Type Approval processes.

2.4.2.2 PCD Type Approval

PCD testing is designed to test the acceptance functionality, Analogue and digital interfaces of the PCD.

1. Pre-Validation Test (PCD): to check the acceptance of a series of PICC presented at a parameterized positions. Optionally performed before Analogue Test.

2. Analogue Test: to check the Radio Frequency of hardware and firmware

3. Digital Test: to check data exchange between PICC and PCD

The PCD Letter Of Approval (PCD LOA) is provisional. Indeed today, some PCD requirements can only be tested once EMV Kernel(s) are present. Therefore, EMVCo retains the right to revoke a PCD LOA if problems relating to the PCD are found during Contactless Product Approval.

Further information for PCD Type Approval will be described in the following sections of this document.

2.4.2.3 IFM Contact Type Approval

In case that the Contactless Product contains a contact IFM, the IFM shall follow the Contact L1 Type Approval as detailed in the EMVCo Type Approval – Terminal Level 1 Administrative Process document, latest version.

2.4.2.4 L2 kernel Contact Approval

In case that the Contactless Product contains a contact Level 2 kernel, the kernel shall follow the L2 Contact Type Approval as detailed in the EMVCo Type Approval – Terminal Level 2 Administrative Process document, latest version.

2.4.2.5 Contactless Product Approval

The overall Contactless Product Approval is detailed in the EMVCo Type Approval – Contactless Product Administrative Process document, latest version.
2.5 ICS Submission rules

2.5.1 ICS Submission

- The initial ICS submission to the EMVCo is free of charge.
- The ICS submitted must be the ICS in pdf format, capable of importing/exporting XML format and shall be digitally signed by the Product Provider and the Laboratory at the time of submission to EMVCo.
- The Laboratory supplies the signed copy of the vendor-supplied ICS to EMVCo for review prior to the start of the type approval testing process.
- EMVCo will review and approve the ICS by returning the ICS in pdf digitally signed and with the official ICS number.
- In case the ICS is incorrectly filled, decline fee applies to Laboratory.

2.5.2 ICS replacement

- One free ICS replacement is allowed during the ICS life cycle. Any subsequent ICS replacement requested will be charged to the Product Provider.
- Same submission process applies as for initial ICS submission (Laboratory submits the changed ICS).
- This applies to any change in the ICS after the official approval of the ICS by EMVCo.
- After the start of the test session of the Product, ICS replacements (following the rules of the previous bullet) are only allowed for administrative information update (such as name of product) but not are not allowed for technical information update.
- Laboratory shall ensure that any ICS change requested is not made to hide a bug in the product (such as deactivation a function because this function is not working properly).
- ICS replacement is no more allowed after Test Report submission to EMVCo.

Note: ICS decline process remains and any error reported by EMVCo will be charged to the Laboratory (as Laboratory is responsible of reviewing the ICS provided by the Product Provider). ICS decline process applies to the initial ICS submission and also to any other ICS replacement (charged or not charged to the Product Provider).
2.6 EMVCo type approval fee structure

The following fee structure is applicable:

- Initial Submission
- ICS Replacement (starting at 2\textsuperscript{nd} Replacement)
- Renewal
- Declined ICS/Report (Laboratory fee)
- LoA reissuance

\textbf{Note}: The amount of each fees are published in Terminal Type approval Bulletin 185.
3 Roles and responsibilities

The following sections define the roles and responsibilities for the various participants in the Type Approval Process.

3.1 EMVCo

EMVCo defines Type Approval requirements and evaluates operational results. EMVCo provides the following services:

- Defines mandatory auditor accreditation requirements
- Accredits organizations that perform audits to establish Test Laboratory accreditation
- Defines mandatory Test Laboratory accreditation requirements
- Sets Test Laboratory audit time frame
- Manages Test Laboratory appeals process and resolves accreditation disputes based on the statement of L1 contract
- Determines the applicability of the EMV Specification and associated test requirements
- Evaluates PCD type approval summary results to determine if approval requests should be granted or not
- Notifies appropriate EMVCo working group of warranted specification corrections, clarifications, and enhancements that result from the conditional approval process
- Evaluates terminal and card failure complaints to determine if type approval revocation is appropriate
- Maintain and publishes (via EMVCo web-site) a list of PCD that have received EMVCo type approval notification.
- EMVCo Terminal Type Approval Secretariat
3.2 EMVCo CATA Secretariat

The EMVCo CATA secretariat is responsible for communicating type approval status to third parties and for the administration and maintenance of a database that provides the following:

- Qualified auditor list
- Accredited testing laboratory list
- Type approval test requirements
- Issue PCD approval letters
- Approved PCD list

3.3 Test Laboratory

The Test Laboratory is an entity accredited by EMVCo to conduct testing of PCD(s) in accordance with the type approval test requirements and Test Cases.

3.4 Auditor Team

The auditor team comprises the person(s) in charge of conducting audits on behalf of EMVCo.

3.5 PCD Vendor

The PCD Vendor is the entity responsible for submitting Contactless Product embedding PCD for type approval in compliance with PCD Type Approval procedures.
# PCD Type Approval Procedure

This section describes the PCD Type Approval procedure to be followed by PCD Vendors, laboratories, and EMVCo.

Figure below shows the diagram of PCD Type Approval procedure.

![Figure 4.1: PCD Type approval Procedure](image-url)
4.1 Registration

4.1.1 EMVCo Registration

Registration provides the vendor with entry into the approval process for when the vendor wants to submit their final Test Report to EMVCo for approval. This registration is valid for all other EMVCo Type Approval Processes including Contactless Product Approval, Contact Level 1 Type Approval and Contact Level 2 Type Approval.

The PCD Vendor must complete a registration form and submit to EMVCo Secretariat. EMVCo Secretariat will send a Registration Number to the vendor upon receiving the request form. Please visit EMVCo website to download the documents you need.

4.1.2 EMVCo Contract

The PCD Vendor must complete and sign the EMVCo defined contract. The contract has to be signed with EMVCo prior to submission of product test report. PCD Vendor must submit the contract, if not already signed. This contract stipulates, amongst other provisions, the PCD Vendor’s acceptance of all specifications, procedures, terms and conditions governing EMVCo PCD Type Approval.

The contract is standard for all PCD Vendors to help ensure consistent requirements for all participants. Contract customization for individual PCD Vendors is not acceptable.

Please visit EMVCo website to download the documents you need.
4.2 PCD Type Approval Test

The following operations shall be performed by the PCD provider and by the testing laboratory in the type approval procedure:

- The PCD provider is free to select any EMVCo accredited laboratory for the purpose of achieving EMVCo type approval. The vendor and test laboratory shall execute a contract defining appropriate rights and obligations. At a minimum, the contract shall contain the requirements listed in the following section.

- PCD provider sends an Implementation Conformance Statement (ICS) to the chosen laboratory for each implementation under test (IUT) that it submits. The ICS format and content requirements are determined by EMVCo. The ICS submitted must be the ICS in pdf format, and shall be digitally signed by the PCD Provider at the time of submission to EMVCo.

- The laboratory supplies a copy of the vendor-supplied ICS to EMVCo for review prior to the start of the type approval testing process, digitally signed by the Application Vendor and by the Laboratory:
  - As result EMVCo provide an unique ICS Reference Number

PCD provider and the test laboratory must discuss IFM software requirements in order for the test laboratory to execute the EMVCo type approval test.

- The testing laboratory shall test the terminal in accordance with EMVCo test procedures.

- Testing shall be performed in Laboratory premises with the complete solution samples located in these premises.

- The PCD provider prepares the Request For Approval form and submits it to EMVCo. EMVCo can then issue the invoice for the IFM provider. RFA can be send only after the ICS has been approved by EMVCo.

- PCD provider submits payment to EMVCo based on the received invoice.

- The testing laboratory shall send the final test report to the PCD provider for approval before official submission to EMVCo.

- When agreed by the PCD Provider, the laboratory shall submit the Test Report to EMVCo, and ensures PCD Provider has already submitted his completed Request For Approval form.

**Note:** An Approved ICS is valid 6 month. If the related request for Approval is not submitted and the invoice is not paid within that period, all related documents to this approval request are no more valid (ICS, RFA, report) and a new process shall be restarted. Note that in this case the invoice is not be reimbursed.

**Note:** If the test session has not started yet and the ICS already been approved, when a new EMVCo release of the ICS is published, then the ICS shall be resubmitted with new latest ICS version before laboratory can submit the report.
4.2.1 PCD Vendor / Laboratory contract

The PCD Vendor selects and contacts an EMVCo-accredited Test Laboratory. The PCD Vendor is free to select any EMVCo-accredited laboratory for the purpose of achieving EMVCo PCD Type Approval. A list of accredited laboratories is published on the EMVCo website.

Once a laboratory is selected, the PCD Vendor and Test Laboratory shall execute a contract defining individual rights and obligations of the contracting parties.

The provisions of PCD Vendor/laboratory contract are up to the contracting entities and entirely out of scope of EMVCo. Any fees payable to the laboratory in respect of the tests to be conducted are solely at the discretion of the laboratory.

**Note:** Topics likely to be included in the contract between Test Laboratories and Vendors are mentioned below for information purposes only.

- Any laboratory requirements needed for testing including any software application required interfacing with the laboratory test equipment. Within the EMVCo documents this is referred to as an Upper Tester.
- Reference to the contract between the PCD Vendor and EMVCo
- Agreement of mutual cooperation in providing needed information and assistance
- Lead time for the execution of the type approval tests
- The number of Samples for testing (minimum three)
- Arrangement for the preparation and delivery of Samples
- Right to keep all Samples for the duration of the test procedure
- Recognition that no infringement on the independence or impartiality of the Test Laboratory will be allowed during or after testing
- Agreement on the boundaries of use of the test report
- Provisions for conflict resolution
- Maintaining the Samples at the laboratory during EMVCo evaluation of test results.
- Maintaining the Samples while the PCD is EMV approved.

4.2.2 Samples and ICS submission

The PCD Vendor shall send to the chosen Test Laboratory:

- a signed Implementation Conformance Statement (ICS) for the PCD type that it submits.
- The ICS format and content requirements are determined by EMVCo. The latest ICS template at the time of testing must be used. Please visit EMVCo website to download the documents you need.
- the agreed number of Samples as defined by the Test Laboratory (minimum three.)
- Samples presented must:
  - have contactless symbol at the center of the landing plane as specified in the specifications.
4.2.3 Pre-Validation Test and Vendor Decision

The Test Laboratory optionally performs Pre-validation Test on the Samples in accordance with EMVCo procedures. Pre-validation Test uses card samples approved by payment system to check the PCD acceptance at various positions.

If the Pre-validation Test is successful, the Test Laboratory continues with the next step. If the result of this testing is not successful, the PCD Vendor is informed by the Test Laboratory before Analogue Test starts. The PCD Vendor then decides either not to start formal testing and stop the PCD Type Approval Process or continue with formal testing at PCD Vendor’s risk.

4.2.4 Analogue and Digital Tests

The Test Laboratory performs the following tests on the Samples in accordance with EMVCo procedures. These tests respectively confirm the compliance of the electrical characteristics of the power and data exchange between PICC and PCD and the compliance of the digital data exchange between PICC and PCD:
4.2.4.1 Analogue Test

Related document “Contactless Terminal Level 1 — PCD Analogue Test Bench and Test Cases Requirements” details the tests that a laboratory must perform based on EMV-established requirements (intended for all participants in the PCD Type Approval Process).

4.2.4.2 Digital Test

Related document “Contactless Terminal Level 1 — PCD Digital Tests” details the tests that a laboratory must perform based on EMV-established requirements (intended for all participants in the PCD Type Approval Process).

4.2.5 Type Approval Test Report

The Test Laboratory provides the PCD Vendor (owner of the test results) with a signed Test Report in a non-modifiable and electronically signed format.

The Test Report, called Test Report for PCD Type Approval includes, at a minimum, the following items:

- The unique identification of the Test Report
- Test Laboratory information
- Tested Product Information
  - Implementation Conformance Statement Reference Number
  - Identification of PCD Vendor
  - Identification of the Samples
  - Identification of any other vendor equipment or components (e.g. terminal model) submitted to allow testing
  - Picture of the Sample under test taken by the laboratory
- Test method information
  - EMVCo specification/each Test Case version used for all tests
  - Identification of all laboratory testing equipment and software versions used during the tests
  - Description of the laboratory environmental conditions during testing
- Test results information
  - Dates when test were performed
  - The results of Pre-validation Test (Optional)
  - The results of Analogue Test
  - The results of Digital Test
  - A summary test report for each test including:
    - Test Case numbers that were executed with a pass or fail indication
    - A detailed description from the Test Laboratory of failed tests including logs of the test results for each reported discrepancy in the failed test.
✓ A detailed description of any exceptional test(s) performed, equipment utilized and a description of related test results

✓ A detailed description of the PCD modifications that may be required for the purpose of executing the EMVCo Test Cases

The signed Implementation Conformance Statement for PCD submitted to the laboratory prior to starting the official PCD Type Approval Process

**Note:** The laboratory should maintain all test result logs for all Test Cases and make those available for EMVCo review as requested.
4.3 PCD Provider Preparation for Approval Request

4.3.1 PCD Vendor decision on submission to EMVCo for review

The PCD Vendor determines whether test results resulting from laboratory testing will be submitted to EMVCo for evaluation.

- Submitting test results to EMVCo for evaluation indicates vendor acceptance that the test results are a true representation of PCD performance. Test results may be submitted to EMVCo for evaluation up to 90 days from the date the PCD was tested. Test results that exceed the 90 day validity period have expired and cannot be submitted. PCD re-testing is required to create a current test report if the validity period is exceeded and EMVCo evaluation is desired.

- The vendor must ensure that the Samples associated with test results submitted to EMVCo for evaluation remain unaltered and accessible in a timely manner during the evaluation process. It is required that the Samples remain in the possession of the laboratory when test results are submitted to EMVCo until EMVCo has approved or declined the request for approval.

The PCD Vendor must ensure that Test Report is ready to be submitted to EMVCo.

4.3.2 Submission to Review

To complete the request for approval previously sent, (see 5.2.3.2), the laboratory shall submit to EMVCo an original signed copy or electronic copy digitally signed of the Test Report.

Note 1: Vendor must give consent for the laboratory to submit the Test Report to EMVCo directly.

Note 2: This step can be done at the same time as or after the EMVCo fee payment. However Vendor shall be aware that EMVCo review will only start once the fee paid.

The request for review is considered completed once EMVCo has received:

- The Request For Approval form filled-in, including the official name of the PCD Vendor requesting the approval as well as their registration number.

- The complete Test Report received from the Test Laboratory, including the signed copy of the Implementation Conformance Statement (ICS), as submitted by the PCD Vendor to the Test Laboratory.
4.4 PCD Provider Dossier

The dossier submitted to EMVCo will comprise:

- A signed copy of the Implementation Conformance Statement (ICS), received from the testing laboratory
- Letter requesting approval (Request For Approval form) received from PCD Provider
- PCD provider payment
- The complete and unchanged Test Report received from the testing laboratory
- Any additional supporting documentation the vendor believes is appropriate
4.5 EMVCo Review and Approval

Upon receiving the dossier and internal validation of the fee payment, EMVCo will review the submitted test report and determine if type approval should be granted. The PCD Letter of Approval is provisional until Product Approval is granted, meaning Level 1 approval stands by itself, but can be revoked based upon a Level 2 product test.

Depending on the decision, EMVCo will:

• Issue PCD Letter of Approval, if appropriate (Letter of Approval will only be issued electronically and sent by email)
• Provide notification of PCD Type Approval

PCD LoA identifies:

• the approved PCD name and its two sub-sets:
  o PCD hardware name,
  o PCD firmware/software name,
• the Contactless Product name in which it was tested,
• the EMV Specifications version against which it was tested,
• the renewal date,

Limitations of the current LoA, e.g.: If the PCD performs a RESET before or after a proprietary polling command of the PCD, the LoA will contain the sentence “EMVCo cannot guarantee interoperability because this PCD provides additional proprietary functionality and features such as polling for other technologies, that are beyond the scope of EMVCo”

**Note:** As described earlier, non-conformance of EMV Specifications requirement may be found during Contactless Product testing. In that case, EMVCo will decide whether the PCD LoA has to be removed from the approved PCDs list posted on EMVCo website. PCD Vendor may need to come back to PCD Type Approval.
4.6 Type Approval Renewal Process

The renewal date for the PCD is 4 years from the date EMVCo issued the Letter of Approval. After the renewal date, products not passing renewal testing or not applied to renewal testing will be removed from the approved PCDs list and their Letter of Approval will be considered revoked.

Prior to the renewal date, PCD providers may request a renewal by submitting the originally approved product to EMVCo for renewal.

Two situations may occur:

the test plan is unchanged since previous approval: the renewal date will be extended automatically for another 4 years.

the test plan has been updated: within the 6 months before the renewal date, PCD providers may submit the original sample to a Test Laboratory for Renewal Test. Renewal testing is needed to ensure these products pass the most current EMVCo testing. By passing the renewal test, the product will then receive an extension to the Letter of Approval. If the test plan is not updated, the renewal date will be extended automatically for another 4 years.
5 Test Version and Specification Change

The following sections identify the process managing PCD Type Approval Test changes due to EMV Specifications or Test Cases change.

5.1 Test Changes without EMV Specifications change

EMVCo reserves the right to change Type Approval Test at any time in order to increase the accuracy and integrity of the tests versus the EMV Specifications, or for any other reasons.

![Figure 5.1: Example of the timing for test changes](image)

EMVCo will inform all participants of the new tests and fix the date(s) for activation of the new tests and deactivation of the old. Notice may be given by posting to the EMVCo website. EMVCo may determine a time period during which either the old or new test version may be used in the Type Approval Process.
5.2 Test Changes Due to EMV Specifications change

After a change in the EMV Specification, EMVCo will decide:

- If and when the type approval tests must be changed to accommodate the new specifications
- When to introduce the new type approval test version
- When to stop testing with the previous type approval test version

EMVCo will inform all participants of the new tests and the date(s) of the activation of the new test version and deactivation of the old test version. Notice may be given by posting to the EMVCo website.

Erreur ! Nous n’avons pas trouvé la source du renvoi. identifies the impact of specification changes on the Type Approval Process.

Figure 5.2: Timeline for test changes following changes in EMV Specification

Beyond this date only terminals compliant to the Reference Specification Vn+1 will be supported by EMVCo.

New version of Reference Specification released

No Type Approval and compliance tests to the Ref. Spec Vn beyond this date

Start running Type Approval and compliance tests to the new Reference Specification

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6 PCD Change Management

During the PCD life cycle, Vendor may need to make changes to the tested product, including:

- engineering changes to the approved PCD
- engineering changes to the product in which the PCD has been tested and approved,
- re-use of the approved PCD in another product than the one in which it has been tested and approved.

A PCD is a combination of hardware and software components, each of them having determined functionalities and specific characteristics. The way those components are organized, their interactions, and the resulting functionality of the PCD define the PCD that is approved.

A modification of any of these components or of their relationships could change the resulting functionality and create another PCD than the approved one. This new PCD may potentially not comply with the EMV Specifications.

Moreover, a PCD is developed to work in a specific environment (the Contactless Product and its architecture). The PCD communicates in an adapted way with its environment, while the environment provides the PCD with all needed resources for a correct behavior (power supply, absence of disturbing electromagnetic interference, etc.).

Therefore, the environment in which the PCD is embedded is relevant for EMV Specifications compliance: a PCD working in the product in which it has been tested could potentially not work in another –or modified- product.

**Note:** The PCD functionality is to be understood as the set of functionalities the Vendor wants to implement in the PCD. One of these functionalities is the implementation of the EMV Specifications, but the PCD functionality is not limited to it. The PCD also implements other functions responsible for the interface between the PCD and the rest of the product (e.g. communication with the Entry Point, communication with EMV Kernel(s) ...) The full set of functionalities is relevant for the PCD definition.

The first sub-section deals with PCD changes, and the potential need on EMVCo re-approval of the PCD.

The second sub-section deals with PCD’s environment changes, and the potential need on EMVCo re-approval of the PCD.

In both situations, PCD changes can be qualified major or minor in nature.

As vendors are intimately familiar with their PCD and products, it is ultimately the vendor’s responsibility to make the determination whether a change is major or minor (except for some cases specified below).

However, if the vendor is unsure of the severity of the change, they may submit details of the change to EMVCo via email to request EMVCo's opinion. This request should include a full description of the change being made by the vendor in order for EMVCo to make a timely assessment.

It is the responsibility of the vendor to maintain all evidentiary documentation describing why the modification made is minor i.e. cannot modify or impact the functionality of PCD
and demonstrating the PCD is still compliant to the EMV Specifications (design documents, test logs, etc.).

6.1 PCD changes

6.1.1 Minor and major PCD changes

Any change that can modify the functionality of the PCD is to be considered a major change, as the modified PCD is no longer representative of the originally approved PCD.

Most changes to a PCD are potential major changes. The list below provides some examples of PCD changes; please note this list is not meant to be exhaustive.

**Examples of major changes**

Those changes are to be always considered as major changes.

- Change in the way the Contactless EMV specification is implemented (see ICS-implementation information)
- Addition or modification of functionalities (e.g. adaptation to new OS, support of new technologies or protocols...)
- Change to a type of the antenna, location of the placement and size of the antenna
- Change to an equivalent or different processor (in the situation where the processor is dedicated to the PCD, otherwise this change has to be considered a change of the environment)
- Change of the crystal oscillator (different frequency rate)
- Change of chipset
- Change of printed circuit board layout
- Change of RF parameters for the NFC chipset

**Examples of potential major changes**

As stated above, it is the vendor’s responsibility to determine if the change to the PCD is major or minor.

- Change in PCD electrical schematics
- Recompilation of PCD software
- Different memory component (memory size change)

**Examples of changes that are generally considered as minor**

- Change of transistor or integrated circuit for another with same physical and electrical characteristics
- Change of capacitor/resistor for another with same physical and electrical characteristics.
- Change of the color or marking of the PCD enclosure
- Change of an external connector
6.1.2 PCD change and PCD Type Approval Level 1 need

- When the change is major, the PCD is considered a new PCD. The PCD must be renamed and submitted for Type Approval Test to receive a new EMVCo approval.

- When the change is minor, there is no new PCD Type Approval Level 1 required by EMVCo. The PCD hardware and software version shall be updated as appropriate, as well as the PCD version. The PCD is considered a derivative PCD.

However, it should be noted that:

- EMVCo Contactless Product Approval will only be issued to products embedding an EMVCo-approved PCD version.

- It is the Vendor’s responsibility to manage all linkage, documentation or test results to the modified PCD to show this is a derivative of the original approved one and is still compliant with EMV Specifications. EMVCo does not issue approval letters to these derivative PCDs, without Type Approval Test and re-submission to PCD Type Approval Process.

6.2 Change of Name and Address

The PCD Vendor shall inform the EMVCo Type Approval Secretariat if the company name, address or contact information, as previously provided in the PCD Vendor registration process, changes.

Changes impacting company names will require the PCD Vendor to sign a new contract with EMVCo. Generally, approval letters are not reissued for name changes in the event of the PCD provider’s assignment of the Letter of Approval if assignment is permitted under the provider’s contract with EMVCo and terms and conditions of the Letter of Approval (for example, in the event of provider’s merger, reorganization, or sale of substantially all its assets).

Modifications to company addresses and contact information will be applied to the EMVCo web site and subsequent communication (e.g. approval notification) with the PCD Vendor. Some organizations specify different contact information for various products.

6.3 Re-Issuance of LoA

If as a result of a company name change, address change or contact change, EMVCo needs to re-issue an existing LoA on explicit request from the PCD Vendor, EMVCo will request an administrative fee per LoA re-issuance. Please note that LoA are only issued electronically.
7 Appendix

This appendix describes the enhancement of the present Administrative Process to support the EMVCo requirements related to the Contactless Marks Trademark License Agreement that PCD vendors shall comply to.

The support of this Contactless Marks Trademark License Agreement implies the following requirement in the administrative Process:

- PCD Vendors has to sign the ‘Contactless Marks Trademark License Agreement’, previous to any further product submission.
- Laboratory have to check the presence and the compliance of the EMVCo symbol on the PCD, when performing the PCD Type Approval Tests
- At the time of reviewing the Request for Approval of any PCD product, EMVCo will check that:
  - PCD vendor has previously signed the Contactless Marks Trademark License Agreement
  - The ‘presence of the EMVCo Symbol’ result in the Laboratory Test report submitted.

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