Strategic Implementation of Conformity Assessment Programs

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Rio de Janeiro, Brasil
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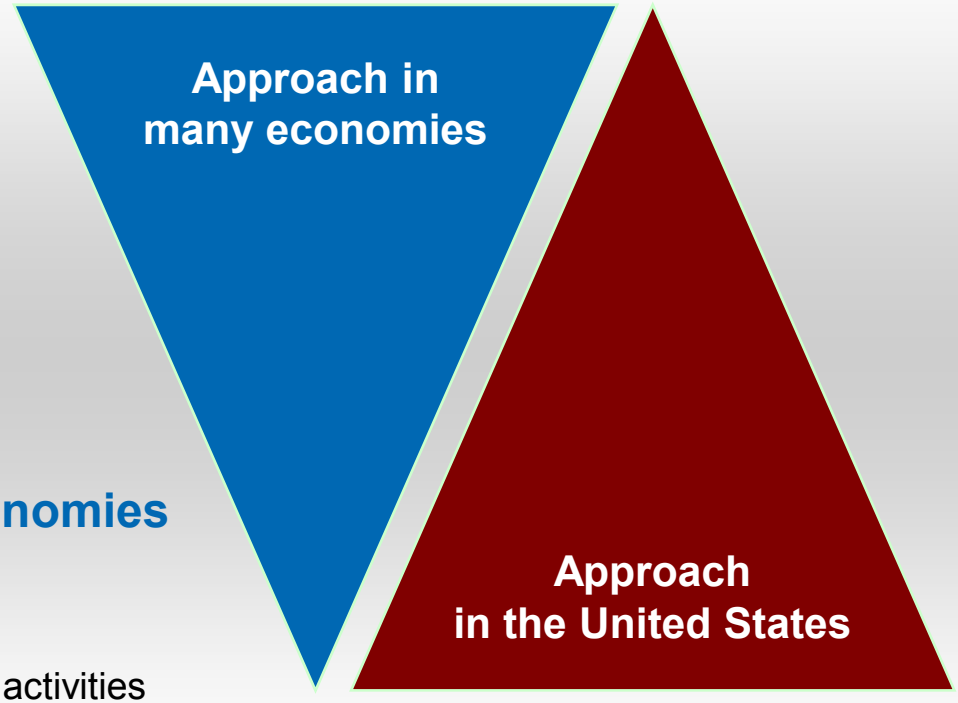
U.S. Standards & Conformity Assessment System
comparison with many other economies



Many other economies
Top Down

Standards bodies
drive standardization activities

United States
Bottom Up

Standards users drive
standardization activities

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U.S. Standards & Conformity Assessment System
Reliable - Flexible - Responsive

- Market driven
- Flexible and sector-based
- Industry-led and government-supported

This system is designed to . . .

- **Support** a broad range of stakeholder engagement
- **Address** emerging priorities and new technologies
- **Allow** stakeholders to find the solutions that best fit their respective needs

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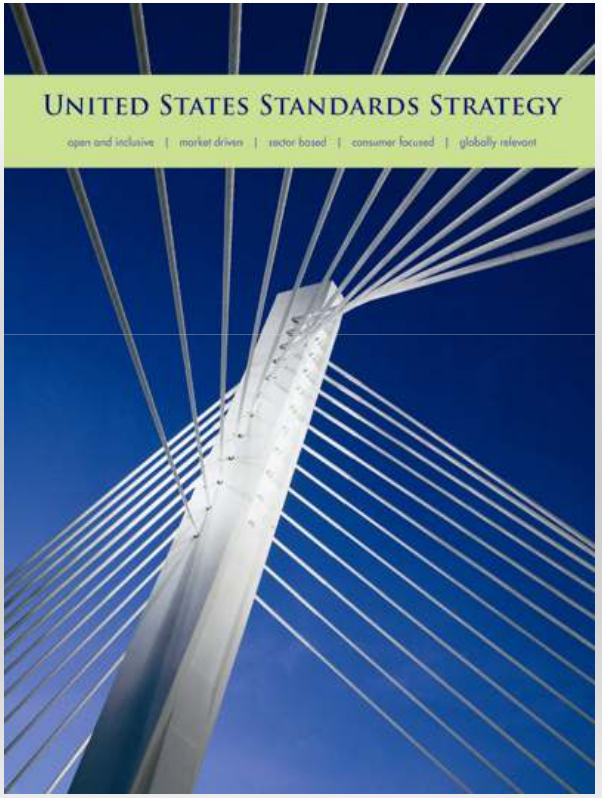
United States Standards Strategy

- The *United States Standards Strategy* (USSS) provides a vision, purpose and common framework that can be used by U.S. stakeholders to achieve their respective standardization goals

- Approved in December 2010, the USSS is the 3rd edition of the *National Standards Strategy for the United States*, first published in 2000.

- www.us-standards-strategy.org



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Background

- The document was developed by a committee representing a wide spectrum of stakeholders including **government, industry, standards developing organizations, consortia, consumer groups and academia**
  - ANSI served as the coordinating body for the effort
  - The process was open and transparent, with an emphasis on inclusiveness
  - Several sector caucuses, presentations and a public forum were held to invite input

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Background (continued)

- The new *Strategy* can be used by all U.S. stakeholders to:
  - Advance **trade issues** in the global marketplace,
  - Enhance consumer **health and safety**,
  - Respond to **critical national and global priorities**, and
  - Advance U.S. viewpoints regionally and internationally

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Objectives / Guiding Principles

- Standards should meet societal and market needs and should **not be developed to act as barriers to trade**
- The U.S. endorses the globally accepted standardization **principles of the WTO** Technical Barriers to Trade Agreement

- Transparency
- Openness
- Impartiality
- Effectiveness and relevance
- Consensus
- Performance-based
- Coherence
- Due process
- Technical Assistance
- Flexible
- Timely
- Balanced

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Objectives / Guiding Principles (continued)

- The USSS promotes any global standard that . . .
  - is technically suitable
  - is used throughout a given market sector worldwide, and
  - was developed in accordance with the principles for international standardization as defined in the WTO/TBT Agreement

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Strategic Vision

- **Internationally**
  - Universal application of globally accepted principles
  - Government use of voluntary consensus standards
  - A diverse and inclusive system that supports flexibility
  - Sectoral approach to standards that meet global needs
  - Effective use of electronic tools to facilitate production and dissemination of global standards
- **Nationally**
  - Cooperative U.S. process
  - Cooperation to reduce redundancy and overlap
  - Public and private sector management, recognition and support for standardization efforts
  - Responsive system to address national needs, threats and goals

Note: Many statements listed under “internationally” also apply “nationally”

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Strategic Initiatives

- Participation of government
- Importance of the environment, health and safety
- Responsiveness to consumer interests
- Globally accepted principles for standards development
- Government use of standards to meet regulatory needs
- Preventing the use of standards as technical barriers to trade
- Outreach to promote consensus-based, market-driven processes
- Efficiency in development and distribution of standards
- Cooperation and coherence within the U.S. system
- Standards education as a high priority
- Stable funding models for the U.S. system
- Response to emerging national priorities and converging/ cross-cutting technologies

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2010 Standards Development Survey

- Study commissioned by ANSI, ASME, ASTM, IAPMO, NEMA, NFPA, NIST & UL
- Portrait of busy and committed volunteers
- Help understand current and future needs

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Top 3 Reasons to Volunteer

- **Employer Benefit**
  - Ability to influence content
  - Contribution to product safety and performance
  - Early awareness of new or revised requirements
- **Personal Benefit**
  - Professional Development
  - Professional Networking
  - Professional Recognition

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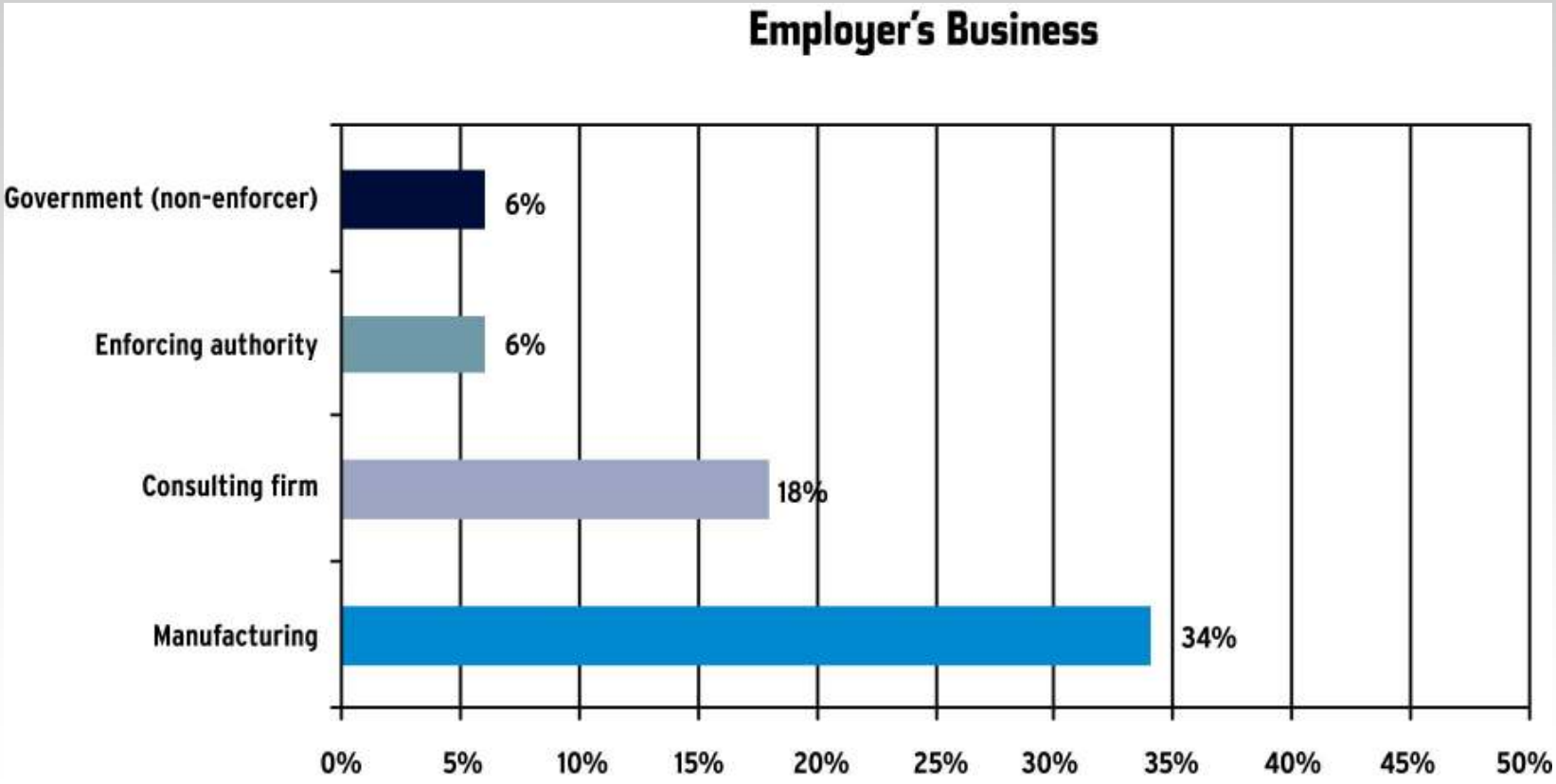
Employers



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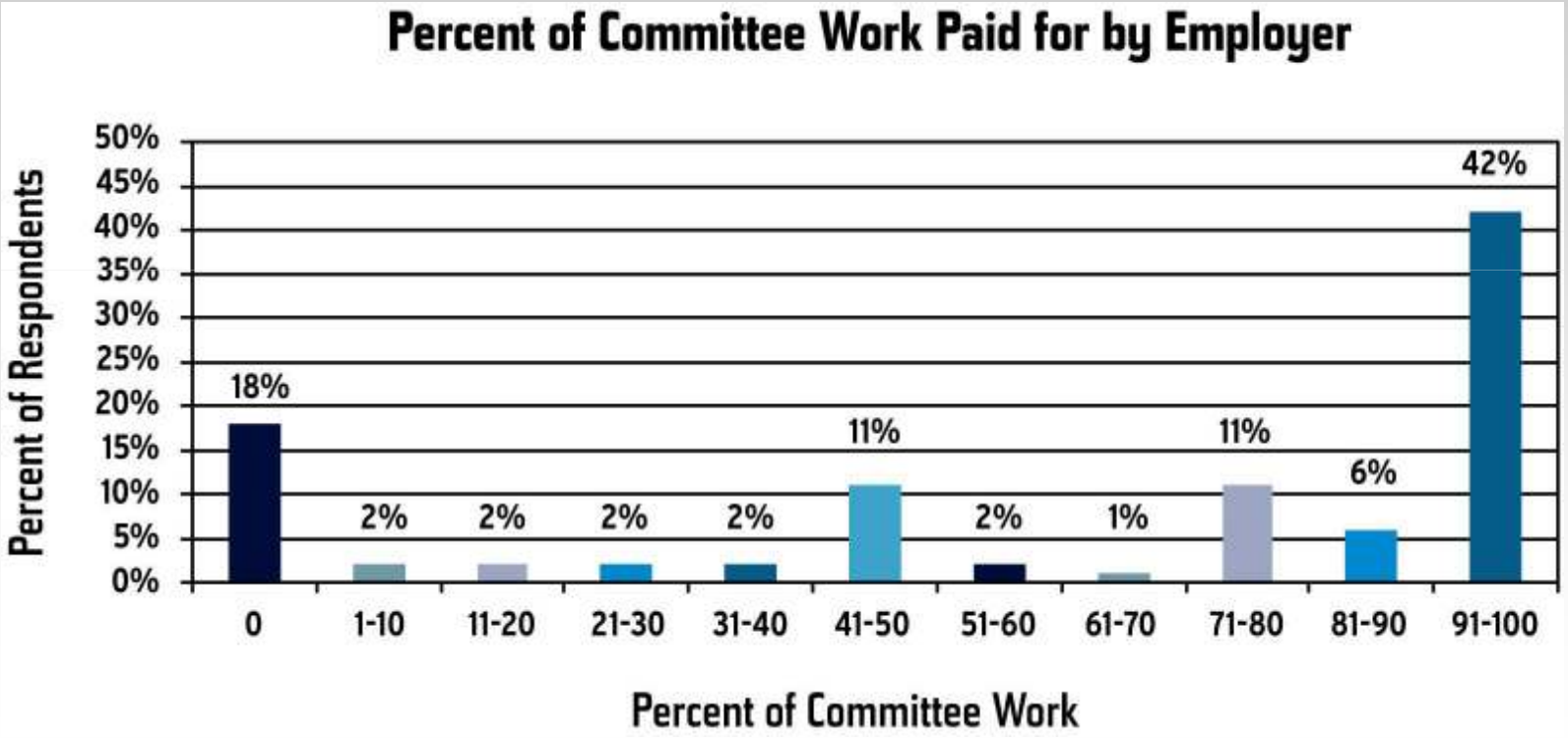
Sponsorship



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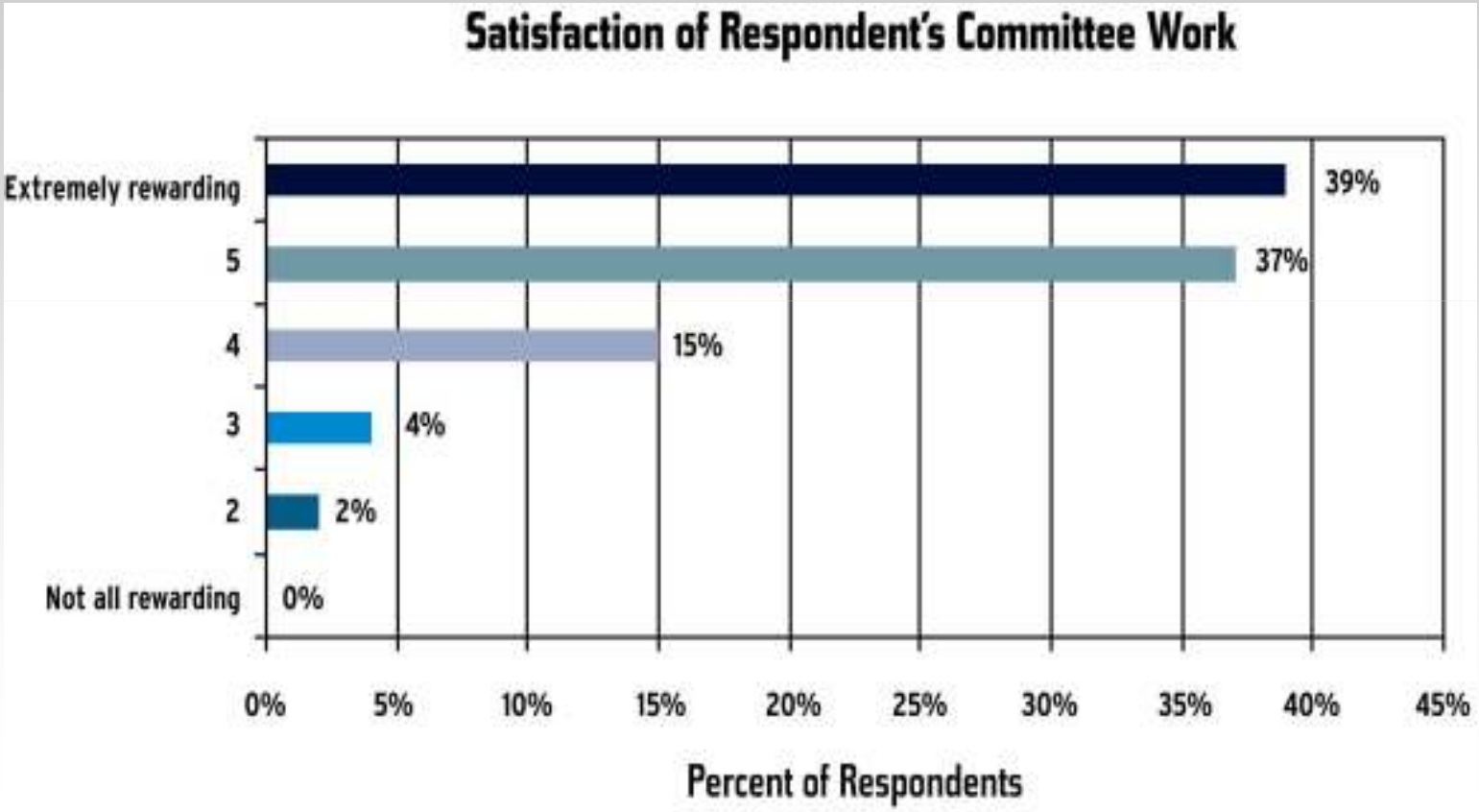
Professional Fulfillment



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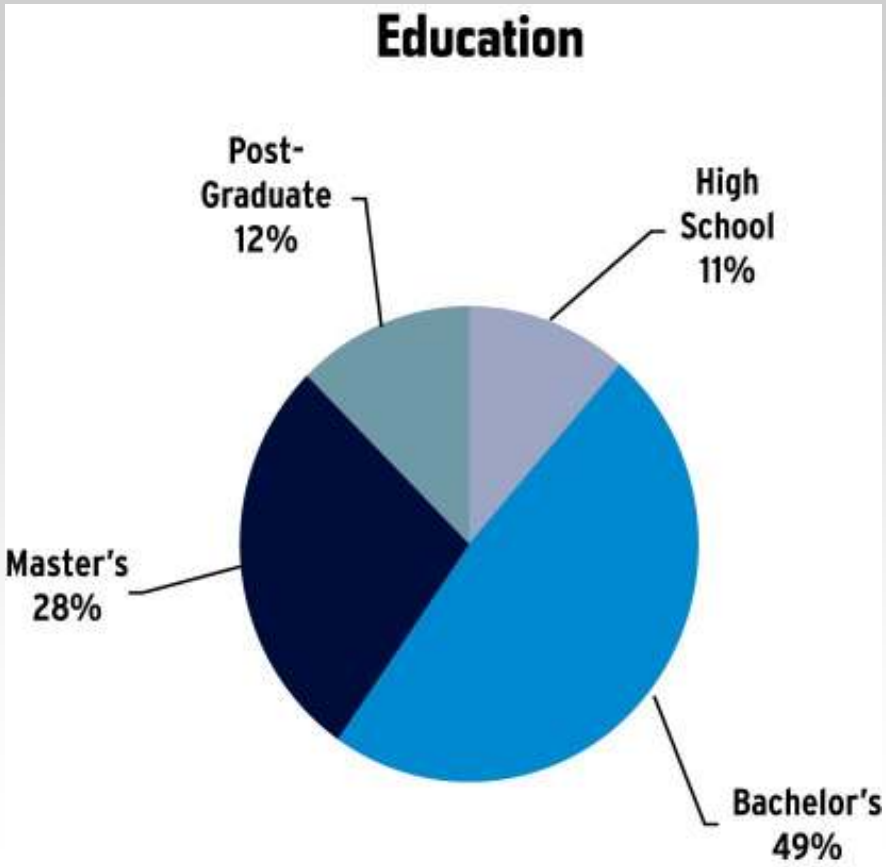
Academic background



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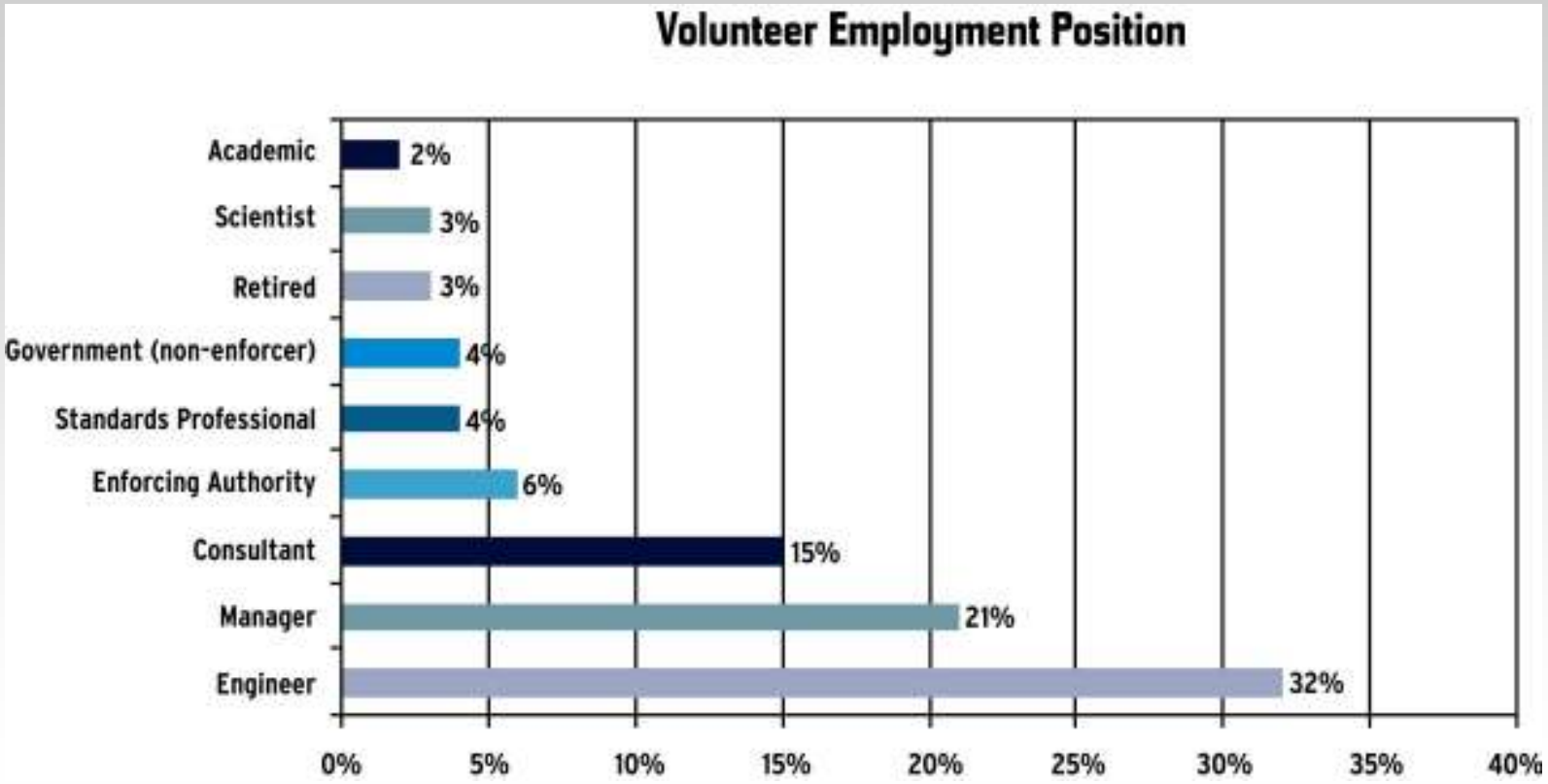
Professions



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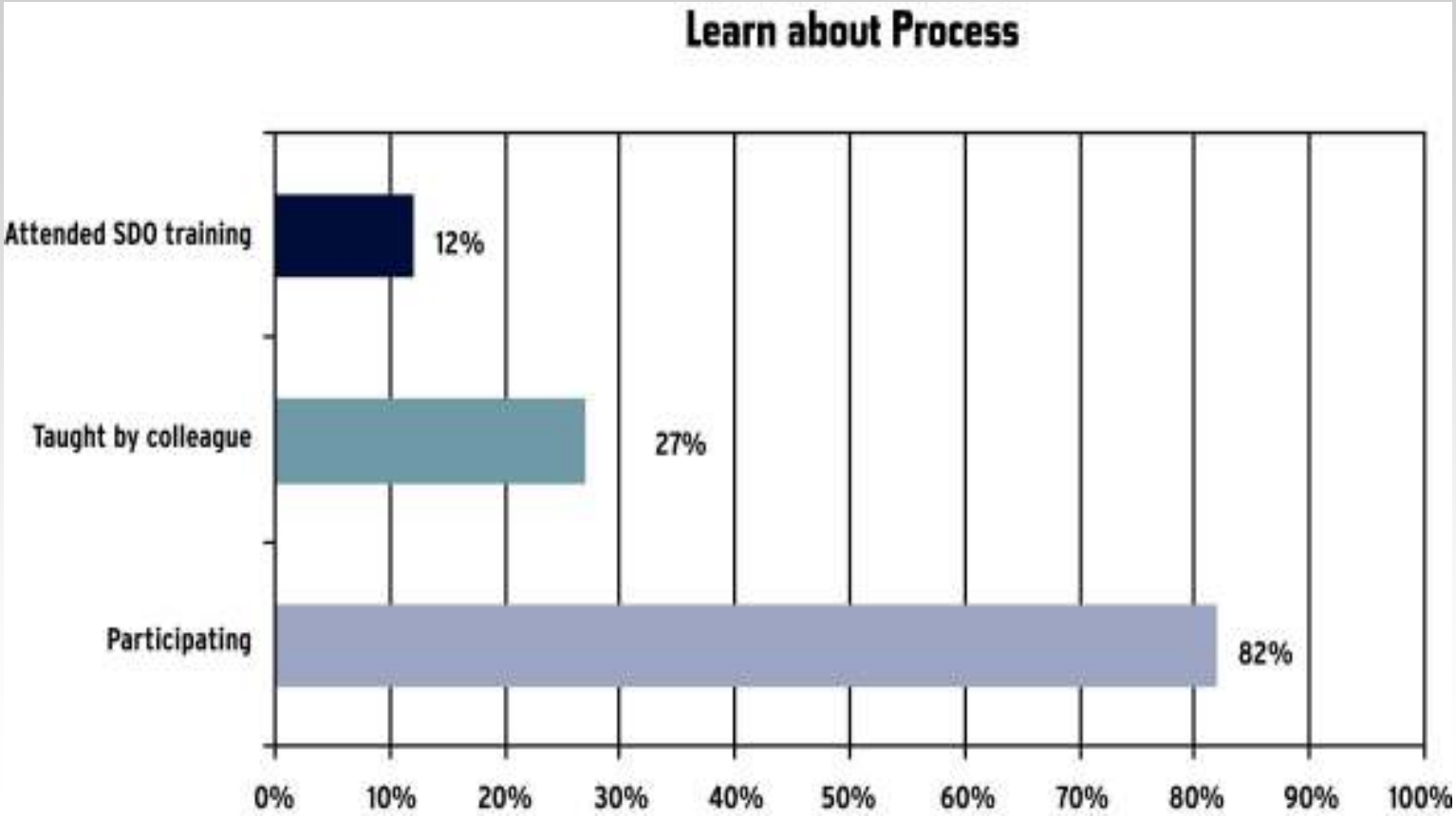
Standards Education



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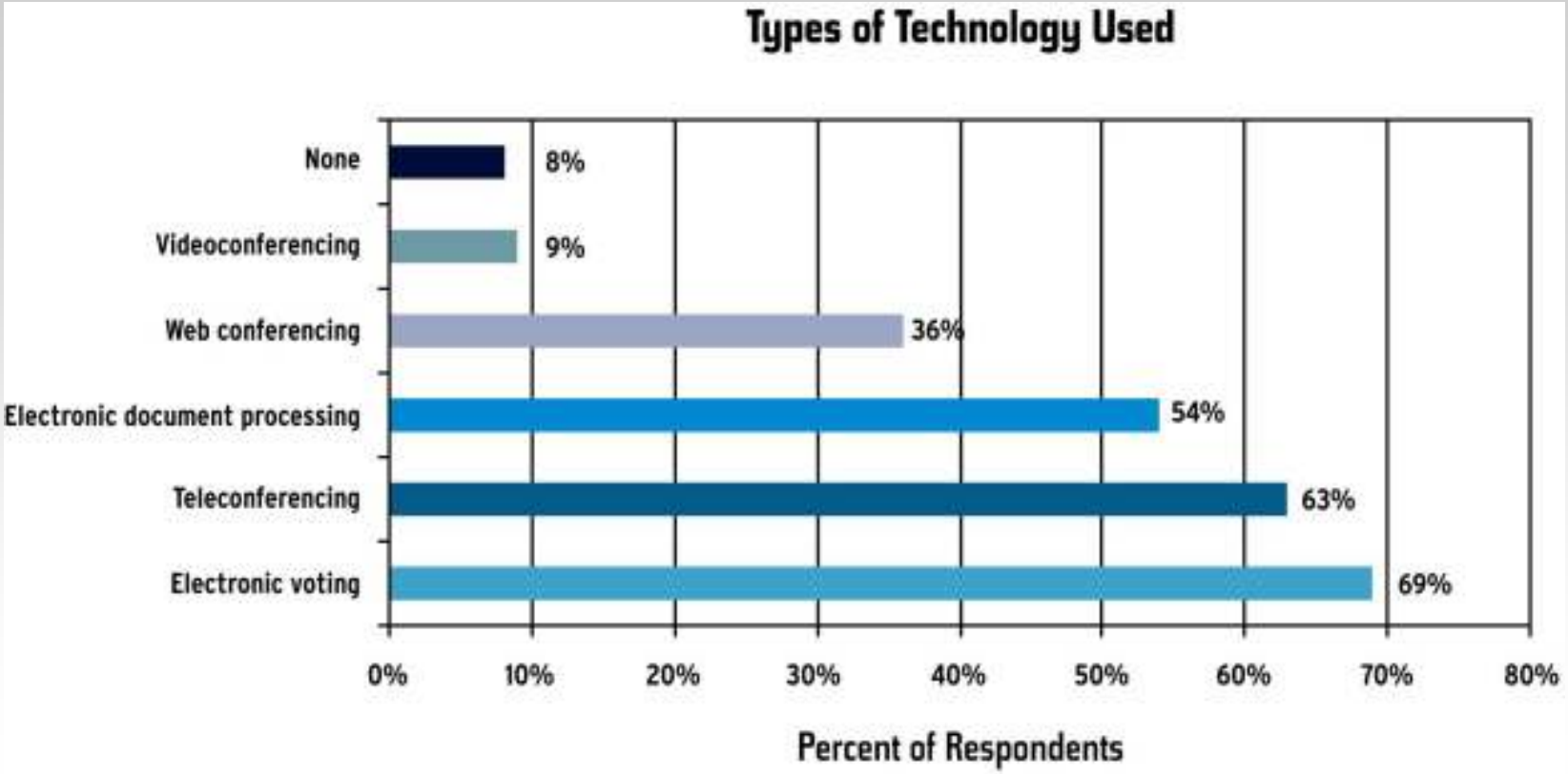
Tools



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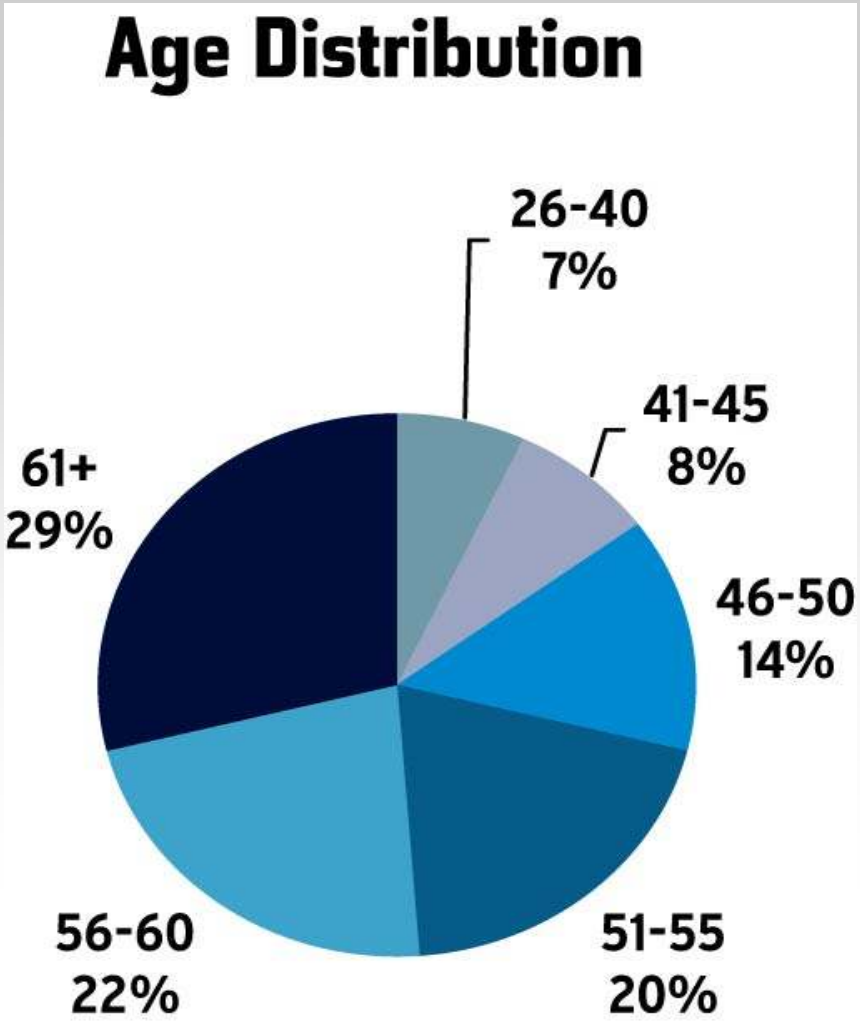
“Maturity”?



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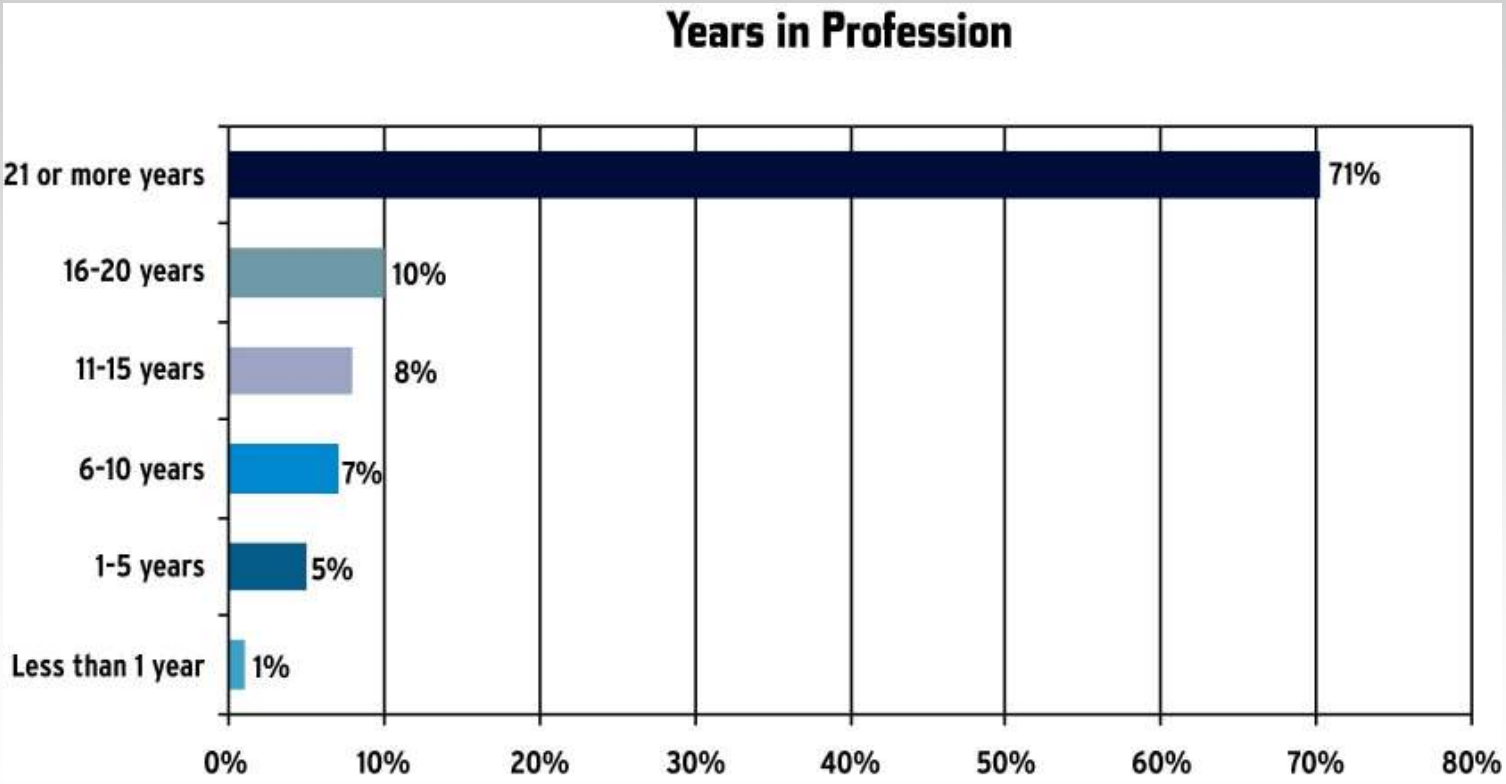
Experience



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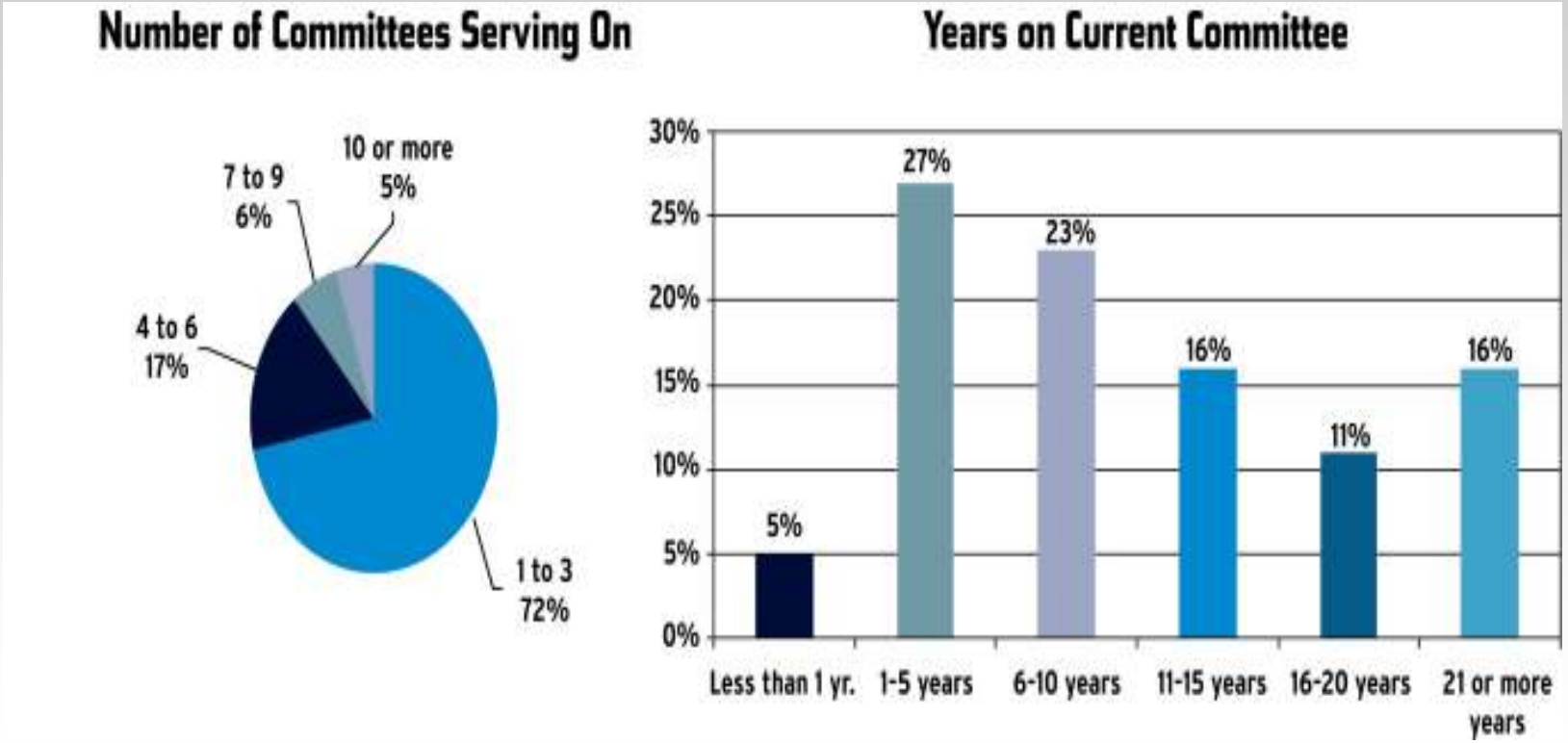
Workload and Longevity



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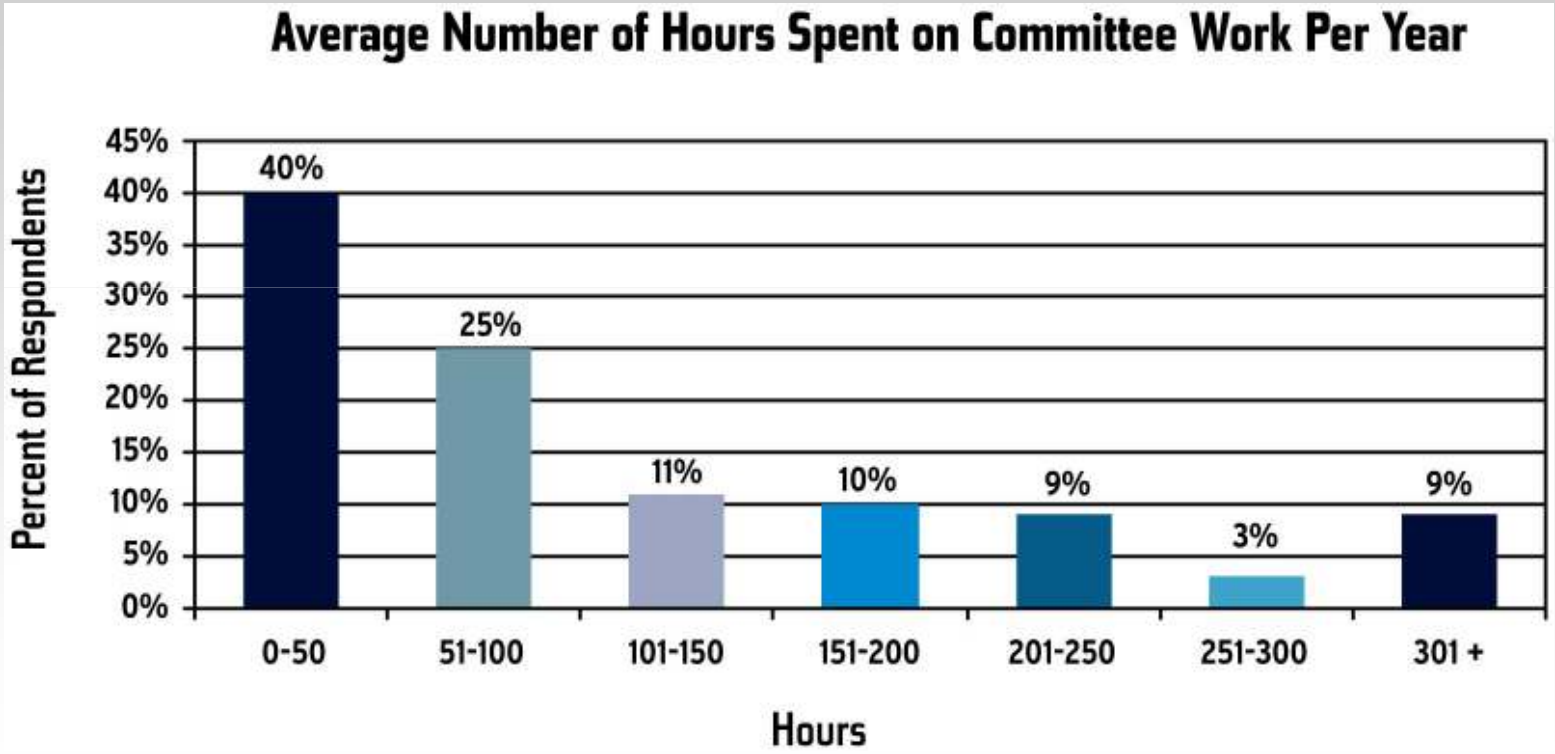
Annual time commitment



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Survey conclusions/recommendations

Conclusions

- Currently no shortage of volunteers for emerging topics.
- Occasional motivational deficit for older standards maintenance.
- Primary motivators = professional development & networking.
- Workload not as burdensome as expenses.
- New technologies important, but no substitute for face-to-face.

Recommendations

- Periodically solicit input from users.
- Increase sponsor recognition.
- Reduce travel and meeting costs wherever possible.

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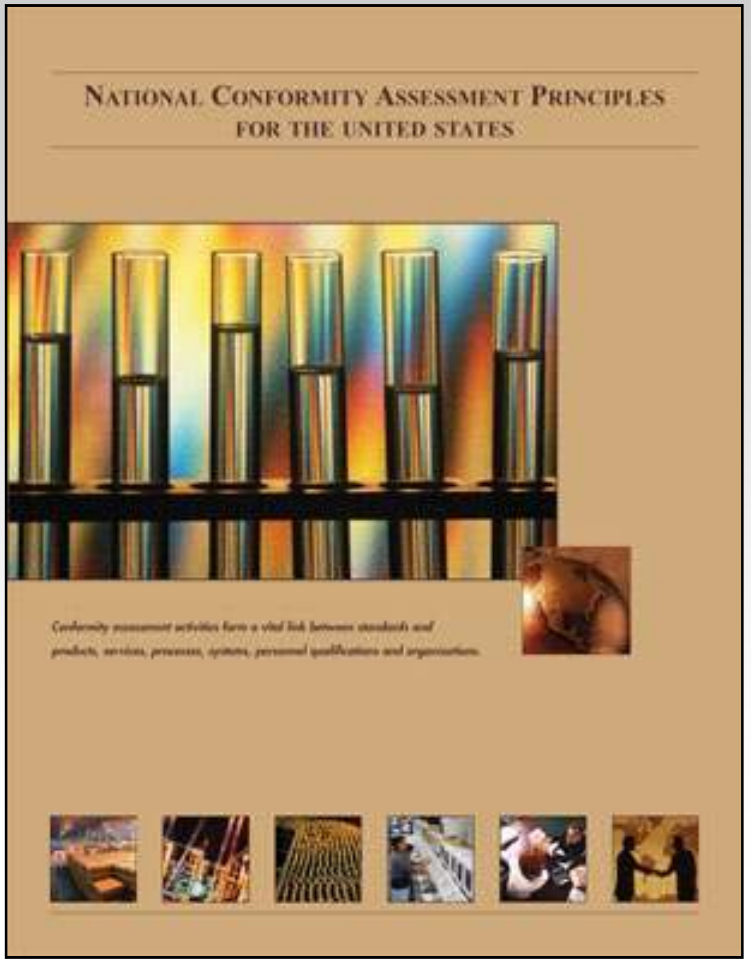
National Conformity Assessment Principles

www.ansi.org/ncap

- **Articulates principles for conformity assessment activities in the U.S.**
  - Guidance document to be considered along with the *U.S. Standards Strategy*
  - Improves the ability of the marketplace to understand and have confidence in conformity assessment processes



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Key Terms *(per the NCAP)*

- **Conformity Assessment**

Demonstration that specified requirements relating to a product, process, system person or body are fulfilled.

- **Accreditation**

Third party attestation related to a conformity assessment body conveying formal demonstration of its competence to carry out specific conformity assessment tasks. (These tasks include sampling and testing, inspection, certification and registration.)

- **Certification**

Third party attestation related to products, processes, or persons that conveys assurance that specified requirements have been demonstrated.

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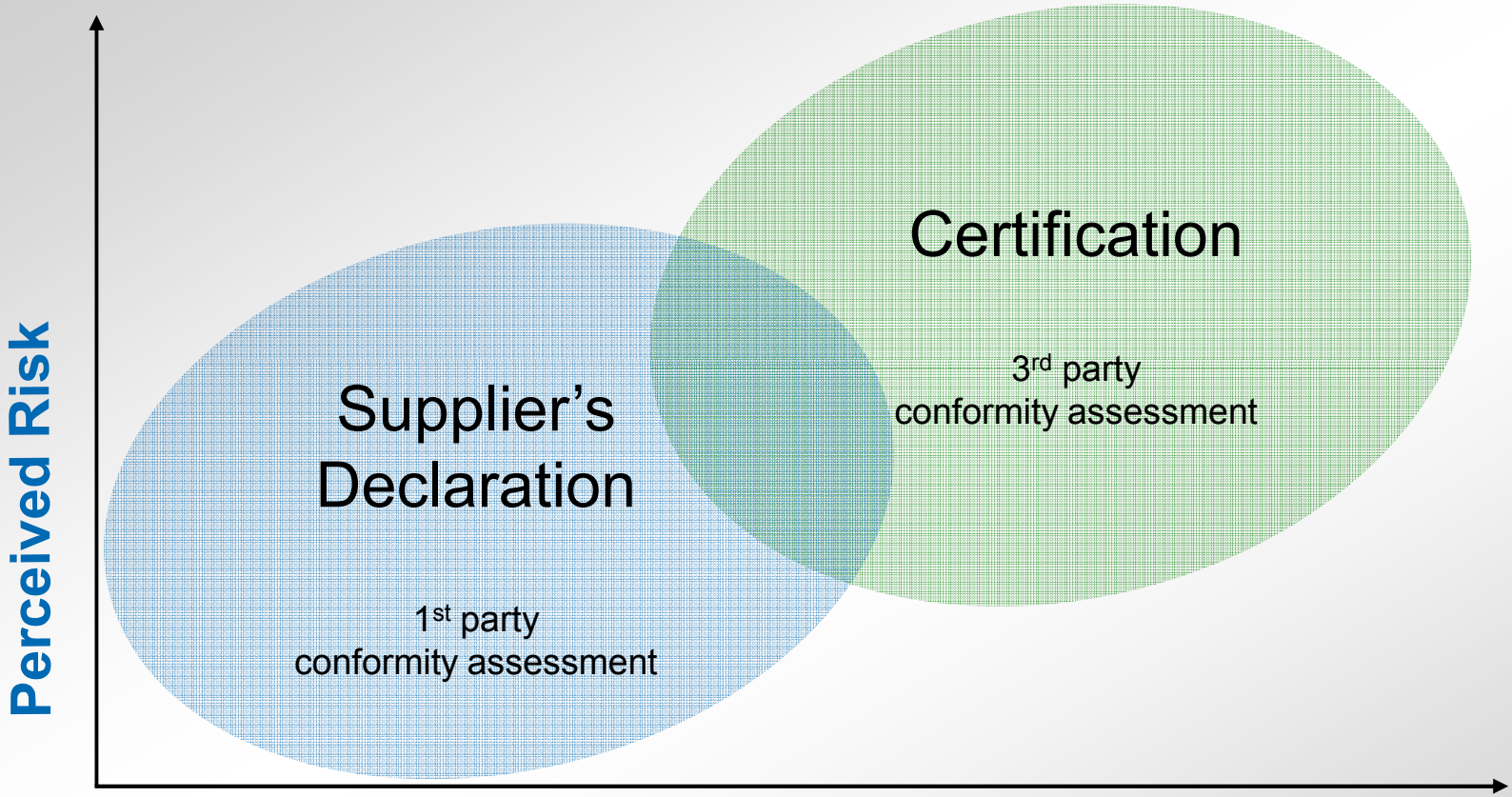
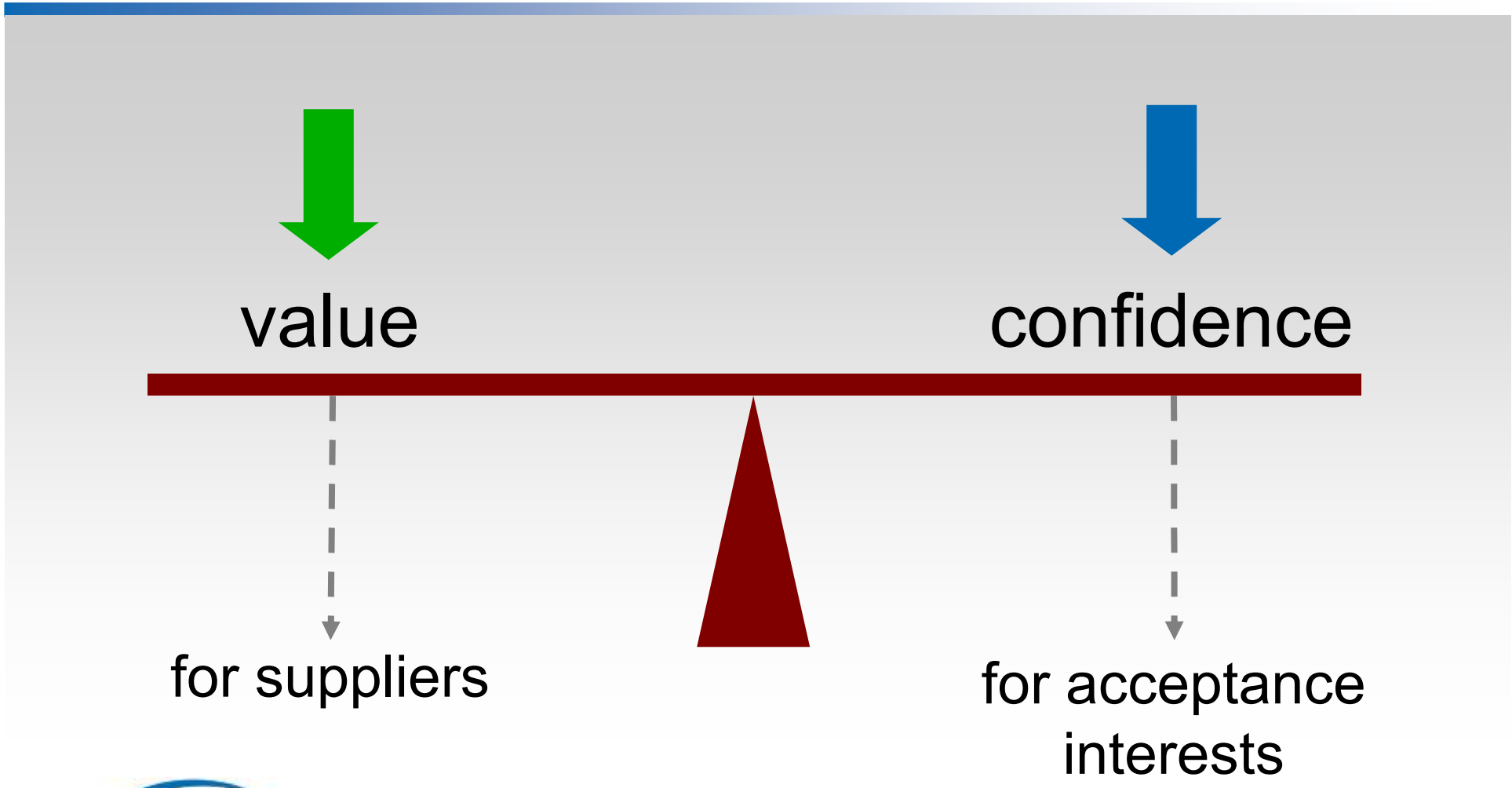
Conformity Assessment and Risk



The Conformity Assessment Balance



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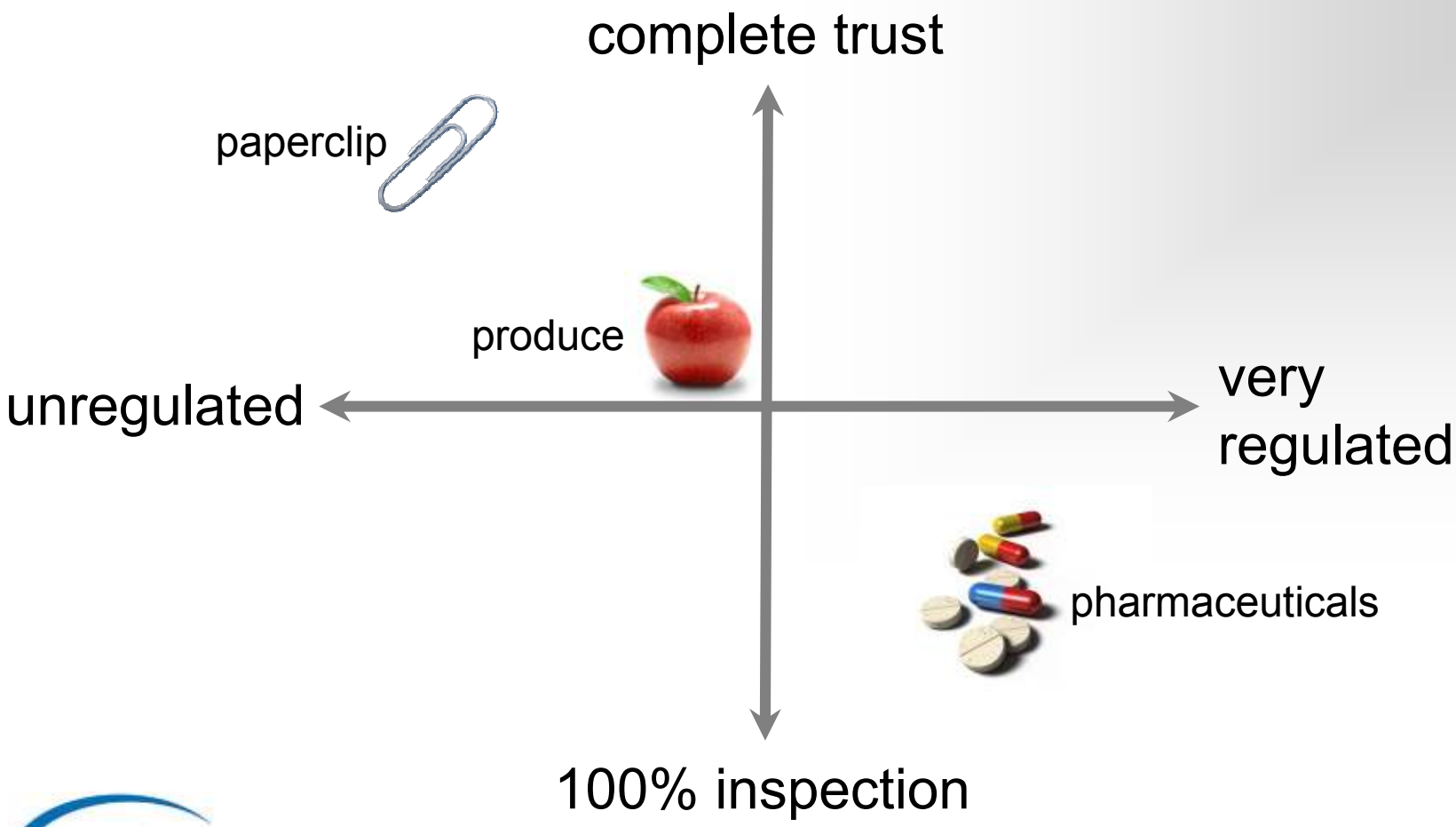
Confidence/Regulation Spectrum



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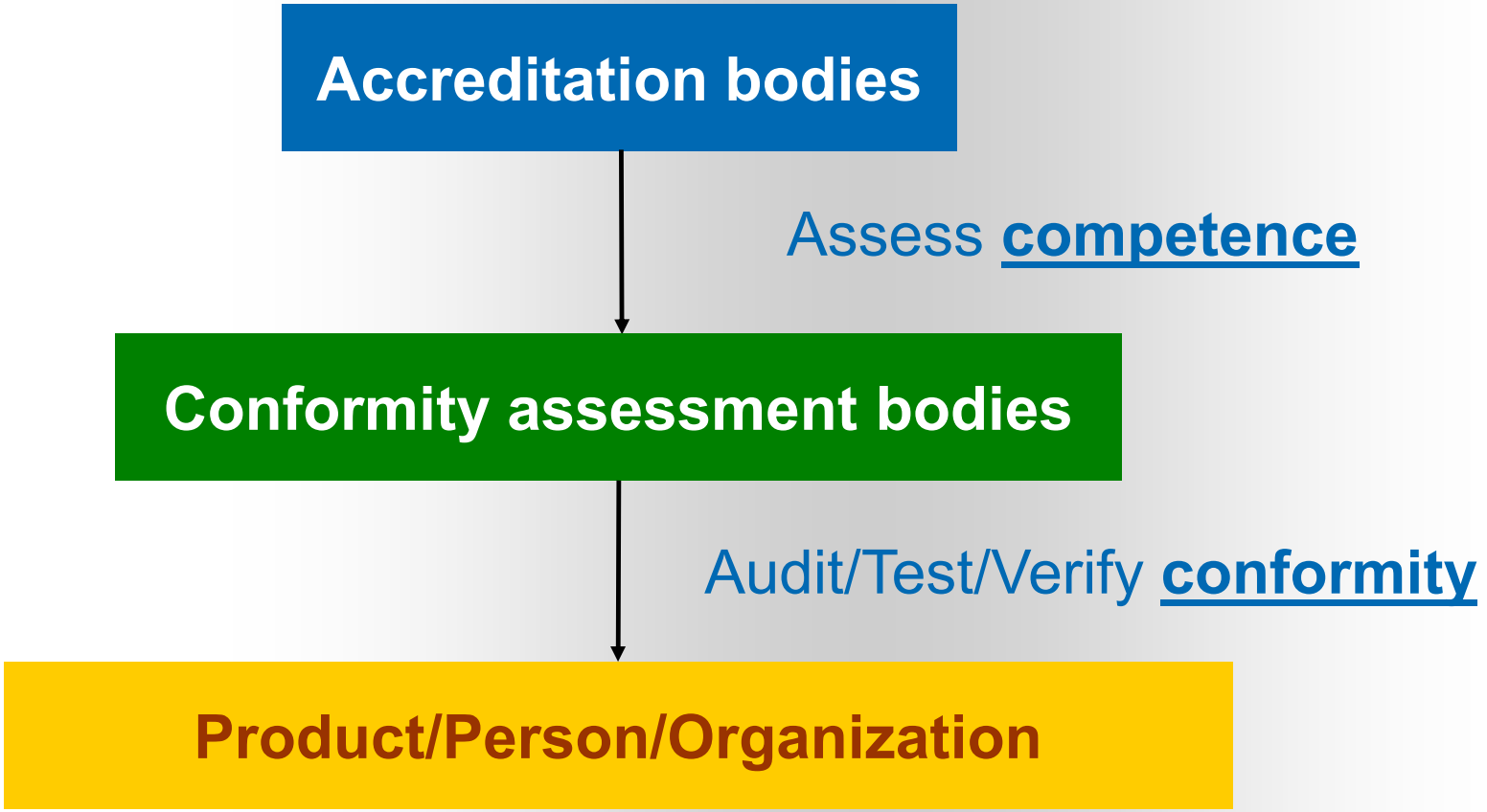
Accredited 3rd-Party Hierarchy

(ISO/IEC 17011 standard for accreditation bodies)



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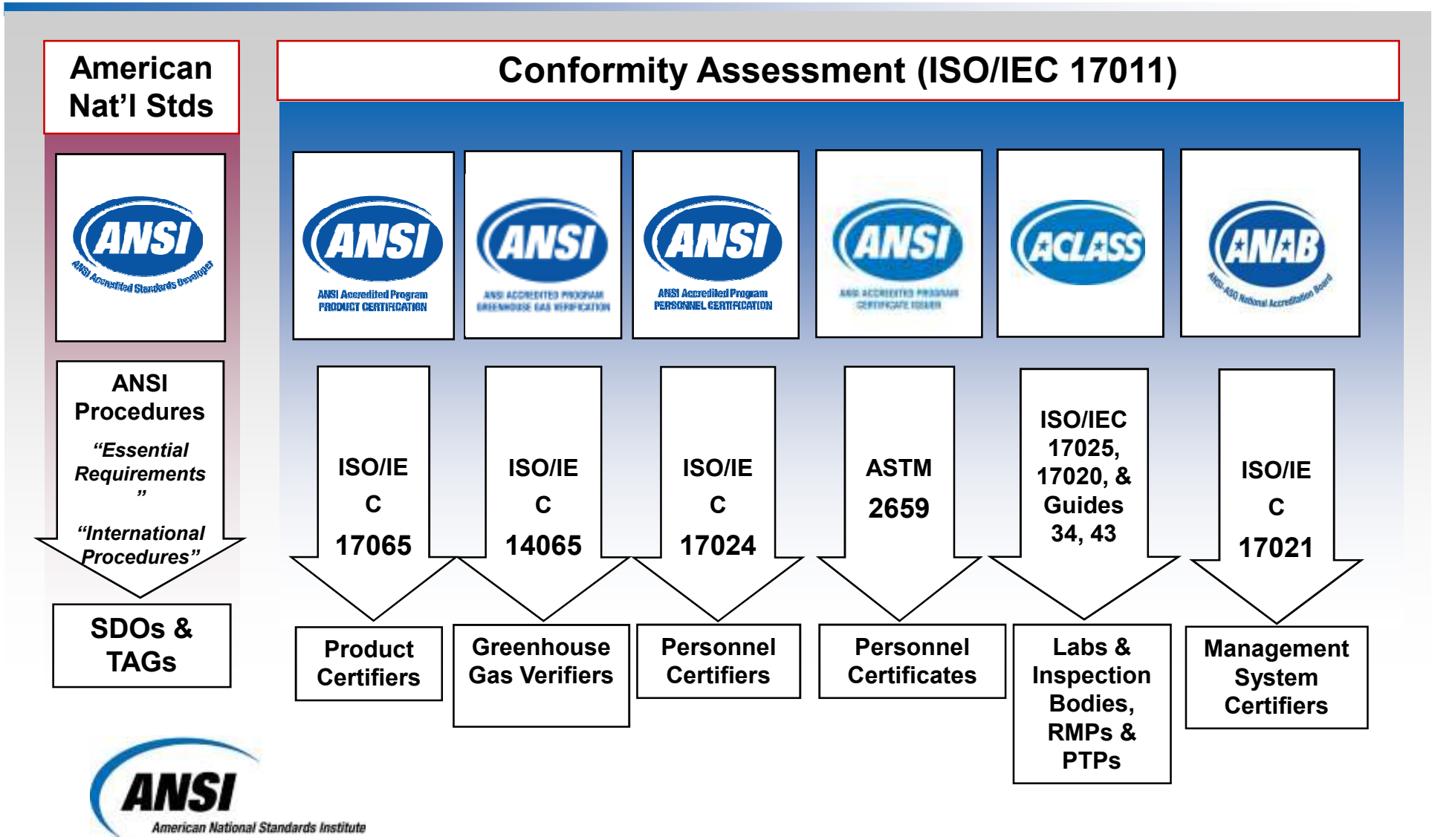
ANSI Accreditation Portfolio



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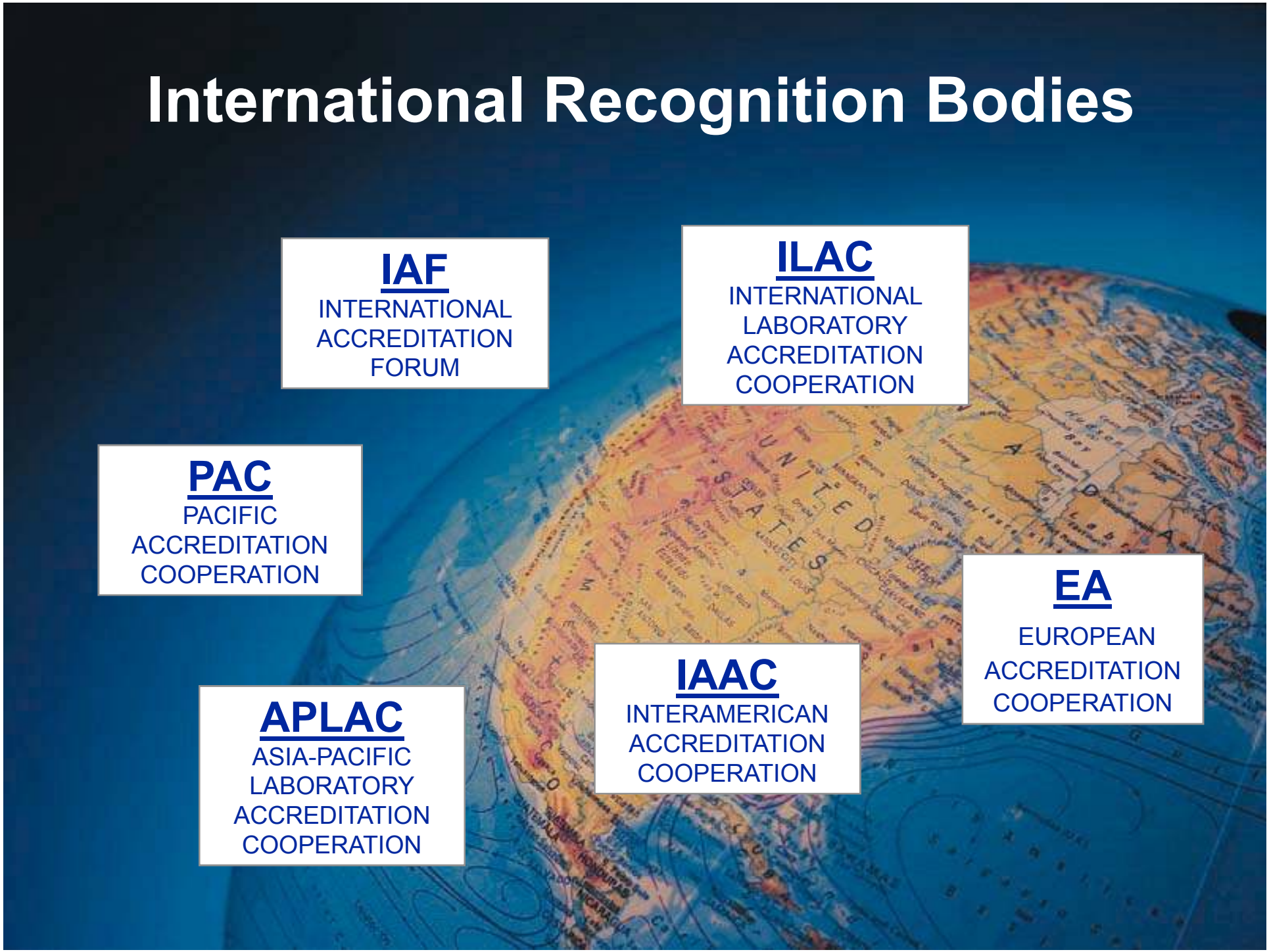
International Recognition Bodies



IAF
INTERNATIONAL ACCREDITATION FORUM

ILAC
INTERNATIONAL LABORATORY ACCREDITATION COOPERATION

PAC
PACIFIC ACCREDITATION COOPERATION

EA
EUROPEAN ACCREDITATION COOPERATION

IAAC
INTERAMERICAN ACCREDITATION COOPERATION

APLAC
ASIA-PACIFIC LABORATORY ACCREDITATION COOPERATION

Subcommittee on Standards *(and Conformity Assessment)*

- Office of Management and Budget
  - Office of Science and Technology Policy
    - Aneesh Chopra – US Chief Technology Officer
    - Vivek Kundra – US Chief Information Officer
  - National Science & Technology Council (**NSTC**)
    - **<u>Subcommittee on Standards</u>**

      Chairs:

      - **Pat Gallagher** - Undersecretary of Commerce (Stds & Tech)

        Director, National Institute of Standards & Technology (**NIST**)
      - Philip Weiser - Deputy Assistant Attorney General (Int'l Policy)

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NSTC Federal Register Notice (FRN)

April 2010:	ANSI hosts public discussion (**Bhatia, Chopra, Gallagher, Weiser**)
May:	ANSI hosts Webinar with stakeholders
October:	ANSI submits general private sector feedback to NSTC Subcommittee on Standards
December:	NIST issues FRN "Request for Information" seeking public input on federal agency involvement in standardization activities (**46 questions, 7 categories, 6 issues**)
January 2011:	Commerce Secretary Locke and NIST host public roundtable (theme: **standardization = economic growth + innovation + jobs**)

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March 2011 ANSI input:

- ✓ **Government** should strengthen Public-Private Partnership
  - Notify standards community early in regulatory process
  - Improve interagency coordination
  - Improve process of updating standards in regulations
  - Improve educational outreach
  - Greater government participation/support in standardization
- ✓ **ANSI** should strengthen Public-Private Partnership
  - Encourage private sector understanding of government needs
  - Work to minimize duplication
  - Improve educational outreach
- ✓ Importance of Intellectual Property Rights (**IPR**) issues
- ✓ Build upon success of **NTTAA** and OMB A-119

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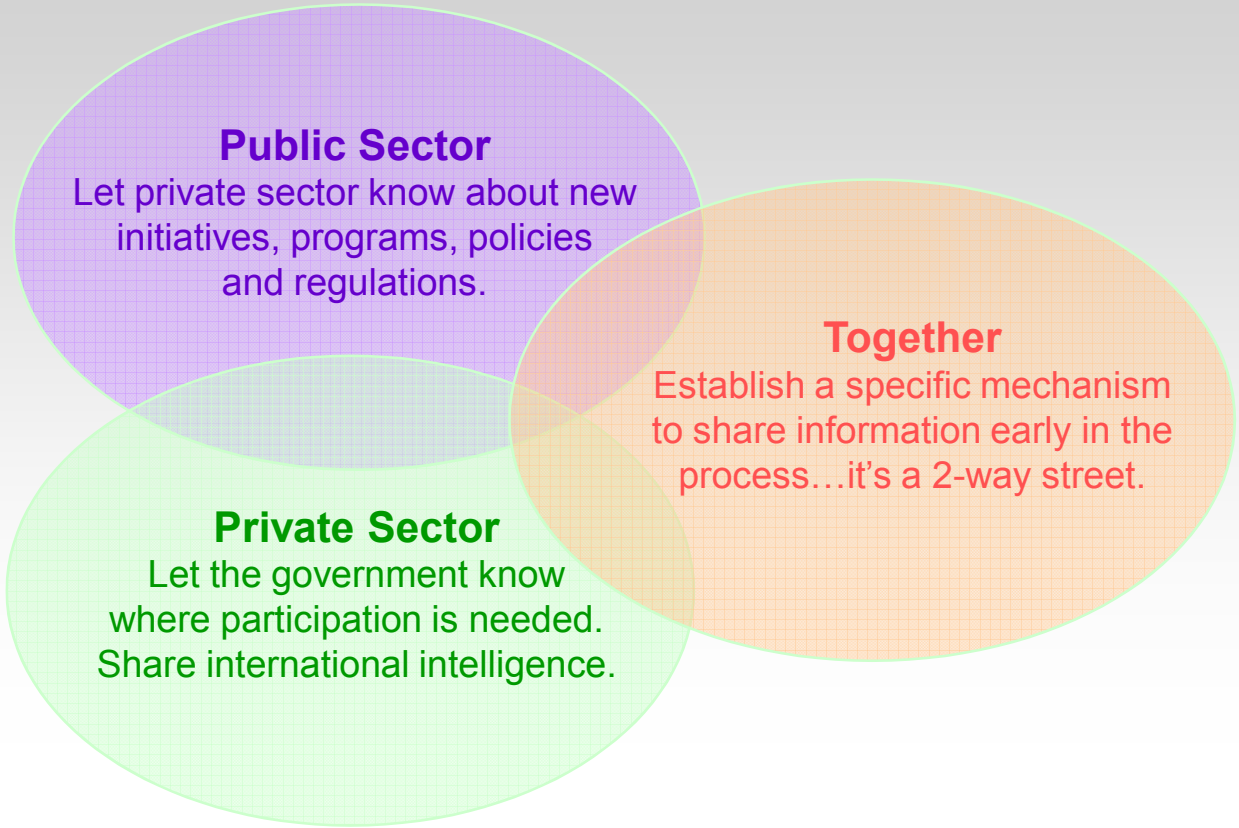
Robust Public-Private Partnership

3 steps to **better communication**



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Muito Obrigado!

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Accreditation Services

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