



United States Department of Commerce  
Technology Administration  
National Institute of Standards and Technology

***NIST Special Publication 739  
1998 Edition***

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***Directory of Federal Government  
Certification and Related  
Programs***

***Maureen Breitenberg, Editor***

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**T**he National Institute of Standards and Technology was established in 1988 by Congress to “assist industry in the development of technology . . . needed to improve product quality, to modernize manufacturing processes, to ensure product reliability . . . and to facilitate rapid commercialization . . . of products based on new scientific discoveries.”

NIST, originally founded as the National Bureau of Standards in 1901, works to strengthen U.S. industry’s competitiveness; advance science and engineering; and improve public health, safety, and the environment. One of the agency’s basic functions is to develop, maintain, and retain custody of the national standards of measurement, and provide the means and methods for comparing standards used in science, engineering, manufacturing, commerce, industry, and education with the standards adopted or recognized by the Federal Government.

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- International and Academic Affairs

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- Technology Partnerships
- Measurement Services
- Technology Innovation
- Information Services

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- Materials and Manufacturing Technology
- Electronics and Photonics Technology

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- National Programs
- Program Development

### **Electronics and Electrical Engineering Laboratory**

- Microelectronics
- Law Enforcement Standards
- Electricity
- Semiconductor Electronics
- Electromagnetic Fields<sup>1</sup>
- Electromagnetic Technology<sup>1</sup>
- Optoelectronics<sup>1</sup>

### **Chemical Science and Technology Laboratory**

- Biotechnology
- Physical and Chemical Properties<sup>2</sup>
- Analytical Chemistry
- Process Measurements
- Surface and Microanalysis Science

### **Physics Laboratory**

- Electron and Optical Physics
- Atomic Physics
- Optical Technology
- Ionizing Radiation
- Time and Frequency<sup>1</sup>
- Quantum Physics<sup>1</sup>

### **Materials Science and Engineering Laboratory**

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- Ceramics
- Materials Reliability<sup>1</sup>
- Polymers
- Metallurgy
- NIST Center for Neutron Research

### **Manufacturing Engineering Laboratory**

- Precision Engineering
- Automated Production Technology
- Intelligent Systems
- Fabrication Technology
- Manufacturing Systems Integration

### **Building and Fire Research Laboratory**

- Structures
- Building Materials
- Building Environment
- Fire Safety Engineering
- Fire Science

### **Information Technology Laboratory**

- Mathematical and Computational Sciences<sup>2</sup>
- Advanced Network Technologies
- Computer Security
- Information Access and User Interfaces
- High Performance Systems and Services
- Distributed Computing and Information Services
- Software Diagnostics and Conformance Testing

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<sup>1</sup> At Boulder, CO 80303.

<sup>2</sup> Some elements at Boulder, CO.

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# ***Directory of Federal Government Certification and Related Programs***

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Maureen Breitenberg, Editor

Office of Standards Services  
Technology Services  
National Institute of Standards and Technology  
Gaithersburg, MD 20899-0001

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**U.S. Department of Commerce**  
William M. Daley, Secretary

**Technology Administration**  
Gary R. Bachula, Acting Under Secretary for Technology

**National Institute of Standards and Technology**  
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## FOREWORD

This directory is the third edition of the National Institute of Standards and Technology (NIST) directory of federal government procurement and regulatory programs which may affect products and services in the marketplace. Prior editions include: NBS SP 714, Federal Government Certification Programs for Products and Services, published in April 1986; and NBS SP - 739, Directory of Federal Government Certification Programs, published in April 1988. Since the last edition, additional federal programs have been identified and changes have been made in previously listed entries to reflect organizational or programmatic changes. The scope of this directory has also been expanded to include both certification and other types of federal programs which impact on the marketplace. We have not attempted to include programs operated by the U.S. government to accredit or assess laboratories unless they are an integral part of a products or service regulatory or procurement program. Laboratory accreditation programs are included in a separate publication, NIST SP 808 *Directory of Federal Government Laboratory Accreditation/Designation Programs*.

Federal, state, and local government officials, manufacturers, distributors, foreign governments, researchers, and others may find the information contained in this directory useful in identifying pertinent federal product/service programs and in finding the appropriate agency contact points.

## ACKNOWLEDGMENTS

Special thanks and credit are due to the managers of federal programs who provided the information contained in this directory, without which this publication would not have been possible. I would also like to thank the Senior Standards Executives on the Interagency Committee on Standards Policy (ICSP) who also reviewed their agency's information.

Maureen Breitenberg  
Editor

## ABSTRACT

This directory is the third edition of the National Institute of Standards and Technology (NIST) directory of federal government procurement and regulatory conformity assessment programs which may affect products and services in the marketplace. Prior editions include: NBS SP 714, Federal Government Certification Programs for Products and Services, published in April 1986; and NBS SP - 739, Directory of Federal Government Certification Programs, published in April 1988. Since the last edition, additional federal programs have been identified and changes have been made in previously listed entries to reflect organizational or programmatic changes. The scope of this directory has also been expanded to include conformity assessment and other types of federal programs which impact on the marketplace. We have not attempted to include programs operated by the U.S. government to accredit or assess laboratories unless they are an integral part of a product or service regulatory or procurement program. Laboratory accreditation programs are included in a separate publication, NIST SP 808 *Directory of Federal Government Laboratory Accreditation/Designation Programs*.

Federal conformity assessment procedures are a means of providing assurance that the products and services regulated or procured by federal agencies have the required characteristics and/or perform in a specified manner. The methods used by federal agencies to assure conformance can be very different from those traditionally employed by the private sector and by third party certifiers. Agency conformity assessment procedures may include: sampling and testing, inspection, and/or certification by the agency or other specified organization; licensing; product listing; the submission to an agency of manufacturing, operational, and related data for review; manufacturer self-declaration of conformity to agency requirements; mandatory labeling and advertising requirements; establishment of national requirements which are adopted/enforced at state and local government levels; issuance of regulatory guidelines; pre-marketing approval requirements; post-marketing monitoring requirements; and the conduct of environmental impact assessments.

Interest in such programs arises from many different sectors and may be motivated by economic, procurement, safety, environmental or other considerations. Such programs have also increased in significance due to growing awareness of their impact on trade and the increasing obligations placed on federal agencies to consider the impact of their regulatory and procurement actions on the U.S. as well as the international marketplace.

This directory is part of ongoing NIST efforts to establish and maintain comprehensive databases on standards, regulations, conformity assessment programs and related information. This material has been compiled to meet the needs of government, industry, and the public for information on U.S. Government procurement and regulatory programs which affect products and services in the marketplace certification and related programs.

Key Words: advertising; certification; grading; inspection; labeling; licensing; listing; marketplace monitoring; permits; procurement; product approval; regulation; specifications; standards; testing



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## INTRODUCTION

### Background

To ensure that the vast array of foreign and domestic products and services in the U.S. marketplace meet certain minimum standards of health, safety, and performance and that information about such products and services is accurate and available to allow buyers and others to make informed choices, federal agencies have established a number of voluntary and mandatory methods and requirements. Such methods and requirements are designed to provide assurance that the products, services, and systems that agencies regulate or purchase consistently conform to manufacturers' claims and comply with other appropriate regulatory and procurement requirements.

In April 1988, the National Institute of Standards and Technology (NIST) published its second edition of a directory of such federal programs -- NBS SP 739, Federal Government Certification Programs. Since that time, new federal programs have been identified and changes have been made in previously listed entries to reflect organizational or programmatic changes. The scope of this directory has also been expanded to include additional types of federal programs which impact on the marketplace, which may also be of interest to the reader.

Federal conformity assessment procedures are a means of providing assurance that the products, services, or systems regulated or procured by federal agencies have the required characteristics. The methods used by federal agencies to assure conformance can be very different from those traditionally employed by the private sector and by third party certifiers. Agency conformity assessment procedures may include: sampling and testing, inspection, and/or certification by the agency or other specified organization; licensing; product listing; the submission to an agency of manufacturing, operational, and related data for review; manufacturer self-declaration of conformity to agency requirements; mandatory labeling and advertising requirements; establishment of national requirements which are adopted/enforced at state and local government levels; issuance of regulatory guidelines; pre-marketing approval requirements; post-marketing monitoring requirements; and the conduct of environmental impact assessments.

Interest in such programs arises from many different sectors and may be motivated by economic, procurement, safety, or other considerations. Such programs have also increased in significance due to growing awareness of their impact on trade and the increasing obligations placed on federal agencies to consider the impact of their regulatory and procurement actions on the U.S. as well as the international marketplace.

This directory does not include programs operated by the U.S. government to accredit or assess laboratories, though such programs may be mentioned if they are in integral part of a product or services conformity assessment program.

Information on laboratory accreditation and related assessment programs is included in a separate publication, NIST SP 808 *Directory of Federal Government Laboratory Accreditation/Designation Programs*.

This directory is part of ongoing NIST efforts to establish and maintain comprehensive databases on standards, regulations, certification programs and related information. This material has been compiled to meet the needs of government, industry, and the public for information on U.S. Government procurement and regulatory programs which affect product and services in the marketplace certification and related programs.

### Format

The entries in this directory are organized alphabetically by Department followed by Independent Commissions/Agencies. In addition, there is a cumulative index of programs by product/service, an index of acronyms, and a list of additional NIST publications of possible interest.

### Directory Changes

U.S. Government agencies are encouraged to notify NIST of any new programs or modifications to existing programs. Such information should be sent to:

National Institute of Standards and Technology  
Building 820, Room 282  
Gaithersburg, MD 20899  
Phone: (301) 975-4031  
Fax: (301) 963-2871  
e-mail: [maureen.breitenberg@nist.gov](mailto:maureen.breitenberg@nist.gov)

We intend to include the information in this publication on the NIST website at the following URL address:

<http://ts.nist/gsp>

We also intend to update the information on the website as changes are received.

U.S. DEPARTMENT OF AGRICULTURE

*Products or Services*

MEATS, PREPARED MEATS, AND MEAT PRODUCTS  
(Beef, Lamb, Veal, Calf, and Pork)

*Department/Agency*

U.S. Department of Agriculture (USDA)  
Agricultural Marketing Service (AMS)  
Livestock and Seed Division  
Meat Grading and Certification (MGC) Branch, Room 2628-S  
P.O. Box 96456, Stop 0248  
Washington, DC 20090-6456  
Phone: (202) 720-1113  
FAX: (202) 690-4119  
e-mail: barry\_l\_carpenter@usda.gov  
URL address: <http://www.ams.usda.gov/>

*Initiated*

1946.

*Compliance*

Voluntary.

*Authority*

Agricultural Marketing Act of 1946 (as amended).

*Aim*

To facilitate the marketing of livestock and meat.

*Benefits*

Through uniform grade standards, the meat grading system provides reliable identification of the value-determining actors of meat and a common language to facilitate trading. From producer to consumer, this system makes buying and selling more efficient and meaningful. The certification assists large scale buyers by providing impartial evaluation and certification that meat purchases meet their contract specifications.

*Methodology*

The MGC Branch provides on-site grading and certification of meats and meat products by the physical examination of product characteristics during the production process prior to the purchase. Also does supplier capability audits for suppliers of red meat products to the Bureau of Prisons and supplier assessments for ham suppliers for school lunch program.

*Testing*

Required tests are preformed in Government labs.

*Inspection*

MGC Branch personnel.

*Conformity Identification*

Approved USDA stamps and roller brands are applied in compliance with applicable standards or specifications.

*Enforcement*

USDA certification is withheld from products not complying with approved standards or specifications.

*Term*

Continuous inspection on a voluntary basis.

*Reciprocity*

None.

*Standards, Codes  
or Regulations*

The agency develops and maintains its own USDA approved standards and specifications for the various meat items.

*Keywords*

beef; certification; grading; lamb; meat; meat products;  
pork; veal

*Products or  
Services*

SEED

*Department/Agency*

U.S. Department of Agriculture (USDA)  
Agricultural Marketing Service (AMS)  
Livestock and Seed Division (LS)  
Seed Regulatory and Testing Branch  
Room 209, Bldg. 306, BARC-East  
Beltsville, MD 20705-2325  
Phone: (301) 504-9237  
FAX: (301) 504-5454  
e-mail: James P. Triplitt@usda.gov  
URL address: <http://www.ams.usda.gov/lsg/ls-sd.htm>

*Compliance*

Mandatory compliance with seed labeling requirements. Voluntary testing services also available for such factors as genetic purity, germination, weeds, chaff, and moisture.

*Authority*

Agricultural Marketing Act of 1946 (as amended).  
Federal Seed Act (FSA).

*Aim*

To help promote uniformity among State laws and fair competition within the seed trade.

*Benefits*

Helps ensure that the labeling information and related advertisements pertaining to seed are truthful and facilitates international marketing of seed.

*Methodology*

Agency serves as program administrator, regulator, and certifier (in some cases). Provides regulatory follow-up testing and voluntary seed testing services.

*Testing*

State seed control officials routinely inspect and sample seed. Branch personnel used for regulatory follow-up testing following receipt of a complaint of mislabeling and for voluntary testing services.

*Inspection*

See *Testing*.

*Conformity  
Identification*

Federal Seed Analysis Certificate.

*Enforcement*

Regulatory action can be taken against shippers of mislabeled seed ranging from letters of warning to monetary penalties.

*Term*

None. Requirements apply to each shipment.



<i>Reciprocity</i>	Many importing countries require a Federal Seed Analysis Certificate. The testing section is accredited by the International Seed Testing Association (ISTA).
<i>Standards, Codes or Regulations</i>	The agency develops and maintains its own USDA approved standards and specifications for the seed.
<i>Keywords</i>	agricultural seed; seed; vegetable seed

*Products or Services***PLANT VARIETIES***Department/Agency*

U.S. Department of Agriculture (USDA)  
 Agricultural Marketing Service (AMS)  
 Science and Technology  
 Plant Variety Protection (PVP) Office  
 National Agricultural Library Bldg., Room 500  
 Beltsville, MD 20705  
 Phone: (301) 504-5518  
 FAX: (301) 504-5291  
 e-mail: Marsha A Stanton@usda.gov  
 URL address: <http://www.ams.usda.gov/science/pvp.htm>

*Initiated*

1970.

*Compliance*

Voluntary.

*Authority*

Agricultural Marketing Act of 1946 (as amended).  
 The PVP Act.

*Aim*

To issue USDA plant variety certificates.

*Benefits*

Provides legal protection (similar to patents) to developers of new varieties of plants which are sexually produced by seed or are tuber propagated.

*Methodology*

Agency issues a Certificate of Protection to an owner of a variety after examination shows that it is new, distinct from other varieties, and genetically uniform and stable through successive generations.

*Testing*

Proof of the distinctness, uniformity, and stability of new variety lies with the owner. The PVP Office uses the information submitted and databases it maintains for crops and other sources to determine which, if any, varieties are indistinguishable from the new one. The PVP does not perform tests to confirm distinctness of variety. That responsibility rests with the applicant.

*Inspection*

See *Testing*.

*Conformity Identification*

Certificates of Protection.

*Enforcement*

Owners of a protected variety may bring civil action against persons infringing on his/her rights. USDA does not take legal action.

*Term* Twenty years for most crops; 25 years for trees, shrubs, and vines.

*Reciprocity* Member of the International Union for the Protection of New Varieties of Plants (UPOV).

*Keywords* plants; plant varieties; certification

<i>Products or Services</i>	RAW COTTON
<i>Department/Agency</i>	U.S. Department of Agriculture (USDA) Agricultural Marketing Service (AMS) Cotton Programs, Rm. 2641-S Washington, DC 20250 Phone: (202) 720-3193 e-mail: Mary_E_Atienza@usda.gov URL address: <a href="http://www.ams.usda.gov/">http://www.ams.usda.gov/</a>
<i>Initiated</i>	1916.
<i>Compliance</i>	Mandatory for cotton delivered on Futures Contracts. May also be mandatory for government financed exports and for the Commodity Credit Corporation (CCC) sales program. Voluntary grading services are also provided on a fee basis.
<i>Authority</i>	7 CFR Part 27. U.S. Cotton Futures Act.
<i>Aim</i>	To certify quality of cotton delivered on Futures Contracts according to official U.S. Standards.
<i>Benefits</i>	Orderly settlement of cotton Futures Contracts.
<i>Methodology</i>	Government agency classes (grades) cotton samples taken from bales expected to be tendered on the futures market and issues certificates certifying quality.
<i>Testing</i>	Government labs.
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	Grade certificates.
<i>Availability of Documentation</i>	List of government cotton classing offices available from above address.
<i>Obligations of the Manufacturer/Vendor</i>	To order samples taken and transported to government classing offices.
<i>Enforcement</i>	Decertification.
<i>Term</i>	One year from date of original certification.
<i>Reciprocity</i>	Other federal agencies.

*Standards, Codes  
or Regulations*

The agency prepares all criteria documents.

*Keywords*

certification; classing; cotton quality; grading

<i>Products or Services</i>	DAIRY PRODUCTS, PLANTS AND EQUIPMENT (Including Cheese, Nonfat Dry Milk, Dry Whey, Dry Buttermilk and Dried and Condensed Milk, Butter)
<i>Department/Agency</i>	U.S. Department of Agriculture (USDA) Agricultural Marketing Service (AMS) Dairy Programs P.O. Box 96456 Washington, DC 20090-6456 Phone: (202) 720-4392 FAX: (202) 690-3410 e-mail: Richard M.McKee@usda.gov URL address: <a href="http://www.ams.usda.gov/">http://www.ams.usda.gov/</a>
<i>Initiated</i>	1925.
<i>Compliance</i>	Voluntary. However, all dairy product offered for sale to the federal government under the dairy price support program or sanctioned under such programs as the Dairy Export Incentive Program (DEIP) are inspected by AMS graders.
<i>Authority</i>	7 CFR Part 58. The Agricultural Marketing Act of 1946 (as amended).
<i>Aim</i>	To assist the dairy industry in marketing high-quality dairy products by providing buyers and sellers with an impartial appraisal of product quality and to provide the consumer confidence in buying.
<i>Benefits</i>	Provides buyers and sellers with an impartial appraisal of product quality; stimulates manufacturers to produce uniformly high quality, stable products; assures the quality of dairy products so consumers can buy with confidence.
<i>Methodology</i>	Government provides: (1) plant inspections and equipment reviews; (2) inspection and grading; (3) dairy product grades and quality approval; and (4) resident grading and quality control for approved plants with a USDA-approved laboratory.
<i>Testing</i>	Government labs. Government accredited labs.
<i>Inspection</i>	Government. State government.
<i>Conformity Identification</i>	List of approved dairy plants/equipment. Authorized grading marks are applied on products for which grading standards are established.



<i>Availability of Documentation</i>	List of approved dairy plants and accepted equipment is available from the above mailing address or at URL address.
<i>Obligations of the Manufacturer/Vendor</i>	Approved dairy plants must maintain quality control in plants and comply with grading requirements.
<i>Enforcement</i>	Delisting. Product recall.
<i>Term</i>	Dairy plants are reinspected at least twice a year.
<i>Reciprocity</i>	Other federal agencies. State agencies.
<i>Standards, Codes or Regulations</i>	The agency prepares all criteria documents and grading standards. May use standards prepared by the 3-A Sanitary Standards Committees for dairy equipment.
<i>Keywords</i>	butter; cheese; dairy products; food quality; grading

*Products or Services*

FRESH FRUITS, VEGETABLES, NUTS, AND RELATED PRODUCTS

*Department/Agency*

U.S. Department of Agriculture (USDA)  
 Agricultural Marketing Service (AMS)  
 Fruit and Vegetable Programs  
 Fresh Product Branch, Room 2049-South  
 P.O. Box 96456  
 Washington, DC 20090-6456  
 Phone: (202) 720-5870  
 FAX: (202) 720-0393  
 e-mail: Robert\_C\_Keeney@usda.gov  
 URL address: <http://www.ams.usda.gov/>

*Initiated*

1917.

*Compliance*

Voluntary, except for commodities that are regulated for quality by a marketing order or marketing agreement, or that are subject to import or export requirements.

*Authority*

Agricultural Marketing Act of 1946 (as amended).

*Aim*

Orderly trade in fresh fruits and vegetables based on standard nomenclature. Common basis for settling market disputes over quality of products.

*Benefits*

Improve efficiency in buying and selling produce based on official and standardized grading which is consistent throughout the nation. Inspection certificates are accepted in court as prima facie evidence of produce condition at the time of inspection.

*Methodology*

Federal or state inspection usually conducted at the shipping point as produce is being packed for shipment to market. May also be graded at destination to determine current grade.

*Inspection*

Federal government inspection.  
 Inspection by state government inspectors trained by USDA.

*Conformity Identification*

Certificate of inspection.

*Availability of Documentation*

There are no lists of participating producers.

*Obligations of the Manufacturer/Vendor*

Must have a financial interest in the product. Pay assessed fee for service rendered.

<i>Enforcement</i>	Although nearly all aspects of this program are voluntary, a full range of enforcement options apply to shippers who practice fraud.
<i>Term</i>	Certification is done on a lot by lot basis.
<i>Reciprocity</i>	USDA grade marking is recognized nationwide and worldwide in both private and public sectors.
<i>Standards, Codes or Regulations</i>	Grading criteria are established by AMS.
<i>Keywords</i>	food quality; fruits; grading; nuts; vegetables

*Products or Services*

PROCESSED (Canned, Frozen, Dehydrated, or Fresh-Cut)  
FRUITS AND VEGETABLES

*Department/Agency*

U.S. Department of Agriculture (USDA)  
Agricultural Marketing Service (AMS)  
Fruit and Vegetable Programs  
Processed Products Branch  
P.O. Box 96456  
Washington, DC 20090-6456  
Phone: (202) 720-4693  
FAX: (202) 690-1527  
e-mail: james\_r\_rodeheaver@usda.gov  
URL address: <http://www.ams.usda.gov/>

*Initiated*

1931.

*Compliance*

Voluntary, except for products covered by federal or state marketing orders.

*Authority*

7 CFR Part 52.  
The Agricultural Marketing Act of 1946 (as amended).

*Aim*

Provide an objective evaluation of quality and condition of various processed food products and conditions under which they are produced.

*Benefits*

Can check overall production quality and provide an impartial evaluation of the final product's quality.

*Methodology*

Agency provides voluntary grading and inspection service. Services can include: inspection of processing plants for compliance with government or buyer sanitation requirements; checking warehouse lots for condition of food containers and wholesomeness of product; case stamping to provide lot identity; and check loading to verify identity and quantity.

*Testing*

Government lab.  
Manufacturer's lab under review by government inspectors. State labs if state is cooperating in program. Third party labs may be used by manufacturer for quality control.

*Inspection*

Federal government inspection.  
Inspection by cooperating state government inspectors.

*Conformity Identification*

Authorized grade and/or inspection marks applied by manufacturer. Government applied mark is restricted to officially sampled lots.

<i>Availability of Documentation</i>	List of processing plants under contract is published annually and is available from the above address.
<i>Obligations of the Manufacturer/Vendor</i>	Make product accessible for sampling. Produce product in accordance with the good manufacturing practices (GMPs) as defined in the Food and Drug Administration's regulations.
<i>Enforcement</i>	Since bulk of program is voluntary, means of enforcement is withdrawal of labeling privilege or withdrawal of service. When Marketing Orders are in effect, agency sponsoring the order has authority for product recall or marketing ban.
<i>Term</i>	Term is set by contract; activity may be renewed and/or may provide for continuous inspection.
<i>Reciprocity</i>	Certificates are recognized by other federal agencies for procurement. Certificates of Sampling from states are recognized by Agency under certain cooperative agreements.
<i>Standards, Codes or Regulations</i>	Most acceptance criteria are based on requirements or specifications developed by federal or state agencies; however, sometimes buyer specifications are used.
<i>Keywords</i>	agricultural marketing orders; food quality; fruits; good manufacturing practices; grading; in-plant inspection; processed foods; sanitation; vegetables; third party auditing; food safety systems; food quality systems; food wholesomeness

*Products or  
Services*

TOBACCO AND NAVAL STORES

*Department/Agency*

U.S. Department of Agriculture (USDA)  
Agricultural Marketing Service (AMS)  
Tobacco Programs  
P.O. Box 96456  
Washington, DC 20090-6456  
Phone: (202) 205-0567  
FAX: (202) 205-0235  
URL address: <http://www.ams.usda.gov/tob/>

*Initiated*

Tobacco - 1935.  
Naval Stores - 1923.

*Compliance*

Tobacco:  
Mandatory only for domestic tobacco sold on designated auction markets and all imported tobacco, except cigar and oriental, offered for importation into the United States.

Naval Stores:  
Voluntary.

*Authority*

The Tobacco Inspection Act.  
The Dairy and Tobacco Adjustment Act.  
The Naval Stores Act.

*Aim*

To facilitate the orderly marketing of unmanufactured tobacco.

*Benefits*

Helps producers move commodities to consumers quickly, fairly and efficiently.

*Methodology*

Government grading in accordance with U.S. Official Standard Grades and Specifications.

*Testing*

Naval Stores:  
Government lab certifies results of manufacturer's lab.

*Inspection*

Tobacco:  
Federal government inspection.

Naval Stores:  
Official inspectors.  
Licensed inspectors.



*Conformity  
Identification*

Tobacco:  
Government certificates.

Naval Stores:  
Government certificates and authorized mark by  
manufacturer.

*Availability  
of Documentation*

Documentation is confidential.

*Obligations of the  
Manufacturer/Vendor*

Proper lighting and adequate space.

*Enforcement*

Tobacco:  
Reduction of sales opportunity or withdrawal of  
inspection.

Naval Stores:  
Withdrawal of inspection.

*Term*

Continuous inspection.

*Reciprocity*

Recognition of certification by other federal agencies  
and international organizations.

*Standards, Codes  
or Regulations*

7 CFR Part 29, Subpart C - Standards.  
7 CFR Part 160, Regulations and Standards for Naval  
Stores.  
ASTM Designation D 233, Sampling and Testing Turpentine.

*Keywords*

agricultural marketing orders; food quality; good  
manufacturing practices; inspection; naval stores;  
rosin; sanitation; tobacco; turpentine

Received 12/97

<i>Products or Services</i>	POULTRY (Chickens, Turkeys, Ducks, Geese, Guineas, and Pigeons), SHELL EGGS, AND RABBITS
<i>Department/Agency</i>	U.S. Department of Agriculture (USDA) Agricultural Marketing Service (AMS) Poultry Division, Rm. 3932-S P.O. Box 96456 Washington, DC 20090-6456 Phone: (202) 720-4476 Telex: 89-491 TWX: 710-822-9424 and 710-822-1104 FAX: (202) 720-5631 e-mail: D Michael Holbrook@usda.gov URL address: <a href="http://www.ams.usda.gov/">http://www.ams.usda.gov/</a>
<i>Initiated</i>	1917.
<i>Compliance</i>	Voluntary.
<i>Authority</i>	Laws: Agricultural Marketing Act of 1946 (as amended) (60 Stat. 1087-1091; U.S.C. 1621-1627). Egg Products Inspection Act (84 Stat. 1620-1635; 21 U.S.C. 1031-1056).  Regulations: Poultry and rabbit grading - Regulations Governing the Voluntary Grading of Poultry Products and Rabbit Products and U.S. Classes, Standards, and Grades (7 CFR Part 70). Shell egg grading - Regulations Governing the Grading of Shell Eggs and United States Standards, Grades, and Weight Classes for Shell Eggs (7 CFR Part 56). Mandatory shell egg product inspection - Regulations Governing the Inspection of Eggs and Egg Products (7 CFR Part 59).
<i>Aim</i>	To develop and improve standards of quality, condition, quantity, grade, and packaging, and recommend and demonstrate such standards in order to encourage uniformity and consistency in commercial practices and enhance the orderly and efficient marketing of shell eggs, poultry and poultry products.  Through the Shell Egg Surveillance program, fair competition in the movement and sale of consumer eggs in commerce is enhanced by inspecting shell eggs and assuring they do not contain excess restricted eggs. Additionally, surveillance inspections ensure that restricted eggs generated from processing operations are properly labeled and handled accordingly.

<i>Benefits</i>	Benefits include: third party evaluation; easier dispute settlement; more accurate market price reporting; more equitable competition; fewer rejections at destination; established buying guides (specifications); reduced illness; and upgraded product quality.
<i>Methodology</i>	Testing/inspection/grading is conducted by AMS or federally licensed state graders and authorization given to use grade marks as appropriate.
<i>Testing</i>	Conducted in Government laboratories or in approved state laboratories.
<i>Inspection/Grading</i>	Conducted by Federal government inspectors/graders or Federally licensed state graders.
<i>Conformity Identification</i>	Stamps (authorized marks). Certificates. Labeling. Seals.
<i>Availability of Documentation</i>	Single copies of regulations may be obtained from the Agency. Multiple copies may be obtained from the Superintendent of Documents, U.S. Government Printing Office.
<i>Obligations of the Manufacturer/Vendor</i>	To operate in a sanitary manner; maintain volume records; comply with regulations; perform required laboratory tests, when applicable; reimburse Government for cost of voluntary inspections and gradings; provide access to products; and provide access to equipment and facilities necessary for accomplishing official duties.
<i>Enforcement</i>	Product retention or recall; withdrawal of service; laboratory comparison samples; removal/withhold official identification; reinspection/regrading; judicial system.
<i>Term</i>	Continuous or intermittent voluntary inspection.
<i>Reciprocity</i>	Use of licensed State employees. Recognition of certification of ingredients by manufacturer. Recognition of certification by approved government laboratory.
<i>Standards, Codes or Regulations</i>	See <i>Authority</i> .
<i>Keywords</i>	contract acceptance; eggs; grading branch; grading; poultry; rabbits; shell eggs

*Products or Services*

## REFRIGERATED VEHICLES AND REFRIGERATION UNITS

*Department/Agency*

U.S. Department of Agriculture (USDA)  
Agricultural Marketing Service (AMS)  
Transportation and Marketing Division (TMD)  
ATP Manager  
Room 1217 South Building  
Washington, DC 20250  
Phone: (202) 690-1319  
FAX: (202) 690-1340  
e-mail: brian m mcgregor@usda.gov  
URL address: <http://www.ams.usda.gov/tmd/>

*Initiated*

1986.

*Compliance*

Mandatory only for equipment transporting perishable foodstuffs between countries in Europe, when the receiving country is a contracting party to the Agreement on the International Carriage of Perishable Foodstuffs Act and on the Special Equipment To Be Used for Such Carriage (ATP). Transport operations involving a movement of more than 150 km by sea are exempt. The Agreement does not apply to carriage in the United States or any of its territories.

*Authority*

7 CFR Part 3300.  
The International Carriage of Perishable Foodstuffs Act of 1982, P.L. 97-325.

*Aim*

The ATP was developed by the U.N. Economic Commission for Europe, of which the United States is a member, to improve the conditions of preservation of perishable foodstuffs during their carriage, particularly in international trade.

*Benefits*

The objective of U.S. participation in the ATP are to protect and expand trade in perishable foodstuffs transported in U.S. equipment to Europe and improve the sale of U.S. made equipment.

*Methodology*

Requires manufacturer's guarantee that serially-produced equipment conforms to the reference equipment which has been tested. Agency approves test facilities, audits inspections and testing, and provides ATP certificates.

*Testing*

Agency approves and monitors test facilities.

<i>Inspection</i>	Provides for self-inspection of equipment in service by U.S. owners based on reference tests in approved test facilities. Agency issues U.S. ATP certificates based on statements and reports of the owners and the test facilities.
<i>Conformity Identification</i>	Approved equipment requires an authorized ATP certification plate and distinguishing mark along with a manufacturers plate.
<i>Availability of Documentation</i>	Lists of approved test facilities and fees for certificates can be obtained from the ATP Manager at the above address. Copies of the ATP, the Act, the Senate Report, and 7 CFR Part 3300 are also available.
<i>Obligations of the Manufacturer/Vendor</i>	Approved test facilities must be open to the public, maintain test records for three years, and permit the ATP Manager to review records and observe tests. Owners of equipment with U.S. ATP certificates have the responsibility to maintain equipment in good repair.
<i>Enforcement</i>	Delisting of test stations, laboratories, and certificates.
<i>Term</i>	Approval of test stations and laboratories is good for 5 years. Certificates for new equipment are good for 6 years. Renewal certificates are good for 6 years with a test. Renewals or transfers with an inspection are good for 3 years minimum.
<i>Reciprocity</i>	U.S. ATP certificates are recognized by the 28 countries that are contracting parties to the Agreement under a reciprocal arrangement.
<i>Standards, Codes or Regulations</i>	The Agreement and 7 CFR 3300 define all the acceptance criteria.
<i>Keywords</i>	containers; food; frozen food; international agreement; rail cars; refrigerated; refrigeration units; trailers; transportation



*Products or  
Services*

ORGANIC GROWN FOOD PRODUCTS

*Department/Agency*

U.S. Department of Agriculture (USDA)  
Agricultural Marketing Service (AMS)  
National Organic Program (NOP)  
Room 2510 South Building  
P.O. Box 96456  
Washington, DC 20090-6456  
Phone: (202) 720-3252  
FAX: (202) 690-3924  
URL address: <http://www.ams.usda.gov.nop>

*Initiated*

Proposed Rule issued 12/16/97 in the *Federal Register* (62 FR 65849). Comment period extended until 4/30/98. On May 8, 1998, the Secretary indicated that fundamental revisions to the proposed rule were expected based on the 200 000 comments received on the proposed rule.

*Compliance*

Mandatory upon issuance of the final Rule.

*Authority*

Organic Foods Production Act (OFPA) of 1990; 7 U.S.C. 6501 et seq.

*Aim*

To establish national standards governing the marketing of certain agricultural products as organically produced. The Act also requires the USDA to establish an organic certification program for producers and handlers of agricultural products that are produced using organic methods.

*Benefits*

The NOP is intended to bring stability and credibility to a rapidly expanding market. When the final Rule is implemented, a wider variety of organically produced products, especially meat and poultry, will be available for domestic consumption through a greater number of markets; organic producers will have easier access to foreign markets, particularly the European Union; consumers will be assured that products labeled as organic have been produced using consistent practices; assurance will be provided by USDA that products organically grown in other countries and sold in the United States were produced using equivalent standards and similar oversight standards; and the USDA seal will be available for use on organically grown products to indicate they have been produced under regulated standards and certified by an agency that has been accredited by the USDA.

*Methodology*

This program would establish national standards for the organic production and handling of agricultural

products, which would include a National List of synthetic substances approved for use in the production and handling of agriculturally produced products. It would also establish an accreditation program for farm, wild crop harvesting, and handling operations that want to be certified as meeting the program's requirements. The program would also include labeling requirements for organic products and products containing organic ingredients, and enforcement provisions. The proposed rule provides for the approval of State organic programs and for the importation into the United States of organic agricultural products from foreign programs determined to have requirements at least equivalent to those of the NOP.

<i>Testing</i>	Approved state programs and private organizations.
<i>Inspection</i>	Approved state programs and private organizations.
<i>Conformity Identification</i>	A USDA seal will be available for use on organically grown products to indicate they have been produced under regulated standards and certified by an agency that has been accredited by USDA.
<i>Availability of Documentation</i>	State Programs: Public access to certification documents and laboratory analyses that pertain to certification.  Private Organizations: Public access to non-confidential business information as permitted by the producer and approved by the Secretary.
<i>Obligations of the Manufacturer/Vendor</i>	Producers and handlers are obligated to produce to national standards and to label their products accordingly.
<i>Enforcement</i>	Product retention; product recall; withdrawal of certification status; product relabelling; or judicial systems.
<i>Term</i>	Certifying agents must be reaccredited every 5 years.
<i>Reciprocity</i>	Accredited certifying agents would be authorized to certify operations that meet the requirements of the NOP. Any operations certified by accredited certifying agents would enjoy full equivalency.
<i>Standards, Codes or Regulations</i>	Proposed Rule issued December 16, 1997, 7 CFR Part 205 National Organic Program.
<i>Keywords</i>	accreditation; crops; food; labeling; livestock; organic food; organic produce; packaging; produce



*Products or Services*

## PLANTS AND UNPROCESSED PLANT PRODUCTS FOR IMPORT

*Department/Agency*

U.S. Department of Agriculture (USDA)  
Animal and Plant Health Inspection Service (APHIS)  
Plant Protection and Quarantines Services  
Biological Assessments and Taxonomic Support (BATS)  
4700 River Road, Unit 133  
Riverdale, MD 20737-1236  
Phone: (301) 734-5055  
Telex: 89607 ADEHVLE  
FAX: (301) 734-8700  
Automated document FAX: (301) 734-4327  
URL address: <http://www.aphis.usda.gov/ppq/bats/permits>

*Initiated*

1912.

*Compliance*

Mandatory. Requirements dependant on product and country of origin.

*Authority*

Plant Quarantine Act of 1912, as amended.  
Federal Plant Pest Act of 1957, as amended.

*Aim*

To assist in preventing the introduction and dissemination of exotic plant pests, including arthropods, snails, and plant pathogens into and throughout U.S. agriculture.

*Benefits*

The permit system serves to notify prospective importers of the entry status and special entry requirements for their imports. This aids in preventing the arrival on U.S. shores of plant material potentially infested with exotic plant pests. The permit system also provides the agency with a list of importers of plants and plant products.

*Methodology*

Agency reviews applications, issues permits, and provides information on entry requirements and regulatory changes. Also conducts pre-import evaluation against entry requirements. Reviews regulations and evaluates pests associated with product in country of origin.

*Testing*

Plant and plant materials must usually be accompanied by a phytosanitary certificate issued by an official of the exporting country

*Conformity Identification*

Valid import permit number.

<i>Availability of Documentation</i>	Lists of approved commodities and entry requirements from each country available from above address. Information on permit holders available only through the freedom of information process.
<i>Obligations of the Manufacturer/Vendor</i>	Importer must make written application for permit.
<i>Term</i>	Permits issued for varying time periods ranging from 1 day to 5 years, depending on the product.
<i>Reciprocity</i>	Import permit is recognized by foreign plant protection services and by state plant protection organizations.
<i>Standards, Codes or Regulations</i>	Criteria for permits are established by the Acts and the regulations promulgated therefrom.
<i>Keywords</i>	import; permit; plant health; plant quarantine; plant products; plant

*Products or Services*

## PLANTS AND UNPROCESSED PLANT PRODUCTS FOR EXPORT

*Department/Agency*

U.S. Department of Agriculture (USDA)  
 Animal and Plant Health Inspection Service (APHIS)  
 Plant Protection and Quarantines Services  
 Biological Assessments and Taxonomic Support (BATS)  
 4700 River Road, Unit 133  
 Riverdale, MD 20737-1236  
 Phone: (301) 734-5055  
 Telex: 89607 ADEHVLE  
 FAX: (301) 734-8700  
 Automated document FAX: (301) 734-4327  
 URL address: <http://www.aphis.usda.gov/ppq/bats/permits/>

*Initiated*

1913.

*Compliance*

Voluntary in U.S.; but often mandatory for exporting to a foreign country.

*Authority*

Department of Agriculture Organic Act of 1944, as amended.  
 7 CFR Part 353.

*Aim*

To assist in foreign marketing of American agricultural products.

*Benefits*

Most foreign countries require that shipment of plants and unprocessed or unmanufactured plant products be accompanied by phytosanitary (plant health) certificates certifying conformity with the receiving country's plant quarantine import regulations. The certificates are issued to exporters based upon physical inspection and the determination that the commodity is free from insect pests, plant diseases, and other organisms considered harmful by the receiving country. Phytosanitary certificates are not issued to satisfy letters of credit or other commercial contract terms and are not certifications of grade or quality.

*Methodology*

Inspection is conducted by federal government and state government cooperators, who issue phytosanitary (plant health) certificates certifying conformity with the receiving country's plant quarantine import regulations.

*Testing*

Testing in government labs and recognized state and university labs.

*Conformity Identification*

Federal Phytosanitary Certificate.

<i>Availability of Documentation</i>	Information regarding foreign country plant quarantine import requirements is maintained at above address and at Agency offices at major points of entry into the United States.
<i>Obligations of the Manufacturer/Vendor</i>	Exporter must make written application for inspection and make commodity available for physical inspection. Applications for active growth field inspections must be directed to the appropriate state plant regulatory agency in advance of the planting season.
<i>Enforcement</i>	Federal certification is withheld from commodities not complying with the plant quarantine import requirements of the foreign country.
<i>Term</i>	Inspections normally not valid if conducted more than 14 days prior to commodity export.
<i>Reciprocity</i>	Certification is recognized by foreign plant protection services and by regional plant protection organizations.
<i>Standards, Codes or Regulations</i>	Criteria for certification are established by each foreign country.
<i>Keywords</i>	export certification; export; phytosanitary; plant health; plant quarantine; plant products; plant; re-export

*Products or Services*

## ANIMAL BY-PRODUCTS FOR EXPORT

*Department/Agency*

U.S. Department of Agriculture (USDA)  
 Animal and Plant Health Inspection Service (APHIS)  
 Veterinary Services  
 National Center for Import-Export Product Program (NCIE)  
 4700 River Road, Unit 40  
 Riverdale, MD 20737-1231  
 Phone: (301) 734-3277  
 FAX: (301) 734-8226  
 Telex: 89607 ADEHVLE  
 URL address: <http://www.aphis.usda.gov/ncie>

*Initiated*

1946.

*Compliance*

Voluntary in U.S.; but often mandatory for exporting to a foreign country.

*Authority*

Laws: Agricultural Marketing Act of 1946, Sections 203 and 204.  
 Regulations: 9 CFR Part 156.

*Aim*

To assist U.S. exporters in complying with import requirements of foreign countries.

*Benefits*

Most foreign countries require shipments of certain animal by-products to be accompanied by certificates indicating the class, quality, and condition of the by-product and the U.S. status relative to certain livestock diseases. The certificates are issued to exporters based upon physical inspection, Department policy regarding the absence of certain diseases in the United States, and endorsement of certain certifications made by state or accredited veterinarians.

*Methodology*

Inspection is conducted by federal government and/or state government cooperators.

*Testing*

None.

*Conformity Identification*

USDA: export certificate, stamp endorsement, or letterhead certification.

*Availability of Documentation*

There are no lists of participating exporters. Copies of regulations may be obtained from the Agency.

*Obligations of the Manufacturer/Vendor*

In some cases, exporters must enter a cooperative agreement with Veterinary Services (VS); make written application to the Deputy Administrator, VS; and make product available for inspection.

<i>Term</i>	No specific term; based on time limits set forth by importing country.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	Criteria for certification are established by each foreign country.
<i>Keywords</i>	animal by-product; export; export certification

*Products or Services*

## LIVESTOCK FOR IMPORT

*Department/Agency*

U.S. Department of Agriculture (USDA)  
 Animal and Plant Health Inspection Service (APHIS)  
 Veterinary Services  
 National Center for Import-Export Animals Program (NCIE)  
 4700 River Road, Unit 39  
 Riverdale, MD 20737-1231  
 Phone: (301) 734-8364  
 Telex: 89607 ADEHVLE  
 FAX: (301) 734-6402  
 Automated document FAX: (301) 734-4952  
 URL address: <http://www.aphis.usda.gov/ncie>

*Initiated*

1913.

*Compliance*

Mandatory.

*Authority*

Laws:  
 Virus-Serum-Toxin Act of 1913, as amended  
 (21 U.S.C. 111, 151-158) (7 U.S.C. 430).  
 Act of June 17, 1930 (Tariff Act Section 201)  
 (19 U.S.C. 1202) (46 Stat. 673).  
 Act of June 17, 1930 (Tariff Act-Section 306)  
 (19 U.S.C. 306) (46 Stat. 689).  
 Act of July 2, 1962 - P.L. 518 (21 U.S.C. 134)  
 (76 State 129).  
 Act of May 6, 1970 - P.L. 91-239 (21 U.S.C. 135)  
 (84 Stat. 202).

Regulations:  
 9 CFR Chapter I, Subchapter D, Parts 92, 94, 97, and 122.

*Aim*

To assist in preventing the introduction and dissemination of exotic animal diseases into the U.S. livestock population.

*Benefits*

The permit system serves to notify importers about special entry requirements and handling procedures for imports. Uniform central control of imports.

*Methodology*

Agency reviews applications; monitors international livestock and poultry disease data; and provides information on entry requirements and regulatory changes. Agency evaluates the importer's ability to handle the disease agents, organisms or vectors in a safe manner. Also issues permits and provides information on entry requirements and regulatory changes.



<i>Testing</i>	Livestock and poultry must be accompanied by a health certificate issued by an official of the exporting country. Livestock and poultry must meet test requirements for specific disease agents.
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	Valid import permit and health certificates.
<i>Availability of Documentation</i>	Copies of regulations may be obtained from the Agency. Information on permit holders available only through the Freedom of Information process.
<i>Obligations of the Manufacturer/Vendor</i>	Comply with regulations and conditions of permits, maintain records, provide access to facilities and records for inspection.
<i>Enforcement</i>	Revocation of permit, judicial system, refuse entry of imports.
<i>Term</i>	Permits are issued for 1 year.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	See <i>Authority</i> .
<i>Keywords</i>	import; organisms; permit; vectors; disease; livestock

<i>Products or Services</i>	IMPORTED BIOLOGICAL PRODUCTS (Livestock or Avian-Origin Products and By-products; Products Exposed to Animal or Avian Material; Cell-Derived Material; and Microorganisms)
<i>Department/Agency</i>	U.S. Department of Agriculture (USDA) Animal and Plant Health Inspection Service (APHIS) Veterinary Services National Center for Import-Export Product Program (NCIE) 4700 River Road, Unit 40 Riverdale, MD 20737-1231 Phone: (301) 734-7830 Telex: 89607 ADEHVLE FAX: (301) 734-8226 Automated document FAX: (301) 734-4952 URL address: <a href="http://www.aphis.usda.gov/ncie">http://www.aphis.usda.gov/ncie</a>
<i>Compliance</i>	Mandatory.
<i>Authority</i>	9 CFR Parts 92, 94, 95, and 122.
<i>Aim</i>	To assure that animal biological products imported are safe.
<i>Benefits</i>	To prevent the introduction and spread of animal diseases; to avoid risk to public health and well-being; and to improve product quality.
<i>Methodology</i>	Importation requires an import permit from USDA and compliance with USDA regulations.
<i>Testing</i>	Safety testing or irradiation of some products.
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	Permits, certificates.
<i>Availability of Documentation</i>	Single copies of regulations may be obtained from the Agency. Multiple copies may be ordered from the Superintendent of Documents, U.S. Government Printing Office.
<i>Obligations of the Manufacturer/Vendor</i>	Comply with regulations. Maintain detailed records. Complete permit application
<i>Enforcement</i>	Government non-release of product; market suspension; reinspection; judicial system.
<i>Term</i>	Annual with one year renewal.

*Reciprocity*

None.

*Keywords*

animal-derived materials; biological products; materials of animal origin; materials of avian origin; microorganism; vector;

*Products or  
Services*

## VETERINARY BIOLOGICS

*Department/Agency*

U.S. Department of Agriculture (USDA)  
Animal and Plant Health Inspection Service (APHIS)  
Veterinary Services  
Center for Veterinary Biologics  
4700 River Road  
Riverdale, MD 20737-1231  
Phone: (301) 734-8245  
Telex: 89607 ADEHVLE  
FAX: (301) 734-8910  
e-mail: [despeseth@aphis.usda.gov](mailto:despeseth@aphis.usda.gov)  
URL address: <http://www.aphis.usda.gov/>

*Initiated*

1913.

*Compliance*

Mandatory.

*Authority*

Laws:  
Virus-Serum-Toxin Act of 1913, as amended  
(21 U.S.C. 151-159) (7 U.S.C. 430).

Regulations:  
9 CFR Chapter I, Subchapter E, Parts 101-199

*Aim*

To ensure that biologics are free of disease producing agents, especially foreign animal diseases; to develop appropriate standards and procedures for product release; to issue licenses and permits; to monitor and inspect products and facilities; and to control field tests and release of veterinary products.

*Benefits*

To assure that veterinary biologics imported into or prepared in the United States are pure, safe, potent, and efficacious.

*Methodology*

Veterinary biologics must be registered/licensed. Permits are required to import veterinary products. Pre-licensing/ registration inspection/testing is conducted as well as batch/serial check inspection/testing and post release compliance inspection/testing as appropriate.

*Testing*

Government.

*Inspection*

Government.

*Conformity  
Identification*

Labeling, licensing/registration and permits.

<i>Availability of Documentation</i>	Single copies of regulations may be obtained from the Agency. Multiple copies may be ordered from the Superintendent of Documents, U.S. Government Printing Office.
<i>Obligations of the Manufacturer/Vendor</i>	Comply with regulations; maintain detailed records; complete permit application.
<i>Enforcement</i>	Government non-release of product; market suspension; reinspection; or judicial system.
<i>Term</i>	Continuous market release.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	See <i>Authority</i> .
<i>Keywords</i>	biologics; veterinary biologics; serums

*Products or Services*

MEAT, MILK, AND POULTRY PRODUCTS FOR IMPORT

*Department/Agency*

U.S. Department of Agriculture (USDA)  
 Animal and Plant Health Inspection Service (APHIS)  
 Veterinary Services  
 National Center for Import-Export Product Program (NCIE)  
 4700 River Road, Unit 40  
 Riverdale, MD 20737-1231  
 Phone: (301) 734-3277  
 Telex: 89607 ADEHVLE  
 FAX: (301) 734-8226  
 URL address: <http://www.aphis.usda.gov/ncie>

*Initiated*

1890.

*Compliance*

Mandatory.

*Authority*

Laws:  
 Act of August 30, 1890 (Animal Quarantine Acts; 21 U.S.C. 102 through 105) (26 Stat. 414).  
 Act of February 2, 1903 (21 U.S.C. 111) (32 Stat. 792).  
 Act of June 17, 1930 (Tariff Act Section 201) (19 U.S.C. 1202) (46 Stat. 673).  
 Act of June 17, 1930 (Tariff Act-Section 306) (19 U.S.C. 306) (46 Stat. 689).  
 Act of July 2, 1962 - P.L. 518 (21 U.S.C. 134) (76 Stat. 129).  
 Act of May 6, 1970 - P.L. 91-239 (21 U.S.C. 135) (84 Stat. 202).

Regulations:  
 9 CFR Chapter I, Subchapter D, Parts 94, 95, and 96.

*Aim*

To assure that imported animal products are properly cooked and handled in a manner to prevent the entry and dissemination of exotic animal diseases into the U.S. livestock population.

*Benefits*

The permit system serves to notify importers about special entry requirements and handling procedures for imports. Uniform central control of imports.

*Methodology*

Agency reviews applications and evaluates importer's ability to meet criteria for import. Also issues permits and provides information on entry requirements and regulatory changes.

*Testing*

None.

<i>Inspection</i>	Government.
<i>Conformity Identification</i>	Valid import permit and certificates.
<i>Availability of Documentation</i>	Copies of regulations may be obtained from the Agency. Information on permit holders available only through the Freedom of Information process.
<i>Obligations of the Manufacturer/Vendor</i>	Comply with regulations and conditions of permit. Maintain records and provide access to facilities and records for inspection.
<i>Enforcement</i>	Revocation of permit, judicial system, refuse entry of imports.
<i>Term</i>	Permits are issued for 1 month to 1 year.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	See <i>Authority</i> .
<i>Keywords</i>	animal product; import; meat; milk; permit



*Products or  
Services*

## SPECIFIED ANIMALS/BIRDS FOR EXPORT

*Department/Agency*

U.S. Department of Agriculture (USDA)  
Animal and Plant Health Inspection Service (APHIS)  
Veterinary Services  
National Center for Import-Export Animals Program (NCIE)  
4700 River Road, Unit 39  
Riverdale, MD 20737-1231  
Phone: (301) 734-8364  
Telex: 89607 ADEHVLE  
FAX: (301) 734-6402  
Automated document FAX: (301) 734-4952  
URL address: <http://www.aphis.usda.gov/ncie>

*Initiated*

1884.

*Compliance*

Mandatory.

*Authority*

Laws:  
Act of May 29, 1884 (21 U.S.C. 112, 113, 120).  
Act of May 29, 1884 (21 U.S.C. 114a).  
Act of February 2, 1903 (21 U.S.C. 121).  
Act of July 2, 1962 (21 U.S.C. 134, 134f).  
Act of March 4, 1907 (21 U.S.C. 612, 613, 614, 618).

Regulations:  
9 CFR Chapter I, Subchapter D, Part 91.

*Aim*

To assure the exportation of healthy livestock and poultry in a humane manner.

*Benefits*

Provide a means for exporting healthy animals from the United States which enhances the U.S.'s image and aids in the balance of trade with foreign nations.

*Methodology*

Agency conducts inspections and issues certifications of health for livestock exports. Government conducts: diagnostic testing; inspection of documents and animals; and issues certification.

*Testing*

Government and government-approved laboratories and government quarantine personnel.

*Inspection*

Government.

*Conformity  
Identification*

Valid health certification matching individual animal identification.

<i>Availability of Documentation</i>	Copies of regulations, specific health conditions, and guidelines for approved export facilities available on request from the above address. See also web URL <a href="http://www.aphis.usda.gov/export/">http://www.aphis.usda.gov/export/</a> .
<i>Obligations of the Manufacturer/Vendor</i>	The exporter must submit an international health certificate issued by an accredited veterinarian to the Department for endorsement. The enclosed health certificate must accompany the animals to an approved port of embarkation.
<i>Enforcement</i>	The health certificates are not endorsed unless the specific health requirements have been met. The importing country is notified if the exporter chooses to export the animals without USDA endorsement.
<i>Term</i>	Health certificates are valid for 30 days.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	U.S. export requirements are based upon criteria developed by experts in the field of preventive veterinary medicine and accepted by the Department. The importing country's health requirements are also enforced by the Department.
<i>Keywords</i>	animals; export; health certificate; inspection; livestock; permit; poultry; quarantine; testing

*Products or Services*

## SPECIFIED ANIMALS FOR IMPORT

*Department/Agency*

U.S. Department of Agriculture (USDA)  
 Animal and Plant Health Inspection Service (APHIS)  
 Veterinary Services, Domestic Programs  
 National Center for Import-Export Animals Program (NCIE)  
 4700 River Road, Unit 39  
 Riverdale, MD 20737-1231  
 Phone: (301) 734-8364  
 Telex: 89607 ADEHVLE  
 FAX: (301) 734-6402  
 Automated document FAX: (301) 734-4952  
 URL address: <http://www.aphis.usda.gov/ncie>

*Initiated*

1890.

*Compliance*

Both mandatory and authorized to act.

*Authority*

Laws:  
 Act of August 30, 1890 (Animal Quarantine Acts; 21 U.S.C. 102 through 105) (26 Stat. 414).  
 Act of February 2, 1903 (21 U.S.C. 111) (32 Stat. 792).  
 Act of June 17, 1930 (Tariff Act-Section 201) (19 U.S.C. 1202) (46 Stat. 673).  
 Act of June 17, 1930 (Tariff Act-Section 306) (19 U.S.C. 306) (46 Stat. 689).  
 Act of July 2, 1962-P.L. 518 (21 U.S.C. 134) (76 Stat. 129).  
 Act of May 6, 1970-P.L. 91-239 (21 U.S.C. 135) (84 Stat. 202).

Regulations:  
 9 CFR Chapter I, Subchapter D, Parts 92, 94, 97, and Subchapter G, Part 151.

*Aim*

To prevent the introduction and dissemination of animal diseases of foreign origin.

*Benefits*

Allows the U.S. livestock and poultry industries access to genetic materials to improve the national herd/flock and increase its productivity.

*Methodology*

Agency provides an inspection and quarantine service, issues permits for entry and certifies the health status of animals and poultry released from quarantine. Agency conducts pre-import evaluation of permit applications,

inspection of imported animals and re-evaluations of import requirements on a continuing basis. Government conducts diagnostic testing; inspects documents and animals; and issues certification.

<i>Testing</i>	Government laboratories and government quarantine personnel.
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	Valid health certification matching individual animal identification.
<i>Availability of Documentation</i>	Copies of regulations, specific health conditions, and guidelines for approved import facilities available on request from the above address.
<i>Obligations of the Manufacturer/Vendor</i>	The importer must submit a written permit application, provide a valid health certification for imports, reimburse the Department for quarantine and special services provided under cooperative agreements.
<i>Enforcement</i>	Animals and poultry not meeting U.S. requirements for entry are refused entry and must be taken out of the country or be destroyed at importer's expense. Violators of Federal Import Laws are subject to legal action.
<i>Term</i>	Permits are valid for periods from 2 weeks to 90 days (avian only).
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	Criteria based on norms developed by experts in the field of preventative veterinary medicine and accepted by the Department.
<i>Keywords</i>	animals; entry; health certificate; import; inspection; livestock; permit; poultry; quarantine; testing

*Products or Services*

SCRAPIE FLOCKS (Goats, Sheep, and Moufflon)

*Department/Agency*

U.S. Department of Agriculture (USDA)  
 Animal and Plant Health Inspection Service (APHIS)  
 National Animal Health Programs Staff  
 4700 River Road, Unit 43  
 Riverdale, MD 20737-1231  
 Phone: (301) 734-6954  
 FAX: (301) 734-7964  
 e-mail: braab@aphis.usda.gov  
 URL address: <http://www.aphis.usda.gov/>

*Initiated*

1992, though still under development.

*Compliance*

Voluntary.

*Authority*

9 CFR 79.3.

*Aim*

To prevent the introduction and dissemination of scrapie, a fatal degenerative disease affecting the central nervous system of sheep, goats, and moufflon.

*Benefits*

Protection of flocks from scrapie and enhancement of animal marketability.

*Methodology*

This is a cooperative effort among producers, allied industry representatives, accredited veterinarians, state animal health officials, and APHIS. Agency monitors flocks using established program standards over a period of greater than 5 years and identifies flocks that are free of scrapie.

*Testing*

N/A.

*Inspection*See *Obligations of the Manufacturer/Vendor*.*Conformity Identification*

Certification.

*Availability of Documentation*

Copies of regulations, specific health conditions, and guidelines for approved import facilities available on request from above address.

*Obligations of the Manufacturer/Vendor*

Regularly inspect flocks; complete documentation; submit tissue samples from suspected infected animals for testing.

*Enforcement*

Removal from program.

*Term*

Program is conducted for 5 or more years.

<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	Criteria based on norms developed by experts in the field.
<i>Keywords</i>	flocks; goats; moufflin; scrapie; sheep

*Products or  
Services*WHEAT, BARLEY AND OTHER COMMODITIES REQUIRING END USE  
CERTIFICATES*Department/Agency*U.S. Department of Agriculture (USDA)  
Farm Service Agency (FSA)  
Kansas City Commodity Office (KCCO)  
P.O. Box 419205  
Kansas City, MO 64141-6205  
Phone: (816) 926-6497  
FAX: (816) 926-6511  
URL address: <http://wwwaix.fsa.usda.gov.kcco/kcco.htm>*Initiated*

1995.

*Compliance*Mandatory for wheat and barley imported from  
countries/instrumentalities requiring end use  
certificates.*Authority*

North American Free Trade Agreement (NAFTA).

*Aim*To conduct a program which meets requirements imposed by  
NAFTA.*Benefits*Allows the monitoring of the disposition of foreign  
wheat imported into the United States.*Methodology*FSA issues end use certificates requiring the "identity  
preserved" storage of wheat/barley that enters the  
United States from countries/instrumentalities which  
also require end use certificates.*Testing*

N/A.

*Inspection*

N/A.

*Conformity  
Identification*

End use certificates.

*Reciprocity*

None.

*Keywords*

barley; end use certificates; grain; wheat



*Products or Services*

## WAREHOUSES

*Department/Agency*

U.S. Department of Agriculture (USDA)  
Farm Service Agency (FSA)  
Kansas City Commodity Office (KCCO)  
P.O. Box 419205  
Kansas City, MO 64141-6205  
Phone: (816) 926-6497  
FAX: (816) 926-6511  
URL address: <http://wwwaia.fsa.usda.gov/kcco/kcco.htm>

*Initiated*

1939.

*Compliance*

Mandatory.

*Authority*

Commodity Credit Corporation (CCC) Uniform Storage  
Agreements.  
The United States Warehouse Act (USWA).

*Aim*

To ensure the integrity of agricultural commodities  
stored in approved/licensed facilities and that  
facilities meet established approval standards.

*Benefits*

To improve the quality and safety of the U.S. food  
supply.

*Methodology*

FSA performs warehouse examination to ensure that  
warehouse storing agricultural commodities meet  
established standards.

*Testing*

N/A.

*Inspection*

FSA examiners.

*Conformity  
Identification*

End use certificates.

*Reciprocity*

None.

*Standards, Codes  
or Regulations*

7 CFR 736 for USWA Warehouses.  
7 CFR 1421 for CCC Uniform Storage Agreements.

*Keywords*

warehouses

<i>Products or Services</i>	MEAT/POULTRY PRODUCTS (Mandatory Inspection)
<i>Department/Agency</i>	U.S. Department of Agriculture (USDA) Food Safety and Inspection Service (FSIS) Food Safety Education and Communications Staff Room 1175 - South Building 1400 Independence Ave., SW Washington, DC 20250 Phone: (202) 720-7943 FAX: (202) 720-1843 Meat and Poultry Hotline: 1-800-535-4555 or in the DC area (202) 720-3333 URL address: <a href="http://www.usda.gov/fsis">http://www.usda.gov/fsis</a>
<i>Initiated</i>	1907 (Meat). 1958 (Poultry).
<i>Compliance</i>	Mandatory.
<i>Authority</i>	21 U.S.C. 601 <u>et seq.</u> (meat). 21 U.S.C. 451 <u>et seq.</u> (poultry).
<i>Aim</i>	Assure that meat and poultry products moving in interstate commerce for use as human food are safe, wholesome, and accurately labeled.
<i>Benefits</i>	The risk of adulterated or misbranded meat and poultry products entering commerce has been minimized.
<i>Methodology</i>	Government conducts meat/poultry inspections.
<i>Testing</i>	Uses government labs, government approved/accredited labs, manufacturer's labs, and State/local government labs as appropriate.
<i>Inspection</i>	Conducted by federal or state government.
<i>Conformity Identification</i>	Government applied marks; pre-marketing label approval.
<i>Availability of Documentation</i>	"Meat and Poultry Inspection Directory" published semi-annually; for sale by the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.
<i>Obligations of the Manufacturer/Vendor</i>	Make application for inspection; meet requirements for issuance of establishment number; operate under inspection in conformance with Agency rules (9 CFR Parts 301-381).

<i>Enforcement</i>	Condemnation of meat animals or birds before slaughter; condemnation of carcasses or product; withdrawal of inspection; criminal prosecution.
<i>Term</i>	Continuous inspection for slaughtering plants, and the frequency of inspection for processing plants to be determined by the Secretary of Agriculture.
<i>Reciprocity</i>	Inspection results recognized by: Other federal agencies. State agencies. Private sector organizations. Foreign government agencies. International organizations.
<i>Standards, Codes or Regulations</i>	9 CFR Parts 301-381; compatibility with FDA regulations issued under authority of the Federal Food, Drug, and Cosmetic Act.
<i>Keywords</i>	adulterated product; humane slaughter; livestock; meat inspection; misbranded product; poultry inspection

<i>Products or Services</i>	MEAT/POULTRY PRODUCTS (Voluntary Inspection)
<i>Department/Agency</i>	U.S. Department of Agriculture (USDA) U.S. Food Safety and Inspection Service (FSIS) Food Safety Education and Communications Staff Room 1175 - South Building  1400 Independence Ave., SW Washington, DC 20250 Phone: (202) 720-7943 FAX: (202) 720-1843 Meat and Poultry Hotline: 1-800-535-4555 or in the DC area (202) 720-3333 URL address: <a href="http://www.usda.gov/fsis">http://www.usda.gov/fsis</a>
<i>Initiated</i>	1958.
<i>Compliance</i>	Voluntary.
<i>Authority</i>	7 U.S.C. 1622(h).
<i>Aim</i>	Provide identification service for meat or other federally inspected products; food inspection service relating to manufacture of a food article; reindeer slaughter inspection service; certification of technical animal fats for export; buffalo slaughter inspection service; rabbit slaughter inspection service; certification of products for dogs, cats, and other carnivores; and, migratory water fowl, game bird, or squab slaughter inspection and/or other poultry or poultry products.
<i>Methodology</i>	Government conducts inspections.
<i>Testing</i>	Uses government labs or government approved/accredited labs.
<i>Inspection</i>	Conducted by federal or state government.
<i>Conformity Identification</i>	Government applied mark.
<i>Availability of Documentation</i>	"Meat and Poultry Inspection Directory" published semi-annually; for sale by the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402.
<i>Obligations of the Manufacturer/Vendor</i>	Make application for inspection; meet requirements for issuance of establishment number; operate under inspection in conformance with Agency rules (9 CFR Parts 301-381).

<i>Enforcement</i>	Condemnation of meat animals or birds; condemnation of meat or poultry products; withdrawal of inspection; criminal prosecution.
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	Inspection program recognized by: Other federal agencies. State agencies. Private sector organizations. Foreign government agencies. International organizations.
<i>Standards, Codes or Regulations</i>	9 CFR Parts 350-362.
<i>Keywords</i>	buffalo inspection; game birds; identification service; meat inspection; pet food; poultry inspection; rabbit inspection; reindeer inspection; squab

<i>Products or Services</i>	MEAT/POULTRY/FOOD PRODUCTS (Accreditation of laboratories)
<i>Department/Agency</i>	U.S. Department of Agriculture (USDA) U.S. Food Safety and Inspection Service (FSIS) Food Safety Education and Communications Staff Room 1175 - South Building  1400 Independence Ave., SW Washington, DC 20250 Phone: (202) 720-7943 FAX: (202) 720-1843 Meat and Poultry Hotline: 1-800-535-4555 or in the DC area (202) 720-3333 URL address: <a href="http://www.usda.gov/fsis">http://www.usda.gov/fsis</a>
<i>Initiated</i>	1962, Final Rule 9 CFR Parts 318 and 381, 1/20/87.
<i>Compliance</i>	Voluntary.
<i>Authority</i>	9 CFR Parts 318 and 381.
<i>Aim</i>	This program allows the acceptance of official sample results from accredited laboratories which service the meat and poultry food industry and provides faster service than can be provided by FSIS laboratories.
<i>Benefits</i>	Provides faster analytical service to the meat and poultry food industry. This allows for a better inspection program.
<i>Methodology</i>	Government issues accreditation based on on-site laboratory review; results of proficiency sample testing and ongoing split sample testing that serve as a continuing check on the laboratory's analytical capability.
<i>Testing</i>	Government accredited labs.
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	Government applied mark.
<i>Availability of Documentation</i>	The lists of USDA-FSIS accredited laboratories are published in the "Meat and Poultry Inspection Directory."
<i>Obligations of the Manufacturer/Vendor</i>	Accredited laboratories must continue to operate under the Accredited Laboratory Rules as documented under 9 CFR Parts 318.21 and 381.153.

<i>Enforcement</i>	Delisting.
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	Recognition of Accreditation by: State agencies. Private sector organizations.
<i>Standards, Codes or Regulations</i>	9 CFR Parts 318.21 and 381.153.
<i>Keywords</i>	accredited/laboratory coordinator; initial accreditation sample check; laboratory accreditation; laboratory; meat testing; official sample; ongoing accreditation check sample; poultry testing; probation; split sample



<i>Products or Services</i>	<p>Received 11/97</p> <p>RICE, BEANS, WHOLE AND SPLIT PEAS, LENTILS, PROCESSED GRAIN PRODUCTS, AND RELATED PRODUCTS</p>
<i>Department/Agency</i>	<p>U.S. Department of Agriculture (USDA)  Grain Inspection, Packers and Stockyards Administration (GIPSA)  Federal Grain Inspection Service (FGIS)  Filed Management Division, Regulatory Branch  Stop 3630  Washington, DC 20250-3630  Phone: (202) 720-0228  FAX: (202) 720-1015  e-mail: jgiler@fgisdc.usda.gov  URL address: <a href="http://www.usda.gov.gipsa/">http://www.usda.gov.gipsa/</a></p>
<i>Initiated</i>	1946.
<i>Compliance</i>	Voluntary.
<i>Authority</i>	Agricultural Marketing Act of 1946.
<i>Aim</i>	Orderly trade in rice, pulses, processed grain products, and related products. Common basis for settling market disputes over quality of products.
<i>Benefits</i>	Improved efficiency in the buying and selling of rice and pulses based on official and standardized grading and of processed grain products and related products based on user's specification. Inspections are uniform throughout the nation. Inspection certificates are accepted in court as prima facie evidence of product condition at time of inspection.
<i>Methodology</i>	Representative sample is obtained by official personnel and tested in a third party laboratory.
<i>Testing</i>	FGIS laboratory.
<i>Inspection</i>	FGIS, state government.
<i>Conformity Identification</i>	Certificates of inspections.
<i>Availability of Documentation</i>	There are no lists of participating companies.
<i>Obligations of the Manufacturer/Vendor</i>	Must have financial interest in products and pay assessed fee.
<i>Term</i>	Continuous or intermittent voluntary inspection on a lot basis.

*Reciprocity*

Certificates are required by federal agencies, state agencies, private sector organizations, foreign governments, and international organizations buying and selling rice, pulses, processed grain products, and related products.

*Standards, Codes  
or Regulations*

U.S. Standards for Rough Rice, Brown Rice for Processing, Milled Rice; United States Standards for Beans; United States Standards for Whole Dry Peas, Split Peas, and Lentils; and related handbooks. Acceptance criteria for processed grain products and related products are based on requirements or specifications developed by federal and state agencies and/or FGIS inspection handbooks. In some instances, buyer or seller specification are used.

*Keywords*

beans; good manufacturing practices; in-plant inspection; lentils; peas; pulses; rice; sanitation

*Products or Services*

## GRAIN

*Department/Agency*

U.S. Department of Agriculture (USDA)  
 Grain Inspection, Packers and Stockyards Administration (GIPSA)  
 Federal Grain Inspection Service (FGIS)  
 Office of the Administrator  
 Stop 3601  
 Washington, DC 20250-3604  
 Phone: (202) 720-5091  
 FAX: (202) 205-9237  
 Telex: 760 7351 ANS:FGIS UC.  
 e-mail: mbegley@fgisdc.usda.gov  
 URL address: <http://www.usda.gov.gipsa/>

*Initiated*

1916 (inspection) - P.L. 64-190.  
 1976 (weights) - P.L. 94-582.

*Compliance*

Mandatory inspection and weighing requirements for exports and intercompany barge grain received at export locations. Official aflatoxin testing of exported corn is also mandatory unless contract stipulates that testing is not required. Mandatory inspection requirements do not apply to grain which: (1) is not sold or described by grade; (2) is shipped by truck or train to Canada or Mexico; is shipped by exporter shipping less than 15 000 metric tons of grain abroad annually; for grain sold as seed; and for grain transshipped through the U.S. in a bonded identity preserved fashion.

Voluntary inspection and weighing services for domestic products. Also offers pesticide residue testing for corn, wheat, soybeans, and barley.

*Authority*

U.S. Grain Standards Act, as amended, P.L. 100-518, 7 U.S.C. 71-87.

*Aim*

Provide for the establishment of Official United States Standards for Grain, promote the uniform application of the official standards by official inspection personnel, provide for an official inspection systems for grain, and to regulate the certification of the weight of grain shipped in interstate and foreign commerce.

*Benefits*

Facilitate the marketing and trading of grain in an orderly and timely manner.

*Methodology*

Representative sample is obtained by official personnel and tested in a third party laboratory.

<i>Testing</i>	Uses FGIS laboratory, delegated state laboratory, or designated state or private sector laboratory.
<i>Inspection</i>	Conducted by FGIS, state government, or private sector agency.
<i>Conformity Identification</i>	Certificates of weight and of grade/quality.
<i>Availability of Documentation</i>	<p>List of official inspection and weighing agencies and list of export elevators may be obtained from:</p> <p>U.S. Department of Agriculture Federal Grain Inspection Service (FGIS) Office of the Administrator Stop 3601 Washington, DC 20250-3604 Phone: (202) 720-5091 Telex: 760 7351 ANS:FGIS UC. FAX: (202) 205-9237 e-mail: mbegley@fgisdc.usda.gov</p>
<i>Obligations of the Manufacturer/Vendor</i>	Must submit application for inspection and/or weighing.
<i>Term</i>	Continuous or intermittent, mandatory or voluntary inspection and weighing services on a lot basis.
<i>Reciprocity</i>	Certificates are recognized by federal agencies, state agencies, private sector organizations, foreign governments, and international organizations buying and selling grain.
<i>Standards, Codes or Regulations</i>	U.S. Grain Standards Act, as amended, and the regulations thereunder; Official United States Standards for Grain; FGIS Inspection Handbooks; and FGIS Weighing Handbook.
<i>Keywords</i>	grain elevators; grain scales; grain weights; grain bins; load cells; loading plans; official grain standards

*Products or Services*GRAIN SCALES  
RAILROAD TRACK SCALES*Department/Agency*

U.S. Department of Agriculture (USDA)  
 Grain Inspection, Packers and Stockyards Administration (GIPSA)  
 Federal Grain Inspection Service (FGIS)  
 Weighing and Equipment Branch (WEB)  
 STOP 3631, Rm. 1640-S  
 1400 Independence Ave., SW  
 Washington, DC 20250-3631  
 Phone: (202) 720-0262  
 Telex: 760 7351 ANS:FGIS UC.  
 FAX: (202) 720-1015  
 e-mail: richard.pforr@usda.gov  
 URL address: <http://www.usda.gov.gipsa/>

*Initiated*

1976.

*Compliance*

Mandatory only for official certification of grain weight.

*Authority*

U.S. Grain Standards Act, as amended.

*Aim*

Provide for the certification of grain weight and the testing and certification of the weighing systems used for official grain weighing and inspection. FGIS and delegated states must test all grain scales at facilities which have requested official weight certification.

FGIS conducts evaluations of automatic bulk weighing systems and vehicle, railway track, and grain inspection scales to determine compliance with FGIS regulations and the applicable National Type Evaluation Program (NTEP) type evaluation examination criteria and test procedures as adopted by the National Conference on Weights and Measures (NCWM). Only those scales that have been approved, and Class II, III, IIIL scales that have been evaluated by FGIS or the National Institute of Standards and Technology (NIST) and approved under the NTEP may be used for official weighing and inspection purposes.

*Benefits*

Ensure the accuracy of weighing systems used to officially weigh grain and provide uniformity in the inspection and testing of weighing devices used for that purpose.

*Methodology*

Government conducts design approval, performance testing, inspection, and site approval.

<i>Testing</i>	Official personnel or delegated state agencies.
<i>Inspection</i>	Official personnel or delegated state agencies.
<i>Conformity Identification</i>	NTEP Certificate of Conformance (CC). FGIS CC. FGIS Report of Test (ROT). NIST ROT. Government applied approval seal.
<i>Availability of Documentation</i>	List of approved equipment may be obtained from:  U.S. Department of Agriculture (USDA) Grain Inspection, Packers and Stockyards Administration STOP 3631 1400 Independence Ave., SW Washington, DC 20250-3631  Index of NTEP device evaluations and NTEP criteria and test procedures may be obtained from :  NCWM/OWM National Institute of Standards and Technology Building 820, Room 232 Gaithersburg, MD 20899
<i>Obligations of the Manufacturer/Vendor</i>	Must provide instruments under the CC exactly as specified and provide installation, maintenance, and operating instructions consistent with the evaluation report. Modifications affecting accuracy, reliability or integrity must be approved by the FGIS Equipment Branch before implementation.
<i>Term</i>	Continuous or intermittent, mandatory or voluntary inspection on a scale.
<i>Reciprocity</i>	Certificates are required by federal agencies, state agencies, private sector organizations, foreign governments, and international organizations buying and selling grain.
<i>Standards, Codes or Regulations</i>	U.S. Grain Standards Act, as amended, and the regulations thereunder; FGIS Equipment Handbook; FGIS Weighing Handbook; NIST Handbook 44; and NTEP device evaluation criteria.
<i>Keywords</i>	automatic bulkweighing systems; grain test; NTEP; railway track; ROT; scale; state weights and measures officials



*Products or  
Services*

PARTS, MATERIALS AND EQUIPMENT FOR RURAL ELECTRIC AND  
TELECOMMUNICATIONS SYSTEMS

*Department/Agency*

U.S. Department of Agriculture (USDA)  
Rural Utilities Service (RUS)  
14th and Independence Ave., SW, Mail Stop 1500  
Washington, DC 20250-1500  
URL address: <http://www.usda.gov/rus/>

Assistant Administrator-Electric Program  
Mail Stop 1560  
e-mail: [bstockto@rus.usda.gov](mailto:bstockto@rus.usda.gov)  
Phone: (202) 720-9545

Assistant Administrator-Telecommunications Program  
Mail Stop 1590  
e-mail: [rpeters@rus.usda.gov](mailto:rpeters@rus.usda.gov)  
Phone: (202) 720-9554

*Initiated*

1938.

*Compliance*

Required for designated parties using RUS loans.

*Authority*

Rural Electrification Act of 1936 (7 U.S.C. 901).  
7 CFR Part 1700.

*Aim*

To minimize capital requirements and control the quality of materials and equipment incorporated into rural electric and telephone systems. The evaluation and listing of material and equipment insures the availability of suitable products at reasonable costs and, together with RUS standards for construction and installation, provides an important element of loan security.

*Methodology*

Electric and telephone systems receiving financing administered by RUS should use materials and equipment evaluated and accepted by RUS.

*Testing*

Government labs.  
Manufacturers' labs.

*Conformity  
Identification*

Accepted products for rural electric systems are included in RUS Informational Publication 202-1 "List of Materials Acceptable for Use on Systems of RUS Electrification Borrowers." Accepted products rural telephone systems are listed in RUS Informational Publication 344-2 "List of Materials Acceptable for Use on Telecommunications Systems of RUS Borrowers."



*Availability  
of Documentation*

Informational Publications are available on a subscription basis from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. Information on acceptable telecommunications/electric materials is also available on the RUS website as <http://www.usda.gov/rus/home/home.htm>.

*Enforcement*

Acceptance voiding.

*Term*

Indefinite term.

*Standards, Codes  
or Regulations*

RUS prepares product standards which define performance and design requirements together with acceptance criteria.

*Keywords*

acceptable materials; central office equipment; components; distribution; electric systems; electronic; microwave; radio-telephone; telecommunications; telephone; transmission

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laboratory accreditation-----	-52
livestock-----	-24, 32, 40, 42, 44, 48
materials of avian origin-----	-34
materials of animal origin-----	-34
meat products-----	-1
meat-----	-4, 38, 48, 50, 52
microwave-----	-60

milk-----	38
moufflin-----	44
naval stores-----	18
NTEP-----	58
nuts-----	14
organic food-----	24
organic produce-----	24
peas-----	54
pet food-----	50
plant health-----	26, 28
plant products-----	26, 28
plant varieties-----	8
plants-----	8, 26, 28
pork-----	1
poultry-----	20, 40, 42, 48, 50, 52
processed foods-----	16
produce, organic-----	24
pulses-----	54
rabbits-----	20, 50
radio-telephone-----	60
rail cars-----	22
railway track-----	58
refrigeration units-----	22
reindeer-----	50
rice-----	54
rosin-----	18
scale-----	58
scrapie-----	44
seed-----	6
sheep-----	44
shell eggs-----	20
squab-----	50
telecommunications-----	60
telephone-----	60
tobacco-----	18
trailers-----	22
transportation, food-----	22
turpentine-----	18
veal-----	1
vegetable seed-----	6
vegetables-----	14, 16
veterinary biologics-----	36
warehouses-----	47
weighing systems-----	56, 58
wheat-----	46

U.S. DEPARTMENT OF COMMERCE

**Products or  
Services****CERTIFIED TRADE FAIRS****Department/Agency**

U.S. Department of Commerce  
International Trade Administration (ITA)  
Trade Fair Certification  
HCHB Room 2118  
14th and Constitution Ave., NW  
Washington, DC 20230  
Phone: (202) 482-0584  
FAX: (202) 482-0872 or (202) 482-0115  
E-mail: WCorfitz@doc.gov  
URL address: <http://www.ita.doc.gov.uscs/uscstfc>

**Initiated**

1983.

**Compliance**

Voluntary.

**Authority**

Mutual Educational and Cultural Exchange Act of 1961 (MECEA), 22 U.S.C. 2455(f). See also *Federal Register*, Vol. 58, No. 82, Friday, April 30, 1993.

**Aim**

To promote U.S. firms' export promotion efforts.

**Benefits**

Provides Commerce Department endorsement and support for private sector recruited and organized foreign trade shows. U.S. pavilions are frequently used in certified trade fairs to create enhanced visibility for U.S. firms, particularly new-to-export and new-to-market firms. Exhibitors in certified trade fairs also receive the support of the Commercial Service from U.S. Embassies or consulates. Certification provides a means for the exporter to verify that a particular trade fair will be a good promotional medium.

**Methodology**

Commerce employees review applications and evaluates the information contained in them against the criteria listed in the *Federal Register* notice referenced above.

**Testing**

N/A.

**Inspection**

See *Methodology*.

**Conformity  
Identification**

A list of certified trade fairs is available.

**Enforcement**

Decertification.

**Term**

Trade fairs are certified on an annual basis, each fair must be certified.

*Reciprocity*

N/A.

*Keywords*

exports; trade; trade fairs

*Products or  
Services*

FASTENERS

*Department/Agency*

U.S. Department of Commerce (DOC)  
National Institute of Standards and Technology (NIST)  
Office of Standards Services (OSS)  
Bldg. 820, Room 282  
Gaithersburg, MD 20899  
URL address: <http://www.nist.gov/fqa>

The amended Act and recently issued final regulations are available via the Internet at the current address: <http://www.nist.gov/fqa>

Questions concerning the Act and regulations should be directed to the following individuals:

A. Dr. Subhas Malghan, FQA Program Manager, Technology Services, National Institute of Standards and Technology, Building 820, Room 311, Gaithersburg, MD 20899, telephone number (301) 975-5120, FAX: (301) 975-5414, E-mail: [malghan@nist.gov](mailto:malghan@nist.gov) (for general questions and for questions pertaining to Subpart A of the regulations);

B. David Alderman, Deputy Chief, National Voluntary Laboratory Accreditation Program, NIST, (301) 975-4016, FAX: (301) 926-2884, (for questions pertaining to laboratory accreditation in Subpart C of the regulations);

C. Robert L. Gladhill, Global Standards Policy Program, NIST, (301) 975-4273, FAX: (301) 975-5414 (for questions pertaining to the approval of bodies which accredit laboratories under Subparts B, D, E, and F of the regulations);

D. Kirt Flashner, Special Assistant to the Assistant Secretary for Export Enforcement, (202) 482-2252 (for questions pertaining to enforcement of the Act and regulations under Subpart G of the regulations); and

E. Ari Leifman, Trademark Legal Administrator, Patent and Trademark Office, (703) 308-8910 Ext. 55 (for questions pertaining to the recordal of manufacturers' insignia under Subpart H of the regulations).

*Initiated*

Final regulations were published April 14, 1998 in the *Federal Register*. Implementation date for final regulations was extended to July 26, 1998.



<i>Compliance</i>	Mandatory.
<i>Authority</i>	Fastener Quality Act (P.L. 101-592), as amended under P.L. 104-113.
<i>Aim</i>	To protect public safety, deter introduction of nonconforming fasteners into commerce, and to provide users with increased assurance that fasteners meet stated specifications.
<i>Benefits</i>	Increase likelihood that certain fasteners sold in interstate commerce conform to the specifications to which they are represented.
<i>Methodology</i>	The Act requires that certain fasteners sold in commerce conform to the specifications to which they are represented to be manufacturers; provides for accreditation of laboratories engaged in fasteners testing; and requires the inspection, testing and certification (in accordance with standardized test methods) of fasteners used in critical applications. Mandatory testing is required for fasteners falling within the scope of the Act in accredited laboratories. Fasteners which fail to conform to the applicable standard(s) cannot be sold. Agency serves as program administrator, laboratory accreditor, recognition/approval authority for other laboratory accreditation programs. Agency has also defined the procedures by which fastener manufacturers can use qualified Quality Assurance Systems/Statistical Process Control (QAS/SPC) to meet some of the requirements of the Act.
<i>Testing</i>	Testing conducted at laboratories accredited by NIST under the National Voluntary Laboratory Accreditation Program (NVLAP) or by laboratories accredited by a laboratory accreditation body recognized/approved by NIST. Qualified QAS/SPC manufacturing facilities can also be used to meet some of the requirements of the Act.
<i>Conformity Identification</i>	A test certificate is issued by the accredited laboratory, which must be made available to buyers under terms and conditions outlined in the Act. Fasteners must be marked with a symbol or designation which identifies the manufacturer.
<i>Availability of Documentation</i>	Fastener Quality Act and 15 CFR Part 280. A final Rule was published in the <i>Federal Register</i> on April 14, 1998. NIST Handbook 150 - NVLAP Procedures and General Requirements and the NVLAP Handbook for Fastener Testing.

<i>Enforcement</i>	Enforcement mechanisms as specified in the Fastener Quality Act, including the imposition of civil and criminal penalties. Enforcement is the responsibility of the Bureau of Export Administration within the Department of Commerce.
<i>Term</i>	Accreditation terms are specified in the implementing regulations. Test reports are valid as long as the products are not significantly altered.
<i>Reciprocity</i>	None, though efforts are underway in this area.
<i>Standards, Codes or Regulations</i>	Program relies on private sector voluntary fastener standards.
<i>Keywords</i>	accredited laboratory; fasteners; laboratory accreditation; quality management system; statistical process control

*Products or Services*

## RECOGNITION OF CONFORMITY ASSESSMENT ACTIVITIES

*Department/Agency*

U.S. Department of Commerce (DOC)  
National Institute of Standards and Technology (NIST)  
Office of Standards Services (OSS)  
National Voluntary Conformity Assessment Systems  
Evaluation (NVCASE) Program  
Bldg. 820, Room 282  
Gaithersburg, MD 20899  
Phone: (301) 975-4273  
FAX: (301) 975-5414  
E-mail: robert.gladhill@nist.gov  
URL address: <http://ts.nist.gov/ts/210/218/218.htm>

*Initiated*

Final regulations were published in the *Federal Register* on April 22, 1994.

*Compliance*

Voluntary.

*Authority*

15 CFR Part 286.

*Aim*

NVCASE recognition provides other governments with a basis for having confidence that qualifying U.S. conformity assessment bodies are competent and facilitates the acceptance of U.S. products in foreign regulated markets based on U.S. conformity assessment results.

*Benefits*

See *Aim*.

*Methodology*

Program is offered on a fee-for-service basis and includes activities related to laboratory testing, product certification, and quality system registration. After NVCASE evaluation, NIST provides recognition to qualified U.S. organizations that effectively demonstrate conformance with established criteria. NVCASE does not unilaterally establish program areas. Operational areas are established only after a formal request from a conformity assessment body and concurrence of need from the affected industry sector. If another U.S. government agency has domestic regulatory responsibility for a sector, that agency will be consulted prior to any program action by NIST.

NVCASE recognition may be sought by a body that accredits other bodies, (i.e., an accreditor of laboratories, certifiers or registrars). If acceptable accreditation is not available elsewhere, a body may be accredited directly by NVCASE to perform a function.

In the NVCASE evaluation process, an applicant provides NIST with sufficient information to allow thorough assessment. The applicant's management system is thoroughly reviewed based on established internationally accepted criteria, such as ISO/IEC 9000 series. The criteria for technical operation are based on internationally accepted criteria such as ISO/IEC Guide 25 for laboratories and ISO/IEC Guide 58 for their accreditors, ISO/IEC Guide 61 for accreditors of registrars, and ISO/IEC Guide 62 for registrars.

Each participant must undergo an initial on-site assessment by peer assessors prior to obtaining recognition. All elements of non-conformance must be resolved before recognition will be granted. Once recognized, follow-up assessments are conducted on a regular two-year cycle, with periodic surveillance visits both announced and unannounced. NVCASE recognition is effective until either voluntary or involuntary termination.

NVCASE maintains listings of all recognized bodies, including the name, address, pertinent contacts and the scope of recognition. NVCASE also maintains listings of qualified bodies which have been accredited or otherwise approved by a NVCASE recognized accreditor (only within the scope and period of recognition of the accreditor), indicating they are traceable to NIST via the NVCASE recognized body. All listings are freely disseminated to the public through various media.

***Conformity  
Identification***

NVCASE maintains listings of all recognized bodies. Recognized bodies receive a Certificate of Recognition.

***Availability  
of Documentation***

See CFR reference and URL address listed above.

***Enforcement***

Recognition may be terminated if a participant does not continue to meet all program requirements.

***Term***

NVCASE recognition is effective until either voluntary or involuntary termination.

***Reciprocity***

See *Methodology*.

***Standards, Codes  
or Regulations***

See *Methodology*.

***Keywords***

MRA; mutual recognition agreement; NVCASE; recognition; trade

<i>Products or Services</i>	<p style="text-align: right;">Received 11/97</p> <p>COMPUTER SOFTWARE (Including Computer Graphics; Computer Security; Operating Systems Languages- POSIX; Programming Languages - C, COBOL 85, FORTRAN 77) - NOTE: THESE PROGRAMS (EXCEPT FOR COMPUTER SECURITY) ARE SCHEDULED TO BE TERMINATED BY 10/1/98. (See page 52976 in the <i>Federal Register</i> dated 10/10/97 for further information on termination schedule.)</p>
<i>Department/Agency</i>	<p>U.S. Department of Commerce (DOC)  National Institute of Standards and Technology (NIST)  Information Technology Laboratory (ITL)  Software Diagnostics and Conformance Testing Division  Conformance Testing Group  Bldg. 820, Room 562  Gaithersburg, MD 20899  Phone: (301) 975-3353  FAX: (301) 590-0932  URL address: <a href="http://www.itl.nist.gov/div897/stg/ctg.htm">http://www.itl.nist.gov/div897/stg/ctg.htm</a></p>
<i>Initiated</i>	Varies.
<i>Compliance</i>	Usually voluntary; may be required by agencies in order to be offered to federal government, otherwise voluntary.
<i>Authority</i>	Federal Information Resource Management Requirements (FIRMR) Parts 201.13 and 201.39.
<i>Aim</i>	To ensure that computer software used by the federal government and others conform, insofar as is possible, to applicable Federal Information Processing Standards (FIPS) and other relevant standards.
<i>Benefits</i>	Reduces software costs to the government; acts as a marketing tool for private industry; assists government agencies in assessing programming and database language implementations for conformance to programming language standards; promotes open systems environments which will reduce software costs; and increases portability and interoperability.
<i>Methodology</i>	Develops conformance testing scenarios, testing procedures, and test suites. Also conducts software operational testing services, though this service is being phased out. Validates that an operating system has successfully passed the relevant Conformance Test Suite prior to consideration for purchase by federal agencies.
<i>Testing</i>	NIST or NIST recognized testing laboratories.



<i>Inspection</i>	NIST or NIST recognized testing laboratories.
<i>Conformity Identification</i>	A certificate is issued by NIST. A directory of approved products is also available from NIST at the address listed above or on the NIST website.
<i>Availability of Documentation</i>	See <i>Conformity Identification</i> .
<i>Enforcement</i>	Would not receive a certificate unless test results demonstrated conformance.
<i>Term</i>	Certificate is valid for one year, but may be extended on a year-to-year basis under certain predefined circumstances.
<i>Reciprocity</i>	International organizations which have entered into reciprocal agreements with NIST.
<i>Standards, Codes or Regulations</i>	Federal Information Processing Standards Publications (FIPS PUBs), and other relevant private sector software standards.
<i>Keywords</i>	COBOL; computer graphics; computer security; computer software; conformance testing; FORTRAN; programming language validations; software validation; POSIX

*Products or  
Services*

## STANDARD/CERTIFIED REFERENCE MATERIALS

*Department/Agency*

U.S. Department of Commerce (DOC)  
National Institute of Standards and Technology (NIST)  
Office of Measurement Services  
Standard Reference Materials Program  
Bldg. 202, Room 204  
Gaithersburg, MD 20899  
Phone: (301) 975-6776  
FAX: (301) 948-3730  
Telex: TRT 197674NIST UT  
e-mail: srminfo@nist.gov  
URL address: <http://ts.nist.gov/srm>

*Initiated*

Varies by material.

*Compliance*

Voluntary.

*Authority*

NIST Organic Act (P.L. 81-619).

*Aim*

To provide certified/standard reference materials which have been certified for the chemical compositions, chemical properties, or physical properties to aid in the control of production processes.

*Benefits*

Provides a basis for developing accurate methods of analysis; for calibration of measurement systems; and for assuring the long term adequacy and integrity of measurement quality assurance programs.

*Methodology*

Requires testing prior to sale using a previously validated reference method; two or more independent, reliable measurement methods; or a network of cooperating laboratories, technically competent and thoroughly knowledgeable with the material being tested.

*Testing*

Government testing or testing by a network of cooperating, technically competent laboratories.

*Conformity  
Identification*

A unique numerical identifier is assigned to every standard/certified reference material. Materials are accompanied by a certificate of their conformity to specified characteristics/properties.

*Availability  
of Documentation*

Standards Reference Materials Catalog and price lists are available from the above address.

*Term*

Indefinite.



*Reciprocity*

Materials are recognized and used by other federal and state agencies, private sector organizations, foreign governments, and international organizations.

*Standards, Codes  
or Regulations*

Chemical composition, chemical properties, or physical properties are specified for each material.

*Keywords*

analysis; calibration; certified reference materials;  
measurement; quality assurance; quality control;  
reference materials; standard reference materials

*Products or Services*

## STANDARD REFERENCE DATA

*Department/Agency*

U.S. Department of Commerce (DOC)  
National Institute of Standards and Technology (NIST)  
Office of Measurement Services  
Standard Reference Data Program  
Bldg. 820, Room 113  
Gaithersburg, MD 20899  
Phone: (301) 975-2200  
FAX: (301) 926-0416  
e-mail: [srdata@nist.gov](mailto:srdata@nist.gov)  
URL address: <http://www.nist.gov/srd>

*Initiated*

Varies by material.

*Compliance*

Voluntary.

*Authority*

Standard Reference Data Act, P.L. 90-396.

*Aim*

To provide well documented numeric data to scientists and engineers for use in technical problem solving, research, and development.

*Benefits*

See *Aim*.

*Methodology*

Recommended values are based on data that have been extracted from the world's literature, assessed for reliability, and then evaluated for preferred values. Agency serves as certifier, program administrator, and sales agent/distributor.

*Testing*

Data is evaluated by scientists at NIST and elsewhere.

*Conformity Identification*

Listed in NIST Standard Reference Database.

*Availability of Documentation*

See NIST Standard Reference Database.

*Term*

Indefinite.

*Reciprocity*

Data is recognized and used by other federal and state agencies, private sector organizations, foreign governments, and international organizations.

*Standards, Codes or Regulations*

N/A.

*Keywords*

data; numeric data; reference data; standard reference data

**Products or  
Services****STATE MEASUREMENT/CALIBRATION SERVICES****Department/Agency**

U.S. Department of Commerce (DOC)  
National Institute of Standards and Technology (NIST)  
Office of Weights and Measures (OWM)  
Bldg. 820, Room 232  
Gaithersburg, MD 20899  
Phone: (301) 975-4014  
FAX: (301) 926-0647  
e-mail: Georgia.Harris@nist.gov  
URL SP 791 address:  
<http://ts.nist.gov/ts/htdocs/230/235/791txt94.htm>  
URL Office address:  
<http://www.nist.gov/owm>

**Initiated**

1965.

**Compliance**

Voluntary.

**Authority**

NIST Organic Act (P.L. 81-619).

**Aim**

Provide recognition of state measurement laboratories capabilities to calibrate standards and equipment for measuring mass, length, volume, temperature, and frequency-based devices.

**Benefits**

Provides basis for uniform requirements and consistent results in metrological calibration and tolerance testing among states.

**Methodology**

This is an on-going activity between federal and state governments to: (1) maintain traceability to national standards; and (2) evaluate, up-grade, and train measurement technicians in official state weights and measures laboratories. Requires inspection and site approval of new laboratory facilities and installation and maintenance of measurement control programs. Program requirements in NIST Handbook 143. Technical standards in NIST Handbook 145.

**Testing**

All services within this program are performed by state laboratories recognized by NIST.

**Inspection**

Government.

**Conformity  
Identification**

State laboratories receive certificates of measurement traceability are identified in a list, NIST SP 791. Instruments and standards certified by state laboratories may be identified by a state government-applied mark.

<i>Availability of Documentation</i>	NIST SP 791 is available on the NIST website. NIST Handbook 143 is available from NIST. NIST Handbook 145 is out-of-print, but is available from OWM for training purposes.
<i>Obligations of the Manufacturer/Vendor</i>	State laboratories are obligated to participate in regional measurement assurance programs, which include controlled sample testing, round robin experiments, and continuing education for technicians.
<i>Enforcement</i>	NIST exercises influence over state laboratories through provision of traceability to NIST standards, provision of training and by sponsoring the Regional Measurement Assurance Programs. State programs may ban the use of uncalibrated measurement equipment in their regulatory programs.
<i>Term</i>	NIST Certificates of Measurement Traceability are valid for one to two years.
<i>Reciprocity</i>	NIST certification of a state laboratory carries recognition within that state and among states and recognition by federal government agencies and private organizations.
<i>Standards, Codes or Regulations</i>	Criteria documents are developed by NIST and adopt national or international standards. NIST Handbook 143, available from NIST, adopts ANSI/NCSL Z540-1-1994, as adopted by NVLAP Handbook 150.
<i>Keywords</i>	frequency; length; mass; measurement instruments; quality control; state laboratories; temperature; volume

*Products or  
Services*

## CALIBRATION AND RELATED MEASUREMENT SERVICES

*Department/Agency*

U.S. Department of Commerce (DOC)  
National Institute of Standards and Technology (NIST)  
Office of Measurement Services  
Calibration Program  
Bldg. 820, Room 232  
Gaithersburg, MD 20899  
Phone: (301) 975-2005  
FAX: (301) 869-3548  
e-mail: [calibrations@nist.gov](mailto:calibrations@nist.gov)  
URL address: <http://ts.nist.gov/calibrations>

*Initiated*

1901.

*Compliance*

Voluntary.

*Authority*

NIST Organic Act (P.L. 100-418).

*Aim*

To provide measurement services, including: the calibration of standards or instruments, and the conduct of certain interlaboratory measurement assurance programs.

*Benefits*

Provides a basis for developing accurate methods of analysis; for calibration of measurement systems; and for assuring the long term adequacy and integrity of measurement quality assurance programs.

*Methodology*

Calibration/verification of accuracy of standards/test instruments and related measurement services are provided by NIST upon request.

*Testing*

NIST calibration.

*Conformity  
Identification*

Certificate issued by NIST.

*Availability  
of Documentation*

Calibration Services Users Guide is available from the above address.

*Term*

Varies by service.

*Reciprocity*

Measurement services are recognized; used; and, in some cases, required by other federal and state agencies, private sector organizations, foreign governments, and international organizations.

*Standards, Codes  
or Regulations*

Specifications and tolerances are for each type of service.

*Keywords*

calibration; measurement; measurement service; quality assurance; quality control

Received 11/97

*Products or  
Services*

COMMERCIAL WEIGHING AND MEASUREMENT DEVICES (Scales, Automatic Weighing Systems, Belt Conveyor Scales, Mass Flow Meters, Taximeters, Test Load Cells, Railroad Track Scales)

*Department/Agency*

U.S. Department of Commerce (DOC)  
National Institute of Standards and Technology (NIST)  
Office of Weights and Measures (OWM)  
National Type Evaluation Program (NTEP)  
Bldg. 820, Room 232  
Gaithersburg, MD 20899  
Phone: (301) 975-2196  
FAX: (301) 926-0647  
e-mail: Tina.Butcher@nist.gov  
URL address: <http://www.nist.gov/owm>

*Initiated*

1984, though a number of state and federal programs existed prior to this time.

*Compliance*

Mandatory in a number of states.

*Authority*

Resolution of the National Conference on Weights and Measures (NCWM).  
NIST Organic Act (P.L. 81-619).

*Aim*

The National Type Evaluation Program provides an evaluation service for producers of specified kinds of weighing and measuring instruments used in commercial trade prior to acceptance for sale or use within the United States.

*Benefits*

Provides a uniform means of evaluating the performance of specific devices/systems for conformance to legal requirements.

*Methodology*

Requirements for commercial weighing and measuring devices are stated in NIST Handbook 44, which is established through the National Conference on Weights and Measures (NCWM), whose membership is comprised of weights and measures officials and others. Because requirements are stated in general terms and apply to a wide range of devices, a set of interpretations has been developed which are the type evaluation criteria. Testing is performed by laboratories authorized by OWM to perform type evaluations.

*Testing*

Government approved labs. (Authorized laboratory indicated above is most likely to be an authorized state measurement laboratory).



<i>Inspection</i>	NIST, USDA's Grain Packers and Stockyards Administration (GIPSA) or state government.
<i>Conformity Identification</i>	Certificates of Conformance issued to manufacturer. List of qualified devices.
<i>Availability of Documentation</i>	NIST Handbook 44 is available from NIST.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers must mark instruments marketed under the Certificate of Conformance exactly as specified and provide installation, maintenance, and operating instructions consistent with the evaluation report.
<i>Enforcement</i>	Delisting. States and the USDA's Food Safety and Inspection Service (FSIS) may require a Certificate of Conformance before allowing device to be marketed in the state or in federally-inspected meat and poultry plants.
<i>Term</i>	Certificate is valid as long as the type and model of instrument is produced consistent with the evaluation report.
<i>Reciprocity</i>	Other federal agencies and state agencies. This program is the U.S. basis for recognition of approved measuring instruments within an international system currently being established.
<i>Standards, Codes or Regulations</i>	NCWM prepares acceptance criteria, taking advice from NIST, device manufacturers and participating laboratories and international organizations. The NCWM adopts these criteria by consensus vote.
<i>Keywords</i>	commercial measuring devices; legal metrology; measurement instruments; production control; prototype; state laboratories; type evaluation; weighing instruments

*Products or  
Services*

**PROCESSED FISH AND SEAFOOD**

*Department/Agency*

U.S. Department of Commerce (DOC)  
National Oceanic and Atmospheric Administration (NOAA)  
National Marine Fisheries Service (NMFS)  
Seafood Inspection Program  
1315 East West Hwy.  
Silver Spring, MD 20910  
Phone: (301) 713-2355 or 1-800-422-2750  
FAX: (301) 713-1081  
e-mail: Kim.Young@noaa.gov  
URL address: <http://seafood.ssp.nmfs.gov/iss/issue.html>

*Initiated*

1958. The voluntary Hazard Analysis Critical Control Point (HACCP) Program was introduced in 1992.

*Compliance*

Voluntary, though effective 12/18/97 U.S. importers will have new requirements for foreign-produced product specifications, process controls (HACCP - Hazard Analysis Critical Control Point), training, and sanitary practices. It will be the U.S. importers' responsibility to verify that these requirements have been met. The services offered by the Seafood Inspection Program can help meet these obligations.

*Authority*

Agricultural Marketing Act of 1946 (as amended).  
50 CFR Parts 260-266.

*Aim*

Increase consumer confidence in products which bear inspection marks and grade shields and provide technical services to the participating industry.

*Benefits*

Established quality control (HACCP requirements) for vessels and seafood processing operations has improved the wholesomeness of fishery products. The quality and value of these products is communicated to consumers through grading of major types of seafood sold for human consumption. The program also helps processors prepare processing specifications for non-standard fishery products and provides mechanisms for settling trade disputes.

*Methodology*

Agency conducts a voluntary seafood inspection program on a fee-for-service basis. Program involves vessel and plant sanitation, product inspection, grading, certification, label review, and laboratory analysis.

*Testing*

Testing in government labs, recognized state labs, and Federally accredited private labs.

<i>Inspection</i>	Inspection by licensed government agents and state agents operating with a license agreement.
<i>Conformity Identification</i>	Lists of approved suppliers and graded/certified products. Government applied "U.S. Grade A" mark, "lot inspected" mark, the "PUFI" (Processed Under Federal Inspection) and HACCP marks, and the "retail mark" for seafood retailers and restaurants.
<i>Availability of Documentation</i>	<p>Lists of Sanitary Inspected Fish Establishments (SIFE) and seafood Processed under Federal Inspection (PUFI) or which participate in grade marking. Lists of seafood products covered by these services may be obtained from:</p> <p>U.S. Department of Commerce, NOAA  National Marine Fisheries Service  National Seafood Inspection Laboratory  P.O. Drawer 1207  Pascagoula, MS 39567-0112  (601) 762-4591</p> <p>HACCP regulations for seafood are published by the U.S. Food and Drug Administration.</p>
<i>Obligations of the Manufacturer/Vendor</i>	Producers/suppliers must comply with sanitary, quality control, and inspection requirements.
<i>Enforcement</i>	Delisting and removal of authority to use marks.
<i>Term</i>	Indefinite.
<i>Reciprocity</i>	Certification is recognized by: other federal and state agencies, private organizations, foreign government agencies (inspection service available for both import and export), international organizations. At present no reciprocity exists with similar agencies in other countries.
<i>Standards, Codes or Regulations</i>	Agency prepares all criteria documents including the Fishery Products Inspection Manual. HACCP regulations for seafood are published by the U.S. Food and Drug Administration.
<i>Keywords</i>	fish quality; fish; fishery products; HACCP; plant inspection; PUFI; quality standards; sanitation; seafood specifications; seafood; SIFE

*Products or Services*

## UHF TRANSMITTERS AND RELATED EQUIPMENT

*Department/Agency*

U.S. Department of Commerce (DOC)  
 National Oceanic and Atmospheric Administration (NOAA)  
 National Environmental Satellite, Data, and Information  
 Service (NESDIS)  
 Direct Services Division  
 E/SP3, Stop 9909  
 4700 Silver Hill Road  
 Washington, DC 20233-3309  
 Phone: (301) 457-5681  
 FAX: (301) 457-5620  
 URL address: <http://140.90.207.25:8080/noaasis.html>

*Compliance*

Mandatory.

*Authority*

15 U.S.C. 3.3, 49 U.S.C. 1483.  
 Regulations on the administration and operation of a  
 Geostationary Orbiting Environmental Satellite Data  
 Collection System (GOES-DCS) is codified at 15 CFR, Part  
 911.

*Aim*

The NOAA GOES Data Collection System utilizes geosta-  
 tionary satellites to collect environmental data from  
 remote locations. Standards on UHF transmitters and  
 related equipment are established and equipment  
 certified.

*Benefits*

Ensures system integrity of the NOAA GOES Data  
 Collection System.

*Methodology*

Manufacturers submit plans for in-plant testing of Data  
 Collection Platform Radio Sets. If the plans are  
 approved, a NOAA representative visits the  
 manufacturer's testing facility and witnesses the tests.  
 If a representative unit meets all of the established  
 standards a type certificate is issued to the  
 manufacturer.

*Testing*

Government witnessed at manufacturer's facility.

*Inspection*

Government witnessed at manufacturer's facility.

*Conformity  
Identification*

A type certificate is issued to approved sets.

*Availability  
of Documentation*

List of certified manufacturers and model numbers  
 obtainable from: Chief, Direct Services Division, E/SP3,  
 Stop 9909, 4700 Silver Hill Road, NOAA/NESDIS,  
 Washington, DC 20233-9909.

<i>Enforcement</i>	Notification to both manufacturer and user community that a specific manufacturer's equipment is not certified for use on GOES DCS.
<i>Term</i>	No expiration date.
<i>Standards, Codes or Regulations</i>	Four standards for self-timed, random reporting, international and interrogated Data Collection Platform Radio Sets are available from: DCS Manager, Direct Services Division, E/SP3, Stop 9909, 4700 Silver Hill Road, NOAA/NESDIS, Washington, DC 20233-9909.
<i>Keywords</i>	satellites; environment; electronic equipment; data processing; aerospace

*Products or  
Services*

## WEATHER OBSERVERS/STATIONS

*Department/Agency*

U.S. Department of Commerce (DOC)  
 National Oceanic and Atmospheric Administration (NOAA)  
 National Weather Service (NWS)  
 Surface Weather Observing Program  
 1325 East West Highway  
 Silver Spring, MD 20910  
 Phone: (301) 713-1792  
 FAX: (301) 713-0959  
 URL address: Under development.

*Initiated*

1928.

*Compliance*

Mandatory.

*Authority*

Organic Act of the National Weather Service, 15 U.S.C.  
 311.

*Aim*

Codify the basis for training, examination and  
 certification of all surface aviation weather observers  
 in all 50 states, territories and Micronesia.

*Benefits*

Assures consistent, minimum performance expectations for  
 manual weather observations used for the preparation of  
 forecasts and warnings and the support of aviation  
 operations.

*Methodology*

Observers are certified by examination and experience  
 for acceptable vision, adequate training, and  
 demonstrated ability to take and record accurate and  
 timely weather observations. Stations are approved  
 based on use of appropriate instrumentation,  
 installation of automated sensors, maintenance programs,  
 and certification of observers.

*Testing*

Government.

*Inspection*

Government.

*Conformity  
Identification*

Government-issued certificates and master list of  
 validated observers and a list of observatories.

*Availability  
of Documentation*

Each NWS regional headquarters maintains a master list  
 of certified observers within their  
 region.

*Obligations of the  
Manufacturer/Vendor*

Certificate holder is required to maintain skill level  
 through experience (taking a minimum number of  
 observations throughout the year).



<i>Enforcement</i>	Certificate cancellation.
<i>Term</i>	Audit testing keyed to individual performance, eyesight, and current experience.
<i>Reciprocity</i>	Data is used by other federal agencies, State agencies, and private organizations.
<i>Standards, Codes or Regulations</i>	NWS prepares examination questions and performance criteria. Standards for observing, determining, and reporting weather information are included in the series of Federal Meteorological Handbooks, Federal Standard for Siting Meteorological Sensors, and operational directives from the NWS.
<i>Keywords</i>	aviation weather; eyesight examination; vision standards; weather observation; weather station



*Products or Services*

## WEATHER DATA

*Department/Agency*

U.S. Department of Commerce (DOC)  
 National Oceanic and Atmospheric Administration (NOAA)  
 National Environmental Satellite, Data and Information  
 Service (NESDIS)  
 National Climatic Data Center (NCDC)  
 Climate Services Branch (E/CC31)  
 151 Patton Ave., Room 120  
 Asheville, NC 28801-5001  
 Phone: (704) 271-4800  
 FAX: (704) 271-4876  
 e-mail: orders@ncdc.noaa.gov  
 URL address: <http://www.noaa.gov/>

*Compliance*

Voluntary service.

*Authority*

Federal Records Act of 1950.

*Aim*

Certifies weather records and data for litigation.

*Benefits*

Certified records are more readily accepted in legal proceedings.

*Methodology*

NCDC is the collection center and the custodian of all U.S. weather records and is the largest climatic center in the world. NCDC uses this information to certify copies of archived weather records and publications for litigation.

*Testing*

N/A.

*Inspection*

N/A.

*Conformity Identification*

Certification document.

*Availability of Documentation*

Data and information services are described in the NOAA Environmental Services Data Directory (NOAADIR), the NOAA National Environmental Data Referral Service (NEDRED), and the NOAA Product Information Catalog (PIC).

*Obligations of the Manufacturer/Vendor*

Pay appropriate fees.

*Term*

Indefinite.

*Reciprocity*

Accepted within the U.S. legal system and by other U.S. and state government agencies.

*Keywords*

certified record; climatological data; weather; weather data; weather records

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U.S. DEPARTMENT OF DEFENSE

<i>Products or Services</i>	QUALIFIED PRODUCT LISTS (QPLs) AND QUALIFIED MANUFACTURERS LISTS (QMLs)
<i>Department/Agency</i>	U.S. Department of Defense (DOD) Defense Logistics Agency, DLSC-LM Defense Standardization Program Office DOD Executive Agency for Standardization 8725 John J. Kingman Road, Suite 2533 Fort Belvoir, VA 22060-6221 Phone: (703) 767-6888 FAX: (703) 767-6876 e-mail: judy_ireland@hq.dla.mil
<i>Initiated</i>	1949.
<i>Compliance</i>	Mandatory for those products defined by procurement specifications and having qualification requirements. Equipment supplied to the Department of Defense may not contain products from other than qualified sources for those commodities for which Qualified Products Lists (QPL's) have been developed.
<i>Authority</i>	Federal Acquisition Regulations, General Provisions, Part 9. Defense Standardization Manual, DOD 4120. 3-M. Defense Standardization Document SD-6.
<i>Aim</i>	Maintain a high level of quality for critical products through pre-procurement evaluation of prospective vendors' products.
<i>Benefits</i>	The Qualification Program normalizes the selection of possible vendors in several hundred critical technical commodities which are sufficiently standardized to permit a stringent, common, advanced assessment of supplier capability.
<i>Methodology</i>	Conducts pretesting and vendor facility evaluation prior to purchase by government or its contractors.
<i>Testing</i>	Any type of laboratory acceptable to DOD sponsoring activity may be used; labs are not formally accredited by DOD.
<i>Inspection</i>	Periodic follow up inspection. Plant visits are part of the overall management of the program. Listing on a QPL does not waive the requirements for in-process or other inspection by the manufacturer or receiving inspection by the buyer.

<i>Conformity Identification</i>	Listing on Qualified Product Lists (QPL's). Authorized designation (J or JAN Mark) may be applied by the manufacturer/distributor to qualified semiconductors, microelectronic, and products with established reliability.
<i>Availability of Documentation</i>	DOD specifications and QPL's are distributed by:  DOD Single Stock Point Standardization Document Order Desk 700 Robbins Ave., Building 4D Philadelphia, PA 19111-5094
<i>Obligations of the Manufacturer/Vendor</i>	Maintain a quality management program. Manufacturer/distributor must supply test samples, ordinarily bear the cost of testing, maintain quality, notify of design or process changes, and mark only approved types. Advertising and publicity may refer to listing on QPL's provided there is no claim or implication of government preference or endorsement or that the product is the only one of its type that has passed the prescribed tests.
<i>Enforcement</i>	Delisting.
<i>Term</i>	Validated every two years; most critical components require retesting at periodic intervals.
<i>Reciprocity</i>	There is limited reciprocity with counterpart agencies in Canada, Australia, and Ireland as well as specific procedures for products complying with QPL's of NATO.
<i>Standards, Codes or Regulations</i>	Program is based on qualification requirements specified in Military Specifications.
<i>Keywords</i>	government procurement; military; military specifications; military systems; procurement; QPL; qualification; quality control; testing



*Products or Services*

ARMY CONTRACTORS/SUPPLIERS  
CONTRACTOR PERFORMANCE CERTIFICATION PROGRAM (CP)2

*Department/Agency*

U.S. Department of Defense (DOD)  
U.S. Department of the Army  
U.S. Army Material Command  
Public Affairs Office  
6001 Eisenhower Ave.  
Alexandria, VA 22333  
Phone: (703) 617-4723  
FAX: (703) 617-8010  
URL address: <http://www.amc.army.mil>

*Compliance*

Voluntary supplier recognition program open to any contractor what has pursued or made plans to pursue contracts with the Army Material Command's (AMC) Major Subordinate Commands (MSCs).

*Authority*

Federal Acquisition Regulations, General Provisions, Part 9.  
Defense Standardization Manual, DOD 4120. 3-M.  
Defense Standardization Document SD-6.

*Aim*

To use an established methodology and set of measures to appraise contractor's development, production, and maintenance facilities to identify those contractors with a commitment to quality, customer satisfaction, and improved products and processes.

*Benefits*

Cuts government and contractors administrative costs while increasing levels of contractor quality and performance.

*Methodology*

Involves the determination of eligibility for one of three types of certifications: (1) production certification; (2) design and development certification; and (3) production, design and development certification. Contractor commits to a multi-phase assessment process. Contractor submits information on facilities, organizational structure, and past performance. A initial and final assessment is conducted by an assessment team (composed of individuals from the MSCs and the contractor) using 28 defined criteria and a series of additional assessment audits requested by the contractor to verify that suggested actions have been implemented. When all criteria have been met and related concerns addressed by the contractor, a memorandum of agreement is issued detailing the scope and responsibilities of the contractor's (CP)2 status. The contractor then provides periodic reports on its management and program and

government may conduct additional assessment as needed to determine continued compliance with criteria.

*Testing* See *Methodology*.

*Inspection* See *Methodology*.

*Conformity  
Identification* See *Methodology*.

*Availability  
of Documentation* AMC-P 715-6 *Contractor Performance Certification Program (CP)2* and *Contractor Performance Certification Program* (pamphlet), published by the U.S. Army Material Command.

*Obligations of the  
Manufacturer/Vendor* See *Methodology*.

*Enforcement* Removal of (CP)2 recognition.

*Term* See *Methodology*.

*Reciprocity* None.

*Standards, Codes  
or Regulations* Program is based on qualification requirements specified in Military Specifications or other relevant standards.

*Keywords* Army; (CP)2; government procurement; military; military specifications; military systems; procurement; qualification; quality control; testing

<i>Products or Services</i>	<p style="text-align: right;">Received 12/97</p> <p>PRODUCTS FOR USE IN DOD'S DEFENSE MESSAGE SYSTEM (DMS) (Electronic Messaging System Products)</p>
<i>Department/Agency</i>	<p>U.S. Department of Defense (DOD) Assistant Secretary of Defense (Command, Control, Communications and Intelligence) Defense Information Systems Agency (DISA) C4 and Intelligence Program Integration Directorate (D24) Skyline 5 5111 Leesburg Pike Falls Church, VA 22041-3205 Phone: (703) 681-0753 FAX: (703) 681-0343 e-mail: dms@ncr.disa.mil URL address: <a href="http://www.disa.mil/D2/dms">http://www.disa.mil/D2/dms</a></p>
<i>Initiated</i>	1997.
<i>Compliance</i>	Mandatory for e-mail products sold to DoD.
<i>Authority</i>	Federal Acquisition Regulations.
<i>Aim</i>	Provide secure, accountable, reliable writer-to-reader messaging for the warfighter at reduced cost.
<i>Benefits</i>	See <i>Aim</i> .
<i>Methodology</i>	Pretesting is required prior to purchase by DOD or the Services.
<i>Testing</i>	Testing by Joint Interoperability Test Command, DISA.
<i>Inspection</i>	See Testing.
<i>Conformity Identification</i>	<p>Certified products can be sold as "DMS-Compliant." DISA also maintains a Certified Compliant Products List (CCPL).</p>
<i>Availability of Documentation</i>	See URL address listed above.
<i>Enforcement</i>	Delisting.
<i>Standards, Codes or Regulations</i>	Uses X.400 and X.500.
<i>Keywords</i>	<p>Defense Message System; DMS; electronic communications; government procurement; messaging systems; military specifications; military systems; procurement; QPL; qualification; testing; command and control; e-mail</p>

*Products or Services*

NAVAL AUTOMATED TELECOMMUNICATION SYSTEMS ASHORE AND AFLOAT

*Department/Agency*

U.S. Department of Defense (DOD)  
Defense Information Systems Agency (DISA)  
Joint Interoperability Test Command (JITC)  
7700 Redman Avenue  
Clinton, MD 20725  
Phone: (301) 394-0441  
FAX: (301) 394-0285  
e-mail: carmany@ncr.disa.mil

*Compliance*

Mandatory for products supplied to the U.S. Navy.

*Authority*

Federal Acquisition Regulations.

*Aim*

Maintain a high level of quality for critical products through pre-procurement evaluation of prospective vendors' products.

*Benefits*

To ensure compatibility of naval automated telecommunication systems ashore and afloat.

*Methodology*

Testing is conducted by the government at the Joint Interoperability Test Command.

*Testing*

See above.

*Availability of Documentation*

DOD specifications are distributed by:  
DOD Single Stock Point  
Standardization Document Order Desk  
700 Robbins Ave., Building 4D  
Philadelphia, PA 19111-5094

*Obligations of the Manufacturer/Vendor*

Suppliers are obligated to meet qualification requirements specified in Military Specifications.

*Enforcement*

None, though meeting qualifications requirements is required for suppliers of naval automated telecommunication systems ashore and afloat.

*Reciprocity*

None.

*Standards, Codes or Regulations*

Program is based on qualification requirements specified in Military Specifications.

*Keywords*

government procurement; military; military specifications; naval systems; procurement; telecommunications equipment

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U.S. DEPARTMENT OF ENERGY

*Products or Services*

RESIDENTIAL CONSUMER APPLIANCES, LIGHTING DEVICES, PLUMBING PRODUCTS, AND COMMERCIAL EQUIPMENT

*Department/Agency*

U.S. Department of Energy (DOE)  
 Energy Efficiency and Renewable Energy  
 Office of Codes and Standards  
 1000 Independence Avenue, SW  
 Washington, DC 20585-0121  
 Phone: (202)-586-9127  
 FAX: (202)-586-4617  
 E-mail: [michael.mccabe@ee.doe.gov](mailto:michael.mccabe@ee.doe.gov)  
 URL address: [http://www.eren.doe.gov/buildings/codes\\_standards/index.htm](http://www.eren.doe.gov/buildings/codes_standards/index.htm)

*Initiated*

Standards were effective for residential consumer products; lighting devices; plumbing products; and commercial equipment as follows:

Effective Date	Product/Equipment
January 1, 1988	Dishwashers, Clothes Dryers, Clothes Washers
January 1, 1990	Refrigerators, Refrigerator-Freezers, Freezers, Room AC, Water Heaters, Pool Heaters, Direct Heating Equipment, Fluorescent Lamp Ballasts (with some exceptions), Kitchen Ranges and Ovens
September 1, 1990	Mobile Home Furnaces
January 1, 1992	Central AC (Split System), Furnaces, Boilers
January 1, 1993	Central AC (Single Package)
January 1, 1994	Faucets, Showerheads, Water Closets, Urinals, Small Commercial Packaged AC and Heating Equipment, Packaged Terminal AC and Packaged Terminal HP, Warm Air Furnace and Packaged Boilers, Storage Water Heaters, Instantaneous Water Heaters, and Unfired Storage Tanks
May 1, 1994	General Service Fluorescent Lamps (8-foot)
January 1, 1995	Large Commercial Package AC and Heating Equipment, Incandescent Reflector Lamps, General Service Fluorescent Lamps (4-foot and 2-foot)
November 24, 1997	Electric Motors (1 hp - 200 hp)

*Compliance*

Mandatory for all manufacturers and importers of covered products/equipment.



<i>Authority</i>	The Energy Policy Act (EPAct), P.L. 102-486. The National Appliance Energy Conservation Act (NAECA), P.L. 100-12. The National Energy Conservation Policy Act, P.L. 95-619. The Energy Policy and Conservation Act (EPCA), P.L. 94-163.
<i>Aim</i>	Reduce energy consumption through the use of more efficient residential consumer appliances, lighting devices, plumbing products, and commercial equipment.
<i>Benefits</i>	The establishment of technically feasible minimum energy efficiency (or maximum energy use) levels for various residential consumer appliances, lighting devices, plumbing products, and commercial equipment will save the taxpayer money on utility bills, reduce the need for utility companies to construct additional power plants, and provide significant benefits to the environment by reducing the discharge of CO <sub>x</sub> , NO <sub>x</sub> and SO <sub>x</sub> pollutants.
<i>Methodology</i>	Administer a program to establish test procedures to evaluate the energy use of residential consumer appliances, lighting devices, plumbing products, and commercial equipment (if needed), conduct analyses to determine cost/benefit of new or amended energy efficiency standard levels, monitor manufacturer/private labeler compliance via self-certification, conduct enforcement activities as required by law.
<i>Testing</i>	Uses manufacturer's lab and third party labs.
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	See FTC entry.
<i>Availability of Documentation</i>	10 CFR Part 430, 10 CFR Part 431 (currently under development)
<i>Obligations of the Manufacturer/Vendor</i>	Self-certification and labeling.
<i>Enforcement</i>	Any person who knowingly violates energy efficiency standards provisions shall be subject to a civil penalty of \$100 per violation. Some violations are subject to a \$100 penalty per day.

<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	The Energy Policy Act (EPAcT), P.L. 102-486 and the National Appliance Energy Conservation Act (NAECA), P.L. 100-12, which amend the Energy Policy and Conservation Act (EPCA), P.L. 94-163, preempt corresponding state regulation/program unless a waiver is granted by the DOE or the state regulation/program is exempt under specific EPAcT or NAECA provisions.
<i>Standards, Codes or Regulations</i>	10 CFR Part 430, 10 CFR Part 431 (currently under development).
<i>Keywords</i>	appliances; boilers; central air conditioners; clothes dryers; clothes washers; codes; commercial package air conditioning and heating equipment; consumer products; direct heating equipment; dishwashers; electric motors; energy efficiency; EPAcT; EPCA; faucets; showerheads; water closets; urinals; fluorescent lamp ballasts; furnaces; general service fluorescent lamps; incandescent reflector lamps; kitchen ranges and ovens; lighting; mobile home furnaces; NAECA; packaged terminal air conditioners and packaged terminal heat pumps; pool heaters; refrigerators; refrigerator-freezers; freezers; room air conditioners; standards; storage water heaters; instantaneous water heaters; unfired storage tanks; warm air furnace and packaged boilers; water heaters

Received 12/97

*Products or  
Services*

MAJOR APPLIANCES, HEATING AND COOLING  
EQUIPMENT/SYSTEMS, RESIDENTIAL LIGHTING FIXTURES, OFFICE  
EQUIPMENT, NEW HOMES - ENERGY STAR PROGRAM

*Department/Agency*

U.S. Department of Energy (DOE)  
Office of Building Equipment  
Energy Star Program  
1000 Independence Ave., SW  
Washington, DC 20585  
Phone: (202) 586-9127 or 1-800-doe-erec  
FAX: (202) 586-1628  
e-mail: [info@energystar.gov](mailto:info@energystar.gov)  
URL address: <http://www.energystar.gov>

NOTE: This program is conducted jointly with the U.S.  
Environmental Protection Agency (EPA). See also EPA  
Energy Star entry.

*Initiated*

Program began with computers in 1993. Other products  
have been added to the program since that time.

*Compliance*

Voluntary.

*Authority*

Energy Policy Conservation Act (EPCA) as amended,  
P.L. 94-163, 89 Stat. 917, 42 U.S.C. 6295.

*Aim*

Reduce energy consumption through voluntary/industry  
government programs to promote efficient appliance.

*Benefits*

Helps consumers identify and buy products that use less  
energy, and raises awareness about environmental and  
economic benefits of energy efficient products.

*Methodology*

The federal government defines minimum standards for  
energy consumption for many consumer products such as  
major appliances. In order for one of these products to  
receive an Energy Star rating, it must exceed the  
minimum federal standard by a certain amount, which  
varies from product to product. For other products  
where there are no minimum energy use standards (such as  
office equipment), products which qualify for the Energy  
Star label have special features which enable them to  
use less energy than similar products.

<i>Testing</i>	Independent third party.
<i>Inspection</i>	Independent third party.
<i>Conformity Identification</i>	Energy Star label.
<i>Availability of Documentation</i>	See URL address listed above.
<i>Obligations of the Manufacturer/Vendor</i>	See <i>Methodology</i> .
<i>Enforcement</i>	Revocation of license to use the Energy Star label.
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	None, though program is recognized by many states, utility companies and retailers who cooperate in promoting the program.
<i>Standards, Codes or Regulations</i>	The federal government defines minimum standards for energy consumption for many consumer products such as major appliances. In order for one of these products to receive an Energy Star rating, it must exceed the minimum federal standard by a certain amount, which varies from product to product. For other products where there are no minimum energy use standards (such as office equipment), products which qualify for the Energy Star label have special features which enable them to use less energy than similar products.
<i>Keywords</i>	appliances; dishwashers; energy star; clothes washers; office equipment, heating and cooling equipment/systems; refrigerators; residential lighting fixtures; room air conditioners; new homes

Received 1/98

*Products or  
Services*

HIGH ENERGY PARTICULATE AIR (HEPA) FILTERS

*Department/Agency*

U.S. Department of Energy (DOE)  
Assistant Secretary for Defense Programs  
DP-2  
Room 4A-028 Forestal Building  
Washington, DC 20585  
Phone: (202) 586-2181  
FAX: (202) 586-1628  
e-mail: victor.reis@dp.doe.gov  
URL address: <http://www.dp.doe.gov/Public/default.htm>

*Initiated*

1960.

*Compliance*

Recommended for the Dept. of Energy (DOE).

*Authority*

The Atomic Energy Act of 1954.  
Energy Reorganization Act of 1974.  
Department of Energy (DOE) Reorganization Act of 1977.

*Aim*

To improve and ensure the safety of nuclear facilities.

*Benefits*

This program ensures that the filters used in DOE facilities have demonstrated compliance with DOE standards.

*Methodology*

High Efficiency Particulate Air (HEPA) filters must be approved prior to use in DOE facilities. Quality assurance/specification inspection and performance testing is conducted prior to installation in DOE facilities.

*Testing*

Testing is conducted by DOE contractor test facilities.

*Inspection*

Inspection is conducted by DOE contractor test facilities.

*Conformity  
Identification*

Certification label on the inspected/tested filters.

<i>Availability of Documentation</i>	Documentation is maintained on all tested filters. General results of testing are presented at Air Cleaning Conferences.
<i>Enforcement</i>	Noncompliant filters are returned to the manufacturer for replacement. Continued failure of products would result in a ban and/or cancellation of contract.
<i>Term</i>	Indefinite.
<i>Reciprocity</i>	Inspection and testing of non-DOE private and other agency filters are conducted on a cost recovery basis at DOE Filter Test Facilities as capacities permit.
<i>Standards, Codes or Regulations</i>	Department of Energy Standards: F 3-42, Operating Policy of DOE Filter Test Program, which is being replaced by DOE-STD-3022-97, DOE HEPA Filter Test Program. F 3-43, Quality Assurance Testing of HEPA Filters F 3-44, DOE Filter Test Facilities Quality Program Plan DOE-STD- 3020-97, Specifications for HEPA Filters Used by DOE Contractors
<i>Keywords</i>	HEPA filters; nuclear energy



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DEPARTMENT OF HEALTH AND HUMAN SERVICES

Received 4/98

*Products or  
Services*

RESPIRATORS AND OTHER BREATHING APPARATUS; PERSONAL COAL  
DUST SAMPLERS

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Center for Disease Control and Prevention (CDC)  
National Institute for Occupational Safety and Health  
(NIOSH)  
Appalachian Laboratory for Occupational Safety & Health  
Certification and Quality Assurance Branch  
Division of Respiratory Disease Studies  
1095 Willowdale Road  
Morgantown, WV 26505-2888  
Phone: (304) 285-5907  
For listings of certified respirators, call: 1-800-35-  
NIOSH  
URL address: <http://www.cdc.gov/niosh/homepage.html>

*Initiated*

1972. Latest modification in 1995 (Note that this  
change was the first in a series of modules which will  
be published to upgrade respirator approval standards.

*Compliance*

Voluntary.

*Authority*

30 CFR Part 74; 42 CFR Part 84.

*Aim*

To assure a minimum level of performance and quality for  
respiratory protective devices in the marketplace and  
provide an independent review of manufacturer's designs.

*Benefits*

The certifying laboratory evaluates approximately 2000  
samples of respiratory protective devices from a  
population of 21 domestic manufacturers and five  
importers. These evaluations combined with an extensive  
defect notification program, including both users and  
manufacturers, assures that nearly all potentially  
life-threatening problems with respiratory protective  
equipment are detected and corrected before  
equipment-related injuries occur.

*Methodology*

Federal design approval/testing and certification is  
required.

*Testing*

Government laboratory and manufacturers labs.

<i>Inspection</i>	Federal agency representatives only.
<i>Conformity Identification</i>	Approved product lists and government-approved labels applied by the manufacturer.
<i>Availability of Documentation</i>	Approved product lists are available to users at the above website or by calling the number listed above.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturer must conduct pre-submittal tests; establish a quality control plan for agency approval; notify agency of possible or actual equipment or component defects; participate in agency-sponsored investigations; and cease labeling if approval is suspended.
<i>Enforcement</i>	Delisting; product recall (voluntary by the manufacturer); notification to users.
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	Certain mine emergency devices are certified jointly with the Mine Safety and Health Administration (MSHA). Other federal agencies (e.g. the NRC). State agencies. Government of Canada and its counterpart agencies.
<i>Standards, Codes or Regulations</i>	Agency prepares criteria documents. Agency adopts standards prepared by others for quality plans and respirator maintenance.
<i>Keywords</i>	air samplers; breathing apparatus; coal mine dust; design approval; face pieces; gas masks; mining equipment; pesticides; respirators

*Products or  
Services*

HEALTH HAZARDS IN WORKPLACES

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Center for Disease Control and Prevention (CDC)  
National Institute for Occupational Safety and Health  
(NIOSH)  
Hazard Evaluation and Technical Assistance Branch  
4676 Columbia Pkwy., R-9  
Cincinnati, OH 45226  
Phone: (513) 851-4382  
FAX: (513) 841-4488  
URL address: <http://www.cdc.gov/niosh/hhepage.html>

*Compliance*

Voluntary.

*Authority*

For Private Sector Workplaces: Section 20(a)(6) of the Occupational Safety and Health Act (P.L. 91-596); Section 501(a) of the Federal Mine Safety Act of 1977; 42 CFR 85.  
For Federal Workplaces: Section 19 of the Occupational Safety and Health Act; E.O. 12196 dated February 26, 1980; 29 CFR 1960.  
In Other Governmental Agency Workplaces: Section 18 of the Occupational Safety and Health Act (29 U.S.C. 667).

*Aim*

To evaluate new or unique types of hazards or common workplace hazards which are not well understood.

*Benefits*

Provides a mechanism to obtain a scientific and professional evaluation of potential hazards on the workplace.

*Methodology*

NIOSH conducts, in response to requests, assessments of whether there is a health hazard to employees caused by exposure to hazardous materials (chemical or biological contaminants) in the workplace. NIOSH also evaluates other potentially hazardous working conditions, such as exposures to heat, noise, radiation, or musculoskeletal stresses. In some cases, requests are referred to a state agency or other resources as appropriate.

*Testing*

Testing is conducted by NIOSH as appropriate.

<i>Inspection</i>	Inspections are conducted by NIOSH personnel as appropriate.
<i>Conformity Identification</i>	Reports of determination, findings, and recommendations are published.
<i>Availability of Documentation</i>	Additional information is available at the URL address listed above or by contacting NIOSH.
<i>Obligations of the Manufacturer/Vendor</i>	N/A.
<i>Enforcement</i>	While NIOSH has no authority to enforce the adoption of recommendations in the report, most employers attempt to address any problems identified in the HHE report.
<i>Term</i>	N/A.
<i>Reciprocity</i>	Recognized by OSHA, other federal and state agencies as being an authoritative source of information.
<i>Standards, Codes or Regulations</i>	See <i>Authority</i> .
<i>Keywords</i>	contaminant; hazard; health hazard; workplace

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*Products or Service*

~~PAN~~ MOLLUSCAN SHELLFISH (Oysters, Clams, Mussels, and Scallops)

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Food and Drug Administration (FDA)  
Center for Food Safety and Applied Nutrition  
Office of Seafood  
Division of Programs and Enforcement Policy  
200 C St., SW  
Washington, DC 20204  
Phone: (202) 418-3150  
FAX: (202) 418-3196  
E-mail: [seafood@bangate.fda.gov](mailto:seafood@bangate.fda.gov)  
URL address: <http://vm.cfsan.fda.gov/seafood1.html> or  
<http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm>

*Initiated*

1925.

*Compliance*

Voluntary/Cooperative. Mandatory coverage under the Domestic Fish and Fishery Products Inspection Program only when the appropriate state authority cannot or will not provide appropriate coverage under the terms of the National Shellfish Sanitation Program (NSSP).

*Authority*

Federal Food, Drug and Cosmetic Act of 1938, as amended.  
Public Health Service Act, as amended.  
Fair Packaging and Labeling Act.

*Aim*

The NSSP is the federal/state cooperative program recognized by FDA and the Interstate Shellfish Sanitation Conference (ISSC) for the sanitary control of Shellfish produced and sold for human consumption. The purpose of the NSSP is to promote and improve the sanitation of shellfish (oysters, clams, mussels and scallops) moving in interstate commerce through federal/state cooperation and uniformity of State shellfish programs. Participants in the NSSP include agencies from shellfish producing states, FDA, and the shellfish industry. Under international agreements with FDA, foreign governments also participate in the NSSP. Other components of the NSSP include: program guidelines; state growing area classification and dealer certification programs; and FDA evaluation of state program elements.



<i>Benefits</i>	The NSSP was designed to prevent illness associated with the consumption of shellfish (oysters, clams, mussels, and scallops - scallops are excluded when the final product is shucked adductor muscle only.) consumption.
<i>Methodology</i>	Each shellfish shipping state adopts adequate laws and regulations for sanitary control of the shellfish industry, completes sanitary surveys of growing areas, delineates and patrols restricted areas, inspects shellfish plants, and conducts such additional inspections, laboratory investigations and control measures as are necessary to insure that shellfish reaching the consumer have been grown, harvested and processed in a sanitary manner. The FDA conducts an annual review of each state shellfish control program, including the inspection of a representative number of shellfish processing plants. On the basis of the information obtained, the FDA determines the degree of conformity the state control program has with the NSSP. The shellfish industry cooperates by obtaining shellfish from safe sources, by providing plants which meet the agreed upon sanitary standards, by maintaining sanitary operating conditions, by placing the proper certificate number on each package of shellfish, and by keeping and making available to the control authorities, records which show the origin and disposition of all shellfish.
<i>Testing</i>	Testing is performed by state and local laboratories.
<i>Inspection</i>	Inspection is performed by the State Shellfish Sanitation Control Authority (SSCA).
<i>Conformity Identification</i>	The states annually issue number certificates to shellfish dealers who comply with the agreed-upon sanitary standards, and forward copies of the interstate certificates to the FDA. For the information of health authorities and others concerned, the FDA publishes a monthly list of all shellfish shippers certified by states that maintained "satisfactory" control program.
<i>Availability of Documentation</i>	Persons interested in received information and publications about the NSSP, contact: Program and Enforcement Branch (HFS-417) Division of Programs and Enforcement Policy Office of Seafood FDA



200 C St., SW  
Washington, DC 20204  
Phone: (202) 418-3177

Persons interested in technical assistance about the  
NSSP, contact:

Shellfish Safety Team (HFS-628)  
Division of Cooperative Programs  
Office of Field Programs  
FDA

200 C St., SW  
Washington, DC 20204  
Phone: (202) 205-5461

Persons interested in receiving the ICSSL, Interstate  
Shellfish Dealer's Certificate Form FD 3038, contact:

Division of Cooperative Programs (HFS-625)  
Office of Field Programs  
FDA

200 C St., SW  
Washington, DC 20204  
Phone: (202) 205-8137

Persons interested in receiving information about the  
ISSC, contact:

ISSC  
115 Atrium Way, Suite 117  
Columbia, SC 29223-6382  
(803) 788-7559

*Obligations of the  
Manufacturer/Vendor*

Shellfish plants certified by the SSCA are required to place their certification number on each container or package of shellfish shipped. The number indicates that the shipper is under state inspection, and that it meets the applicable state requirements. It also serves the important purpose of identifying and tracing shipments found to be contaminated or involved in disease outbreaks. Shippers are required to keep records showing the origin and disposition of all shellfish handled to make these records available to the control authorities.

*Enforcement*

FDA removes noncompliant firms, as identified by the states, from the ICSSL.

*Term*

Indefinite; The "INTERSTATE CERTIFIED SHELLFISH SHIPPERS LIST" (ISSN 0364-7048) is published monthly for

information and use by food control officials, the seafood industry and other interested persons.

*Reciprocity*

The shippers listed have been certified by regulatory authorities in the U.S., Canada, Chile, the Republic of Korea, Mexico and New Zealand under the uniform sanitation requirements of the national shellfish program. Control measures of the states are evaluated by the FDA. Canadian, Chilean, Korean, Mexican, and New Zealand shippers are included under the terms of the shellfish sanitation agreements with the governments of these countries.

*Standards, Codes  
or Regulations*

The National Shellfish Sanitation Program - Guide for the Control of Molluscan Shellfish, which consist of a Model Ordinance, supported guidance documents, recommended forms, and other related materials associated with the Program.

*Keywords*

clams; Interstate Certified Shellfish Shippers List; Interstate Shellfish Sanitation Conference; ISSC; mussels; National Shellfish Sanitation Program; NSSP; oysters; scallops; seafood; shellfish

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*Products or Service*

FISH AND FISHERY PRODUCTS, including RAW MOLLUSCAN SHELLFISH (that is not inspected under a cooperative agreement with the Interstate Shellfish Sanitation Conference (ISSC); or when the appropriate state authority cannot or will not provide appropriate coverage under the terms of the National Shellfish Sanitation Program (NSSP))

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Food and Drug Administration (FDA)  
Center for Food Safety and Applied Nutrition  
Office of Seafood  
Division of Programs and Enforcement Policy  
200 C St., SW  
Washington, DC 20204  
Phone: (202) 418-3150  
FAX: (202) 418-3196  
E-mail: [seafood@bangate.fda.gov](mailto:seafood@bangate.fda.gov)  
URL address: <http://vm.cfsan.fda.gov/seafood1.html> or  
<http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm>

*Initiated*

1906.

*Compliance*

Mandatory.

*Authority*

Federal Food, Drug and Cosmetic Act of 1938, as amended.  
Public Health Service Act, as amended.  
Fair Packaging and Labeling Act.

*Aim*

The FDA currently operates oversight compliance programs for domestic fish and fishery products and import seafood products under which responsibility for the product's safety, wholesomeness, identity and economic integrity rests with the processor or importer.

*Benefits*

The programs are designed to ensure that seafood products are prepared, packed, and held under sanitary conditions; that they are safe, clean, wholesome, and that their labeling is honest and informative.

*Methodology*

FDA conducts both mandatory surveillance and enforcement inspection of domestic seafood harvesters, growers, wholesalers, warehouses, carriers and processors under

the authority of the FD&C Act. The frequency of inspection is at the agency's discretion, and firms are required to submit to these inspections which are backed by federal statutes containing both criminal and civil penalties. Most FDA in-plant inspections consider product safety, plant/food hygiene and economic fraud issues, while other inspections address subsets of these compliance concerns. In addition, FDA has the authority to detain or temporarily hold food being imported into the U.S., while it determines if the product is misbranded or adulterated. The FDA receives notice of every seafood entry, and at its option, conducts wharf examinations, collects and analyzes samples, and where appropriate, detains individual shipments or invokes "Automatic Detention," requiring private or source country analysis of every shipment of product when recurring problems are found, before the product is allowed entry.

### *Testing*

Samples may be taken during FDA inspections in accordance with the agency's annual compliance programs and operational plans or because of concerns raised during individual inspections. The FDA has laboratories around the country to analyze samples taken by its investigators. These analyses are for a vast array of defects, including chemical contaminants, decomposition, net weight, radionuclides, various microbial pathogens, food and color additives, drugs, pesticides, filth and marine toxins such as Paralytic Shellfish Poison (PSP) and domoic acid.

### *Inspection*

FDA conducts both mandatory surveillance and enforcement inspections of domestic seafood harvesters, growers, wholesalers, warehouses, carriers and processors under the authority of the FD&C Act. The frequency of inspection is at the agency's discretion, and firms are required to submit to these inspections which are backed by federal statutes containing both criminal and civil penalties.

### *Conformity Identification*

Inspection reports. In addition, FDA has historically issued a number of different types of certificates, e.g., Certificates of Free Sale, Certificate of Export, Certificates to Foreign Governments, and most recently European Union (EU) Health Certificates for Fishery Products. FDA's long term goal is to work towards the reduction or elimination of export certificates by finding other means to assure other countries of the acceptability of FDA regulated products.

*Availability  
of Documentation*

FDA/Center for Food Safety and Applied Nutrition  
Office of Seafood  
Division of Programs and Enforcement Policy (HFS-415)  
200 C St., SW  
Washington, DC 20204  
Phone: (202) 418-3150

*Obligations of the  
Manufacturer/Vendor*

Seafood processors and importers must comply with regulations promulgated under the Food, Drug and Cosmetic Act of 1938, as amended; the Public Health Service Act, and the Fair Packaging and Labeling Act. Recent significant additions to these regulations require that seafood processors (both domestic and foreign) implement a preventative system of food safety controls known as Hazard Analysis Critical Control Point (HACCP) and that seafood importers have and implement written verification procedures to verify that their foreign suppliers have implemented this system.

*Enforcement*

If a company is found violating any of the laws that FDA enforces, FDA can encourage the firm to voluntarily correct the problem or to recall a faulty product from the market. A recall is generally the fastest and most effective way to protect the public from an unsafe product. When a company can't or won't correct a public health problem with one of its products voluntarily, FDA has legal sanctions it can bring to bear. The agency can go to court to force a company to stop selling a product and to have items already produced seized and destroyed. When warranted, criminal penalties--including prison sentences--are sought against manufacturers and distributors.

*Term*

Indefinite.

*Reciprocity*

The agency has a variety of agreements with foreign governments. An agreement can be formal or informal, depending on the substance of the agreement. Agreements with foreign governments include Memoranda of Understanding, Memoranda of Agreement, Notes Verbale, Exchange of Letters, Memoranda of Cooperation, and Mutual Recognition Agreements. These agreements include, but are not limited to, information exchange, mutual recognition of inspection reports, and product certification.

*standards, Codes  
or Regulations*

The FDA's regulations are printed in 21 CFR. In addition, FDA and other government agencies publish new regulations and proposals in the Federal register throughout the year. One book in particular, 21 CFR 100-169, contains general regulations for food labeling, food standards, and current good manufacturing practice for food, in addition, this book contains seafood HACCP regulations and regulations for low-acid canned foods and acidified foods.

*Keywords*

clams; fish; fishery products; HACCP; mollusks; mussels; oysters; seafood; shellfish



*Products or  
Service*

CANNED SALMON

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Food and Drug Administration (FDA)  
Center for Food Safety and Applied Nutrition  
Office of Seafood  
Division of Programs and Enforcement Policy  
200 C St., SW  
Washington, DC 20204  
Phone: (202) 418-3150  
FAX: (202) 418-3196  
E-mail: [seafood@bangate.fda.gov](mailto:seafood@bangate.fda.gov)  
URL address: <http://vm.cfsan.fda.gov/seafood1.html> or  
[http://www.fda.gov/opacom/morechoices/  
smallbusiness/blubook.htm](http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm)

*Initiated*

1937.

*Compliance*

Voluntary/Cooperative. The self-imposed Salmon Control Plan requirements are over and above mandatory Federal requirements.

*Authority*

Federal Food, Drug and Cosmetic Act of 1938, as amended.  
Public Health Service Act, as amended.  
Fair Packaging and Labeling Act.

*Aim*

The Salmon Control Plan; a voluntary cooperative program among the industry, FDA and the National Food Processors Association (NFPA); was established to enhance the safety and wholesomeness of salmon products. The Plan has resulted in industry compliance with new regulations years before their effective date, and has provided a cooperative format for industry and government to cut red tape and resolve domestic and international issues of mutual concern.

*Benefits*

Improved consumer protection, at little or no additional cost to the public.

*Methodology*

The Salmon Control Plan requires processors to comply with laws and regulations enforced by the FDA and the Sanitation and Operational Requirements and Guidelines of the Plan. In addition, processors must submit



representative samples of canned salmon for sensory examination by the NFPA. The FDA monitors individual packer's compliance with the terms of the Plan through plant inspections, investigations, sample collection and analysis, labeling warehouse inspections, examination of audit samples and review of information from the packers and the NFPA.

*Testing*

Testing is performed by FDA and the NFPA.

*Inspection*

Inspection of food processing operations and the container integrity operations of participating packers are conducted by the FDA and NFPA.

*Conformity  
Identification*

A current list of each participating processing facility is maintained by the NFPA.

*Availability  
of Documentation*

Information concerning the Salmon Control Plan:  
NFPA  
1600 South Jackson Street  
Seattle, WA 98144  
Phone: (206) 323-3540  
Fax: (206) 323-3543

*Obligations of the  
Manufacturer/Vendor*

In order to secure the benefits of the Plan, each participating packer must provide the NFPA with a signed statement, on forms to be provided by the Association, of the intention to comply with the Plan and its terms and conditions. All lots of salmon packed by participating packers are subject to the requirements of the Plan. All records as required by the Food, Drug and Cosmetic Act must be made available during inspections to representatives of the FDA and the NFPA.

*Enforcement*

If a processing facility is found to be or to have been operating in such a manner or with such equipment as to raise serious question concerning the production of a safe and wholesome product, or if there are substantial deviations from the Sanitation and Operation Requirements or Container Integrity Program which are a part of this Plan, or if the container integrity operations are found to be operating in such a manner or with such equipment as to raise a serious question concerning the safety of the food, the packer and/or processing facility may be subject to penalties which may include suspension from participation in the Plan.

<i>Term</i>	Indefinite.
<i>Reciprocity</i>	N/A.
<i>Standards, Codes or Regulations</i>	The Salmon Control Plan. The FDA's regulations are printed in 21 CFR.
<i>Keywords</i>	canned salmon; salmon; fish; NFPA; National Food Processors Association

*Products or  
Services*

## COLOR ADDITIVES

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Food and Drug Administration (FDA)  
Center for Food Safety and Applied Nutrition  
Office of Cosmetics and Colors  
Programs and Enforcement Policy Division  
Colors Certification Branch  
Room 4034, FOB 8  
200 C Street, SW  
Washington, DC 20204  
Phone: (202) 205-5725  
FAX: (202) 205-4098  
URL address: <http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm>

*Initiated*

Program began 1938. Latest authority-1977.

*Compliance*

Mandatory.

*Authority*

P.L. 94-295.  
21 CFR Parts 70-82.  
Food & Drug Administration Modernization Act of 1997 (FDAMA).

*Aim*

To assure public health and safety in use and consumption of foods, drugs, cosmetics, and medical devices to which specified colors have been added.

*Benefits*

Color additive certification monitors conformance of additives to existing requirements and identifies the need for new limitations.

*Methodology*

Government testing is required.

*Testing*

Color additives must be tested and certified in government labs.

*Inspection*

Government.

<i>Conformity Identification</i>	A list of approved colors and certified products.
<i>Availability of Documentation</i>	Lists available from FDA.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers must conform with Good Manufacturing Practices (GMP) and report any known ill effects associated with certified additives.
<i>Enforcement</i>	Marketing ban; product recall; delisting.
<i>Term</i>	Certification is provided on a batch basis. No expiration date for certification.
<i>Reciprocity</i>	Certification is recognized by other federal agencies, state agencies, and private sector organization.
<i>Standards, Codes or Regulations</i>	Agency prepares criteria for certification. Agency adopts the test methods prepared by others such as the Association of Official Analytic Chemists.
<i>Keywords</i>	additives; adulteration; carcinogens; certification; color additives; cosmetics; drugs; foods; misbranding

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<i>Products or Services</i>	COSMETICS (See Also Color Additive Entry) (Note: Recent Reductions in the Office of Cosmetics and Colors have resulted in programmatic changes)
<i>Department/Agency</i>	U.S. Department of Health and Human Services (DHHS) Food and Drug Administration (FDA) Center for Food Safety and Applied Nutrition Office of Cosmetics and Colors Cosmetics Program 200 C Street, SW Washington, DC 20204 Phone: 1-800-270-8869 URL address: <a href="http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm">http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm</a> or <a href="http://www.cfsan.fda.gov">http://www.cfsan.fda.gov</a>
<i>Initiated</i>	Program began in 1938. Latest authority-1977.
<i>Compliance</i>	Mandatory.
<i>Authority</i>	Federal Food, Drug and Cosmetic Act as amended. Fair Packaging and Labeling Act. 21 CFR Parts 700-740.
<i>Aim</i>	To assure public health and safety in use and consumption of cosmetics.
<i>Benefits</i>	See <i>Aim</i> .
<i>Methodology</i>	FDA does not require, though it encourages, cosmetic manufacturers and marketers test their products for safety. However, if the safety of a cosmetic is not adequately substantiated, the product may be considered misbranded and may be subject to regulatory action unless the label bears the following statement: "Warning-The safety of this product has not been determined. With the exception of color additives and a few prohibited ingredients, a cosmetic manufacturer may, on his own responsibility, use essentially any raw material as a cosmetic ingredient and market the product without prior FDA approval. Although FDA does not require cosmetic firms to register their establishment or formulas with FDA or make available safety data or other information for a product marketed in the United States, manufacturers or distributors may submit this

information voluntarily. (Note that due to recent resource reductions, the Cosmetics Voluntary Registration Program has been suspended in its entirety.) Cosmetics distributed in the United States do have to comply with labeling and ingredient declaration regulations published by FDA, and bear appropriate warnings. Liquid oral hygiene products and all cosmetic vaginal products must also be packaged in tamper-resistant packages when sold at retail. Note: that cosmetics that are intended to treat or prevent disease, or affect the structure or functions of the human body are considered to be both drugs and cosmetics and are also subject to FDA's requirements for drugs.

<i>Testing</i>	Manufacturer or government as necessary.
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	N/A.
<i>Availability of Documentation</i>	See 21 CFR Parts 700-740 and information at URL addresses listed above. Due to recent resource reductions, FDA will not be able to respond to technical inquiries concerning ingredient usage, product formulation or safety substantiations. Consumers experiencing an adverse reaction from a cosmetic should call their nearest FDA office (listed under the U.S. Government section in the white pages) or call the Cosmetic Adverse Reaction Monitor (CARM) coordinator at 202-205-4706.
<i>Obligations of the Manufacturer/Vendor</i>	See <i>Methodology</i> .
<i>Enforcement</i>	Marketing ban; product recall; delisting.
<i>Term</i>	N/A.
<i>Reciprocity</i>	N/A.
<i>Standards, Codes or Regulations</i>	See CFR citations listed above.
<i>Keywords</i>	color additives; cosmetics; drugs; labeling; packaging



<i>Products or Services</i>	FOOD ADDITIVES (Includes Food Contact Articles)
<i>Department/Agency</i>	U.S. Department of Health and Human Services (DHHS) Food and Drug Administration (FDA) Center for Food Safety and Applied Nutrition Office of Premarket Approval 200 C Street, SW Washington, DC 20204 Phone: (202) 418-3100 FAX: (202) 418-3131 URL address: <a href="http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm">http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm</a>
<i>Initiated</i>	1958.
<i>Compliance</i>	Mandatory.
<i>Authority</i>	Federal Food, Drug, and Cosmetic Act (FFD&CA), as amended. Food & Drug Administration Modernization Act of 1997 (FDAMA). 21 CFR Parts 1-199.
<i>Aim</i>	To assure public health and safety in use and consumption of food additives.
<i>Benefits</i>	See <i>Aim</i> .
<i>Methodology</i>	Premarket approval is required for some additives. If FDA concludes from the evidence submitted to it that the additive will be safe, a regulation permitting its use will be issued. The regulations may specify the amount of the substance which may be present in or on the foods, the foods in which it is permitted, the manner of use, and any special labeling required.
<i>Testing</i>	Certain additives must be tested in accordance with recognized scientific procedures and the results submitted to FDA for evaluation.
<i>Inspection</i>	Government.



<i>Conformity Identification</i>	A list of approved additives.
<i>Availability of Documentation</i>	Lists available from FDA.
<i>Obligations of the Manufacturer/Vendor</i>	Substances added to food must be approved as safe.
<i>Enforcement</i>	Marketing ban; product recall; delisting.
<i>Term</i>	Approval is good till revoked.
<i>Reciprocity</i>	Approval is recognized by other federal agencies, state agencies, and private sector organization.
<i>Standards, Codes or Regulations</i>	See applicable CFR references.
<i>Keywords</i>	food; food additives; packaging

*Products or  
Services***PLANT AND DAIRY FOODS, BEVERAGES***Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
 Food and Drug Administration (FDA)  
 Center for Food Safety and Applied Nutrition  
 Office of Plant and Dairy Food and Beverages (HFS-300)  
 Room 4827, FOB 8  
 200 C Street, SW  
 Washington, DC 20204  
 Phone: (202) 205-4064  
 FAX: (202) 205-4422

For low acid canned foods (LACF), contact:  
 FDA LACF Coordinator  
 HFS-618  
 200 C Street, SW  
 Washington, DC 20204  
 URL address: <http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm>

*Initiated*

1938.

*Compliance*

Mandatory.

*Authority*

Federal Food, Drug and Cosmetic (FFD&C) Act of 1938, as amended.  
 Food & Drug Administration Modernization Act of 1997 (FDAMA).  
 Tea Importation Act.  
 The Import Milk Act (21 U.S.C. 141-149).  
 Requirements for foods are contained in Title 21 of the CFR.  
 See 21 CFR 108, 113, and 114 for low-acid canned food and acidified food regulations.

*Aim*

To assure that foods are pure and wholesome, safe to eat, properly labeled, and produced under sanitary conditions.

<i>Benefits</i>	The appearance of adulterated, insanitary, unsafe, mislabeled and misbranded products in the market has been minimized.
<i>Methodology</i>	FDA enforces pesticide residue tolerances set by the Environmental Protection Agency (EPA). Food additives must be determined to be safe by FDA, before they may be used in a food, or become part of a food as a result of processing, packaging, transporting, or holding the food (See Food Additives entry. A food is illegal (adulterated) if it bears or contains an added poisonous or deleterious (harmful) substance which may render it injurious to health. A food is illegal if it bears or contains a naturally occurring poisonous or deleterious substance which ordinarily renders it injurious to health. A food is illegal if it has been prepared, packed or held under insanitary conditions whereby it may have been rendered injurious to health. Food containers must be free from any poisonous or deleterious substances which may cause the contents to be injurious to health and must not be so made, formed or filled as to be misleading. A food is illegal if any part of it is filthy, putrid, decomposed or otherwise "unfit." Damage or inferiority in food must not be concealed in any manner. A food is also illegal if it is the product of a diseased animal or one that has died otherwise than by slaughter. Special regulations apply to low acid canned foods and acidified foods. Milk safety is assured through the Federal-State Milk Sanitation Program administered by FDA through the Interstate Milk Shippers (IMS) Agreements, under which Grade A milk producers are required to pass inspection and be rated by cooperating state agencies.
<i>Testing</i>	Uses government labs, manufacturers' labs, third party labs, and state/local government labs as appropriate.
<i>Inspection</i>	Conducted by federal or state/local government employees.
<i>Conformity Identification</i>	Proper informative labeling; identification of processing plants which are specifically inspected, such as Grade A milk producers.
<i>Availability of Documentation</i>	See appropriate CFR sections. LACF requirements are available from: FDA, Industry Activities Staff (HFS-565), 200 C Street, SE,

Washington, DC 20204. The IMS list is published by FDA and revised quarterly and is available from the office listed above.

<i>Obligations of the Manufacturer/Vendor</i>	Producers must advise FDA any time a violation of good manufacturing practices occurs. Misbranded, adulterated products should be destroyed, but may be seized by government agents. Producers of LACFs must be registered. Grade A milk producers must be inspected and rated by the appropriate state agency.
<i>Enforcement</i>	Marketing ban; product recall.
<i>Term</i>	Continuous inspection.
<i>Reciprocity</i>	Program is recognized by: Other federal agencies. State agencies. Private sector organizations.
<i>Standards, Codes or Regulations</i>	Agency prepares all criteria documents.
<i>Keywords</i>	adulterated product; beverages; bottled water; butter; canned foods; cheese; coffee; cooking wines; dairy products; fill of container; food standards; fruits; fruit juices; good manufacturing practices; herbs; low-acid canned foods; LACF; margarine; mayonnaise; milk; misbranded product; nutrition labeling; nuts; oils (edible); olives; salad dressings; sanitation; spices; tea; vegetables; wine beverages with less than 7% alcoholic content

*Products or  
Services*

FOOD LABELING

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Food and Drug Administration (FDA)  
Center for Food Safety and Applied Nutrition  
Office of Food Labeling  
Programs and Enforcement Policy Division  
Room 1832, FOB 8  
200 C Street, SW  
Washington, DC 20204  
Phone: (202) 205-4561  
FAX: (202) 205-4594  
URL address: [http://www.fda.gov/opacom/morechoices/  
smallbusiness/blubook.htm](http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm)

*Initiated*

1938.

*Compliance*

Mandatory.

*Authority*

Federal Food, Drug and Cosmetic (FFD&C) Act of 1938, as amended.  
Food & Drug Administration Modernization Act of 1997 (FDAMA).  
The Nutrition Labeling and Education Act of 1990 (NLEA), 21 CFR 101.9).  
Fair Packaging and Labeling Act, as amended, 21 CFR 403(f), 101.

*Aim*

To ensure that food labels do not contain false or misleading information or fail to reveal material facts. To also ensure that nutritional information is provided on the label for almost all packaged consumer food products.

*Benefits*

Label information is conspicuously displayed and in terms that the ordinary consumer is likely to read, understand and be able to use.

*Methodology*

Government inspection is required.

*Testing*

Uses government labs, manufacturers' labs, third party labs, and state/local government labs as appropriate.

<i>Inspection</i>	Conducted by federal or state/local government employees.
<i>Conformity Identification</i>	Proper informative labeling; identification of processing plant where such are specifically inspected, such as shellfish packers.
<i>Availability of Documentation</i>	FDA publicizes only firms known to be not complying with required standards.
<i>Obligations of the Manufacturer/Vendor</i>	Producers must advise FDA any time a violation of good manufacturing practices occurs. Misbranded, adulterated products should be destroyed, but may be seized by government agents.
<i>Enforcement</i>	Marketing ban; product recall.
<i>Term</i>	Continuous inspection.
<i>Reciprocity</i>	Program is recognized by: Other federal agencies. State agencies. Private sector organizations.
<i>Standards, Codes or Regulations</i>	Agency prepares all criteria documents.
<i>Keywords</i>	adulterated product; dietary foods; fill of container standard; good manufacturing practices; infant formula; misbranded product; nutrition labeling; sanitation; standard of identity; standard of quality

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*Products or  
Services*

MEAT AND POULTRY

*Department/Agency*

In general these products handled by the Food Safety and Inspection Services, U.S. Department of Agriculture, under the Meat Inspection Act and the Poultry Products Inspection Act. However, all foods are subject to the requirements of the Federal Food Drug and Cosmetic Act to the extent that the provisions of the Meat and Poultry Products Inspection Acts do not apply. Wild game and gelatin, however, are subject to the requirements of the Federal Food Drug, and Cosmetic Act and its regulations.



<i>Products or Services</i>	INFANT FORMULA AND SPECIAL NUTRITIONALS (Foods for Special Dietary Use)
<i>Department/Agency</i>	U.S. Department of Health and Human Services (DHHS) Food and Drug Administration (FDA) Center for Food Safety and Applied Nutrition Office of Special Nutritionals Room 2804, FOB 8 200 C Street, SW Washington, DC 20204 Phone: (202) 205-4168 FAX: (202) 205-5295 URL address: <a href="http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm">http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm</a>
<i>Initiated</i>	1980.
<i>Compliance</i>	Mandatory.
<i>Authority</i>	Infant Formula Act of 1980, 21 U.S.C. 412. Food & Drug Administration Modernization Act of 1997 (FDAMA). 21 CFR 411 and 412. Fair Packaging and Labeling Act (15 U.S.C. 1451-1461).
<i>Aim</i>	To establish minimum nutrition requirements for infant formulas and special nutritionals.
<i>Benefits</i>	Virtually all domestically produced infant formula and special nutritionals now comply with this Rule.
<i>Methodology</i>	Agency requires manufacturer of infant formulas to comply with Good Manufacturing Practices (GMP), and requirements for nutrient quantity, nutrient quality control, recordkeeping, and for reporting and recall of infant formulas which pose a potential hazard to health. Foods for special dietary use must bear appropriate label information. When foods for special dietary use are labeled with claims of disease prevention,

treatment, mitigation, cure or diagnosis, they must comply with the drug provisions of the FFD&CA, unless the health claim is a health claim authorized by legislation.

<i>Testing</i>	Manufacturers lab.
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	Lists of approved suppliers and certified products for formulas. Labeling information.
<i>Availability of Documentation</i>	Lists available from FDA.
<i>Obligations of the Manufacturer/Vendor</i>	See <i>Methodology</i> .
<i>Enforcement</i>	Marketing ban; product recall by agency or producer.
<i>Term</i>	Audit testing/inspection to assure conformance with quality control requirements prescribed by agency.
<i>Reciprocity</i>	FDA approval/certification is recognized by other federal agencies, states and private sector organizations.
<i>Standards, Codes or Regulations</i>	Technical requirements are specified in the relevant Acts and appropriate section of the CFR.
<i>Keywords</i>	adulteration; good manufacturing practices; infant formula; misbranding; nutrition requirements; nutritionals; product recall; quality control; foods for special dietary use

<i>Products or Services</i>	FOOD INSPECTION PERSONNEL (LIKELY TO BE REPLACED BY SYSTEM ENDORSED BY FDA OF THIRD PARTY TESTING, CERTIFICATION AND LISTING BY A NATIONALLY ACCREDITED ORGANIZATION)
<i>Department/Agency</i>	U.S. Department of Health and Human Services (DHHS) Food and Drug Administration (FDA) Center for Food Safety and Applied Nutrition Retail Food Protection Branch (HFS-627) 200 C Street, SW Rm. 1042 MES Washington, DC 20204 Phone: (202) 205-8140 FAX: (202) 205-5560 URL address: <a href="http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm">http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm</a>
<i>Initiated</i>	1976.
<i>Compliance</i>	Voluntary.
<i>Authority</i>	Public Health Service Act, as amended.
<i>Aim</i>	Achieve a high degree of uniformity throughout the nation in the inspection of sanitation for the selling of food.
<i>Benefits</i>	Program has provided uniform methods of training, examination, and review of food inspection personnel. Also provides model food protection laws and uniform standards.
<i>Methodology</i>	Requires evaluation of individual's competence, government testing and audit.
<i>Testing</i>	Federal and state examination and training facilities.
<i>Inspection</i>	Federal and state government.
<i>Conformity Identification</i>	Lists of certified inspectors are kept by participating state health departments.

<i>Availability of Documentation</i>	List must be obtained at the state level.
<i>Term</i>	Retesting every three years.
<i>Reciprocity</i>	Recognition by other federal agencies, state agencies, and private sector organizations.
<i>Standards, Codes or Regulations</i>	Agency prepares all criteria documents.
<i>Keywords</i>	food inspection personnel; milk safety; model ordinance; personnel certification practices; retail food; shellfish sanitation; sanitation; standard of quality; standard of identity; training

<i>Products or Services</i>	INTERSTATE CARRIERS (For Food and Environmental Sanitation) (CURRENTLY INACTIVE)
<i>Department/Agency</i>	U.S. Department of Health and Human Services (DHHS) Food and Drug Administration (FDA) Center for Food Safety and Applied Nutrition Division of Cooperative Programs (HFS-625) Room 1042 MES 200 C Street, SW Washington, DC 20204 Phone: (202) 205-8137 FAX: (202) 205-5560 URL address: <a href="http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm">http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm</a>
<i>Compliance</i>	Mandatory.
<i>Authority</i>	21 CFR 1240 and 1250.
<i>Aim</i>	To assure sanitary food practices on interstate carriers.
<i>Benefits</i>	See <i>Aim</i> .
<i>Methodology</i>	Establishes specific requirements for equipment and operations for handling food, water, and waste both on conveyances (aircraft, buses, railroads, and vessels) and other located elsewhere, i.e., support facilities such as caterers and commissaries, watering points and waste servicing areas. The regulations also specify requirements for reviewing plans and inspection construction of equipment, conveyances and support facilities. Carriers are required to use only equipment and support facilities that have been approved by the Agency.
<i>Testing</i>	See <i>Methodology</i> .
<i>Inspection</i>	See <i>Methodology</i> .
<i>Conformity Identification</i>	Lists of approved equipment and support facilities are maintained by the Agency. (Listing has been curtailed.)

<i>Availability of Documentation</i>	List is available from the Agency. (Listing has been curtailed.)
<i>Reciprocity</i>	Recognition by other federal agencies, state agencies, and private sector organizations.
<i>Standards, Codes or Regulations</i>	Agency prepares all criteria documents.
<i>Keywords</i>	aircraft; buses; carriers; railroads; sanitation; vessels

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*Products or  
Services*

ANIMAL PRODUCTS -- FOOD (Animal Feeds and Pet Foods),  
FOOD ADDITIVES, DRUGS AND MEDICAL DEVICES

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Food and Drug Administration (FDA)  
Center for Veterinary Medicine (CVM)  
Office of Surveillance and Compliance  
Rm. E4-81 MPN2  
7500 Standish Place  
Rockville, MD 20855  
Phone: (301) 827-6647  
FAX: (301) 594-4512  
URL address: [http://www.fda.gov/opacom/morechoices/  
smallbusiness/blubook.htm](http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm)

*Initiated*

1938.

*Compliance*

Mandatory.

*Authority*

Federal Food, Drug and Cosmetic Act, Title 21 U.S.C., as  
amended.  
Food & Drug Administration Modernization Act of 1997  
(FDAMA).  
Fair Packaging and Labeling Act (15 U.S.C. 1451-1461).

*Aim*

To assure that foods, feeds, additives, medical devices  
and medicines intended for animal use are safe and  
effective for intended use. Such products are also  
evaluated for safety effects on meat, milk, eggs.

*Benefits*

Low-risk preparations with uniform quality and  
predictable performance have been developed for animal  
use.

*Methodology*

For new animal drugs (NAD), FDA requires government  
design approval, inspection and site approval.  
Manufacturers of animal drugs are required to register  
with FDA annually and manufacturers of certain medicated  
feeds are required to hold a medicated feed license and  
register annually. For all products, FDA requires  
compliance with Good Manufacturing Practices (GMP). Pet  
food must comply with provisions of the Fair Packaging  
and Labeling Act. Animal cosmetics (grooming aids) are  
not regulated unless a therapeutic claim is made.



Animal feed must also comply with state laws requiring a label statement of "Guaranteed Analysis" for minimum protein and fat content, maximum fiber content, and, in some instances, maximum moisture content. Some state laws also require that pet foods bear a nutritional adequacy statement. Animal food additives are illegal unless they are the subject of a prior approval (sanction) or a regulation for their safe use. Food additive regulations are based on data submitted in the form of a food additive petition. Animal medical devices and diagnostic aids are subject to the general provisions of the Act in regard to misbranding and adulteration and may be prescribed and dispensed only by a licensed veterinarian. A warning label is required.

<i>Testing</i>	Manufacturer's lab or third party lab.
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	Lists of approved products and qualified producers are maintained by FDA.
<i>Availability of Documentation</i>	Lists are available from the Center for Veterinary Medicine or at the following URL address: <a href="http://www.fda.gov.cvm">http://www.fda.gov.cvm</a> . Information on state feed/pet food laws is available from individual states or from the Official Publication of the Association of American Feed Control Officials, Inc., P.O. Box 478, 104 East McConnell St., Oxford, IN 47971.
<i>Obligations of the Manufacturer/Vendor</i>	For all drug and device products, manufacturers are required to register establishments annually; maintain sanitary conditions, provide adequate labeling; and comply with GMPs. For NADs, substantial evidence to demonstrate safety and effectiveness must be provided. Proof that residues unsafe for human consumption are not left over specified time periods is required for drugs or medicated feeds intended for animals which are used as human food. Only additives approved by the FDA may be used. See also <i>Methodology</i> .
<i>Enforcement</i>	Marketing ban; product recall.

<i>Term</i>	No specific term; retesting is based on changes in product characteristics or use. A major consideration is any misbranding or adulteration.
<i>Reciprocity</i>	Approvals/certifications are recognized widely in the United States. There is no reciprocity among countries for these products.
<i>Standards, Codes or Regulations</i>	Agency prepares regulatory requirements including the GMPs, but draws some technical input from the National Academy of Sciences and an advisory committee.
<i>Keywords</i>	additives; adulteration; animal drugs; animal feed; animal medical devices; good manufacturing practices; licensing; misbranding; pet food; registration; veterinary medicine

*Products or  
Services*

DRUGS FOR HUMAN USE

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Food and Drug Administration (FDA)  
Center for Drug Evaluation and Research (CDER)  
Office of Compliance  
Metro Park North, ROOM 254  
7520 Standish Place  
Rockville, MD 20855  
Phone: (301) 594-0054  
URL address: [http://www.fda.gov/opacom/morechoices/  
smallbusiness/blubook.htm](http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm)

*Compliance*

Mandatory.

*Authority*

Food & Drug Administration Modernization Act of 1997  
(FDAMA).  
Federal Food, Drug and Cosmetic Act of 1938 as amended,  
Title 21 U.S.C.  
Fair Packaging and Labeling Act (15 U.S.C. 1451-1461).  
21 CFR Parts 200-212 and 300-315.

*Aim*

To ensure that human drugs are safe and effective for  
their intended use.

*Benefits*

Virtually all covered products consumed in the United  
States are made in registered establishments and  
produced under Good Manufacturing Practices (GMP).

*Methodology*

Government conducts design approvals, inspections, and  
site approvals. FDA requires compliance with Current  
Good Manufacturing Practices (GMP), including:  
adequately equipped manufacturing facilities, adequately  
trained personnel, stringent control over the  
manufacturing processes, reliable and secure  
computerized operations, and appropriate finished  
product examination and testing (See 21 CFR 210 and  
211). FDA also regulates drug labeling, including all  
written, printed, or graphic material on the immediate  
container, and outer carton or wrapper of the package,  
other matter accompanying the product, and the  
advertisement of prescription drugs. Advertising of  
nonprescription drugs is regulated by the Federal Trade

Commission. FDA also regulates drug containers and packaging. For regulatory purposes, FDA has divided drugs into several major categories, each subject to particular requirements: New Drugs, Investigational Drugs, Antibiotics, and Insulin. FDA also categorizes drugs by dispensing requirements--prescription and nonprescription (over-the-counter or OTC) drugs. Each category is subject to specific regulatory requirements. Persons involved in the investigation, control or manufacture of drug products are required to report adverse drug experiences. All establishments, unless exempted by law, are required to be registered and all drugs marketed in the U.S. are required to be listed with the FDA. FDA also has sales restrictions on prescription drugs. Wholesale prescription drug distributors are required to be licensed by the appropriate state and meet minimum federally prescribed standards, including recordkeeping requirements. Exported new drugs for human or animal use are subject to special statutory provisions. Exported drugs are also subject to the Drug Export Amendments Act of 1986. Exported drugs must also meet GMP and labeling requirements.

<i>Testing</i>	Uses manufacturer's lab, third party labs, or government labs.
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	Lists of qualified producers and approved products are maintained by FDA.
<i>Availability of Documentation</i>	<p>Additional information may be obtained at the following URL address: <a href="http://www.fda.gov.cder">http://www.fda.gov.cder</a></p> <p>Information may also be obtained by calling The Drug Information Branch (General Inquiries): 301-827-4573; Fax-on-Demand System: 1-800-342-2722; or the Freedom of Information Staff: 301-827-4583.</p> <p>CDER also publishes the Orange Book Showing Approved Drug Products with Therapeutic Equivalence Evaluations. For information on the book, contact the Office of Information Technology, Division of Management and Services at 301-827-5467.</p>

<i>Obligations of the Manufacturer/Vendor</i>	Producers are required to register establishments, maintain sanitary conditions, provide substantial clinical evidence of safety and effectiveness, prepare adequate labeling and instructions for use, submit advertising for approval, comply with GMP, use approved packaging, and advise FDA of known adverse reactions.
<i>Administrative and Enforcement Actions</i>	Marketing ban - refusal to file NDA, clinical hold, nonapproval, detention of imported drugs, issuance of untitled letters or warning letters, seizure of products, product recall actions, injunction, and prosecution.
<i>Term</i>	No specific term; retesting is based on changes in product characteristics, composition, or intended use. A major consideration is any misbranding or adulteration.
<i>Reciprocity</i>	Certification is recognized widely in the United States, but no foreign reciprocity.
<i>Standards, Codes or Regulations</i>	FDA prepares all standard requirements including GMP Rules, except that FDA recognizes specifications for drugs and components prepared by some private organizations, i.e., the U.S. Pharmacopeia (USP), the Homeopathic Pharmacopeia, or the National Formulary (NF).
<i>Keywords</i>	adulteration; antibiotics; drug registration; drugs; good manufacturing practices; labeling; misbranding; packaging; pre-market evaluation; recall; sanitation



*Products or  
Services*

BIOLOGICS

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Food and Drug Administration (FDA)  
Center for Biologics Evaluation and Research (CBER)  
Office of Compliance and Biological Quality  
HFM-600 WOCI  
1401 Rockville Pike  
Rockville, MD 20852  
Phone: (301) 827-6190  
FAX: (301) 594-1944  
URL address: [http://www.fda.gov/opacom/morechoices/  
smallbusiness/blubook.htm](http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm)

*Compliance*

Mandatory.

*Authority*

Food, Drug and Cosmetic Act of 1938, as amended  
(21 U.S.C.).  
Food & Drug Administration Modernization Act of 1997  
(FDAMA).  
Public Health Service Act (42 U.S.C.).  
Fair Packaging and Labeling Act (15 U.S.C. 1451-1461).  
21 CFR 201, 211, 600-680, 1270.

*Aim*

To assure that biologics are both safe and effective for  
intended use.

*Benefits*

Since most biological products are derived from living  
organisms, they are by nature potentially dangerous if  
improperly prepared or tested. Close surveillance of  
biologics production, batch testing, and research helps  
ensure the quality, safety and efficacy of the products.

*Methodology*

Government conducts inspections and issues biologics  
licenses. A valid U.S. biologics license must be in  
effect for all biological products shipped in interstate  
commerce in the United States. Manufacturers must  
comply with appropriate federal standards in  
manufacturing the products being marketed. FDA requires  
compliance with GMP, including adequately equipped  
manufacturing facilities, adequately trained personnel,  
stringent control over the manufacturing processes,  
reliable and secure computerized operations, appropriate

finished product examination and testing, and investigation of manufacturing deviations. Prior to the release of each lot of certain licensed products, specified materials must be submitted to and cleared by FDA. FDA regulates labeling for prescription drug and biologics products, including immediate container and outer carton or wrapper of the package, and all other written, printed or graphic materials that accompany the product. FDA also regulates the advertisement of prescription drugs and biologic products. All establishments that manufacture biological products for commercial distribution in the United States, including blood banks, are required to be registered and all biologics marketed in the U.S. are required to be listed with the FDA, unless exempted by law. For a specified fee, FDA may issue export certificates for licensed or unlicensed biological products upon receipt of a requires, if the facility meets the requirements for certification.

<i>Testing</i>	Uses manufacturer, third party, or government labs.
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	Lists of qualified manufacturers and approved products are maintained by FDA and are available on the CBER website at: <a href="http://www.fda.cber/establish.htm">http://www.fda.cber/establish.htm</a>
<i>Availability of Documentation</i>	See information at URL address listed above as well as CFR references.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers are required to register establishments, and list products; maintain sanitary conditions; provide substantial clinical evidence of safety/effectiveness; prepare adequate labeling and instructions for use; submit advertising for approval; comply with GMP; use approved packaging; and advise FDA of known adverse reactions, manufacturing errors and accidents, and changes to the approved manufacturing process or labeling. Manufacturers of certain licensed products, including antitoxins, bacterial and viral vaccines, and skin tests, are required to obtain and use standard preparations supplied by CBER for potency tests.
<i>Enforcement</i>	Denial of license application; license suspension or revocation; injunction, seizure; prosecution; product recall; civil monetary penalties.



<i>Term</i>	No specific term for U.S. licenses, although licenses may be withdrawn under circumstances defined in the regulations. Registration and listing must be updated annually.
<i>Reciprocity</i>	Approval is recognized in the U.S., but no foreign reciprocity.
<i>Standards, Codes or Regulations</i>	FDA prepares all standard requirements including GMP regulations.
<i>Keywords</i>	antitoxin; biological products; blood banks; blood products; good manufacturing practices; labeling; packaging; vaccine

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*Products or  
Services*

**ELECTRONIC PRODUCTS FOR RADIATION CONTROL**  
(Includes Products or Equipment Capable of Emitting  
Ionizing or Non-ionizing Radiation, or Sonic,  
Infrasonic, or Ultrasonic Waves) **MAMMOGRAPHY SERVICES**

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Food and Drug Administration (FDA)  
Center for Devices and Radiological Health (CDRH)  
Office of Health and Industry Programs  
For Electronic Products:  
1. Div. of Small Mfrs. Assistance (DSMA) (HFZ-220)  
1350 Piccard Drive  
Rockville, MD 20850  
Phone: (800) 638-2041, or (301) 443-6597  
FAX: (301) 443-8818  
e-mail: dsma@cdrh.fda.gov  
Facts-On-Demand (F-O-D): 800-899-0381 or (303)-827-0111  
Request a DSMA Facts Index or enter the 3 or 4 digit  
number of the document requested.  
2. Electronic Products Branch, Office of Compliance  
Rm. 244 OAK  
5600 Fishers Lane  
Rockville, MD 20857  
Phone: (301) 594-4654  
FAX: (301) 594-4610  
URL address: <http://www.fda.gov/cdrh/index/html> OR  
URL address: [http://www.fda.gov/opacom/morechoices/  
smallbusiness/blubook.htm](http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm)  
For Mammography Services:  
Division of Mammography Quality and Radiation Programs  
5600 Fishers Lane  
Rockville, MD 20857  
Phone: (301) 443-0806  
FAX: (301) 443-8818  
e-mail: jfs@cdrh.fda.gov

*Initiated*

1968.

*Compliance*

Mandatory.

*Authority*

Electronic Products: Radiation Control for Health and

Safety Act, 42 U.S.C. 2636; 21 CFR 1000-1050; Fair Packaging and Labeling Act (15 U.S.C. 1451-1461).  
Mammography Services: Mammography Quality Standards Act of 1992 (MQSA); 42 U.S.C. 263b.

<i>Aim</i>	Protect public from unnecessary exposure to radiation from electronic products and establish national uniform quality/safety standards for mammography facilities.
<i>Benefits</i>	Enforcement, product improvement, and user education has reduced significantly public exposure to ionizing and non-ionizing radiation. Enforcement has also ensured patients of adequate quality mammography with minimal risk no matter where they go for the examination.
<i>Methodology</i>	<p><u>Electronic Products</u>: Establishes performance standards when deemed necessary. Requires manufacturer's self-certification to standards and a label to that effect affixed on the product. Certification is based on a test described in a performance standard and implemented in a certification and testing program (which is reviewed by FDA). Products currently covered by performance standards include: television receivers, demonstration-type cold-cathode gas discharge tubes, microwave ovens, diagnostic x-ray equipment, cabinet x-ray equipment, laser products, ultrasonic therapy equipment, mercury vapor lamps, and sunlamps.</p> <p><u>Mammography Services</u>: Facilities must be certified by FDA to lawfully provide mammography services. To become certified, facilities must first be accredited by an FDA-approved accreditation body. To become accredited, facilities must meet FDA-established quality standards, including personnel qualifications, equipment specifications, facility quality assurance program, and reporting and record keeping requirements. To retain their certification, facilities must also pass annual inspections during which they demonstrate that they continue to meet the quality standards.</p>
<i>Testing</i>	<p><u>Electronic Products</u>: Manufacturer's or third party lab.</p> <p><u>Mammography Services</u>: Facility medical physicist/quality control technologist; accreditation body; FDA.</p>
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	<p><u>Electronic Products</u>: Manufacturer applied label.</p> <p><u>Mammography Services</u>: FDA provided certificate in position clearly visible to patients.</p>

<i>Availability of Documentation</i>	<p><u>Electronic Products</u>: No lists are available.</p> <p><u>Mammography Services</u>: Facility certification status may be obtained from the National Cancer Institute's Cancer Information Service at 1-800-4-CANCER or FDA. FDA also produces an annual list of mammography facilities for which "adverse events" have been reported by the MQSA or State radiation control programs.</p>
<i>Obligations of the Manufacturer/Vendor</i>	<p><u>Electronic Products</u>: Manufacturers must keep production and distribution records; notify buyers of nonconforming equipment/recalls.</p> <p><u>Mammography Services</u>: Facilities must post certificate in a visible location; maintain and make available during inspection, records showing that they meet quality standards; correct non-compliances found during inspections; and become re-accredited every 3 years. Facilities must also pay an annual inspection fee to cover cost of inspections.</p>
<i>Enforcement</i>	<p><u>Electronic Products</u>: Marketing ban; product recalls; and manufacturers may be required to repair, replace, or refund the cost of the nonconforming product.</p> <p><u>Mammography Services</u>: Non-compliance with quality standards must be corrected on a time schedule related to its seriousness. The more severe sanctions of directed plans of correction, civil money penalties, injunctions, and suspension or revocation of certificates are available for use if necessary.</p>
<i>Term</i>	<p><u>Electronic Products</u>: Certification applies for the life of each distinctive model.</p> <p><u>Mammography Services</u>: Accreditation and certification must be renewed every 3 years.</p>
<i>Reciprocity</i>	No known reciprocity.
<i>Standards, Codes or Regulations</i>	<p><u>Electronic Products</u>: Agency sets criteria and publishes performance standards.</p> <p><u>Mammography Services</u>: Agency publishes quality standards for facilities and requirements for accreditation body.</p>
<i>Keywords</i>	cold-cathode discharge tubes; electronic radiation; lasers; mercury vapor lamps; mammography; microwave ovens; product labeling; sunlamps; television receivers; ultrasonic therapy equipment; x-ray equipment

*Products or  
Services***MEDICAL DEVICES***Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
 Food and Drug Administration (FDA)  
 Center for Devices and Radiological Health (CDRH)  
 Office of Health and Industry Programs  
 Division of Small Manufacturers Assistance (DSMA)  
 (HFZ-220)  
 1350 Piccard Drive  
 Rockville, MD 208507  
 Phone: (800) 638-2041 or (301) 443-6597  
 FAX: (301) 443-8818  
 e-mail: dsmo@cdrh.fda.gov  
 Facts-On-Demand (F-O-D): 800-899-0381 or (303)-827-0111  
 Request a DSMA Facts Index or enter the 3 or 4 digit  
 number of the document requested.  
 OR  
 Office of Compliance, Rm. 244 OAK  
 5600 Fishers Lane  
 Rockville, MD 20857  
 Phone: (301) 594-4692  
 FAX: (301) 594-4610  
 URL address: <http://www.fda.gov/cdrh/index/html> OR  
 URL address: [http://www.fda.gov/opacom/morechoices/  
smallbusiness/blubook.htm](http://www.fda.gov/opacom/morechoices/smallbusiness/blubook.htm)

*Initiated*

1976.

*Compliance*

Mandatory.

*Authority*

Medical Device Amendments, P.L. 94-295 to Food, Drug and  
 Cosmetic Act, Title 21 U.S.C.  
 Fair Packaging and Labeling Act (15 U.S.C. 1451-1461).  
 21 CFR Part 807 E for premarket approval requirements.  
 21 CFR 860, 862 through 892 for device classification  
 requirements.

*Aim*

To assure that medical devices are both safe and  
 effective for their intended use.



### *Benefits*

For Class III devices, the program provides a more thorough design and performance review.

For Class I and II devices, the program provides clear public health safeguards.

### *Methodology*

Class III devices require premarket approval (PMA) to demonstrate safety and effectiveness before they can be marketed unless FDA determines otherwise. Premarket approval may include: design approval, audit inspection, and site approval; review of manufacturer's test data. They are also subject to general controls.

For Class II devices, are subject to general controls plus special controls, which may include: performance standards, postmarket surveillance, patient registries, guidelines, recommendations and other appropriate actions. In the case of life supporting or life sustaining devices, special controls shall be identified, if any, that are necessary to provide adequate assurance of the safety and efficacy of such devices and describe how these special control provide such assurance.

For Classes I devices, manufacturers are subject to general controls applicable to all device manufacturers, which include: registration of manufacturers; medical device listing; recordkeeping requirements; labeling requirements; and compliance with Good Manufacturing Practices (GMP).

Unless exempted by regulation, all manufacturers are required to give FDA 90 days notice before they intend to introduce a device on the market by submitting a premarket notification. During the 90 day period, FDA will determine whether the device is or is not equivalent to a pre-amendment device. A device may not be marketed until the firm receives a notice from the Agency that their device is substantially equivalent to a device that does not require premarket approval (PMA).

### *Testing*

Manufacturer's lab or third party lab.

Audit testing may be done by labs under contract to government.

### *Inspection*

Government.

<i>Conformity Identification</i>	For Class III devices only, list of approved products is maintained by FDA. For Classes I and II, manufacturer self-certification is evidenced through information required in product labeling
<i>Availability of Documentation</i>	Lists are available from the CDRH website at: <a href="http://www.fda.cdrh">http://www.fda.cdrh</a> Program areas provide access to Premarket Approval Applications (releasable PMAs) and Premarket Notifications (releasable 510(k)s).
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers of all classes of medical devices are required to be registered and to collect data on patient/ practitioner experience and report any hazardous events or noncompliance with Class III or Class II certification.
<i>Enforcement</i>	Marketing ban, product recall, and civil penalties are all applicable to medical devices.
<i>Term</i>	No specific term; retesting is based on changes in product characteristics or use. A major consideration is any misbranding or adulteration.
<i>Reciprocity</i>	Certifications are recognized widely in the United States, but no foreign reciprocity.
<i>Standards, Codes or Regulations</i>	Agency prepares requirements for Class III; standards for Class II may be from private sector; FDA develops and maintains GMP Rules.
<i>Keywords</i>	adulteration; good manufacturing practices; investigational use; medical devices; medical device classification; misbranding; pre-market notification; recall



Received 5/98

*Products or  
Services*

ALL ENTITIES PERFORMING LABORATORY TESTING

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Health Care Financing Administration (HCFA)  
Center for Medicaid and State Operations  
Family and Children's Health Program Group  
Division of Outcomes and Improvement  
7500 Security Boulevard  
Baltimore, MD 21244-1850  
Phone: (410) 786-3531  
FAX: (410) 786-3517  
E-Mail: (As of March 26, 1998, the URL address is:  
<http://www.hcfa.gov/medicare/hsqb/clia.htm>  
This URL should become  
<http://www.hcfa.gov/clia/clia1.htm> on or  
about April 1, 1998)

*Initiated*

September 1992

*Compliance*

Mandatory CLIA certification for all laboratories.  
Laboratory is defined as any facility that performs  
laboratory testing on specimens derived from the human  
body for the purpose of providing information for the  
diagnosis, prevention, treatment of disease, or  
impairment of, or assessment of health.

*Authority*

P.L. 100-578. Section 353 of the PHS Act. Clinical  
Laboratories Improvement Amendments of 1988 (CLIA). 42  
CFR Part 493.

*Aim*

To establish minimum requirements (health and safety  
standards) which must be met by providers and suppliers  
of laboratory services. The CLIA regulations are based  
on the complexity of the test to set minimum  
requirements that are related to the performance of  
laboratory testing.

*Benefits*

Intended to improve the performance and quality  
(accuracy, reliability, and timeliness) of laboratory  
testing/services regardless of where performed.

<i>Methodology</i>	Agency is charged with the implementation, enforcement, and monitoring of the CLIA program, including approval of accreditation programs, State exemption applications, and proficiency testing programs. Laboratories must register and pay the appropriate fee(s). The laboratory is surveyed before the certificate is issued. Upon determining compliance, HCFA issues the appropriate certificate(s). Laboratories that perform only waived and/or Provider Performed Microscopy (PPM) tests/procedures, apply directly for the Certificate of Waiver or Certificate of PPM. Laboratories holding either of these types of certificates are not subject to routine inspections. Additionally, laboratories have the opportunity to choose an approved accreditation organization to fulfill compliance with CLIA.
<i>Testing</i>	Based on the complexity of the testing performed, CLIA specifies regulations for Quality Control (QC), Patient Test Management (PTM), Personnel, Proficiency Testing (PT), Quality Assurance (QA), and Inspections to assure quality laboratory testing. Laboratories performing either moderate and/or high complexity testing are inspected/surveyed every 2 years. The Centers for Disease Control and Prevention (CDC) has responsibility for test categorization.
<i>Conformity Identification</i>	A unique 10 digit CLIA number is assigned to the laboratory upon registering for the CLIA program. The laboratory retains this number for its entire CLIA history. The appropriate CLIA certificate is issued to the laboratory for the types of testing the laboratory performs. Additionally, CLIA certified laboratories that voluntarily receive Medicare/Medicaid reimbursement, are subject to certain payment and coverage requirements.
<i>Availability of Documentation</i>	A list of certified laboratories may be available upon request. Relevant information about the CLIA requirements and the scope of the program is available at the above website.
<i>Enforcement</i>	Medicare decertification/termination or revocation of CLIA certificates if laboratories fail to comply with program requirements.
<i>Term</i>	CLIA certificates for laboratories are effective for a two-year period.

*Reciprocity*

Approved Laboratory Accreditation and State Licensure Programs. Some laboratories are accredited by the Joint Commission on Accreditation of Healthcare Organizations (JACHO), American Osteopathic Association (AOA), American Society for Histocompatibility and Immunogenetics (ASHI), American Association for Blood Banks (AABB), Commission of Laboratory Accreditation (COLA), College of American Pathologists (CAP). Certain laboratories are licensed under a State's CLIA-exempt licensure program such as New York State, Washington State and Oregon.

*Standards, Codes  
or Regulations*

Standards are specified in the Acts and in the Code of Federal Regulations.

*Keywords*

CLIA; health care facility; health care providers; hospitals; laboratories; laboratory testing; medical tests; Medicare certification

Received 5/98

*Products or  
Services*

THE RHC BENEFIT WAS ENACTED INTO LAW ON DECEMBER 13, 1977 IN THE RURAL HEALTH CLINIC SERVICES ACT OF 1977 (RHCSA), PUBLIC LAW 95-210. MEDICARE AND MEDICAID COVER PRIMARY AND EMERGENCY SERVICES FURNISHED BY RHCS LOCATED IN RURAL MEDICALLY UNDERSERVED COMMUNITIES BY PHYSICIANS AND NON-PHYSICIAN MEDICAL PRACTITIONERS, INCLUDING PHYSICIAN ASSISTANTS (PAS), NURSE PRACTITIONERS (NPS), AND CERTIFIED NURSE MIDWIVES (CNMS).

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Health Care Financing Administration (HCFA)  
Center for Medicaid and State Operations  
Family and Children's Health Program Group  
Division of Outcomes and Improvement  
7500 Security Blvd.  
Baltimore, MD 21244-1850  
Phone: (410) 786-3531  
FAX: (410) 786-3517

*Initiated*

The RHC benefit was enacted into law on December 13, 1977 in the Rural Health Clinic Services Act of 1977 (RHCSA), Public Law 95-210.

*Compliance*

Voluntary for Medicare/Medicaid certification. Medicare and Medicaid cover primary and emergency services furnished by RHCs located in rural medically underserved communities by physicians and non-physician medical practitioners, including physician assistants (PAs), nurse practitioners (NPs), and certified nurse midwives (CNMs).

*Authority*

The RHC benefit was enacted into law on December 13, 1977 in the Rural Health Clinic Services Act of 1977 (RHCSA), Public Law 95-210. Refer to 42 CFR Part 491.

Social Security Act - Sections 1861(aa), 1832(a), 1833(f), 1842(b), 1905(a), 1910(a)

*Aim*

The intent of the rural health clinic program is to increase the availability of primary medical care and services to residents of rural areas that have a shortage of health care professionals.

<i>Benefits</i>	Increased access to primary health care services in rural, medically underserved and low-income communities.
<i>Methodology</i>	The Agency is charged with the implementation and enforcement of the rural health clinic program. The Rural Health Clinic Services Act uses two strategies to increase access to primary care for rural communities at risk of being medically underserved: 1) offering enhanced financial incentives (cost-based reimbursement) to improve physician recruitment and retention, and 2) mandating the employment of non-physician medical practitioners as a condition of cost-based reimbursement.
<i>Testing</i>	Specific laboratory tests must be available in order for a facility to meet the requirements for a rural health clinic.
<i>Inspection</i>	The Agency has authority to perform oversight in processing the requests of new applicants requesting participation in the Medicare and Medicaid program as rural health clinics. The Agency also has authority to conduct investigations and resurvey existing clinics.
<i>Conformity Identification</i>	A Medicare identification number is given to the supplier when it is determined that federal health and safety requirements have been met.
<i>Availability of Documentation</i>	A list of certified suppliers may be obtained by calling the Health Care Administration at the above referenced number. Information may be obtained more formally through formal channels (Freedom of Information) within HCFA and/or the State survey agency (our agent for conducting surveys).
<i>Enforcement</i>	Failure to comply with all health and safety requirements may result in being terminated from participation in the Medicare/Medicaid programs.
<i>Term</i>	The certification of a rural health clinic continues until the RHC is voluntarily or involuntarily terminated from participation in the Medicare/Medicaid programs.
<i>Standards, Codes or Regulations</i>	Standards are specified in the Acts and in the Code of Federal Regulations.



*Keywords*

health care facility; health care providers; home health agencies; hospitals; Medicare certification; rural health clinics

*Products or  
Services*

**AMBULATORY SURGICAL CENTERS (ASCS)**

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Health Care Financing Administration (HCFA)  
Family and Children's Health Program Group  
Center For Medicaid and State Operations  
Division of Outcomes and Improvement  
7500 Security Boulevard  
Baltimore, Maryland 21244-1850  
Phone: (410) 786-3531  
FAX: (410) 786-3517

*Initiated*

Fully integrated into the health care system since 1982.

*Compliance*

Mandatory certification for all Ambulatory Surgical Centers (ASCs) that voluntarily participate with the Medicare program. Must meet Conditions for Coverage. ASC is defined as a distinct entity that operates exclusively for the purpose of providing surgical services to patients not requiring hospitalization.

*Authority*

Social Security Act:  
Section 1832(a)(2)(F)(I).  
Section 1833(I)(1)(A).  
Section 1833(I)(2)(A) and (3).  
42 CFR Part 416.

*Aim*

To establish minimum health and safety standards which must be met by providers and suppliers participating in the Medicare and Medicaid programs.

*Benefits*

To improve quality of health care for Medicare/Medicaid beneficiaries.

*Methodology*

The Agency charged with the implementation and enforcement of ASC. After enrolling with HCFA for participation in the Medicare program, HCFA, through agreements with State survey agencies, surveys ASC to determine compliance with the Conditions for Coverage. If the Conditions for Coverage are met, HCFA issues a provider agreement to the ASC. The Conditions for Coverage of ASC services are found in regulations at 42 CFR Part 416.



<i>Inspection</i>	See <i>Methodology</i> .
<i>Conformity Identification</i>	An identification number is given to the supplier (ASC) when it is determined that Federal requirements are met.
<i>Availability of Documentation</i>	HCFA Homepage address: << <a href="http://www.hcfa.gov/stats/pufiles.htm">www.hcfa.gov/stats/pufiles.htm</a> >>; when this area of the homepage opens, scroll down to the section headed "Payment Rates: Non-Institutional Providers" and then go to the public use file entitled "ASC base eligibility file."
<i>Enforcement</i>	Medicare termination if ASCs fail to comply with program requirements.
<i>Reciprocity</i>	ASCs accredited by the Joint Commission on Accreditation of Healthcare Organizations (JACHO) or the Accreditation Association for Ambulatory Health Centers (AAAHC).
<i>Standards, Codes or Regulations</i>	Standards are specified in the Acts and in the Code of Federal Regulations.
<i>Keywords</i>	ambulatory surgical centers; health care facility; health care providers; hospitals; Medicare certification

*Products or  
Services*

CRITICAL ACCESS HOSPITALS

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Health Care Financing Administration (HCFA)  
Family and Children's Health Program Group  
Center for Medicaid and State Operations  
Division of Outcomes and Improvement  
7500 Security Boulevard  
Baltimore, MD 21244-1850  
Phone: (410) 786-3531  
FAX: (410) 786-3517  
URL address: To be determined

*Initiated*

August 4, 1997

*Compliance*

Voluntary for Medicare/Medicaid Certification

*Authority*

42 CFR Part 485 (Critical Access Hospitals)

*Aim*

To establish minimum health and safety standards which must be met by rural hospital providers participating in the program. To allow rural hospital providers the opportunity to continue to provide services within their community by downsizing the hospital services offered and networking with other area providers.

*Benefits*

Improved quality of health care for Medicare/Medicaid beneficiaries in rural communities. Continued services within rural communities, decrease in duplication of services within the community while maintaining health care services for rural beneficiaries.

*Methodology*

The agency is charged with the implementation and enforcement of the Critical Access Hospital program. A State develops a rural health care plan which designates hospitals as critical access hospitals and submits the plan to the regional office. The regional office reviews and ultimately approves the plan when it meets all the required criteria. The State survey agency is directed to survey the hospital for compliance with the Conditions of Participation for Critical Access Hospitals. When it has been determined the hospital meets the requirements, the regional office designates the hospital as a critical access hospital.

<i>Testing</i>	Non-applicable.
<i>Inspection</i>	An initial survey to determine compliance with the Conditions of Participation is completed by the State agency in which the hospital is located. The critical access hospital is selected on a random basis to be resurveyed by the State agency to ensure continued compliance with the Federal requirements. Reports of these surveys are provided to the regional office.
<i>Conformity Identification</i>	A Medicare provider number is given to the facility when it is determined the Federal requirements are met.
<i>Availability of Documentation</i>	A list of certified facilities is available at each state agency, regional office or at the central office location.
<i>Enforcement</i>	Medicare decertification/termination per 42 CFR 488 and 42 CFR 489.
<i>Term</i>	Medicare certification remains valid as long as the provider continues to meet the Federal requirements and provide services to Medicare beneficiaries.
<i>Reciprocity</i>	Non-applicable
<i>Standards, Codes or Regulations</i>	Standards are specified in the Acts and in the Code of Federal Regulations.
<i>Keywords</i>	health care facility; health care providers; hospitals; Medicare certification

Received 5/98

*Products or  
Services*

SURVEY AND CERTIFICATION ACTIVITIES FOR  
MEDICARE/MEDICAID PARTICIPATING HOSPITALS

*Department/Agency*

U.S. Department of Health and Human Services (DHHS)  
Health Care Financing Administration (HCFA)  
Center for Medicaid and State Operations (CMSO)  
Family and Children's Health Program Group (FCHPG)  
Division of Outcomes and Improvement (DOI)  
7500 Security Blvd.  
Baltimore, MD 21244-1850  
Phone: (410) 786-3531  
FAX: (410) 786-3517

*Initiated*

1966.

*Compliance*

Voluntary for Medicare/Medicaid Certification.

*Authority*

Section 1861(e) of the Social Security Act (SSA)  
(Definition of Hospital Provider of Services).  
Section 1864 of the SSA (Use of State Agencies to  
determine Compliance by Providers with Conditions of  
Participation).  
Section 1865 of the SSA (Effect of Accreditation).  
42 CFR Part 482 (Hospital Conditions of Participation).  
42 CFR Part 488 (Survey, Certification and Enforcement  
Procedures).

*Aim*

To establish minimum health and safety standards which  
must be met by providers and suppliers participating in  
the Medicare and Medicaid programs as defined above.

*Benefits*

Intended to improve the quality of health care and  
assurance of a safe environment for Medicare/Medicaid  
beneficiaries.

*Methodology*

The Agency is charged with implementation and  
enforcement of the Medicare/Medicaid hospital Conditions  
of Participation. After enrolling with HCFA for  
participation in the Medicare programs, HCFA, through  
agreements with State survey agencies, surveys hospitals  
to determine compliance with the conditions of  
participation. If the conditions of participation are  
met, HCFA issues a provider agreement to the hospital.  
Nonaccredited hospitals are subject to periodic Medicare

recertification surveys by the State survey agencies. Hospitals accredited by the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) or the American Osteopathic Association (AOA) are deemed by the Medicare statute to participate in the program. These hospitals are not survey agencies. Accredited hospitals are only subject to HCFA surveys if there is a complaint investigation or the hospital is selected by HCFA for a sample validation survey.

<i>Testing</i>	Not applicable.
<i>Inspection</i>	See Methodology.
<i>Conformity Identification</i>	A identification number is given to the provider when it is determined that Federal requirements are met.
<i>Availability of Documentation</i>	A list of Medicare certified hospitals maybe obtained by calling the agency at the telephone number listed above.
<i>Enforcement</i>	Medicare decertification/termination if the hospital fails to meet program requirements.
<i>Term</i>	Continued participation until voluntary or involuntary termination.
<i>Reciprocity</i>	<p>Hospitals accredited by the JCAHO or the AOA are deemed by the Medicare statute to participate in the program.</p> <p>Based on the complexity of the testing performed, CLIA specifies regulations for quality control, quality assurance, patient test management, personnel, inspections and proficiency testing to assure accurate and reliable laboratory testing. CDC has responsibility for test categorization.</p>
<i>Inspection</i>	See <i>Methodology</i> and <i>Testing</i> .
<i>Conformity Identification</i>	An identification number is given to the provider/supplier when it is determined that federal requirements are met, or a certificate is given for laboratories.
<i>Availability of Documentation</i>	A list of accredited laboratories is available at the above web site as is other relevant information on CLIA requirements.

<i>Obligations of the Manufacturer/Vendor</i>	Laboratories must obtain certification, pay applicable fees and comply with regulations regarding proficiency testing, personnel, inspections, patient test management, quality control and quality assurance.
<i>Enforcement</i>	Medicare decertification/termination or revocation of CLIA certificates if laboratories fail to comply with program requirements.
<i>Term</i>	CLIA certificates for laboratories are effective for a two-year period.
<i>Reciprocity</i>	Hospitals accredited by the Joint Commission on Accreditation of Healthcare Organizations (JACHO) or the American Osteopathic Association (AOA) are deemed to meet the Federal Medicare requirements.
<i>Standards, Codes or Regulations</i>	Standards are specified in the Acts and in the Code of Federal Regulations.
<i>Keywords</i>	ambulatory surgical centers; CLIA; health care facility; health care providers; home health agencies; hospices; hospitals; intermediate care facilities; Medicare certification; physical therapy; portable x-ray services; rehabilitation facilities; rural health clinics; skilled nursing facilities; speech pathology services



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DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

<i>Products or Services</i>	LEAD PAINT DISCLOSURE (See Also EPA Entry for Lead Paint)
<i>Department/Agency</i>	U.S. Department of Housing and Urban Development (HUD) Office of Lead Hazard Control Planning and Standards Division 451 Seventh Street, SW Washington, DC 20410 National Lead Information Clearinghouse: 1-800-424-LEAD Phone: (202) 755-1785 FAX: (202) 708-1000 URL address: <a href="http://www.hud.gov/lea/leadhelp.html">http://www.hud.gov/lea/leadhelp.html</a>
<i>Initiated</i>	1997.
<i>Compliance</i>	Mandatory.
<i>Authority</i>	Residential Lead-Based Paint Hazard Reduction Act of 1992 (title X of HUD Act of 1992), 42 U.S.C. 4852d; 24 CFR Part 35.
<i>Aim</i>	To address the problems of lead-based paint poisoning.
<i>Benefits</i>	Identification and reduction of lead-based hazards.
<i>Methodology</i>	Lead-based paint hazard disclosure requirements upon purchase and sale of most housing built before 1978. Sellers and landlords have to disclose known information on lead-based paint hazards and lead based paint before leases take effect.
<i>Testing</i>	Optional, by buyer/renter or seller/lessor.
<i>Inspection</i>	Optional, by buyer/renter or seller/lessor.
<i>Conformity Identification</i>	Disclosure statements.
<i>Availability of Documentation</i>	See Authority. Also see website for further information.

*Enforcement* Civil penalties (42 U.S.C. 4852d(b)).

*Reciprocity* Other federal and state agencies.

*Keywords* lead-based paint; lead hazard; housing; paint; real estate leasing; real estate transactions



*Products or Services*

## BUILDING PRODUCTS FOR CONSTRUCTION

*Department/Agency*

U.S. Department of Housing and Urban Development (HUD)  
 Federal Housing Administration (FHA)  
 Office of Housing  
 Office of Consumer and Regulatory Affairs  
 Manufactured Housing and Standards Division  
 HSCM Room 9152  
 451 Seventh Street, SW  
 Washington, DC 20410  
 Phone: (202) 708-6409  
 FAX: (202) 708-4213  
 e-mail: marion\_f.\_connell@hud.gov  
 URL address: <http://www.hud.gov/fcs.html>

*Initiated*

1965.

*Compliance*

Voluntary.

*Authority*

24 CFR Part 200.935.

*Aim*

To prevent product failures and misrepresentations of products. To expedite introduction of new or innovative building materials. Alleviate safety hazards associated with building materials, long term durability problems, and misleading test results.

*Benefits*

Better assurance that the building products arriving at the job site comply with the designated standards.

*Methodology*

Agency requires ongoing validation of private sector certifications of products included under a HUD mortgage insurance program. Uses third party certifications and manufacturer's self-certification.

*Testing*

Uses government accredited labs, third party validating labs, manufacturers' labs, or state/local government labs as appropriate.

*Inspection*

Third party.

<i>Conformity Identification</i>	Authorized mark or label affixed by manufacturer or third party validator. More than seventy third party validators participate in the HUD Building Products Certification program for building products including: solid fuel type heaters, fireplace stoves, plastic bathtub units, plastic shower receptors and stalls, plastic lavatories, plastic water closet bowls and tanks, aluminum windows, storm doors, sliding glass doors, storm windows, wood window units, wood sliding patio doors, sealed insulating glass units, carpet, carpet with attached cushion, PVC window units, and lumber.
<i>Availability of Documentation</i>	All documentation is published in the <i>Federal Register</i> , 24 CFR Part 200.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers are obligated to cease marking products which do not meet required standards.
<i>Enforcement</i>	The principal means of enforcement is delisting of manufacturers. Laboratories whose quality control is inadequate may be disapproved. Administrators may be suspended under Rules in 24 CFR Part 200.935.
<i>Term</i>	All parties may operate indefinitely in these programs. Laboratories are subject to periodic reaccreditation.
<i>Reciprocity</i>	Products in these programs enjoy a wide degree of reciprocal recognition, including other federal agencies, state agencies, private sector organizations, foreign governments, and international organization. There are participating organizations in Canada for certain building products.
<i>Standards, Codes or Regulations</i>	HUD adopts standards prepared by others, and prepares criteria documents where necessary. Documents defining acceptance are in 24 CFR Part 200.935.
<i>Keywords</i>	acceptance criteria; administrators; building products; certification; construction; housing; mortgage insurance; third party validation

*Products or Services*

## MANUFACTURED HOUSING

*Department/Agency*

U.S. Department of Housing and Urban Development (HUD)  
 Federal Housing Administration (FHA)  
 Office of Housing  
 Office of Consumer and Regulatory Affairs  
 Manufactured Housing and Standards Division  
 HSCM Room 9152  
 451 Seventh Street, SW  
 Washington, DC 20410-8000  
 Hotline for complaints: 1-800-927-2891  
 Phone: (202) 708-6409  
 FAX: (202) 708-4213  
 e-mail: mhs@hud.gov  
 URL address: <http://www.hud.gov/fha/sfh/mhssht3.html>

*Initiated*

1976.

*Compliance*

Mandatory.

*Authority*

National Manufactured Housing Construction and Safety Standards Act, P.L. 93-382, 42 U.S.C. 5407.  
 24 CFR Part 3280.

*Aim*

To reduce the number of personal injuries and deaths, cost of insurance, and property damage resulting from manufactured home accidents and to improve the quality and durability of manufactured homes.

*Benefits*

Uniform nationwide certification program has accomplished the stated purposes of the Act and improved interstate commerce in manufactured housing.

*Methodology*

Agency requires third party certification of manufactured housing designs and quality assurance manuals, and in-plant inspection to assure compliance with standards.

*Testing*

Use third party labs or manufacturer's lab.

<i>Inspection</i>	Conducted by third parties or state government inspection agencies.
<i>Conformity</i>	Authorized red label affixed by manufacturer.
<i>Identification</i>	Lists of approved third party agencies are issued by HUD.
<i>Availability of Documentation</i>	Lists are maintained by HUD, HUD's Monitoring Agent, and approved State Administrative Agencies (SAAs).
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers and dealers must keep accurate data by unit serial number of each manufactured housing unit so that purchasers can be notified if an imminent safety hazard or serious defect is alleged. Manufacturers must certify/label that the home section is built in accordance with HUD's construction and safety standards.
<i>Enforcement</i>	Marketing ban on unlabeled homes; notification and correction of defective units; removal of approval of third party inspection agencies for repeated inadequate performance.
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	Other federal agencies. State agencies.
<i>Standards, Codes or Regulations</i>	Agency references standards prepared by others and incorporates requirements in the Federal Manufactured Home Construction Safety Standards (24 CFR Part 3280). Enforcement is in accordance with Procedural and Enforcement Regulations (24 CFR Part 3282).
<i>Keywords</i>	design approval; housing requirements; inspection; manufactured housing; product safety

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U.S. DEPARTMENT OF THE INTERIOR



<i>Products or Services</i>	AMERICAN INDIAN, ESKIMO, AND ALEUT ENTERPRISES THAT MARKET INDIAN, ESKIMO, OR ALEUT HANDICRAFTS
<i>Department/Agency</i>	U.S. Department of the Interior (DOI) Indian Arts and Crafts Board 1849 "C" Street, NW, MS 4004-M1B Washington, DC 20240 Phone: (202) 208-3773
<i>Initiated</i>	1943.
<i>Compliance</i>	Voluntary.
<i>Authority</i>	P.L. 74-355. 25 CFR Part 308.
<i>Aim</i>	To improve the competitiveness of genuine products which are marketed in competition with imitations.
<i>Benefits</i>	See above.
<i>Methodology</i>	Agency requires government inspection and evaluation of product quality.
<i>Inspection</i>	Products and facilities are inspected by the federal government.
<i>Conformity Identification</i>	Facilities are licensed to use the certification mark. Products are marked.
<i>Availability of Documentation</i>	A free list of approved enterprises is available from the Board.
<i>Obligations of the Manufacturer/Vendor</i>	The certification mark may be applied only to products that meet the Board's standards.
<i>Enforcement</i>	Delisting as well as the imposition of criminal penalties for the willful misuse of the mark.
<i>Term</i>	Indefinite term with occasional re-inspection.

*Reciprocity*

No reciprocal agreements.

*Standards, Codes  
or Regulations*

Agency prepared standards/criteria.

*Keywords*

Aleut; American Indian; crafts; Eskimo; handicrafts;  
Indian; jewelry; Native American artists; Native  
American craftsmen

*Products or Services*

SURFACE AND SUBSURFACE SAFETY VALVES FOR OIL AND GAS OPERATIONS AND TRAINING FOR INSTALLERS

*Department/Agency*

U.S. Department of the Interior (DOI)  
 Minerals Management Service (MMS)  
 Engineering and Safety Branch  
 PAB Rm. 3327A  
 381 Eldon Street  
 Herndon, VA 22070-4817  
 Phone: (703) 787-1610  
 FAX: (703) 787-1575  
 e-mail: bill\_cooke@mms.gov

*Initiated*

1980.

*Compliance*

Mandatory.

*Authority*

30 CFR Part 250.126, Quality assurance and performance of safety and pollution prevention equipment.

*Aim*

To prevent major oil spills that cause pollution and to improve safety.

*Benefits*

Decreased pollution and accidents and improved consistency of manufacturing and testing.

*Methodology*

Agency requires manufacturer self-certification of quality of materials; establishment of training course requirements for installation and maintenance requirements; and user reporting to Minerals Management Service.

*Inspection*

Federal inspection of drilling/production operations. Valves subject to ASME-approval; third party inspection.

*Conformity Identification*

Certified by manufacturer.

*Availability of Documentation*

Available from ASME at 345 E. 47th Street, New York, NY 10017. Available from API at 1220 L Street, NW, Washington, DC 20005; Attention: Publications and Distribution Section; Phone: (202) 682-8375.

<i>Obligations of the Manufacturer/Vendor</i>	Ensure installers take approved training and certify that product meets ASME/ANSI or API standards.
<i>Enforcement</i>	Warning; prohibition of use.
<i>Term</i>	On-going.
<i>Reciprocity</i>	No reciprocal agreements.
<i>Standards, Codes or Regulations</i>	<p>ANSI/ASME - SPPE-1-1988, addenda a, b, c, and d. Quality Assurance and Certification of Safety and Pollution Prevention Equipment Used in Offshore Oil and Gas Operations.</p> <p>API Specs. Q1, 14A (Technical specification for SSSV's), 14D (Technical specification for SSV's and USV's).</p> <p>API RP 14B (Installation, inspection, maintenance, testing, removal, redress, field repair and documentation for an SSSV.)</p> <p>API RP 14H (Installation, inspection, maintenance, testing, removal, redress, field repair and documentation for an SSV or USV.)</p>
<i>Keywords</i>	environmental protection; gas pollution; OCS; offshore drilling; oil pollution; petroleum pollution; pollution prevention; safety valves; valves

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U.S. DEPARTMENT OF JUSTICE



<i>Products or Services</i>	LAW ENFORCEMENT EQUIPMENT (Including: Police Body Armor, Hand-Held Personal/Portable Transceivers, Handcuffs, Riot and Crash Helmets, Narcotic Test Kits, Batteries for Hand-Held Transceivers, 12-Gauge Shotguns, 9mm and 45 Caliber Auto-Loading Pistols, 38 and 357 Caliber Revolvers, Vehicle Tracking Devices, Body-Worn Transmitters, and Police Vehicles)
<i>Department/Agency</i>	U.S. Department of Justice (DOJ) National Institute of Justice (NIJ) SEVEN 810 Seventh Street, NW Washington, DC 20531 Phone: (202) 306-2942 FAX: (202) 307-6394
<i>Compliance</i>	Voluntarily adopted by states and local jurisdictions. Manufacturers voluntarily submit devices for evaluation and listing.
<i>Authority</i>	Title 1, Section (402)b of the Omnibus Crime Control and Safe Streets Act of 1968, P.L. 90-351. 42 U.S.C. 3701, Justice System Improvement Act of 1979, P.L. 96-157.
<i>Aim</i>	To assist state and local law enforcement agencies in selecting equipment that is suitable for their needs.
<i>Benefits</i>	Test results reported by the National Law Enforcement and Corrections Technology Center (NLECTC) in a consumer information report series can assist state and local law enforcement agencies in selecting equipment suitable for their needs. In addition, certain manufacturers use the NIJ standards as the benchmark for product design and certify compliance to the NIJ standards in their equipment specifications.
<i>Methodology</i>	NIJ awarded a cooperative agreement to Aspen Systems Corporation to operate a limited equipment testing program through NLECTC, which in turn contracts with independent testing laboratories to conduct tests of equipment in accordance with NIJ standards. Requires

independent laboratory qualification testing and production unit testing in accordance with appropriate NIJ standard.

*Testing*

Under an NIJ cooperative agreement Aspen Systems Corporation operates a testing program through NLECTC. NLECTC contracts with independent testing laboratories to conduct tests of equipment in accordance with NIJ standards. Manufacturers may have their equipment tested to the NIJ standard by an approved testing laboratory.

*Conformity  
Identification*

Manufacturers may represent their products as complying with the appropriate NIJ standard. Complying equipment is listed in an NIJ consumer products list. Test results are published by NLECTC in a consumer information report series.

*Availability  
of Documentation*

Copies of the consumer information report series are available from NLECTC, 2277 Research Blvd., Rockville, MD 20850; Phone 1-800-24-TAPIC or (301) 519-5060; Fax: (301) 519-5212. The Office of Law Enforcement Standards (OLES) in NIST provides a complete list of standards upon request.

*Obligation of the  
Manufacturer/Vendor*

Manufacturers must demonstrate compliance with the standard by successfully passing testing in accordance with the standards.

*Term*

Indefinite

*Reciprocity*

Results are recognized by many state and local law enforcement agencies.

*Standards, Codes  
or Regulations*

Uses standards developed by OLES, NIST, which are subjected to extensive technical and editorial review within NIST, as well as by other government agencies, manufacturers, users, and independent experts, and are given a final review and promulgated by NIJ.

*Keywords*

batteries; body armor; handcuffs; handguns; helmets; law enforcement equipment; narcotic test kits; performance standards; police vehicles; shotguns; surveillance equipment; transceivers

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U.S. DEPARTMENT OF LABOR

*Products or Services*

## DIESEL-POWERED EQUIPMENT FOR UNDERGROUND COAL MINES

*Department/Agency*

U.S. Department of Labor (DOL)  
Mine Safety and Health Administration (MSHA)  
Directorate of Technical Support  
Approval and Certification Center  
RR #1, Box 251, Industrial Park Rd.  
Triadelphia, WV 26059  
Phone: (304) 547-2029  
FAX: (304) 547-2044  
e-mail: [lusiksj@msha.gov](mailto:lusiksj@msha.gov)  
URL address: <http://www.msha.gov/S&HINFO/DIESEL.HTM>

*Initiated*

1996.

*Compliance*

Mandatory for diesel-powered equipment in underground coal mines where methane may be present; mandatory for all diesel engines in underground coal mines after 11/99.

*Authority*

P.L. 91-173; 30 U.S.C. 957.  
P.L. 95-164; 30 U.S.C. 961, 951.  
30 CFR Parts 7 and 36. Mandatory health and safety standards are contained in Sections 70 and 75.

*Aim*

To provide a uniform means for evaluating diesel engines and diesel-powered equipment used in underground coal mines.

*Benefits*

Accidents and deaths related to diesel-powered mine machinery have been minimized. Miner exposure to toxic gas emissions has been held to acceptable levels.

*Methodology*

Government conducts design approval, testing, and inspection.

*Testing*

Government labs or other labs under government monitoring.

*Inspection*

Government.

<i>Conformity Identification</i>	Diesel engines approved under Part 7 will display an approval plate on the engine indicating its approval status and the minimum ventilating air quantity for that engine. Part 36 equipment which is equipped with a power package approved under Part 7 will have three approval plates: one on the engine indicating that it has been approved under subpart E of Part 7; one on the power package indicating that it has been approved under subpart F of Part 7; and one on the machine (which will generally be located in the operator's compartment) indicating that the equipment has been approved as a fully assembled machine under Part 36.
<i>Availability of Documentation</i>	Agency publishes lists of certified and approved equipment. Additional information on the requirements is available at the URL address listed above.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturer must maintain production according to type-approved drawings, including modifications to design required for approval.
<i>Enforcement</i>	Marketing ban; removal from mine use of non-conforming equipment; legal action.
<i>Term</i>	Indefinite.
<i>Standards, Codes or Regulations</i>	Agency prepares criteria documents. Equipment approval requirements are spelled out in the CFR.
<i>Keywords</i>	engines; diesel-powered equipment; dust collectors; electrical components; exhaust gasses; flammable atmosphere; locomotives; mining machines; coal mines; safety; ventilation



*Products or Services*

## ELECTRICAL EQUIPMENT FOR MINES

*Department/Agency*

U.S. Department of Labor (DOL)  
 Mine Safety and Health Administration (MSHA)  
 Approval and Certification Center  
 Directorate of Technical Support  
 RR #1, Box 251, Industrial Park Rd.  
 Triadelphia, WV 26059  
 Phone: (304) 547-2029  
 FAX: (304) 547-2044  
 e-mail: luziks@msha.gov  
 URL address: <http://www.msha.gov/REGSINFO/SAFETY.HTM>

*Initiated*

1969.

*Compliance*

Mandatory for gassy areas of underground mines.

*Authority*

P.L. 95-164; 30 U.S.C. 961, 951.  
 P.L. 91-173; 30 U.S.C. 957.  
 30 CFR Parts 7, 18, 19, 20, 22, 23, 24, 26, 27, 28, 29.  
 Mandatory safety standards re contained in Parts 57 and 75.

*Aim*

To provide a uniform means for evaluating electrical equipment used in gassy mines for mining, illuminating, communicating and measuring in order to reduce work place hazards.

*Benefits*

Accidents and deaths related to electrically-powered mine machinery have been minimized.

*Methodology*

Government conducts design approval, testing, and inspection.

*Testing*

Government labs or other labs under government monitoring.

*Inspection*

Government.

*Conformity Identification*

Agency designated approval marking on product. Size, type and location varies with product design.

<i>Availability of Documentation</i>	Agency publishes lists of certified and approved equipment.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturer must maintain production according to type-approved drawings, including modifications to design required for approval, and employ acceptable quality control plan.
<i>Enforcement</i>	Marketing ban; removal from mine use of non-conforming equipment; legal action.
<i>Term</i>	Indefinite.
<i>Standards, Codes or Regulations</i>	Agency prepares criteria documents. Safety standards and equipment approval requirements are spelled out in the CFR. More information on the requirements is available at the URL address listed above.
<i>Keywords</i>	battery powered equipment; carbon monoxide monitors; coal mines; compressors; continuous mining machines; electric cables; electric cap lamps; electric motors; electrical equipment; explosion-proof enclosures; fans; illumination; intrinsically-safe equipment; lamps; longwalls; mining equipment; methane monitors; pumps; roof bolsters; safety; shearers; shuttle cars; signalling devices; telephones

Received 6/98

*Products or  
Services*

SYSTEMS USING PRESENCE SENSING DEVICES FOR INITIATING  
MECHANICAL POWER PRESSES (PSDI) (PROGRAM NOT CURRENTLY  
ACTIVE)

*Department/Agency*

U.S. Department of Labor (DOL)  
Occupational Safety and Health Administration (OSHA)  
Directorate of Technical Support  
Office of Variance Determination, Room N3653  
200 Constitution Ave., NW  
Washington, DC 20210  
Phone: (202) 219-7056  
FAX: (202) 219-7068  
e-mail: jennifer.silk@osha-no.osha.gov  
URL address: <http://www.osha.gov>

*Initiated*

Final Rule issued in the *Federal Register* at 53 FR 8322.  
March 14, 1988.

*Compliance*

Mandatory for employers planning to use such systems.

*Authority*

29 CFR Part 1910.217; 29 CFR Part 1910 -- General  
Industry.  
P.L. 91-596, Occupation Safety and Health Act of 1970.

*Aim*

To provide protection for employees using presence  
sensing devices for initiation of mechanical power  
presses.

*Benefits*

The overall press and control system safety are enhanced  
by certification to ensure a higher degree of equipment  
capability and reliability than was provided for in the  
former standard.

*Methodology*

OSHA recognizes third party certification program(s) to  
validate certifications by manufacturer or employer.  
Certifications include design, installation and annual  
recertification.

*Testing*

Laboratory selected by recognized certification program.

*Inspection*

Recognized third party certification program.

<i>Conformity Identification</i>	Mark or label authorized by recognized certification program.
<i>Availability of Documentation</i>	Available from recognized certification program, manufacturer, or employer.
<i>Obligations of the Manufacturer/Vendor</i>	Cooperate with employers and recognized certification programs to develop, install and maintain safe devices for presses.
<i>Enforcement</i>	As required by OSHA Act; periodic inspection of employers under OSHA inspection program; written report on mechanical power presses also required.
<i>Term</i>	Retesting after one year by recognized certification program.
<i>Reciprocity</i>	Recognition of certification by: Other federal agencies State agencies.
<i>Standards, Codes or Regulations</i>	Recognized certification program adopts and uses standards prepared by others.
<i>Keywords</i>	industrial safety; light curtain; machine guarding; mechanical power press; Presence Sensing Device Initiation (PSDI); presses; safety distance

*Products or Services*

## EQUIPMENT AND MATERIALS USED IN THE WORKPLACE

*Department/Agency*

U.S. Department of Labor (DOL)  
 Occupational Safety and Health Administration (OSHA)  
 Directorate of Technical Support  
 NRTL Program, Room 3653  
 200 Constitution Ave., NW  
 Washington, DC 20210  
 Phone: (202) 219-7056  
 FAX: (202) 219-7068  
 e-mail: jennifer.silk@osha-no.osha.gov or  
 bernard.pasquet@osha-no.osha.gov  
 URL address:  
<http://www.osha-slc.gov/SLTC/NRTL/index.html>

*Initiated*

*Federal Register* Notices dated April 12, 1988 pages 12102-12125 and supplemental requirements in notice dated March 9, 1995, pages 12980-12985.

*Compliance*

Mandatory.

*Authority*

Occupational Safety and Health Act of 1970, P.L. 91-596.  
 29 CFR Part 1910 -- Occupational Safety and Health Standards for General Industry, Section 1910.7.

*Aim*

To provide protection to the nation's workers on their job by reducing or eliminating the various hazards to which workers may be exposed. Certain equipment because of its nature or the types of hazards that may develop while in use is required to be listed, labelled, or approved by third party laboratories accredited by OSHA.

*Benefits*

The accreditation or recognition program enables employers to install equipment which has demonstrated compliance with applicable product test standards. OSHA workplace inspections can also be expedited when certified equipment is used.

*Methodology*

Requires third party certification bodies to meet the strict criteria and requirements of competency and independence in 29 CFR 1910.7, including applicable international guides. Initial recognition is granted after the applicant completes a process that include:

submission of a complete application; an on-site assessment; resolution by the applicant of deficiencies found during the assessment; publication of a preliminary notice in the *Federal Register* (FR) announcing the application for recognition, the proposed scope of recognition, the findings by OSHA, and any conditions of the recognition; a 60-day comment period; and then absent compelling reasons to the contrary, publication of a final FR notice to formally recognize the applicant as an NRTL.

<i>Testing</i>	Third party test/certification labs.
<i>Inspection</i>	OSHA inspectors can inspect equipment in the workplace.
<i>Conformity Identification</i>	Mark or label authorized by recognized NRTLs.
<i>Obligations of the Manufacturer/Vendor</i>	Comply with applicable standards. NRTLs must use appropriate product safety standards in testing products; test only products within their approved scope of recognition; and comply with other applicable requirements.
<i>Enforcement</i>	Citation of employer for using uncertified equipment.
<i>Term</i>	Initial recognition is valid for 5 years.
<i>Reciprocity</i>	Listing, labelling, or approval by foreign certification agencies is accepted by OSHA if the organization in question is recognized by OSHA as an NRTL. Eligibility for recognition of foreign organizations as NRTLs depends in part on whether the foreign countries are open to U.S. certifiers.
<i>Standards, Codes or Regulations</i>	OSHA standards include extensions of federal standards and federal and non-government standards incorporated by reference. These include numerous standards of the American National Standards Institute, the American Society of Mechanical Engineers, the National Fire Protection Association, Underwriters Laboratories, international standards and guides, and others. OSHA standards are different from the product test standards used by the NRTL in certifying products.



*Keywords*

electrical; equipment; fire protection; hazardous materials; job safety; product safety certification; safety.



*Products or  
Services*

**MARITIME CARGO LIFTING AND HANDLING EQUIPMENT**

*Department/Agency*

U.S. Department of Labor (DOL)  
Occupational Safety and Health Administration (OSHA)  
Directorate of Safety Standards Programs  
Office of Maritime Safety Standards  
Room N3609  
200 Constitution Ave., NW  
Washington, DC 20210  
Phone: (202) 219-7234  
URL address: [http://www.osha-slc.gov/OshStd\\_data/1919.htm](http://www.osha-slc.gov/OshStd_data/1919.htm)

*Initiated*

1971.

*Compliance*

Mandatory.

*Authority*

29 CFR Parts 1915-1919.  
International Labour Organisation Convention 152.  
Longshore and Harbor Workers' Compensation Act.  
Occupational Safety and Health Act.

*Aim*

To provide procedures and standards governing accreditation of persons by OSHA for the purpose of certifying vessels' cargo gear and shore-based handling devices. Assure that all covered equipment complies with regulatory requirements. Most of the equipment is at marine terminals, shipyards and foreign flag vessels. Cargo gear on board U.S. inspected vessels is under the jurisdiction of the U.S. Coast Guard.

*Benefits*

Safety of longshoremen, seamen, and dock workers has been improved by this program which fulfills U.S. responsibilities for International Labour Organisation (ILO) Convention No. 152.

*Methodology*

Agency approves independent third party certification agencies and enforces compliance with OSHA maritime regulations.

*Testing*

Government on-site audit program.

<i>Inspection</i>	Third party.
<i>Conformity Identification</i>	List of certified products on OSHA official forms.
<i>Availability of Documentation</i>	Agency maintains a list of accredited certification agencies and surveyors. Such firms are not required to publicize a list of their clients.
<i>Obligations of the Manufacturer/Vendor</i>	Cooperate with a specific third party certifier regarding design, fabrication, and installation data and maintenance requirements.
<i>Enforcement</i>	Removal of accreditation.
<i>Term</i>	One to three years based on quality of certification activities.
<i>Reciprocity</i>	Recognition of certification by: Other federal agencies State agencies. Foreign countries.
<i>Standards, Codes or Regulations</i>	Agency adopts standards prepared by others.
<i>Keywords</i>	accreditation; cranes; deficiencies; derricks; marine equipment; materials handling equipment; naval equipment; safe working loads; signatory authority; surveyor; wire rope

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U.S. DEPARTMENT OF TRANSPORTATION

<i>Products or Services</i>	INTELLIGENT TRANSPORTATION SYSTEMS (ITS) (Involves the Use of Telecommunications, Computer Sensors and Robotics, and Electronic Technologies to Obtain and Provide Information About the Performance of Highways, Roads, Transit, and Rail.)
<i>Department/Agency</i>	U.S. Department of Transportation (DOT) Intelligent Transportation Systems Joint Program Office Room 3422 400 7th Street, SW Washington, DC 20590 Phone: (202) 366-9536 FAX: (202) 366-3302 URL address: <a href="http://www.its.dot.gov/transil.htm">http://www.its.dot.gov/transil.htm</a>
<i>Initiated</i>	1994
<i>Compliance</i>	Voluntary, though information obtained through the program could be used to establish mandatory requirements.
<i>Authority</i>	The Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991.
<i>Aim</i>	To research, develop, test and evaluate advanced electronic systems that could improve the operational safety and efficiency of existing surface transportation infrastructure -- even in the face of increasing traffic demand and usage.
<i>Benefits</i>	Has promoted the development of intelligent transportation technologies and has facilitated the testing of their "real world" potential outside the laboratory to address concerns about traffic congestion, traffic safety, and air quality.
<i>Methodology</i>	To operate a public/private initiative to research, develop, test, and evaluate advanced electronic transportation systems for local or nationwide implementation.
<i>Testing</i>	Primarily private sector labs, though federal/state labs may be used if appropriate.

<i>Inspection</i>	Federal and state government agencies and private sector bodies.
<i>Conformity Identification</i>	The only identification would be reports on the results of testing for specific technologies.
<i>Reciprocity</i>	This program involves several agencies within DoT, as well as state agencies and the private sector.
<i>Keywords</i>	computer sensors; electronic technologies; highways; intelligent vehicle-highway system; roads; robotics; telecommunications; transit



Received 6/98

*Products or  
Services*

LIFESAVING, ENGINEERING EQUIPMENT, ELECTRICAL EQUIPMENT,  
FIRE PROTECTION, AND POLLUTION, PREVENTION EQUIPMENT FOR  
RECREATIONAL BOATS AND COMMERCIAL VESSELS

*Department/Agency*

U.S. Department of Transportation (DOT)  
U.S. Coast Guard (USCG)  
Marine Safety and Environmental Protection  
Office of Design and Engineering Standards (G-MSE)  
Room 1218  
400 Seventh Street, SW  
Washington, DC 20593  
Phone: (202) 267-2997  
FAX: (202) 267-4816  
URL address: See below.

For electrical equipment, engineering equipment, and  
pollution prevention equipment:  
Office of Design and Engineering Standards  
Systems Engineering Division (G-MSF-3)  
Room 1300  
Phone: (202) 267-2206  
FAX: (202) 267-4816  
URL address: See below.

For all other equipment:  
Office Design and Engineering Standards  
Lifesaving and Fire Safety Standards Division  
Room 1308  
Phone: (202) 267-1444  
FAX: (202) 267-1069  
e-mail: rmarkle@comdt.uscg.mil  
URL address: <http://www.uscg.mil/hq/g-m/index.htm>

*Initiated*

1946.

*Compliance*

Mandatory for equipment required to be used on  
recreational boats and commercial vessels.

*Authority*

33 CFR Part 159; 46 CFR Parts 2, 159-164.

<i>Aim</i>	To approve equipment which meets minimum safety and performance standards.
<i>Benefits</i>	Approved equipment is intended to reduce the loss of life in marine accidents, and to prevent oil and sewage pollution of waterways by ships and boats.
<i>Methodology</i>	Government or third party conducts design approval, audit testing and inspection for some equipment.  Third party pre-approval testing and production testing and inspection may be required for some products.  Manufacturer self-certification and/or production testing and inspection may also be allowed for selected items.
<i>Testing</i>	Coast Guard accredited laboratory. Manufacturer inspection on selected items.
<i>Inspection</i>	Coast Guard accredited laboratory. Manufacturer inspection on selected items.
<i>Conformity Identification</i>	List of approved/certified products and suppliers. Items are marked with Coast Guard approval number. Laboratory listing or classification marking required on some items.
<i>Availability of Documentation</i>	Publication "Equipment Lists" (U.S. Coast Guard COMSTINST M16714.3E) available for sale through Government Printing Office. Future website availability of this document is planned.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturer is required to produce approved item exactly as described in approved plans. Some recordkeeping required.
<i>Enforcement</i>	Delisting. Civil and criminal penalties are also available in certain cases.
<i>Term</i>	Five year term; renewal generally available on request.
<i>Reciprocity</i>	None, but in negotiation with the European Union.

*Standards, Codes  
or Regulations*

33 CFR Part 159.15 and 46 CFR Parts 160-164 define applicable requirements and criteria.

*Keywords*

boats; commercial vessels; marine safety; marine equipment; marine pollution prevention; recreational boats; ships

*Products or  
Services*

MARITIME COURSES

*Department/Agency*

U.S. Department of Transportation (DOT)  
U.S. Coast Guard (USCG)  
National Maritime Center (NMC-4B)  
4200 Wilson Blvd., Room 510  
Arlington, VA 22203-1804  
Phone: (703) 235-0018  
FAX: (703) 235-1063  
URL address: <http://www.uscg.mil/hq/g-m/gmhome.htm>  
e-mail: To contact a particular person, use his first  
initial followed by last name (with no  
spaces)@BALLSTON.uscg.mil

*Initiated*

Courses were first approved for education mandated by regulation such as radar observer, fire-fighting, and first aid. Courses were then approved for formal training instead of required sea service for both renewal and raise in grade of license or an endorsement, and to substitute for a Coast Guard examination.

*Compliance*

Mandatory where required by regulations; otherwise voluntary.

*Authority*

46 CFR Parts 1 to 40, Subpart C - Training Schools with Approved Courses.  
The International Convention on Standards of Training Certification and Watchkeeping for Seafarers 1978, as amended in 1995 (STCW Code).

*Aim*

To approve merchant marine courses.

*Benefits*

To ensure the integrity of Coast Guard approved courses.

*Methodology*

Coast Guard Regional Examination Centers (RECs) have oversight responsibility for the approval of maritime training courses. Training organizations seeking approval must submit course packages to the NMC. Packages receive a preliminary review, the proposed training facility is inspected, and instructor qualifications are reviewed; and a recommendation regarding approval is made. The National Maritime Center then makes a final decision on course approval. Site approval are done at the local (RECs).

<i>Testing</i>	N/A.
<i>Inspection</i>	Inspections are conducted at the REC level. Course content and instructor approvals are reviewed by the NMC.
<i>Conformity Identification</i>	List of approved courses is available via the Internet at the URL listed above. Certificates of approval, along with an approval letter citing the regulatory requirement the course meets, are issued to approved course providers.
<i>Obligations of the Manufacturer/Vendor</i>	To comply with applicable regulations and the terms of course approval.
<i>Enforcement</i>	Coast Guard may direct certificate holder to correct deficiencies, suspend course approval, direct the surrender of the certificate of approval, and/or direct the holder to cease claiming the course is Coast Guard approved.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	See 46 CFR Part 10.
<i>Keywords</i>	marine safety; maritime courses; maritime training

*Products or  
Services*

## LICENSING OF MARITIME OFFICERS AND SEAMEN

<i>Department/Agency</i>	U.S. Department of Transportation (DOT) U.S. Coast Guard (USCG) National Maritime Center (NMC) Marine Personnel Division 4200 Wilson Blvd. Arlington, VA 22203-1804 Phone: (703) 235-0018 FAX: (703) 235-1062 URL address: <a href="http://www.uscg.mil/hq/g-m/gmhome.htm">http://www.uscg.mil/hq/g-m/gmhome.htm</a>
<i>Compliance</i>	Mandatory where required by regulation.
<i>Authority</i>	46 CFR Part 10.
<i>Aim</i>	To license qualified maritime officers and seamen.
<i>Benefits</i>	To ensure that all vessels are adequately manned with a minimum number of qualified crewmen to safely operate the vessel.
<i>Testing</i>	By the Coast Guard or by an approved Coast Guard training course provider.
<i>Conformity Identification</i>	Licenses are issued by the Coast Guard.
<i>Obligations of the Manufacturer/Vendor</i>	To comply with applicable regulations and the terms of the license and pay the appropriate licensing fees.
<i>Enforcement</i>	Coast Guards may suspend or revoke license.
<i>Term</i>	Licenses/documents are valid for 5 years; course approvals for 2 years and renewals for 5 years.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	46 CFR Part 10.

*Keywords*

marine licensing; marine safety; maritime courses;  
maritime officers; maritime seamen; maritime training



Not Received

*Products or  
Services*

SHIPBOARD NAVIGATIONAL AIDS

*Department/Agency*

U.S. Department of Transportation (DOT)  
U.S. Coast Guard (USCG)  
Marine Safety and Environmental Protection  
Field Activities  
Office of Vessel Traffic Management (G-MOV)  
400 Seventh Street, SW  
Washington, DC 20590  
Phone: (202) 267-0407  
FAX: (202) 267-4826

*Initiated*

January 1985.

*Compliance*

Mandatory.

*Authority*

33 CFR Part 164.  
Port and Tanker Safety Act of 1978.

*Aim*

To approve the standards of collision avoidance at sea.

*Benefits*

Awareness and performance of observers is enhanced  
through automatically acquired information.

*Methodology*

Requires manufacturer's self-certification.

*Testing*

Manufacturer's laboratory.

*Inspection*

Government.

*Conformity  
Identification*

Authorized label by manufacturer.

*Availability  
of Documentation*

No lists of conforming products are published.

<i>Obligations of the Manufacturer/Vendor</i>	Conformity obligations rest on the equipment user who must perform and document tests specified in Coast Guard regulations.
<i>Enforcement</i>	Product recall (i.e., user would be required to replace equipment not in compliance).
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	Other Federal agencies. Foreign government agencies. International organizations.
<i>Standards, Codes or Regulations</i>	Agency adopts standards prepared by the International Maritime Organization and the U.S. Maritime Administration.
<i>Keywords</i>	alarms; automatic radar plotting aids; bearing encoders; boats; collision avoidance systems; depth sounding devices; gyro compasses; loran receivers; marine safety; marine equipment; satellite receivers; ships; speed indicators; steering gear; vessels

<i>Products or Services</i>	VESSELS
<i>Department/Agency</i>	U.S. Department of Transportation (DOT) U.S. Coast Guard (USCG) Marine Safety Center 400 Seventh Street, SW Washington, DC 20590-0001 Phone: (202) 366-6480 FAX: (202) 366-3877 URL address: <a href="http://www.uscg.mil/hq/msc">http://www.uscg.mil/hq/msc</a>
<i>Compliance</i>	Mandatory for certain vessels where required by statute.
<i>Authority</i>	Titles 33, 46 and 49 of the CFR. International Convention for the Safety of Life at Sea (SOLAS), 1974 as amended. International Load Line Convention, 1966. International Convention for the Prevention of Pollution from Ships, 1973 as modified by the Protocol of 1978.
<i>Aim</i>	To review and approve plans for vessels being built or converted to ensure compliance with applicable regulations, construction standards, and specifications, for the service and route(s) specified.
<i>Benefits</i>	To permit the safe operation of vessels without endangering life, property, or the environment.
<i>Methodology</i>	Coast Guard conducts complete inspection of vessels covered by statute prior to certification. The procedures used in the inspections are provided primarily by regulations and instructions, but in some cases are specified in the statutes or treaties. The procedures and requirements vary by type of vessel and depend on such factors as trade, route, length, tonnage, or number of passengers. All inspections include verification that the vessel has been constructed and equipped in accordance with approved plans.
<i>Testing</i>	Government or an organization recognized by the USCG.
<i>Inspection</i>	Government or an organization recognized by the USCG.

<i>Conformity Identification</i>	Certificates of Inspection (COI) are issued by the Coast Guard.
<i>Availability of Documentation</i>	See information on inspection of vessels for certification listed at: <a href="http://www.uscg.mil/hq/g-m/nmc/pubs/msm/v2/c6.htm">http://www.uscg.mil/hq/g-m/nmc/pubs/msm/v2/c6.htm</a>
<i>Obligations of the Manufacturer/Vendor</i>	File and application for inspection. Satisfactory completion of an inspection for certification. Continued maintenance of the vessel in a safe operating condition. Operation in accordance with the terms stated in the COI.
<i>Enforcement</i>	Vessels may be detained and/or COI revoked and civil penalties may also be assessed.
<i>Term</i>	Permanent COIs as well as temporary COIs may be issued (pending the issuance of a permanent COI). Periods of validity for COIs vary by vessel type and generally range from 1 to 5 years. Retention of the COI depends upon the continued maintenance of the vessel in safe operating condition.
<i>Reciprocity</i>	Other Federal agencies. Foreign government agencies. International organizations.
<i>Standards, Codes or Regulations</i>	Standards are generally established by the U.S. Coast Guard, but may also be established by statute or through international conventions and treaties to which the U.S. is signatory.
<i>Keywords</i>	boats; maritime safety; ships; vessels

*Products or  
Services*

## SHIPPING CONTAINERS

*Department/Agency*

U.S. Department of Transportation (DOT)  
 U.S. Coast Guard (USCG)  
 Office of Marine Safety and Environmental Protection  
 Office of Compliance  
 Ports and Facilities Compliance Division (G-MOC-3)  
 2100 Second Street, SW  
 Washington, DC 20593-0001  
 Phone: (202) 267-0499  
 FAX: (202) 267-0506  
 e-mail: rproctor@comdt.uscg.mil

*Initiated*

1977.

*Compliance*

Mandatory.

*Authority*

International Safe Container Act.

*Aim*

To provide procedures to certify containers as conforming to the International Convention for Safe Containers.

*Benefits*

International transport of containers is safer.

*Methodology*

Container must be certified by a third party before it can be entered into international traffic. Agency enforces requirements.

*Testing*

Manufacturer or owner and Approval Authority witness tests for container design type approval.

*Conformity  
Identification*

Containers must display a Safety Approval Plate from the Approval Authority in the country of registry.

*Availability  
of Documentation*

List of approved manufacturers may be obtained from the Approval Authorities in each signatory country. Coast Guard can identify Approval Authorities within the United States.

<i>Obligations of the Manufacturer/Vendor</i>	Owner and lessees are responsible for maintaining each container in a safe condition.
<i>Enforcement</i>	Detention of unsafe and noncomplying containers.
<i>Term</i>	Individual containers used in international transport of cargo are subject to re-inspection every 30 months.
<i>Reciprocity</i>	Certification is recognized by foreign governments and international organizations.
<i>Standards, Codes or Regulations</i>	Standards are included in the International Convention for Safe Containers, regulations in 49 CFR Parts 450-453.
<i>Keywords</i>	ACEP; Approved Continuous Examination Program; cargo container; commercial vessels; container; CSC; design approval; International Convention for Safe Containers; marine equipment; ships

*Products or  
Services*

Received 6/98

CIVILIAN AIRCRAFT, AIRCRAFT ENGINES, PROPELLERS, AND  
THEIR COMPONENTS AND PARTS

In addition to these products, the comprehensive FAA system provides for CERTIFICATION OF PILOTS, FLIGHT INSTRUCTORS, CREW MEMBERS, MECHANICS, PARACHUTE RIGGERS, CONTROL TOWER OPERATORS, DISPATCHERS, AIR CARRIERS IN INTERSTATE OR OVERSEAS AIR TRANSPORTATION, AIR TAXI OPERATORS, AGRICULTURAL AIRCRAFT OPERATORS, NAVIGATIONAL FACILITIES, REPAIR STATIONS, PARACHUTE LOFTS and SCHOOLS FOR PILOTS AND MECHANICS. CERTIFICATES OF DESIGNATION and CERTIFICATES OF AUTHORITY are issued to AVIATION MEDICAL EXAMINERS, EXAMINERS OF PILOTS and TECHNICAL PERSONNEL, DESIGNATED ENGINEERING REPRESENTATIVES, DESIGNATED AIRWORTHINESS REPRESENTATIVES, ORGANIZATIONAL DESIGNATED AIRWORTHINESS REPRESENTATIVES, and MANUFACTURING INSPECTION REPRESENTATIVES, DESIGNATED ALTERATION STATIONS, and DELEGATION OPTION AUTHORIZATIONS.

*Department/Agency*

U.S. Department of Transportation (DOT)  
Federal Aviation Administration (FAA)  
Assoc. Administrator for Regulation and Certification  
Aircraft Certification Service  
800 Independence Ave., SW, Room 800E  
Washington, DC 20591  
Phone: (202) 267-8235  
FAX: (202) 267-5364  
e-mail: tom.mcsweeney@faa.dot.gov

For information on Air Carrier security requirements,  
contact:  
the Associate Administrator for Civil Aviation Security  
Office of Civil Aviation Security Operations  
Room 319  
800 Independence Ave., SW  
Washington, DC 20591  
Phone: (202) 267-7261  
FAX: (202) 267-8496  
e-mail: bruce.butterworth@faa.dot.gov  
URL address: <http://cas.faa.gov/esp.htm>

*Initiated*

1926.



<i>Compliance</i>	Mandatory.
<i>Authority</i>	Federal Aviation Act of 1958 as recodified in 1994 (49 U.S.C.). 14 CFR Parts 1-199.
<i>Aim</i>	To promote the development of civil aviation and to provide for safe and efficient use of the airspace.
<i>Benefits</i>	The FAA certification system has helped to produce one of the safest and most efficient air transportation systems in the world. National Transportation Safety Board data demonstrate that surface travel results in approximately 170 times more fatalities than air travel, not only in total, but in rate per passenger mile traveled.
<i>Methodology</i>	<p>Conducts initial design assessment; initial product evaluation; assessment of design, manufacturing, and quality control practices; approval of maintenance periods; and monitoring of all service discrepancy reports.</p> <p>A <u>Type Certificate</u> is granted by the FAA after an applicant has identified and demonstrated compliance with applicable regulations. A Type Certificate is issued for a specific make and model (type) of aircraft, aircraft engine, or propeller. Special Conditions may be issued for novel or unusual design features.</p> <p>A <u>Production Certificate</u> is issued to holders of type certificates upon demonstration that their quality control system assures that products conform to the type certificate.</p> <p>An <u>Approved Production Inspection System (APIS)</u> is issued to holders of type certificates that are more than 6 months old that wish to manufacture a complete product or parts without benefit of a Production Certificate.</p> <p>An <u>Airworthiness Certificate</u> is granted for a specific aircraft that meets the approved type design and is in condition for safe operation. Export certificates of airworthiness are also issued for aircraft, aircraft engines, and propellers that are exported.</p>

Parts Manufacturer Approval (PMA) is required for the manufacture of parts, materials, processes and equipment to be installed on a type certificated product. This requires demonstration of compliance with applicable regulations, directives, and standards, and operation under an effective quality control system.

A Technical Standard Order Authorization (TSOA) is a design and production approval to manufacture and identify products, in accordance with FAA Technical Standard Orders (TSOs). It requires demonstration of compliance with performance and quality control requirements specified in the respective TSOs.

### *Testing*

Compliance with the applicable requirements is usually accomplished by the applicant and the FAA will review, witness and test as appropriate, prior to approval of the design. Certain flight testing is performed by FAA personnel. Test data for PMAs and TSOs are submitted to the FAA for review and approval. The FAA does not approve or accredit test laboratories; however, a manufacturer must possess, or have access to facilities that will enable it to test and inspect products to the required levels.

### *Inspection*

Inspection is accomplished by FAA specialists and designated representatives.

### *Conformity Identification*

Airworthiness Certificates are issued for each approved aircraft. Aircraft, aircraft engines and propellers must list the Type Certificate and Production Certificate numbers on their data plates. Products conforming to PMA are marked "FAA-PMA". Those manufactured in accordance with a TSO authorization are marked with the applicable TSO number.

### *Availability of Documentation*

No lists of approved or qualified products or suppliers are published for general distribution by FAA.

### *Obligations of the Manufacturer/Vendor*

Each manufacturer or user of certified products, including TSO items, shall report any accident, failure, malfunction, or defect that could result in fire, engine failure, primary structural defect, loss or more than one electrical or hydraulic power generating system, and similar critical occurrences. FAA personnel shall be

provided access to inspect any products manufactured under authorization, and to inspect the manufacturing facilities, quality control inspection and test, and technical data files.

#### *Enforcement*

Various civil penalties are provided for under section 1155(a), 46301, 46302, 46303, 46304 and 1153 of the former Federal Aviation Act of 1958 as recodified in 1994. Under sections 1155, 46305 and 46304, a state or federal law enforcement officer, or an FAA safety inspector may summarily seize an aircraft involved in a violation. If it is determined that the public interest and safety requires it, the FAA may issue an order amending, suspending or revoking, all or in part of any Type Certificate, Production Certificate, Airworthiness Certificate or Air Carrier Operating Certificate or Air Navigation Facility Certificate. Other enforcement options include cease and desist orders, orders of denial and injunctions.

#### *Term*

Type Certificates and Production Certificates are effective until surrendered, suspended, revoked, or a termination date is otherwise established. Airworthiness Certificates are effective as long as maintenance and alterations are performed in accordance with established regulations and procedures, and the aircraft are registered in the United States. A PMA or TSO authorization is not transferable and is effective until surrendered or withdrawn.

#### *Reciprocity*

The International Civil Aviation Organization (ICAO) sets general guidelines for airworthiness certification systems in Annex 8 to the Chicago Convention. The Federal Aviation Regulations implement ICAO guidelines in the United States. The U.S. Dept. of Defense and the Coast Guard require that certain of their aircraft and equipment be FAA certified.

A Type Certificate may be issued for a product manufactured in a foreign country with which the United States has a bilateral airworthiness agreement for acceptance of these products for export and import if the country in which the product was manufactured certifies that the product has been examined, tested, and found to meet applicable FAA requirements and the manuals, placards, and instrument markings are in English. Depending on the design and any unique features, Special Conditions may be identified for approval.

An Airworthiness Certificate is granted to imported aircraft for which a U.S. Type Certificate has been issued, and the country in which the aircraft was manufactured certifies (and the FAA finds) that the aircraft conforms to the type design and is in condition for safe operation.

The FAA need not issue Production Certificates, APISs PMAs, or TSOAs if the manufacturing facilities are located outside the United States, unless there is no undue burden found in administering the applicable requirements of the former Federal Aviation Act of 1958 as recodified in 1994.

*Standards, Codes  
or Regulations*

Applicable design, performance, and quality requirements are specified in 14 CFR Parts 1-199. Nongovernment standards, accepted by the FAA, are primarily standards developed by the Society of Automotive Engineers, Radio Technical Commission for Aeronautics, and the Aerospace Industries Association.

*Keywords*

air taxi operators; aircraft repair; aircraft; airports; airworthiness; aviation medical examiners; aviation; avionics; control tower operators; dispatchers; engines; flight crew; flight instructors; flight mechanics; heliports; navigational facilities; parachute schools; parachute riggers; pilots; PMA; production certificate; propellers; safety; TSO; type certificate

*Products or  
Services*

AIRPORTS, HELIPORTS, AND RELATED FACILITIES AND  
EQUIPMENT

*Department/Agency*

U.S. Department of Transportation (DOT)  
Federal Aviation Administration (FAA)  
Assoc. Administrator for Airports  
Office of Airport Safety and Standards  
800 Independence Ave., SW, Room 600E  
Washington, DC 20591  
Phone: (202) 267-3053  
FAX: (202) 267-5383  
e-mail: dave.bennett@faa.dot.gov  
URL address: <http://www.faa.gov/arp/arpmiss.htm>  
For information on Airport Security requirements,  
contact:  
the Associate Administrator for Civil Aviation Security  
Office of Civil Aviation Security Operations  
Room 319  
800 Independence Ave., SW  
Washington, DC 20591  
Phone: (202) 267-7261  
FAX: (202) 267-8496  
e-mail: bruce.butterworth@faa.dot.gov  
URL address: <http://cas.faa.gov/esp.htm>

*Compliance*

Mandatory.

*Authority*

Federal Aviation Act of 1958 (49 U.S.C.).  
FAA Regulations Parts 139, 150 and 161.  
National Environmental Policy Act of 1969.  
Airport and Airway Improvement Act  
Aviation Safety and Noise Abatement Act.

*Aim*

To promote the development of and integrated system of  
airports and improve safety in the national airport  
system.

*Benefits*

The FAA airport certification system has helped to  
produce some of the safest and most efficient airports  
in the world.



<i>Methodology</i>	Operates an Airport Safety and Certification Program. Develops FAA standards and criteria for: airport design, construction, operation and maintenance, environmental impact, noise levels, safety, and data collection and reporting requirements. Controls the conveyance and lease of federal land and surplus property for airport purposes. Conducts programs to monitor the safe operation of airports. Collects and maintains data on the nation's airports. FAA also operates an Airport Lighting Equipment Certification Program and inspects and approved airport lighting equipment as well as friction measurement equipment.
<i>Testing</i>	Compliance with the applicable requirements is usually accomplished by the applicant and the FAA will review, witness and tests as appropriate, prior to approval.
<i>Inspection</i>	Inspection is accomplished by FAA specialists and designated representatives.
<i>Conformity Identification</i>	Certificates are issued to approved airports.
<i>Availability of Documentation</i>	A list of approved facilities which constitute the National Plan of Integrated Airport System (NPIAS) is available from the office listed above.
<i>Enforcement</i>	Various civil penalties are provided for under section 901 of the Federal Aviation Act of 1958. The FAA may also modify or revoke the operating authority granted to airports. Other enforcement options include cease and desist orders, orders of denial and injunctions.
<i>Standards, Codes or Regulations</i>	Applicable design, performance, and quality requirements are specified in 14 CFR Parts 150 and 161. Nongovernment standards, used by the FAA where appropriate.
<i>Keywords</i>	airport buildings; airport capacity; airport lighting; airport safety; airports; aviation; heliports; nav aids; pavement; runways; transportation safety

<i>Products or Services</i>	COMMERCIAL VEHICLES (Size/Weight Limits and Safety Requirements for Buses and Trucks)
<i>Department/Agency</i>	U.S. Department of Transportation (DOT) Federal Highway Administration (FHWA) Associate Administrator for Motor Carriers Office of Motor Carrier Information Analysis Room 3103 400 7th Street, SW Washington, DC 20590 Phone: (202) 366-1790 FAX: (202) 366-7298
<i>Initiated</i>	1956, expanded in 1982 and 1991.
<i>Compliance</i>	Mandatory.
<i>Authority</i>	<p>Authority to establish certain federal size limits for commercial motor vehicles operating on the National Highway System, and on routes offering reasonable access to and from most highways, is provided in 49 U.S.C. App. 2311, 2312, and 2316. Authority to establish weight limits that states must apply to vehicles operating on the interstate system and to penalize states that fail to adopt these limits, is provided by 23 U.S.C. 127. See also the Motor Carrier Safety Act of 1997, the Federal Motor Carrier Safety Regulations (FMCSRs), and Hazardous Materials Transportation Uniform Safety Act of 1990 (HMTUSA 90).</p> <p>Vehicle size and weight regulations and state certification requirements are codified in 23 CFR 657-658. These include regulation of truck lengths and widths on the National Highway System (published in Appendix A to Part 658) which consists of the interstates and other designated federal-aid primary highways.</p> <p>HMTUSA 90 establishes requirements for registration, routing, and safety permits for certain types of hazardous materials and training of hazmat employees.</p>
<i>Aim</i>	To maintain highway and bridge conditions and improve highway safety and national uniformity.



<i>Benefits</i>	This program assures that commercial vehicles will not exceed size and weight limits established by FHWA or violate FHWA safety requirements, and controls the transportation of some hazardous materials via motor carriers.
<i>Methodology</i>	States, which are determined to be competent by FHWA, agree to adopt and to assume responsibility for enforcement of the Federal Motor Carrier Safety Regulations (FMCSRs) (CFR Parts 390-399). State assessment is required prior to and during vehicle operations. State and FHWA investigators review the safety records of individual motor carriers to assess their compliance and safety performance. The results are used to assign safety ratings and are incorporated along with other safety data in SafeStat to reassess carrier safety status. Inspection/vehicle weighing is also conducted by state agencies in accordance with standards.
<i>Testing</i>	Testing (vehicle weighing) is conducted by state agencies.
<i>Inspection</i>	Inspection is conducted by state agencies.
<i>Conformity Identification</i>	Annual State Certification.
<i>Availability of Documentation</i>	FHWA regulations are available from the Government Printing Office and several private organizations.
<i>Enforcement</i>	Each state must enforce the federal size and weight requirements on their interstate highways. They must enforce the federal size requirements on their National Highway System highways. States are required to certify annually that they are enforcing their size and weight laws on all of their federal-aid highways. States whose enforcement efforts on federal-aid highways are inadequate may lose 10-percent of their federal-aid highway funds. Motor carriers who violate size, weight or safety requirements can be fined or have their licenses suspended or revoked.
<i>Term</i>	Annual.

<i>Reciprocity</i>	State laws must provide for maximum reciprocity for inspection conducted pursuant to the North American Uniform Driver/Vehicle Inspection Standards.
<i>Standards, Codes or Regulations</i>	Standards and requirements can be found in 23 U.S.C. 657 and 658.
<i>Keywords</i>	bus; commercial motor vehicles; hazardous materials; motor carriers; truck; vehicle size; vehicle weight

Received 7/98

*Products or  
Services*

SIGNS, PAVEMENT MARKINGS AND TRAFFIC SIGNALS ON ROADS  
OPEN TO THE PUBLIC

*Department/Agency*

U.S. Department of Transportation (DOT)  
Federal Highway Administration (FHWA)  
Office of Highway Safety (HHS-10)  
400 7th Street, SW, Room 3414  
Washington, DC 20590  
Phone: (202) 366-2192  
URL address:  
<http://www.ohs/fhwa.dot.gov/devices/index.html>

*Initiated*

Original edition of the *Manual of Uniform Traffic Control Devices* (MUTCD) was published in 1936. FHWA has administered the MUTCD since 1971.

*Compliance*

Under authority granted by legislation in 1966, the Secretary of Transportation decreed that traffic control devices on all roads in each State shall be in substantial conformance with the MUTCD.

*Authority*

23 U.S.C. 109(d) and 23 CFR Parts 655.601-603.

*Aim*

To improve highway safety and national uniformity of traffic control devices.

*Benefits*

See *Aim*.

*Methodology*

The FHWA is responsible for developing standards for the design, application and proper placement of traffic control devices. The FHWA is also responsible for publishing the *Manual on Uniform Traffic Control Devices* (MUTCD), which contains the national standards and guidance for traffic control devices used on all roads open to the public as well as the *Standard Highway Signs Book*. The responsibility for the selection, installation, operation and maintenance of traffic control devices is that of the individual State and local highway agencies.

*Testing*

Responsibility rests with the state and local highway agencies.

*Inspection*

Responsibility rests with the state and local highway

agencies.

*Conformity  
Identification*

None.

*Availability  
of Documentation*

Copies of the *Manual on Uniform Traffic Control Devices* (MUTCD) as well as the *Standard Highway Signs Book* are available from the Government Printing Office (GPO).

*Enforcement*

Responsibility rests with the state and local highway agencies.

*Term*

N/A.

*Reciprocity*

Recognized throughout the United States.

*Standards, Codes  
or Regulations*

Standards are contained in the *Manual on Uniform Traffic Control Devices* (MUTCD) as well as the *Standard Highway Signs Book*.

*Keywords*

traffic signs; traffic signals; pavement markings;  
traffic control devices

Received 7/98

*Products or  
Services*

COMMERCIAL DRIVER LICENSE (CDL)

*Department/Agency*

U.S. Department of Transportation (DOT)  
Federal Highway Administration (FHWA)  
Associate Administrator for Motor Carriers  
Office of Motor Carrier Research and Standards  
Room 3107  
400 7th Street, SW  
Washington, DC 20590  
Phone: (202) 366-1790  
FAX: (202) 366-8842  
e-mail: aamotorcarriers.fhwa@fhwa.dot.com or  
mcregis@fhwa.dot.gov

*Initiated*

1992.

*Compliance*

CDL program implementation is mandatory for each State to avoid a reduction in highway funding. States are required to test and issue CDLs to all drivers of commercial motor vehicles prior to April 1, 1992. This is mandatory for drivers of commercial motor vehicles having a gross vehicle weight rating over 26 000 lbs., designed to carry 16 or more persons including the driver, or is of any size and requires placarding for hazardous materials.

*Authority*

Authority to regulate the qualifications and maximum hours of service of employees, the licensing standards for commercial drivers, and safety of operations and equipment is specified in 49 U.S.C. 31136, 31301 et seq., and 31502, and 49 CFR 1.48. Requirements are codified in 49 CFR Part 383. The CDL regulations apply without distinction to inter- and intrastate transportation.

*Aim*

To improve the highway safety.

*Benefits*

This program assures that commercial drivers have demonstrated competence in accordance with FHWA standards.

<i>Methodology</i>	Standardize testing and licensing procedures by state agencies in accordance with standards prior to licensing.
<i>Testing</i>	Testing is conducted by state agencies.
<i>Conformity Identification</i>	Issuance of a standardized commercial driver's license (CDL).
<i>Availability of Documentation</i>	Commercial Drivers's License (CDL) standards are codified in 49 CFR Part 383. FHWA regulations are available from the Government Printing Office and several private organizations.
<i>Enforcement</i>	CDL provisions include a prohibition on multiple licenses; testing and licensing procedures which states and drivers must follow; employer responsibilities; mandatory driver disqualifications for alcohol, drug, and other serious traffic violations and felonies; and a nationwide pointer system for driver identification. Office of Motor Carriers reviews state compliance with the CDL program.
<i>Term</i>	Ongoing.
<i>Reciprocity</i>	State laws must provide for maximum reciprocity for inspection conducted pursuant to the North American Uniform Driver/Vehicle Inspection Standards.
<i>Standards, Codes or Regulations</i>	Commercial Drivers's License (CDL) standards are codified in 49 CFR Part 383.
<i>Keywords</i>	commercial motor vehicles; motor carrier; commercial drivers license; hazardous materials; bus; truck; driver qualifications; state compliance



Received 6/98

*Products or  
Services*

DESIGN CRITERIA FOR BRIDGES, TUNNELS, HIGHWAYS, AND  
PAVEMENT

*Department/Agency*

U.S. Department of Transportation (DOT)  
Federal Highway Administration (FHWA)  
Associate Administrator for Program Development  
Office of Engineering, Room 3212C  
400 7th Street, SW  
Washington, DC 20590  
Phone: (202) 366-4853  
FAX: (202) 366-3043  
URL address: <http://www.fhwa.dot.gov>

*Compliance*

Mandatory for highways which are part of the National Highway System; otherwise voluntary, though states may mandate usage for other types of roads. Projects (other than highway projects on the National Highway System) shall be designed, constructed, and maintained in accordance with State laws; regulations; directives; and safety, design and construction standards.

*Authority*

Title 23 U.S.C. 109.  
23 CFR 625.

*Aim*

To provide technical assistance for quality design, construction, rehabilitation, maintenance, and operation of the Nation's highways and bridges.

*Benefits*

Improvement in the quality of the Nation's highways and bridges.

*Methodology*

Title 23 U.S.C. 109 provides that design standards for projects on the National Highway System (NHS) must be approved by DOT in cooperation with State highway departments and used on the NHS.

*Testing*

Generally performed by State laboratories or by the suppliers.

*Inspection*

Generally performed by state inspectors.

*Conformity*

N/A.

*Identification*



<i>Availability of Documentation</i>	Contact FHWA at the address listed above.
<i>Enforcement</i>	Withholding of federal funds.
<i>Term</i>	N/A.
<i>Reciprocity</i>	Program is recognized nationwide.
<i>Standards, Codes or Regulations</i>	Uses FHWA and appropriate private sector standards.
<i>Keywords</i>	bridges; construction; highways; pavement; roads; tunnels

Not Received

*Products or  
Services*

RAILROAD TRAINS AND EQUIPMENT

See Also FRA entries for Rear End Marking Devices and  
Safety Glazing of Windows)

*Department/Agency*

U.S. Department of Transportation (DOT)  
Federal Railroad Administration (FRA)  
Associate Administrator for Safety  
Office of Safety Enforcement  
Motive Power and Equipment Staff  
RRS 12, Mail Stop 25  
400 7th St., SW  
Washington, DC 20590  
Phone: (202) 632-3338  
FAX: (202) 632-3875  
URL address: <http://www.fra.dot.gov/safety/mpc/mpc.htm>

*Initiated*

FRA has been responsible for this area since its  
creation in 1966.

*Compliance*

Mandatory.

*Authority*

49 U.S.C. 20101, 20103.  
49 CFR Part 1.49).

*Aim*

To ensure a safe, efficient and effective passenger and  
freight railroad network.

*Benefits*

See *Aim*.

*Methodology*

FRA staff inspect approximately 1.2 million freight cars  
and over 20 000 locomotives. Railroads must also  
conduct a program of operational tests and inspection  
under 49 CFR Part 217. Tests and operation monitoring  
checks must be documented and available for FRA review  
and conduct required crew training. Since 9/94, FRA  
also has been developing passenger equipment and safety  
standards on a priority basis.

*Testing*

Testing is conducted by railroad owners and by FRA/state  
inspectors.

<i>Inspection</i>	Inspections are conducted by railroad owners and by FRA/state inspectors.
<i>Obligations of the Manufacturer/Vendor</i>	Passenger train railroads must develop safety plans addressing safety concerns associated with passenger occupancy rates, operating rules, adverse operating conditions, short-term technology enhancements, crew management, highway-rail crossings, and information on emergency exits. Railroad owners must conduct the required crew training, tests and operational monitoring; document the results of such activities; provide monthly reports to FRA including accident/incident information; and comply with all other relevant FRA regulations.
<i>Enforcement</i>	Violations are subject to a civil penalty of up to \$25,000 and criminal penalties of not more than 5 years. FRA may also seek injunctive relief to enforce these regulations.
<i>Reciprocity</i>	Recognition by state regulators and other federal agencies.
<i>Keywords</i>	locomotives; railroads; railway car; safety; transportation

*Products or  
Services*

## RAILROAD SIGNALS AND CONTROLS

*Department/Agency*

U.S. Department of Transportation (DOT)  
Federal Railroad Administration (FRA)  
Associate Administrator for Safety  
Office of Safety Enforcement  
Signal and Train Control Division  
Mail Stop 25  
400 7th St., SW  
Washington, DC 20590  
Phone: (202) 632-3353  
FAX: (202) 632-3875  
URL address: <http://www.fra.dot.gov>

*Initiated*

FRA has been responsible for this area since its creation in 1966.

*Compliance*

Mandatory.

*Authority*

49 U.S.C. 20101, 20103.  
49 CFR Part 1.49).

*Aim*

To ensure a safe, efficient and effective passenger and freight railroad network.

*Benefits*

See *Aim*.

*Methodology*

Inspects 87 000 miles of signal and control systems.

*Testing*

Testing is conducted by railroad owners and by FRA/state inspectors.

*Inspection*

Inspections are conducted by railroad owners and by FRA/state inspectors.

*Availability  
of Documentation*

See information at URL address listed above or contact the Signal and Train Control Division at the address listed above.

<i>Enforcement</i>	Violations are subject to a civil penalty of up to \$25,000 and criminal penalties of not more than 5 years. FRA may also seek injunctive relief to enforce these regulations.
<i>Reciprocity</i>	Recognition by state regulators and other federal agencies.
<i>Keywords</i>	control devices; locomotives; railroads; safety devices; signaling devices; transportation

Not Received

*Products or  
Services*

REAR END MARKING DEVICES FOR PASSENGER, COMMUTER AND  
FREIGHT TRAINS

*Department/Agency*

U.S. Department of Transportation (DOT)  
Federal Railroad Administration (FRA)  
Associate Administrator for Safety  
Office of Safety Enforcement  
Motive Power and Equipment Staff  
RRS 12, Mail Stop 25  
400 7th St., SW  
Washington, DC 20590  
Phone: (202) 632-3338  
FAX: (202) 632-3875  
URL address: <http://www.fra.dot.gov/safety/mpc/mpc.htm>

*Initiated*

1978.

*Compliance*

Mandatory.

*Authority*

Section 202, 84 Stat. 971, 45 U.S.C. 431.  
49 CFR Part 1.49(n).

*Aim*

To alleviate the potential for rear end collisions by  
requiring use of marking devices which have  
characteristics that assure visibility under adverse  
conditions encountered in service.

*Benefits*

Rear end collisions have decreased since implementation  
of this certification program.

*Methodology*

Testing to demonstrate compliance is accomplished by  
manufacturers and railways in their labs or independent  
labs that meet specified qualifications. Railways  
submit a certificate signed by the chief operating  
officer that devices used on the railway system have  
been tested and comply with the FRA standard or are  
devices included in FRA's list of approved devices.

*Conformity  
Identification*

Inclusion on FRA's list of approved devices.

<i>Availability of Documentation</i>	49 CFR Part 221, Appendix B.
<i>Obligations of the Manufacturer/Vendor</i>	Produce devices that are the same as samples tested for the original approval.
<i>Enforcement</i>	Civil penalties ranging from \$1000 to \$7500 for each violation. Each day of each violation constitutes a separate offense.
<i>Term</i>	Indefinite.
<i>Reciprocity</i>	Recognition by state regulators as minimum requirements.
<i>Standards, Codes or Regulations</i>	Guidelines for Testing of FRA Rear End Marking Devices.
<i>Keywords</i>	colorimetric; lights; photometric; railroads; railway car; safety; strobe; transportation



Not Received

*Products or  
Services*

SAFETY GLAZING OF WINDOWS FOR LOCOMOTIVES, PASSENGER  
CARS, AND CABOOSSES

*Department/Agency*

U.S. Department of Transportation (DOT)  
Federal Railroad Administration (FRA)  
Associate Administrator for Safety  
Office of Safety Enforcement  
Motive Power and Equipment Staff  
RRS 12, Mail Stop 25  
400 7th St., SW  
Washington, DC 20590  
Phone: (202) 632-3338  
FAX: (202) 632-3875  
URL address: <http://www.fra.dot.gov/safety/mpc/mpc.htm>

*Initiated*

1979.

*Compliance*

Mandatory.

*Authority*

45 U.S.C. 431 and 438, as amended; P.L. 100-342.  
49 CFR Part 1.49(m), 49 CFR Part 223.

*Aim*

To protect railroad employees and passengers from injury as the result of objects striking the windows of locomotives, cabooses, and passenger cars.

*Benefits*

Injuries from projectiles and broken glass have decreased since implementation of this certification program.

*Methodology*

Testing to demonstrate compliance is accomplished by manufacturers in their labs or independent labs that meet specified qualifications. Each individual unit of glazing material is permanently marked to indicate certification. Agency enforces compliance with regulatory requirements.

*Conformity  
Identification*

Each unit of glazing must be permanently marked and each equipped vehicle must be so stencilled.

<i>Availability of Documentation</i>	49 CFR Part 223, Appendix A.
<i>Obligations of the Manufacturer/Vendor</i>	Produce glazing that is the same as samples tested for the original approval.
<i>Enforcement</i>	Civil penalties ranging from \$500 to \$5000 for each violation. Each day of each violation constitutes a separate offense.
<i>Term</i>	Indefinite.
<i>Reciprocity</i>	Recognition by state regulators as minimum requirements.
<i>Standards, Codes or Regulations</i>	FRA's Certification of Glazing Materials.
<i>Keywords</i>	certified glazing; ballistic impact; FRA Type I; FRA Type II; glazing; large object impact; target material; window glazing

Received 7/98

*Products or  
Services*

RAILROAD TRACK

*Department/Agency*

U.S. Department of Transportation (DOT)  
Federal Railroad Administration (FRA)  
Associate Administrator for Safety  
Office of Safety Enforcement  
Track Standards Division, RRS-15  
Mail Stop 25  
400 7th St., SW  
Washington, DC 20590  
Phone: (202) 493-6243  
FAX: (202) 493-6230  
URL address: <http://www.fra.dot.gov>

*Initiated*

FRA has been responsible for this area since its creation in 1966.

*Compliance*

Mandatory.

*Authority*

49 U.S.C. 20101, 20103.  
49 CFR Part 1.49).

*Aim*

To ensure a safe, efficient and effective passenger and freight railroad network.

*Benefits*

See *Aim*.

*Methodology*

Through spot observations, FRA regional track inspectors evaluate the effectiveness of railroad track inspectors in their determination of compliance with the track safety regulations for some 200 000 miles of railroad track. Inspections must be documented and these records available for FRA review.

*Testing*

Testing is conducted by railroad owners and by FRA/state inspectors as required.

*Inspection*

Inspections are conducted by railroad owners and by FRA/state inspectors.

<i>Obligations of the Manufacturer/Vendor</i>	Railroads conduct the required inspections and document the results and comply with all other relevant FRA regulations.
<i>Enforcement</i>	Violations are subject to a civil penalty of up to \$22,000 and criminal penalties of not more than 2 years. FRA may also seek injunctive relief to enforce these regulations.
<i>Reciprocity</i>	Recognition by state regulators and other federal agencies.
<i>Keywords</i>	locomotives; railroads; railway car; safety; track transportation

*Products or  
Services*

## TRANSPORTATION OF HAZARDOUS MATERIALS BY RAIL

*Department/Agency*

U.S. Department of Transportation (DOT)  
Federal Railroad Administration (FRA)  
Associate Administrator for Safety  
Office of Safety Assurance and Compliance  
Hazardous Materials Division  
RRS 12 Mail Stop 25  
400 7th St., SW  
Washington, DC 20590  
Phone: (202) 632-3348  
FAX: (202) 632-3875  
URL address: <http://www.fra.dot.gov/safety/mpc/mpc.htm>

*Compliance*

Mandatory.

*Authority*

49 U.S.C. 20101 et seq. and 49 U.S.C. 5101 et seq.  
49 CFR Part 1.49).

*Aim*

To enforce federal railroad safety laws, including laws pertaining to the transportation of hazardous materials by railroad.

*Benefits*

See *Aim*.

*Methodology*

All tank car facilities must establish a Quality Assurance Program (QAP) to help prevent and detect non-conformities during the manufacturing, repair, or inspection and test process. The QAP must ensure that the finished product conforms to the requirements of the applicable specification and regulations of the FRA. The FRA also imposes identification and marking requirements of railcars, freight containers, transport vehicles, portable tanks, and tank cars containing certain hazardous materials.

*Testing*

Testing conducted by railroad owners and by FRA/state inspectors.

*Inspection*

Inspections conducted by railroad owners and FRA/state inspectors.

<i>Conformity Identification</i>	Appropriate identification and marking requirements of railcars, freight containers, transport vehicles, portable tanks, and tank cars containing certain hazardous materials.
<i>Availability of Documentation</i>	See CFR reference and information at URL address listed above.
<i>Obligations of the Manufacturer/Vendor</i>	See <i>Methodology</i> .
<i>Enforcement</i>	Violations are subject to a civil penalty of up to \$27,500 and criminal penalties of up to 5 years. FRA may also seek injunctive relief to enforce these regulations.
<i>Reciprocity</i>	Recognition by state regulators and other federal agencies.
<i>Keywords</i>	freight containers; hazardous materials; portable tanks; railcar; railroads; safety; tank car; transport vehicles

Received 7/98

*Products or  
Services*

BUSES AND TRANSIT VANS

*Department/Agency*

U.S. Department of Transportation (DOT)  
Federal Transit Administration (FTA)  
Office of Grants Management (for grant requirements)  
400 Seventh Street, SW, Room 9315  
Washington, DC 20590  
Phone: (202) 366-4020  
FAX: (202) 366-7951  
e-mail: walkerh@tgm.dot.gov

or U.S. Department of Transportation (DOT)  
Federal Transit Administration (FTA) TRI-20  
Office of Technology (for testing determinations)  
400 Seventh Street, SW  
Washington, DC 20590  
Phone: (202) 366-8063  
FAX: (202) 366-3765

or Altoona Bus Testing Center (test facility issues)  
6th Avenue and 45th Street,  
Altoona, PA 16602  
Phone: (814) 863-1889

or Office of Chief Counsel, Room 9316 (for legal issues)  
FTA  
400 Seventh Street, SW  
Washington, DC 20590  
Phone: (202) 366-1936 (for legal issues)  
FAX: (202) 366-3809 (for legal issues)  
e-mail: durkeed@tcc.dot.gov (for legal issues)

URL address:  
<http://www.fta.gov/library/policy/circ9300/9300ch3/html#clig>

*Initiated*

1989.

*Compliance*

Mandatory for purchase of new model buses with federal funds.



<i>Authority</i>	49 U.S.C. 1601, et seq., 1608(h), section 317, Surface Transportation and Uniform Relocation Assistance Act of 1987. 49 CFR 665.
<i>Aim</i>	To require that one model of any new bus purchased with federal transit funds after September 30, 1989 be tested at a facility established by the Secretary in Altoona, PA.
<i>Benefits</i>	To provide transit agencies with test data before purchase of a vehicle, identifying how each bus model performs under 7 different tests.
<i>Methodology</i>	Any new model bus, as well as models with significant changes, must be test at the FTA-sponsored test facility in Altoona, PA, before federal funds may be expended to purchase them. This bus testing requirement applies to modified vans used in transit service as well as buses. The requirement also applies to new bus models using alternative fuels such as methanol, ethanol, and compressed natural gas. FTA does not require a manufacturer to test its model before bidding; however, a grant applicant must certify that the model will have been tested prior to final acceptance of the first vehicle. A "new model bus" is one not used in mass transportation service in the United States before October 1, 1988, or one used in such service but which, after 9/30/88 is being produced with a major change in configuration or components. Partial testing is allowed for vehicle models that previously have been fully tested but are being produced with significant changes. Vehicles are tested for maintainability, reliability, safety, performance, structural integrity, fuel economy, and noise. FTA and the manufacturer together pay the bus testing fees. Bus testing is not required for unmodified mass-produced vans.
<i>Testing</i>	Test facility in Altoona, PA, and test track at Penn State, University at State College, PA.
<i>Inspection</i>	State inspector or other entity under government contract.
<i>Conformity Identification</i>	None.

<i>Availability of Documentation</i>	Program requirements are contained in 49 CFR 665. Facility maintains list of final test reports on buses. See also Chapter III of Grant Application Instructions at URL address listed above.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers provide facility with a sample bus for testing.
<i>Enforcement</i>	Federal transit funds can only be used to purchase new model buses tested at facility.
<i>Term</i>	Indefinite.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	Facility prepares testing criteria using private sector and other federal standards as appropriate, subject to governmental approval.
<i>Keywords</i>	buses; mass transportation; motor vehicles; school buses; vans; vehicles

*Products or  
Services*

## MOTOR VEHICLE SAFETY AND FUEL ECONOMY

*Department/Agency*

U.S. Department of Transportation (DOT)  
National Highway Traffic Safety Administration (NHTSA)  
Office of Vehicle Safety Compliance  
400 Seventh Street, SW  
Room 6111  
Washington, DC 20590  
Phone: (202) 366-5291  
FAX: (202) 366-1024  
DOT Auto Safety Hotline: 1-800-424-9393  
URL address: <http://www.nhtsa.dot.gov/hotline>

*Initiated*

1966.

*Compliance*

Mandatory.

*Authority*

49 U.S.C. Chapter 301 - Motor Vehicle Safety.

*Aim*

To administer programs to ensure compliance with federal laws, standards and regulations pertinent to vehicle safety, fuel economy, and damageability.

*Benefits*

Reduction of traffic accidents, and deaths and injuries resulting from traffic accidents; improved fuel economy and pollution reduction.

*Methodology*

Agency evaluates new and imported motor vehicle safety to determine compliance to Federal Motor Vehicle Safety Standards (FMVSS). Agency develops an annual compliance test program which include an average of 30 of the 43 testable FMVSSs and randomly selects test samples from the marketplace and test them to the minimum performance requirements of the applicable standard. In addition vehicle new car inspections are conducted at new car dealerships and testing laboratories to visually verify compliance to the 11 non testable FMVSSs. If a test failure occurs, an investigation is conducted which could ultimately lead to an owner notification and remedy campaign along with a civil penalty. Also requires manufacturer's self-certification. NHTSA uses the information obtained from the Auto Safety Hotline as one data source to determine if a safety-related defect exists in a motor vehicle or related equipment.

<i>Testing</i>	NHTSA Contractor laboratories as well as manufacturers. Government engineers also analyze reported safety related problems.
<i>Inspection</i>	Government or contractors as well as manufacturers.
<i>Conformity Identification</i>	Authorized certification label by manufacturer or registered importer.
<i>Availability of Documentation</i>	Agency maintains list of vehicle and equipment manufacturers who have undertaken product recalls for the purpose of achieving compliance with FMVSS, or to correct safety related defects. The agency also maintains a list of vehicles that are acceptable for importation. This information can also be accessed at the URL address listed above.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers must inform the Agency, owners, purchasers, and dealers of known defects and noncompliance to FMVSS and the plans to correct the defect(s).
<i>Enforcement</i>	Civil penalties; product recall.
<i>Term</i>	Indefinite.
<i>Reciprocity</i>	Other federal agencies and state agencies. Private sector organizations may be paid contractors to the agency for detection of defects or compliance research.
<i>Standards, Codes or Regulations</i>	Agency prepares criteria documents.
<i>Keywords</i>	automobiles; compliance; motor vehicle equipment; product recall; safety; safety defects; school buses; trucks; used vehicles

<i>Products or Services</i>	LOW SPEED VEHICLES (LSVs) (4-Wheeled Vehicles with Top Speeds of 20-25 Miles Per Hour)
<i>Department/Agency</i>	U.S. Department of Transportation (DOT) National Highway Traffic Safety Administration (NHTSA) Office of Crash Avoidance Standards 400 Seventh Street, SW Room 5307 Washington, DC 20590 Phone: (202) 366-4931 FAX: (202) 366-4329 URL address: <a href="http://www.nhtsa.dot.gov/cars/rules/rulings/lsv/lsv.html">http://www.nhtsa.dot.gov/cars/rules/rulings/lsv/lsv.html</a>
<i>Initiated</i>	1998.
<i>Compliance</i>	Mandatory.
<i>Authority</i>	49 U.S.C. Chapter 301 - Motor Vehicle Safety. 49 CFR Part 571.
<i>Aim</i>	To ensure that low-speed vehicles operated on the public streets, roads, and highways are equipped with the minimum motor vehicle equipment appropriate for motor vehicle safety. To relieve manufacturers of such vehicles of the need to comply with the full range of Federal Motor Vehicle Safety Standards (FMVSSs), while ensuring the safety of LSVs by requiring compliance with a new standard for such vehicles.
<i>Benefits</i>	Eliminates a barrier to the manufacture and sale of a segment of the sub-25 mph vehicle group. Ensures the safety of LSVs by requiring safety equipment on LSVs consistent with their characteristics and operating environment.
<i>Methodology</i>	Agency evaluates new and imported LSV safety to determine compliance to FMVSS 500. Agency develops an annual compliance test program and randomly selects test samples from the marketplace and tests them to the minimum performance requirements of the applicable standard. If a test failure occurs, an investigation is conducted which could ultimately lead to an owner

notification and remedy campaign along with a civil penalty. Also requires manufacturer's self-certification.

<i>Testing</i>	NHTSA Contractor laboratories as well as manufacturers. Government engineers also analyze reported safety related problems.
<i>Inspection</i>	Government or contractors as well as manufacturers.
<i>Conformity Identification</i>	Authorized certification label by manufacturer or registered importer.
<i>Availability of Documentation</i>	See Federal Motor Vehicle Safety Standard No. 500 (49 CFR 571.500).
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers must inform the Agency, owners, purchasers, and dealers of known defects and noncompliance to FMVSS and the plans to correct the defect(s).
<i>Enforcement</i>	Civil penalties; product recall.
<i>Term</i>	Indefinite.
<i>Reciprocity</i>	Other federal agencies and state agencies. Private sector organizations may be paid contractors to the agency for detection of defects or compliance research.
<i>Standards, Codes or Regulations</i>	Federal Motor Vehicle Safety Standard No. 500 (49 CFR 571.500).
<i>Keywords</i>	4-wheeled vehicles; low speed vehicles; LSVs; electric cars; golf cars



<i>Products or Services</i>	TIRES
<i>Department/Agency</i>	U.S. Department of Transportation (DOT) National Highway Traffic Safety Administration (NHTSA) Office of Vehicle Safety Compliance Uniform Tire Quality Grading Facility SATX P.O. Box 1671 San Angelo, TX 76902 Phone: (915) 655-0546 FAX: (915) 655-0548 URL address: <a href="http://www.nhtsa.dot/cars/testing/tirerate/">http://www.nhtsa.dot/cars/testing/tirerate/</a>
<i>Compliance</i>	Mandatory.
<i>Authority</i>	National Traffic and Motor Vehicle Safety Act of 1966 as amended.
<i>Aim</i>	To provide information about the relative performance of tires in the areas of treadwear, traction, and temperature resistance and other information by permanently molding such information into the tires sidewalls, indelibly stamped on a label or labels affixed to the tire tread surface, and be made available in consumer brochures.
<i>Benefits</i>	The information aids sales people and consumers in the evaluation, selection and sale of tires and repairers and retreaders in their repair.
<i>Methodology</i>	The Uniform Tire Quality Grading System (UTQGS) is a tire information system designed to help buyers make relative comparisons among tires. UTQGS is not a guarantee that a tire will last for a prescribed number of miles, but UTQGS traction grades and temperature resistance grades certainly relate to safety and offer the consumers an indicator of relative safety on wet roads an resistance to blow outs under hot summertime driving conditions. Agency requires manufacturer to grade and label tires prior to marketing. Also requires manufacturer self-certification supplemented by government audits as needed.



<i>Testing</i>	Random testing by independent laboratories under government contract.
<i>Inspection</i>	Manufacturer's facilities.
<i>Conformity Identification</i>	Grades are molded into the sidewalls and also are on paper labels affixed to the tread.
<i>Availability of Documentation</i>	Federal Motor Vehicle Safety Standards (FMVSS) No. 109 No. 117; and No. 119; and the Uniform Tire Quality Grading Standards (UTQG 575.104) are included in the CFR. Information on specific tires is permanently molded into the tires sidewalls or indelibly stamped on a label or labels affixed to the tire tread surface. Uniform Tire Quality Grading Reports are also available.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers must inform the Agency, owners, purchasers, and dealers of known defects and noncompliance to FMVSS or UTQGS and the plans to correct the defect(s).
<i>Enforcement</i>	Civil penalties; product recall.
<i>Term</i>	Indefinite -- for the life of the tire.
<i>Reciprocity</i>	Program is recognized nationwide.
<i>Standards, Codes or Regulations</i>	Federal Motor Vehicle Safety Standards (FMVSS) No. 109 (49 CFR 571.109); No. 117 (49 CFR 571.117); and No. 119 (49 CFR 571.119); and the Uniform Tire Quality Grading Standards (49 CFR 575.104).
<i>Keywords</i>	automobiles; motor vehicle equipment; FMVSS; grading; retreads; temperature resistance; tires; traction; treadwear; trucks; vehicles

<i>Products or Services</i>	SPEED MEASURING DEVICES (Radar, Automated Speed Measurement Devices and Laser Speed Measurement Devices)
<i>Department/Agency</i>	U.S. Department of Transportation (DOT) National Highway Traffic Safety Administration (NHTSA) Office of Traffic Injury Control Programs Traffic Law Enforcement Division (NTS-13) 400 Seventh Street, SW Washington, DC 20590 Phone: (202) 366-4295 FAX: (202) 366-7721 URL address: <a href="http://www.nhtsa.dot.gov/people/injury/enforce/">http://www.nhtsa.dot.gov/people/injury/enforce/</a>
<i>Initiated</i>	1983.
<i>Compliance</i>	Voluntary adoption of performance specifications by states and local jurisdictions.
<i>Authority</i>	23 U.S.C. 402. 49 CFR Part 1.50.
<i>Aim</i>	To assist state and local law enforcement agencies in selecting speed measuring devices that are appropriate for their speed enforcement programs.
<i>Benefits</i>	Test results published by NLECTC in a consumer information report series can assist state and local enforcement agencies in selecting speed measuring devices. The report will also provide information to courts and the public regarding device compliance with published performance specifications. The report will enable state and local jurisdictions to determine specifications compliance and performance reliability while avoiding the cost associated individually testing devices. Manufacturers also benefit by not having to arrange for individual device testing for each of the numerous jurisdictions.
<i>Methodology</i>	Performance specification compliance testing by an independent laboratory is required.

<i>Testing</i>	In 1983, the International Association of Chiefs of Police (IACP) began testing radar speed measuring devices in the same manner as the NIJ/NLECTC equipment testing program and issued a consumer report on the results of those tests. In 1991, testing began on photo-radar devices. In 1992, work began on lidar devices which includes development of performance specifications and publishing consumer reports.
<i>Conformity Identification</i>	Test results are published by the IACP in a consumer information report series.
<i>Availability of Documentation</i>	<p>Copies of the consumer information report series are available to the public through:</p> <p>International Association of Chief of Police  515 North Washington Street  Alexandria, VA 22314-2357  Fax request for information to the IACP, Attn: Speed Measuring Device Program Manager, 703-836-4543.</p> <p>NHTSA, 400 Seventh Street, SW, NTS-13, Washington, DC 20590. Fax request for information to NHTSA, Attn: Speed Measuring Device Program manager, 202-366-7721.</p> <p>This information is also available on the web at:  <a href="http://www.theiacp.org">http://www.theiacp.org</a> or <a href="http://www.nhtsa.dot.gov">http://www.nhtsa.dot.gov</a></p>
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers must submit devices for testing.
<i>Term</i>	Indefinite.
<i>Reciprocity</i>	Results are recognized and adopted by most state and local law enforcement agencies.
<i>Standards, Codes or Regulations</i>	The Office of Law Enforcement (OLEs) developed specifications are published by NHTSA as recommended model minimum speed measuring device specifications. Radar and lidar performance specifications are available. Photo-radar performance specifications are being developed.
<i>Keywords</i>	performance specifications; lidar; photo-radar; radar; speed measuring devices

*Products or  
Services*

## BREATH ALCOHOL TESTERS AND THEIR CALIBRATION

*Department/Agency*

U.S. Department of Transportation (DOT)  
National Highway Traffic Safety Administration (NHTSA)  
Office of Traffic Injury Control Programs  
Impaired Driving Division  
400 Seventh Street, SW, Room 5118  
Washington, DC 20590  
Phone: (202) 366-9588  
FAX: (202) 366-2766  
URL address: <http://www.nhtsa.dot.gov>

*Initiated*

1984.

*Compliance*

Voluntarily adopted by states and local jurisdictions. Manufacturers voluntarily submit testers for evaluation and listing.

*Authority*

23 U.S.C. 402.  
49 CFR Part 1.50.

*Aim*

Assist states and local communities by providing a centralized qualification test program for breath-testing devices designed to collect evidence in law enforcement programs. Also provides lists of devices that must be used for the DOT workplace alcohol testing program.

*Benefits*

States have adopted the NHTSA model specification for evidential breath testers. This program enables states and local jurisdictions to buy equipment that has demonstrated compliance with these model specifications. They avoid the cost of individual tests and use equipment that is rugged and reliable and bears the scrutiny of challenges in court cases. Manufacturers benefit in not having to arrange for individual tests in numerous jurisdictions.

*Methodology*

Testing by government is required.

*Testing*

Testing is accomplished at the DOT Volpe National Transportation Systems Center in Cambridge, MA.

<i>Conformity Identification</i>	Qualified manufacturers are listed on a Conforming Products List (CPL).
<i>Availability of Documentation</i>	Model specifications and CPL's are published in the <i>Federal Register</i> . Currently there are six active manufacturers of evidential breath measurement devices.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers must submit units for testing.
<i>Term</i>	Indefinite.
<i>Keywords</i>	alcohol; analysis; blood alcohol; breath alcohol; calibration; highway safety; law enforcement; legal evidence; tester

*Products or  
Services*

## PACKAGING OF HAZARDOUS MATERIALS FOR EXPORT

*Department/Agency*

U.S. Department of Transportation (DOT)  
Research and Special Programs Administration (RSPA)  
Assoc. Administrator for Hazardous Materials Safety  
Office of Hazardous Materials Technology  
400 7th St., NW, Room 8436  
Washington, DC 20590  
Phone: (202) 366-4512  
FAX: (202) 366-3753  
The Hazardous Materials Information Center can be  
reached at: 1-800-467-4922 or 202-366-4488  
e-mail: james.jones@rspa.dot.gov  
URL address: <http://www.hazmat.dot.gov>

*Initiated*

March 13, 1985.

*Compliance*

Voluntary.

*Authority*

49 U.S.C. 1804, 1805, 1808.  
49 CFR Parts 100-178.  
49 CFR 107 (regarding designation of approval and  
certification agencies)

*Aim*

Designate third party testing agencies through which  
shippers and container manufacturers may demonstrate  
conformance of packaging designs with United Nations  
(U.N.) standards. May also recognize manufacturer self-  
certification by manufacturers with a history of  
producing safe packages.

*Benefits*

To enhance the use of U.S. packaging in international  
transportation and facilitate the ability of U.S.  
companies to compete in export markets.

*Methodology*

Agency serves as program administrator and National  
Competent Authority in accordance with U.N.  
Recommendations. Office of Hazardous Materials  
Technology designates third party approval agencies to  
evaluate and issue approval certificates for intermodal  
portable tanks and certifications of conformance for  
other types of packaging.



<i>Testing</i>	Testing by third party (manufacturers and shippers labs) is permitted if acceptable to the approval agencies.
<i>Inspection</i>	Subsequent inspection of packaging is not part of this program.
<i>Conformity Identification</i>	Certificates are provided to shippers and/or manufacturers by approval agencies.
<i>Enforcement</i>	Designation of an approval agency to issue certification may be withdrawn for failure to abide by requirements of the program.
<i>Term</i>	Indefinite.
<i>Reciprocity</i>	Certification in accordance with U.N. Recommendations is intended to avoid acceptance testing and packaging approval in each country which might have such requirements.
<i>Standards, Codes or Regulations</i>	Standards are set forth in the U.N. Recommendation (Transport of Dangerous Goods), and DOT requirements listed in 49 CFR Part 171, Subchapter C.
<i>Keywords</i>	containers; export; hazardous materials; National Competent Authority; safety; shipping containers; transportation; United Nations



*Products or  
Services*

## PACKAGING OF RADIOACTIVE MATERIALS FOR TRANSPORT

*Department/Agency*

U.S. Department of Transportation (DOT)  
Research and Special Programs Administration (RSPA)  
Assoc. Administrator for Hazardous Materials Safety  
Office of Hazardous Materials Technology  
400 7th St., NW, Room 8430  
Washington, DC 20590  
Phone: (202) 366-4545  
FAX: (202) 366-3753  
The Hazardous Materials Information Center can be  
reached at: 1-800-467-4922 or 202-366-4488  
e-mail: richard.boyle@rspa.dot.gov  
URL address: <http://www.dot.gov>

*Initiated*

1975.

*Compliance*

Mandatory.

*Authority*

49 U.S.C. 1803, 1808 as amended.  
49 CFR Part 173.465-173.469.  
49 CFR 107 (regarding designation of approval and  
certification agencies)

*Aim*

To provide packaging for radioactive materials which  
maintains integrity under mild (Type A) or severe (Type  
B) conditions.

*Benefits*

Transport of radioactive materials is accomplished with  
minimum radiation exposure to personnel.

*Methodology*

Government serves as the Competent Authority and issue  
certificates for the international movement of  
radioactive materials. Also recommends disposition of  
all certification requests under the provisions of the  
International Civil Aviation Organization (ICAO) and the  
International Maritime Organization (IMO). Government  
conducts design approval, inspection, and validation of  
test data submitted by manufacturer based on agency or  
third party tests. Also imposes mandatory labeling and  
reporting requirements.

<i>Testing</i>	Third party or manufacturer's lab.
<i>Inspection</i>	Government or third party.
<i>Conformity Identification</i>	Mark on packaging authorized by agency, known as Competent Authority within International Atomic Energy Agency scheme.
<i>Availability of Documentation</i>	Lists of approved manufacturers maintained in each country. Packaging of certain radioactive materials requires acceptance by Competent Authority in both shipping and receiving countries.
<i>Obligations of the Manufacturer/Vendor</i>	Maintain specified quality control records; cooperate in investigation of any package failures.
<i>Enforcement</i>	Marketing ban; product recall.
<i>Term</i>	Indefinite. Certification is based on prototype acceptance.
<i>Reciprocity</i>	Type A packaging for domestic use accepted by other federal, state, and private organizations. Type B packaging for international use, subtype U (unilateral) is accepted with mark from one country. Subtype M (multilateral) requires mark from sending and receiving countries and transit countries for certain materials.
<i>Standards, Codes or Regulations</i>	Agency establishes requirements and procedures.
<i>Keywords</i>	fissile material; IAEA; package approval; packaging; quality assurance; radioactive material; safety; transportation

*Products or  
Services*

CARGO TANKS, CARGO TANK MOTOR VEHICLE  
MANUFACTURERS, ASSEMBLERS, AND REPAIRERS

*Department/Agency*

U.S. Department of Transportation (DOT)  
Research and Special Programs Administration (RSPA)  
Assoc. Administrator for Hazardous Materials Safety  
Office of Hazardous Materials Technology  
400 7th St., SW, Room 8436  
Washington, DC 20590  
Phone: (202) 366-4512  
FAX: (202) 366-3753  
The Hazardous Materials Information Center can be  
reached at: 1-800-467-4922 or 202-366-4488  
e-mail: james.jones@rspa.dot.gov  
URL address: <http://www.hazmat.dot.gov>

*Initiated*

1964

*Compliance*

Mandatory.

*Authority*

49 U.S.C. 1804, 1805, 1808.  
49 CFR 107.501-504

*Aim*

To ensure that persons engaged in the manufacture,  
assembly, inspection and testing, certification, or  
repair of cargo tanks or cargo tank motor vehicles are  
familiar and comply with requirements set forth in part  
180 E.

*Benefits*See *AIM*.*Methodology*

Agency requires registration all person/organizations  
engaged in the activities listed above. Manufacturers  
of special/cargo tanks and cargo tank motor vehicles  
must also obtain an ASME Certificate of Authorization  
for the use of the ASME "U" stamp. Repairs, which are  
not verified to the ASME Code must obtain a National  
Board or ASME Certificate of Authorization.

*Testing*

By ASME or ASME designated bodies.

*Inspection*

By ASME or ASME designated bodies.

<i>Conformity Identification</i>	Registration certificates and identification numbers are provided.
<i>Enforcement</i>	Withdrawal of registration.
<i>Obligations of the Manufacturer/Vendor</i>	See <i>Methodology</i> .
<i>Term</i>	Registration is for a maximum of 6 years.
<i>Reciprocity</i>	Other federal agencies. State agencies Private sector organizations. Canadian government.
<i>Standards, Codes or Regulations</i>	Uses agency, ASME and other private sector/international standards.
<i>Keywords</i>	cargo tanks; cargo tank motor vehicles; hazardous materials; hydrotesting; pressure relief devices; safety valves; tanks; transportation

*Products or  
Services*

## HAZARDOUS MATERIALS TRANSPORT

*Department/Agency*

U.S. Department of Transportation (DOT)  
Research and Special Programs Administration (RSPA)  
Assoc. Administrator for Hazardous Materials Safety  
Office of Hazardous Materials Technology  
400 7th St., SW, Room 8108  
Washington, DC 20590  
Phone: (202) 366-4109  
FAX: (202) 366-7435  
The Hazardous Materials Information Center can be  
reached at: 1-800-467-4922 or 202-366-4488  
e-mail: david.donaldson@rspa.dot.gov  
URL address: <http://www.hazmat.dot.gov>

*Compliance*

Mandatory.

*Authority*

49 U.S.C. 1804, 1805, 1808.  
49 CFR 107.601-620

*Aim*

To ensure that persons engaged in the transport of hazardous materials in foreign, interstate, and intrastate commerce register with RSPA and comply with applicable safety requirements.

*Benefits*

See *AIM*.

*Methodology*

Agency requires registration all person/organizations engaged in the transport activities listed above.

*Testing*

N/A.

*Inspection*

By RSPA inspectors.

*Conformity  
Identification*

Certificate of Registration.

*Enforcement*

Withdrawal of registration.

*Obligations of the  
Manufacturer/Vendor*

Pay appropriate fees, comply with recordkeeping requirements.

<i>Term</i>	Annual registration is required.
<i>Reciprocity</i>	Other federal agencies. State agencies Private sector organizations. Canadian government.
<i>Standards, Codes or Regulations</i>	Uses agency and other private sector/international standards.
<i>Keywords</i>	hazardous materials; transportation services

*Products or  
Services*

## PIPELINES FOR HAZARDOUS FLUIDS

*Department/Agency*

U.S. Department of Transportation (DOT)  
Research and Special Programs Administration (RSPA)  
Assoc. Administrator for Pipeline Safety  
Office of Pipeline Safety Regulatory Programs  
400 7th St., SW, Room 2335  
Washington, DC 20590  
Phone: (202) 366-4565  
FAX: (202) 366-2106  
e-mail: richard.huriaux@rspa.dot.gov  
URL address: <http://ops.dot.gov>

*Initiated*

1968.

*Compliance*

Mandatory.

*Authority*

49 U.S.C. 1803-1809 as amended.  
Oil Pollution Act of 1990.  
49 CFR 190-199.

*Aim*

To ensure the safe transportation of natural gas,  
petroleum, and other hazardous materials by pipeline.

*Benefits*

Ensure the safe, reliable, and environmentally sound  
operation of the nation's pipeline transportation  
system.

*Methodology*

Agency develops regulations to ensure safety in design, construction, testing operation, maintenance, and emergency response of pipeline facilities. Agency requires pre-installation review with periodic testing of safety equipment throughout the useful life of the pipeline. Third party certification of welder and plastic assemblers is also required. Manufacturer's self-certification is required for: valves, pressure-limiting services, and overall installation to specified standards. Agency conducts routine inspections of pipelines and works with pipeline operators to implement best practices and achieve improvements. States also inspect natural gas and hazardous liquid pipelines.



<i>Testing</i>	Third party or manufacturer's lab.
<i>Inspection</i>	Agency, state agency or third party.
<i>Conformity Identification</i>	Lists of qualified welders/installers and approved installations are published.
<i>Availability of Documentation</i>	Certification of welders by the American Welding Society; comparable program by the installing contractor may be acceptable to DOT. List of approved pipelines kept by DOT.
<i>Obligations of the Manufacturer/Vendor</i>	Owner of pipeline is responsible for annual tests of pressure-limiting devices and for reports on all accidents related to the use of the pipeline. Accidents involving deaths are investigated by the National Transportation Safety Board.
<i>Enforcement</i>	Delisting; individual welders or installers may be required to undergo additional training; faulty valves or limiting devices may have to be replaced; pipeline could be decommissioned temporarily.
<i>Term</i>	Pressure-limiting devices must be inspected on approximately an annual basis, not to exceed a 17 month interval.
<i>Reciprocity</i>	Approved pipelines are not regulated by any other federal or state agency.
<i>Standards, Codes or Regulations</i>	Agency mainly adopts standards of other organizations.
<i>Keywords</i>	certified welder; hazardous materials; pipelines; pressure-limiting devices; qualified plastic pipe assembler; safety; welding

*Products or  
Services*

## SPECIAL TANKS FOR TRANSPORT OF HAZARDOUS MATERIALS

*Department/Agency*

U.S. Department of Transportation (DOT)  
Research and Special Programs Administration (RSPA)  
Assoc. Administrator for Hazardous Materials Safety  
Office of Hazardous Materials Technology  
400 7th St., SW, Room 8436  
Washington, DC 20590  
Phone: (202) 366-4512  
FAX: (202) 366-3753  
The Hazardous Materials Information Center can be  
reached at: 1-800-467-4922 or 202-366-4488  
e-mail: james.jones@rspa.dot.gov  
URL address: <http://www.hazmat.dot.gov>

*Initiated*

1964.

*Compliance*

Mandatory.

*Authority*

49 CFR Parts 178.270-272.  
(Special category reauthorized by P.L. 93-633.)

*Aim*

To provide a uniform means for assuring the reliability  
of containers for shipping designated hazardous  
materials.

*Benefits*

Materials are transported safely and efficiently and  
personal injuries due to container failure are  
minimized.

*Methodology*

Requires government design approval and third party  
certification.

*Testing*

Third party or manufacturer's lab.

*Inspection*

Third party.

*Conformity  
Identification*

Authorized mark applied by manufacturer.

<i>Availability of Documentation</i>	Agency maintains list of firms authorized to manufacture such tanks.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturer must maintain integrity of design, quality control, and cooperate in investigation of suspected faults.
<i>Enforcement</i>	Delisting or product recall.
<i>Term</i>	Retest; user/owner to arrange for documented visual inspection at 2 1/2 year intervals; valves and pressure relief devices must be retested at 2 1/2 year intervals; and complete tank must be hydrotested every 5 years.
<i>Reciprocity</i>	Other federal agencies. State agencies Private sector organizations. Canadian government.
<i>Standards, Codes or Regulations</i>	Agency integrates standards of other organizations into the program.
<i>Keywords</i>	hazardous materials; hydrotesting; pressure relief devices; quality control; safety valves; tanks; transportation

*Products or  
Services*

## TANKS FOR TRANSPORT OF HAZARDOUS MATERIALS

*Department/Agency*

U.S. Department of Transportation (DOT)  
Research and Special Programs Administration (RSPA)  
Assoc. Administrator for Hazardous Materials Safety  
Office of Hazardous Materials Technology  
400 7th St., SW, Room 8436  
Washington, DC 20590  
Phone: (202) 366-4512  
FAX: (202) 366-3753  
The Hazardous Materials Information Center can be  
reached at: 1-800-467-4922 or 202-366-4488  
e-mail: james.jones@rspa.dot.gov  
URL address: <http://www.hazmat.dot.gov>

*Initiated*

1964.

*Compliance*

Mandatory.

*Authority*

49 CFR Part 173.32-34.  
49 U.S.C. 1803-1809.

*Aim*

To provide safe and reliable containers for domestic  
shipment of hazardous materials.

*Benefits*

Certification minimizes the risk of leakage or rupture  
of tanks and improper use of tanks for designated  
materials.

*Methodology*

Agency requires manufacturer's self-certification.

*Testing*

Uses third party or manufacturer's lab.

*Inspection*

Periodic inspection is performed by owner.

*Conformity  
Identification*

Certain tanks are identified by marking as specified in  
the regulation.

*Availability  
of Documentation*

Agency maintains list of manufacturers of certified  
tanks by type.

<i>Obligations of the Manufacturer/Vendor</i>	Manufacturer must maintain design control and submit design changes for approval.
<i>Enforcement</i>	Marketing ban (also extends to distributors).
<i>Term</i>	Retest; user/owner to arrange for documented visual inspection at 2 1/2 year intervals; valves and pressure relief devices must be retested at 2 1/2 year intervals; and complete tank must be hydrotested every 5 years.
<i>Reciprocity</i>	Other federal agencies. State agencies. Private sector organizations. Canadian government.
<i>Standards, Codes or Regulations</i>	Agency integrates standards of other organizations into the program.
<i>Keywords</i>	hazardous materials; hydrotesting; portable tanks; pressure relief devices; quality control; safety valves; transportation

*Products or  
Services*

## CYLINDERS FOR TRANSPORTATION OF HAZARDOUS MATERIALS

*Department/Agency*

U.S. Department of Transportation (DOT)  
Research and Special Programs Administration (RSPA)  
Associate Administrator for Hazardous Materials Safety  
Office of Hazardous Material Standards  
400 7th St., SW, Room 8102  
Washington, DC 20590  
Phone: (202) 366-8553  
FAX: (202) 366-3012  
The Hazardous Materials Information Center can be  
reached at: 1-800-467-4922 or 202-366-4488  
e-mail: edward.mazzullo@rspa.dot.gov  
URL address: <http://www.hazmat.dot.gov>

*Initiated*

First cylinder regulations adopted 1911.

*Compliance*

Mandatory.

*Authority*

49 CFR Part 178 subpart C.

*Aim*

To develop standards for the manufacture and use of  
cylinders for transport of hazardous materials in  
commerce.

*Benefits*

Consistent safety and durability of cylinders for  
intended use.

*Methodology*

Requires third party certification (independent  
inspection) or manufacturer's self-certification.

*Testing*

Uses third party or manufacturer's lab.

*Conformity  
Identification*

Authorized identity by manufacturer.

*Availability  
of Documentation*

No central registry of manufacturers; all cylinders  
legal for use are marked.

<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers must maintain quality control. Users must not use nonconforming cylinders for transport of hazardous materials in commerce.
<i>Enforcement</i>	Compliance orders or civil penalties.
<i>Term</i>	Cylinders in sound physical condition that are authorized for reuse may be requalified and recertified.
<i>Reciprocity</i>	Marked cylinders are accepted throughout the United States, Canada, and internationally.
<i>Standards, Codes or Regulations</i>	Agency develops standards and adopts industry standards by reference in regulations.
<i>Keywords</i>	containers; cylinders; hazardous materials; hydrotest; quality control; safety; transportation



<i>Products or Services</i>	RAILWAY TANK CARS (Includes Pressurized, Non-pressurized, Multi-Unit, and Cryogenic Types)
<i>Department/Agency</i>	U.S. Department of Transportation (DOT) Research and Special Programs Administration (RSPA) Assoc. Administrator for Hazardous Materials Safety Office of Hazardous Materials Standards 400 7th St., SW, Room 8102 Washington, DC 20590 Phone: (202) 366-8553 FAX: (202) 366-3012 e-mail: edward.mazzullo@rspa.dot.gov
<i>Initiated</i>	1965 (Couplers subject to approval after 1977).
<i>Compliance</i>	Mandatory.
<i>Authority</i>	49 CFR 179.100-400.
<i>Aim</i>	To provide safe and reliable tank cars for transport of hazardous materials.
<i>Benefits</i>	Certification minimizes the risk of leakage or rupture of tanks, inadequacy of couplers and the improper use of tanks for designated materials.
<i>Methodology</i>	Requires third party certification; Association of American Railroads (AAR) provides design approval of couplers which is accepted by DOT under this regulation.
<i>Testing</i>	Third party acceptable to the AAR and to the Bureau of Explosives.
<i>Inspection</i>	Third party acceptable to the AAR and to the Bureau of Explosives.
<i>Conformity Identification</i>	Direct marking on tanks. Certificates of construction issued by Agency.

<i>Availability of Documentation</i>	Certificates of construction are kept by Agency and AAR.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturer is obligated to use approved welders during construction.
<i>Enforcement</i>	Delisting or product recall if defects can be repaired.
<i>Term</i>	Certification is essentially indefinite.
<i>Reciprocity</i>	Other federal agencies. State agencies. Private sector organizations. Canadian government.
<i>Standards, Codes or Regulations</i>	Agency adopts standards of other organizations and provides integrating requirements.
<i>Keywords</i>	certified welder; design approval; hazardous materials; railroads; railway car couplers; welding

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U.S. DEPARTMENT OF THE TREASURY



*Products or  
Services*

ELECTRONIC FUND TRANSFER AUTHENTICATION DEVICES

*Department/Agency*

U.S. Department of the Treasury  
Deputy Assistant Secretary for Information Systems  
and Chief Information Officer  
1500 Pennsylvania Ave., NW  
Room 2464  
Washington, DC 20220  
Phone: (202) 622-1200  
FAX: (202) 622-2224  
e-mail: jim.flyzik@cio.treas.gov

*Initiated*

1984.

*Compliance*

Mandatory for all Government bureaus that receive or send funds or securities electronically through the United States.

*Authority*

Treasury Directive 16-02 on automated information systems security and risk management establishes the policy with respect to ensuring adequate security for automated information systems, applications, and facilities.

*Aim*

To assure that equipment which authenticates electronic fund transfers complies with designated standards to minimize exploitation of Electronic Fund Transfer (EFT) Systems.

*Benefits*

It is a major milestone toward unifying the protection and audit of the billions of dollars transferred electronically every day.

*Methodology*

Agency requires validation of compliance with Treasury standard by the Systems and Network Architecture Division, Information Technology Laboratory (ITL), National Institute of Standards and Technology (NIST). Security evaluation guidance provided by the National Security Agency (NSA).

*Testing*

Testing by NIST and NSA.

*Inspection*

Treasury.

<i>Conformity Identification</i>	A list of certified equipment and software is maintained by the Department of the Treasury.
<i>Availability of Documentation</i>	List and other technical documentation is available from the Deputy Assistant Secretary for Information Systems, Department of the Treasury.
<i>Obligations of the Manufacturer/Vendor</i>	To comply with criteria.
<i>Enforcement</i>	Delisting.
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	No reciprocal agreements.
<i>Standards, Codes or Regulations</i>	Federal Information Processing Standards (FIPS) 46-1, 74, 81, 113, 140-1, 161, and 171, and ANSI X3.105 and X9.9. Criteria documents are coordinated by Treasury.
<i>Keywords</i>	authentication devices; communications security; computer security; cryptographic; EFT; electronic fund transfer; encryption standard; financial institutions; interface requirements; validation

Received 2/98

*Products or  
Services*

**ALCOHOLIC BEVERAGES**

(Certificates of Label Approval - COLA) (Certification of U.S. Laboratories for the Analysis of Wines and Distilled Spirits for Export)

*Department/Agency*

U.S. Department of the Treasury  
Bureau of Alcohol, Tobacco and Firearms (BATF)  
For Labeling and Content Requirements:  
Product Compliance Branch  
Labeling Section  
650 Massachusetts Ave., NW  
Washington, DC 20226  
Phone: (202) 927-8140  
FAX: (202) 927-8605

Or for laboratory certification information:  
Import Export Branch  
Phone: (202) 927-8110  
URL address: <http://www.atf.treas.gov>

*Initiated*

Distilled spirits beverages: 1969.  
Wines: 1973.

*Compliance*

Mandatory for label approval. Only mandatory for laboratories wishing to be approved by ATF for export testing.

*Authority*

Federal Alcohol Administration Act.  
Internal Revenue Procedure 69-22 (Distilled Spirits).  
ATF Procedure 86-2 (Wines).

*Aim*

To determine whether any products currently on the market pose a health risk to consumers and to ensure alcohol beverage labels do not contain misleading information and adhere to regulatory mandates.

*Benefits*

Suppression of label fraud and other unlawful practices in the alcohol beverage marketplace.

<i>Methodology</i>	Government reviews proposed labeling for false or misleading claims. Also enforces the Government Health Warning Statement. Issues Certificates of Label Approval (COLA). Approves laboratories for export testing.
<i>Testing</i>	ATF National Laboratory Center (or other laboratories qualified by ATF for export testing) for the analysis of wines and distilled spirits beverages.
<i>Inspection</i>	Government inspection.
<i>Conformity Identification</i>	A list of approved laboratories for export testing or COLAs.
<i>Availability of Documentation</i>	The list of laboratories certified by ATF for export testing is available and may be obtained at the mailing or URL address listed above. Other documentation describing the regulatory requirements for alcoholic beverages is also available on the website or from ATF.
<i>Obligations of the Manufacturer/Vendor</i>	Exporters of U.S. wines and distilled spirits beverages obligated to use the services of laboratories certified by ATF if the importing country so requires. Domestic/foreign bottlers and producers, domestic wholesalers and importers are obligated to obtain COLAs for their products.
<i>Enforcement</i>	Delisting of laboratories. Seizure, prosecution, or other legal action (as appropriate) for noncompliant alcoholic beverages.
<i>Term</i>	Termination date on COLAs is the expiration date. Labs are retested after 4 years.
<i>Reciprocity</i>	No reciprocal agreements.
<i>Standards, Codes or Regulations</i>	Internal Revenue Procedure 69-22 (Distilled Spirits). ATF Procedure 86-2 (Wines). ATF prepares criteria documentation.
<i>Keywords</i>	alcohol; ATF certified laboratory; beverages; chemical analyses; distilled spirits; laboratory accreditation; wines

Received 12/97

*Products or  
Services*

TOBACCO PRODUCTS, ALCOHOLIC BEVERAGE PRODUCTS,  
INDUSTRIAL ALCOHOL (See Also Requirements of the Food  
and Drug Administration and the U.S. Department of  
Agriculture.)

*Department/Agency*

U.S. Department of the Treasury  
Bureau of Alcohol, Tobacco and Firearms (BATF)  
National Revenue Center  
6525 Federal Office Building  
550 Main Street  
Cincinnati, OH 45202-3263  
Phone: 1-800-398-2282  
(513) 684-3334  
FAX: (513) 684-3168  
URL address: <http://www.atf.treas.gov>

*Compliance*

Mandatory for manufacturers of tobacco products and  
operators of export warehouses, and certain users and  
manufacturers of alcohol and alcohol products.

*Authority*

United States Code, Code of Federal Regulations.

*Aim*

To qualify applicants for permits to manufacture tobacco  
or operate tobacco export warehouses or produce and use  
alcohol, tobacco and alcoholic beverages. To collect  
Federal alcohol, tobacco and firearms/ammunition excise  
taxes.

*Benefits*

To protect the consumer and reduce the deficit.

*Methodology*

Verify an applicant's qualifications information, check  
security of premises, and ensure tax compliance. Agency  
issues licenses and conducts inspections.

*Testing*

N/A.

*Inspection*

Government inspection by field inspectors.

*Conformity  
Identification*

Licensing.

*Availability  
of Documentation*

Contact BATF at the address listed above or  
see URL address listed above for license application  
information.

*Obligations of the  
Manufacturer/Vendor*

File an application and necessary documents with ATF;  
comply with applicable laws and specific recordkeeping  
regulations.

*Reciprocity*

None.

*Keywords*

alcohol excise tax; tobacco excise tax; firearms excise  
tax; ammunition excise tax; federal licensing; tobacco;  
tobacco products; warehouses



Received 12/97

*Products or  
Services*

FIREARMS AND FIREARMS MANUFACTURERS, IMPORTER, AND  
DEALERS

*Department/Agency*

U.S. Department of the Treasury  
Bureau of Alcohol, Tobacco and Firearms (BATF)  
Firearms and Explosives Licensing Center  
2600 Century Pkwy, NE, Room 400  
Atlanta, GA 30345-3104  
Phone: (404) 679-5097  
FAX: (404) 679-5078 or 5079  
e-mail: LMVannett@atfhq.atf.treas.gov  
URL address:  
<http://www.atf.treas.gov/about/prog/fire.htm>

*Compliance*

Mandatory for every manufacturer, importer, or dealer in  
firearms.

*Authority*

The Gun Control Act of 1968; P.L. 90-618.

*Methodology*

Agency issues licenses and conducts compliance  
inspections of licensees. Requires marking of firearms  
in accordance with 27 CFR 178.92 and 179.104. Also  
operates a unique comparison system known as the  
Integrated Ballistic Identification System (IBIS) which  
allows the digitalization and automatic sorting of  
bullets and shell casing marking to assist in tracking  
illegal firearms trafficking and usage in shooting  
incidents.

*Inspection*

Government inspectors.

*Conformity  
Identification*

Licenses.

*Availability  
of Documentation*

Regulatory requirements are available from ATF.

*Obligations of the  
Manufacturer/Vendor*

To comply with applicable laws and specific  
recordkeeping regulations.

*Enforcement*

Enforcement alternatives range from revocation of  
license to criminal prosecution.



<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	Federal licensing standards are contained in 27 CFR 178.
<i>Keywords</i>	ammunition; firearms; guns; weapons

*Products or  
Services***EXPLOSIVES***Department/Agency*

U.S. Department of the Treasury  
Bureau of Alcohol, Tobacco and Firearms (BATF)  
Firearms and Explosives Licensing Center  
2600 Century Pkwy, NE, Room 400  
Atlanta, GA 30345-3104  
Phone: (404) 679-5097  
FAX: (404) 679-5078 or 5079  
e-mail: LMVannett@atfhq.atf.treas.gov  
URL address:  
<http://www.atf.treas.gov/about/prog/exp1/htm>

*Initiated*

1970.

*Compliance*

All manufacturers, importers and dealers are required to obtain a federal license from ATF to conduct business, and certain users of explosives are required to obtain a federal permit.

*Authority*

Organized Crime Control Act of 1970.

*Aim*

To avert accidents and to keep explosives from the hands of those who are prohibited from possessing them.

*Benefits*

See *Aim*.

*Methodology*

ATF maintains a regular program of on-site inspections to ensure that explosives are stored in approved facilities, which are secure from theft and located at prescribed distances from inhabited buildings, railways and roads. Agency issues licenses/permits to compliant bodies.

*Testing*

N/A.

*Inspection*

Government inspection of products, sites and records.

*Conformity  
Identification*

Licenses/permits are required to import, manufacture, and deal in explosive materials.

<i>Availability of Documentation</i>	Regulatory requirements are available from ATF at the address or from the URL address listed above.
<i>Obligations of the Manufacturer/Vendor</i>	To obtain the necessary permits and licenses and abide by all restrictions on the manufacture, distribution, sale and usage of explosive materials, including inventory control and recordkeeping.
<i>Enforcement</i>	Enforcement options range from license removal to criminal prosecution.
<i>Term</i>	Original licenses/permits are valid for one year. Renewals are valid for 3 years. However, some limited permits/licenses are only valid for a shorter time period.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	Storage requirements are established by ATF in 27 CFR Part 55, Subpart K - Storage.
<i>Keywords</i>	blasting agents, detonators; explosives; fireworks

Received 12/97

*Products or  
Services*

**COMMERCIAL GAUGERS** (Organizations and Individuals Who Measure, Gauge or Sample Merchandise)  
**COMMERCIAL LABORATORIES** (Organizations and Individuals Who Analyze Merchandise, i.e., Determine its Composition and/or Characteristics Through Laboratory Analysis)

*Department/Agency*

U.S. Department of the Treasury  
U.S. Customs Service  
Laboratories and Scientific Services  
Mail Stop 5.5-B  
1300 Pennsylvania Ave., NW  
Washington, DC 20229  
Phone: (202) 927-1060  
FAX: (202) 927-2060  
e-mail: LAB-HQ@LABHQX31.customs.sprint.com  
URL address:  
<http://www.customs.treas.gov/about/labs/labindex.htm>

*Initiated*

1970.

*Compliance*

Mandatory only for gaugers/laboratories wishing to be approved by the U.S. Customs Service for testing for customs purposes. Current testing areas include: petroleum and petroleum products, organic chemicals in bulk and liquid form and animal and vegetable oils. However, Customs will accredit gaugers/laboratories for any commodity that requires a laboratory analysis for Customs purposes.

*Authority*

19 CFR 151.13.

*Aim*

To provide measurement and analytical results that can be used by Customs for entry and admissibility purposes.

*Benefits*

See *Aim*.

*Methodology*

Agency conducts technical evaluations of each site to be approved as well as reviews the technical qualifications of those doing the gauging or lab analyses.

*Testing*

Testing is done by Customs or by Customs accredited gaugers/laboratories.

<i>Inspection</i>	Government inspectors.
<i>Conformity Identification</i>	A list of accredited gaugers/laboratories.
<i>Availability of Documentation</i>	The list of accredited gaugers/laboratories is available at the URL address listed above.
<i>Obligations of the Manufacturer/Vendor</i>	N/A.
<i>Enforcement</i>	Laboratories/gaugers failing to meet requirements are removed from the approved list.
<i>Standards, Codes or Regulations</i>	See Part 151.13 of the Customs regulations.
<i>Keywords</i>	animal oils; gaugers; laboratory accreditation; laboratories; organic chemicals; petroleum products; testing; vegetable oils

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U.S. DEPARTMENT OF VETERANS AFFAIRS



Received 11/97

*Products or  
Services*

**AUTOMOTIVE DRIVING AIDS AND AUTOMATIC WHEELCHAIR LIFTS**

*Department/Agency*

U.S. Department of Veterans Affairs (VA)  
Veterans Health Administration (VHA)  
Prosthetic & Sensory Aids Strategic Healthcare Group  
810 Vermont Ave., NW  
Washington, DC 20420  
Phone: (202) 273-8515  
FAX: (202) 273-9110  
URL address: <http://www.va.gov>

*Initiated*

March 27, 1975 (driving aids).  
May 10, 1978 (wheelchair lifts).

*Compliance*

Mandatory only for purchases funded by VA.

*Authority*

P.L. 91-666.

*Aim*

To provide quality equipment and assure the safety of veteran passengers and drivers as well as the general public.

*Benefits*

Since developing the Quality Products List for hand controls and van lifts, manufacturers of these units have been assisted by VA in improving the quality of their products. Establishment of standards has fostered competition.

*Methodology*

Certification is made by VA sponsored Automobile Adaptive Equipment Committee. Compliance is assured by government testing/inspection or third party government approved certification (SAE), and manufacturers' self-certification.

*Testing*

Testing results are accepted from government laboratories, government approved labs, third party labs and manufacturers' labs.

*Inspection*

Government.

*Conformity  
Identification*

Listing in VHA Directive 97-034.

<i>Availability of Documentation</i>	The VA Compliance List, VHA Directive 97-034, dated July 9, 1997, lists certified suppliers of wheelchair lift systems and hand controls.
<i>Term</i>	Testing of new products is on-going. Listings are updated annually.
<i>Reciprocity</i>	Certification by other agencies is accepted when current standards are applied.
<i>Standards, Codes or Regulations</i>	<i>Federal Register</i> , Vol. 40, No. 65 - April 3, 1975, defines standards for driving aids.  Requirements for wheelchair lifts are specified in <i>Federal Register</i> , Vol. 43, No. 96 - May 17, 1978.
<i>Keywords</i>	adaptive equipment; automotive; driving aids; hand control; handicapped aids; prosthetic aids; quality; safety; wheelchair lifts

Received 11/97

*Products or  
Services*

SELF-PROPELLED AND MOTORIZED WHEELCHAIRS

*Department/Agency*

U.S. Department of Veterans Affairs (VA)  
Veterans Health Administration (VHA)  
Prosthetic & Sensory Aids Strategic Healthcare Group  
(113)  
810 Vermont Ave., NW  
Washington, DC 20420  
Phone: (202) 273-8515  
FAX: (202) 273-9110  
URL address: <http://www.va.gov>

*Initiated*

December 7, 1977 (self-propelled wheelchairs).  
December 15, 1981 (motorized wheelchairs).

*Compliance*

Mandatory only for purchases funded by VA.

*Authority*

Title 38 U.S.C. 4101(c)(2).

*Aim*

Avoid hazardous conditions for disabled persons caused  
by inferior products.

*Benefits*

Product quality and safety has improved and competition  
has increased. Federal Supply Schedule Contracts have  
been established to enforce compliance.

*Methodology*

Certification is made by VA sponsored Prosthetic  
Technology Equipment Committee. Compliance is assured  
by government testing/inspection or third party  
government approved certification (RESNA/ANSI), and  
manufacturers' self-certification.

*Testing*

Testing results are accepted from government  
laboratories, government approved labs, third party labs  
and manufacturers' labs.

*Inspection*

Government.

*Conformity  
Identification*

Self-propelled wheelchair suppliers and motorized  
wheelchair suppliers are currently listed.

<i>Availability of Documentation</i>	The General Services Administration's (GSA) Federal Supply Schedule for wheelchairs provides particulars.
<i>Term</i>	Testing of new products is on-going. Listings are updated annually and GSA contracts are negotiated annually.
<i>Reciprocity</i>	Certification by other agencies is accepted when current standards are applied.
<i>Standards, Codes or Regulations</i>	<i>Federal Register</i> , Vol. 42, No. 239 - December 13, 1977, defines standards for propelled wheelchairs.  Requirements for motorized wheelchairs are specified in <i>Federal Register</i> , Vol. 46, No. 240 - December 15, 1981.
<i>Keywords</i>	handicapped aids; prosthetic aids; quality; safety; wheelchair

Received 12/97

*Products or  
Services*

TESTS AND PROCEDURES PERFORMED BY THE DEPT. OF  
VETERANS AFFAIRS MEDICAL CENTER LABORATORIES

*Department/Agency*

U.S. Department of Veterans Affairs (VA)  
Veterans Health Administration (VHA)  
Pathology And Laboratory Medicine Service  
Samuel S. Stratton VAMC  
113 Holland Ave.  
Albany, NY 12208  
Phone: (518) 462-3311 x2292  
FAX: (518) 462-1258  
URL address: <http://www.va.gov>

*Initiated*

1970.

*Compliance*

Mandatory.

*Aim*

Standardization and uniformity in laboratory test performance throughout 204 clinical laboratories, 63 nuclear medicine laboratories, 944 special purpose ancillary testing laboratories of the VA system.

*Benefits*

Improved quality of care for patients. Peer-review process provides cross-educational benefits for all laboratories.

*Methodology*

Requires third party certification by the College of American Pathologists (CAP) and Joint Commission on Accreditation of Healthcare Organizations.

*Inspection*

Third party.

*Conformity  
Identification*

Authorized certificate issued by third party - College of American Pathologists.

*Availability  
of Documentation*

Maintained by Pathology and Laboratory Medicine local laboratories, and at CAP.

*Enforcement*

Conducted by Pathology Service, VHS&R/VA Central Office.

*Term*

Indefinite term.

<i>Reciprocity</i>	Recognition of certification by Joint Council of American Hospitals.
<i>Standards, Codes or Regulations</i>	College of American Pathologists Laboratory Accreditation Program (CAP/LAP).
<i>Keywords</i>	clinical laboratories; laboratories; limited special function laboratories; electron microscopy; pathology

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## CONSUMER PRODUCT SAFETY COMMISSION

Received 12/97

<i>Products or Services</i>	CONSUMER PRODUCTS (Approximately 15 000 Consumer Products Intended for Household, School, or Recreational Use -- Excludes Some Types of Products Covered by Other Agencies, such as Cars, Trucks, Motorcycles, Drugs and Cosmetics, Alcohol, Tobacco and Firearms.)
<i>Department/Agency</i>	Consumer Product Safety Commission (CPSC) Office of the General Counsel 4330 East-West Highway Bethesda, MD 20814-4408 Phone: (301) 504-0980 (General Counsel) Phone: 1-800-638-2772 (Consumer Hotline-to obtain product safety information, report unsafe products, and obtain other agency information) FAX: (301) 504-0403 e-mail: info@cpsc.gov URL address: <a href="http://www.cpsc.gov">http://www.cpsc.gov</a>
<i>Initiated</i>	1972.
<i>Compliance</i>	Mandatory.
<i>Authority</i>	Consumer Product Safety Act (CPSA). The Poison Prevention Packaging Act (PPPA). The Refrigerator Safety Act (RSA).
<i>Aim</i>	To protect consumers from hazardous products.
<i>Benefits</i>	Specific products covered by CPSC Standards are declared by manufacturers to conform with legal requirements.
<i>Methodology</i>	Agency relies on manufacturer's declaration of compliance, but also conducts government surveillance and follow up on reports of products that may not be in compliance with federal standards or are otherwise potentially hazardous.
<i>Testing</i>	May use government lab, manufacturer's lab, or third party labs in assessing compliance.
<i>Inspection</i>	Government.

<i>Conformity Identification</i>	Government authorized mark or label by manufacturer or private brander for some products. No marking required for other products.
<i>Availability of Documentation</i>	Lists of products subject to CPSC regulations/recalls as well as other business and consumer-related publications can be obtained from CPSC.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers, private branders, and distributors shall keep such records as the Commission directs to assist in the enforcement of the Act, such as known nonconformance to applicable standards or known defects which could present substantial risk of injury whether or not covered by a standard. Manufacturers, importers, distributors, and retailers are required to report potentially hazardous products to CPSC.
<i>Enforcement</i>	Obtain correction of violations and recall of hazardous products from the marketplace or consumers' hands, primarily by working cooperatively with industry, but through litigation when necessary. Civil and criminal fines and imprisonment for not more than one year can be imposed against firms and individuals. Other remedies, such as injunctions, product recalls and seizures are also available.
<i>Term</i>	Periodic retesting in a testing program acceptable to the CPSC is usually required.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	Criteria for standards are cited in the Act; agency itself prepares Consumer Product Safety Standards; Commission recognizes the use of voluntary standards to reduce risks of injury.
<i>Keywords</i>	audit testing; banned products; consumer products; imminent hazard; mandatory standards; product recall; product safety

<i>Products or Services</i>	FABRICS (Used in Wearing Apparel and Interior Furnishings)
<i>Department/Agency</i>	Consumer Product Safety Commission (CPSC) Office of the General Counsel 4330 East-West Highway Bethesda, MD 20814-4408 Phone: (301) 504-0980 (General Counsel) Phone: 1-800-638-2772 (Consumer Hotline-to obtain product safety information, report unsafe products, and obtain other agency information) FAX: (301) 504-0403 e-mail: info@cpsc.gov URL address: <a href="http://www.cpsc.gov">http://www.cpsc.gov</a>
<i>Initiated</i>	1953.
<i>Compliance</i>	Mandatory.
<i>Authority</i>	Flammable Fabrics Act, 16 U.S.C. 1191 et seq.
<i>Aim</i>	To reduce the risk of fire and injury or death related to fire, in or on fabric articles.
<i>Benefits</i>	Compliance with applicable standards and associated labeling have reduced the covered risks.
<i>Methodology</i>	Agency relies on manufacturer's declaration of compliance, but also conducts government surveillance and follow up on reports of products that may not be in compliance with federal standards or are otherwise potentially hazardous.
<i>Testing</i>	May use government lab, manufacturer's lab, or third party labs in assessing compliance.
<i>Inspection</i>	Government. State/local government. Third party.
<i>Conformity Identification</i>	Authorized label by manufacturer.

<i>Availability of Documentation</i>	No list of certified suppliers or products is prepared.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturers, private branders, and distributors shall keep such records as the Commission directs to assist in the enforcement of the Act, such as known nonconformance to applicable standards or known defects which could present substantial risk of injury whether or not covered by a standard. Manufacturers, importers, distributors, and retailers are required to report potentially hazardous products to CPSC. Manufacturer may comply with the Act by guaranteeing conformance with applicable standards based on test data.
<i>Enforcement</i>	Marketing ban; product seizure; injunction.
<i>Term</i>	Periodic audit testing/inspection is required to maintain certification.
<i>Reciprocity</i>	Conformity is recognized by other federal agencies, state governments, and private organizations.
<i>Standards, Codes or Regulations</i>	Criteria for standards are cited in the Act; agency itself prepares flammability standards and regulations; Commission recognizes the use of voluntary standards to accomplish the purpose of the Act.
<i>Keywords</i>	apparel; bedding; carpets; children's sleepwear; fabrics; flammability; furnishings; interior furnishings; product testing; voluntary standards; wearing apparel

Received 12/97

*Products or  
Services*

**HAZARDOUS HOUSEHOLD SUBSTANCES, TOYS, AND ARTICLES  
INTENDED FOR USE BY CHILDREN**

(Chemicals which are Toxic, Corrosive, Flammable  
Irritating or Pressure-Generating, and Which May Injure  
Intended Users; Toys with Mechanical, Electrical and  
Thermal Hazards.)

*Department/Agency*

Consumer Product Safety Commission (CPSC)  
Office of the General Counsel  
4330 East-West Highway  
Bethesda, MD 20814-4408  
Phone: (301) 504-0980 (General Counsel)  
Phone: 1-800-638-2772 (Consumer Hotline-to obtain  
product safety information, report unsafe products, and  
obtain other agency information)  
FAX: (301) 504-0403  
e-mail: [info@cpsc.gov](mailto:info@cpsc.gov)  
URL address: <http://www.cpsc.gov>

*Initiated*

1960.

*Compliance*

Mandatory.

*Authority*

Federal Hazardous Substances Act, 15 U.S.C. 1261 et seq.

*Aim*

To reduce the risk of injury to all intended users of  
designated substances and articles.

*Benefits*

Informative labeling is now in effect and selected  
products have been or will be banned if they don't meet  
certain standards.

*Methodology*

Agency audits of labeling information to be provided  
with designated hazardous substances.

*Testing*

May use government lab, manufacturer's lab, or third  
party labs in assessing compliance.

*Inspection*

Government.

*Conformity  
Identification*

Authorized mark or label by manufacturer.

<i>Availability of Documentation</i>	List of regulations may be obtained from CPSC.
<i>Obligations of the Manufacturer/Vendor</i>	Keep such records as the Commission directs to assist in the enforcement of the Act, such as known nonconformance to applicable standards or known defects which could present an unreasonable risk of injury whether or not covered by a standard. Carriers must keep records of interstate shipment of designated substances.
<i>Enforcement</i>	Marketing ban; product recall.
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	Approved labeling is recognized by other federal agencies, state governments, and private organizations.
<i>Standards, Codes or Regulations</i>	Criteria for designating substances as hazardous are prepared by the Commission. Commission recognized use of voluntary standards to accomplish purposes of the Act.
<i>Keywords</i>	banned products; corrosive; flammability; hazardous substances; irritant; misbranded substances; strong sensitizer; toxicity; toys; children's products; mechanical hazards; electrical hazards; thermal hazards



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## ENVIRONMENTAL PROTECTION AGENCY

*Products or  
Services*

MOTOR VEHICLE FUELS AND FUEL ADDITIVES

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Mobile Sources  
Testing Services Division  
Fuels and Technical Analysis Group  
2565 Plymouth Road  
Ann Arbor, MI 48105  
Phone: (313) 668-4583  
FAX: (313) 668-4440  
URL address:  
<http://www.epa.gov/OMSwww/fuels.htm#consumer>

*Initiated*

1970.

*Compliance*

Mandatory. Products may not be introduced into commerce until they have been registered by the Agency.

*Authority*

Section 211(a) and (b) of the Clean Air Act, 42 U.S.C. 7545.  
40 CFR Part 79.

*Aim*

To identify fuels and additive which warrant regulation in order to protect the public health and welfare from exposure to evaporative emissions and products of combustion, and to prevent damage to automotive emission controls.

*Benefits*

Reduced public exposure to harmful automotive emissions.

*Methodology*

Agency reviews information on composition and emissions prior to the introduction into commerce of a fuel or additive. Manufacturers must provide detailed information on the composition of their fuels and additives, and available data on emissions. The Agency reviews for: (1) compliance with Agency restrictions on compositions; and (2) emissions performance.

*Testing*

Not specified, but required test data must be submitted.

<i>Inspection</i>	No scheduled inspections. Agency has authority to conduct audits of the manufacturers to determine if submitted data are accurate.
<i>Conformity Identification</i>	A registration letter is issued to the manufacturer. Agency's Fuel and Fuel Additive Registration Database will have a record of its registration.
<i>Availability of Documentation</i>	A list of registered products is available to the public on request. Product composition is typically claimed as confidential.
<i>Enforcement</i>	Any party which introduces into commerce an unregistered fuel or fuel additive is subject to a penalty of up to \$25,000 per day. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	There is no term limit on registration.
<i>Reciprocity</i>	None. See: <a href="http://www.ccar-greenlink.org">http://www.ccar-greenlink.org</a> for state contacts.
<i>Standards, Codes or Regulations</i>	Requirements are set forth in 40 CFR Parts 79 and 80.
<i>Keywords</i>	automobile emissions; fuel additives; fuels; gasoline; pollution control; reformulated gasoline; vehicle emissions

Received 8/98

*Products or  
Services*

ENVIRONMENTALLY PREFERABLE PRODUCTS FOR GOVERNMENT  
PROCUREMENT

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Pollution Prevention and Toxics  
Pollution Prevention Division  
Environmentally Preferable Purchasing Program  
401 M Street, SW (Mail Code 7409)  
Washington, DC 20460  
Phone: (202) 260-3296  
FAX: (202) 260-0178  
Fax-on-Demand: (202) 401-0527  
e-mail: goidel.eunsook@epa.gov  
URL address: <http://www.epa.gov/opptintr/epp>

*Initiated*

September 28, 1995, EPA issued a proposed *Guidance on the Acquisition of Environmentally Preferable Products and Services*. Further development/expansion of that guidance and the conduct of various pilot programs is currently underway.

*Compliance*

Compliance with Executive Order 12873 is required for all federal agencies.

*Authority*

Executive Order (E.O.) 12873, Federal Acquisition, Recycling, and Waste Prevention. The Order directs EPA to develop guidance to help federal agencies incorporate environmental preferability into their purchasing procedures.

*Aim*

To promote the federal government's use of products and services that pose reduced impact to human health and the environment.

*Benefits*

Guidance provided by EPA helps federal agencies begin the process of identifying and purchasing environmentally preferable products and services.

*Methodology*

EPA has provided proposed guidance to federal agencies and has implemented a pilot project approach to evaluate the use of non-governmental entities in assisting government agencies to implement Section 503 of E.O. 12873. (See *Federal Register* dated September 29, 1995, Vol. 60, No. 189 or obtain from Fax-on-Demand and

indicate document #8001.

<i>Testing</i>	By federal agencies, manufacturers or third parties at the procurement agency's discretion.
<i>Inspection</i>	By federal agencies, manufacturers or third parties at the procurement agency's discretion.
<i>Conformity Identification</i>	EPA maintains a list of products which have been certified by the manufacturer as being in compliance with EPA guidance.
<i>Availability of Documentation</i>	See URL address listed above or contact the EPP Program at the address listed above.
<i>Enforcement</i>	Compliance with E.O. is the responsibility of each federal agency. EPA does not enforce federal agency compliance. The Federal Trade Commission is responsible for environmental claims and has issued <i>Guides for the Use of Environmental Marketing Claims</i> which govern environmental claims made by anyone, including manufacturers or environmental testing/certification programs.
<i>Term</i>	N/A.
<i>Reciprocity</i>	Guidance is recognized by all other federal agencies. None with foreign governments.
<i>Standards, Codes or Regulations</i>	Private sector or governmental standards as appropriate.
<i>Keywords</i>	environmental preferability; government procurement; government purchasing; recycling; waste prevention

*Products or  
Services***AUTOMOTIVE AFTERMARKET PARTS***Department/Agency*

Environmental Protection Agency (EPA)  
Office of Air and Radiation  
Office of Mobile Sources  
Vehicle Programs and Compliance Division  
Vehicle Compliance Programs Group (6405J)  
401 M Street, SW  
Washington, DC 20460  
Phone: (202) 564-9328  
FAX: (202) 565-2057  
URL address: <http://www.epa.gov/docs/OMSWWW.omshome.htm>

*Initiated*

1980. Program regulations were amended on August 8, 1989.

*Compliance*

Voluntary.

*Authority*

Section 207 (a) of the Clean Air Act, 42 U.S.C. 7541.  
40 CFR Part 85.

*Aim*

To enable vehicle owners to identify replacement parts that would not void the vehicle's emission warranty

*Benefits*

Vehicle owners have benefited from the availability of parts from competitive sources. Parts suppliers are able to compete with original equipment and vehicle manufacturers for aftermarket sales by being able to assure vehicle owners that their products are in compliance with EPA standards and the vehicle manufacturer's warranty for emission applies.

*Methodology*

Testing and certification is conducted by supplier after notifying EPA of intent to certify.

*Testing*

By supplier.

*Conformity  
Identification*

The part or its packaging shall bear the statement "Certified to EPA Standards."



<i>Availability of Documentation</i>	Requirements are set forth in 40 CFR Part 85, Subpart V.
<i>Obligations of the Manufacturer/Vendor</i>	Suppliers are required to establish and maintain records of all certification tests as well as other information related to the integrity of the parts and the certification procedures.
<i>Enforcement</i>	Decertification. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	None. See: <a href="http://www.ccar-greenlink.org">http://www.ccar-greenlink.org</a> for state contacts.
<i>Standards, Codes or Regulations</i>	Test procedures and criteria for certification of catalytic converters, positive crankcase ventilation valves, air filters, spark plugs, distributors and other ignition and carburetor components are specified in 40 CFR Part 85.
<i>Keywords</i>	aftermarket; air pollution; automotive parts; environment treatment; pollution control; replacement parts; vehicle emissions; warranty

Received 7/98

*Products or  
Services*

MOTOR VEHICLES (Automobile and Light Truck)  
ENGINES, GASOLINE AND DIESEL

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Air and Radiation  
Office of Mobile Sources  
Vehicle Programs and Compliance Division  
Vehicle Programs Group  
2000 Traverwood Drive  
Ann Arbor, MI 48105  
Phone: (734) 214-4281  
FAX: (734) 214-4869  
URL address: <http://www.epa.gov/OMSWWW/1d-hwy.htm>

*Initiated*

1972.

*Compliance*

Mandatory for manufacturers and distributors of motor vehicle engines, automobiles, light duty trucks, and motorcycles.

*Authority*

The Clean Air Act as amended in 1990, 42 U.S.C. 1857.

*Aim*

To control emissions from motor vehicles and engines in the interest of public health.

*Benefits*

The atmospheric environment has become cleaner through progressively more restrictive emissions of carbon monoxide, hydrocarbons, oxides of nitrogen, and particulates from internal combustion engines.

*Methodology*

Government conducts design approval, testing, and audits in conjunction with manufacturer's self-certification.

*Testing*

Uses government labs, government accredited lab, and manufacturer's labs.

*Inspection*

Inspection is conducted by government employees by third parties.

*Conformity  
Identification*

Authorized label by manufacturer.  
List of certified products.

<i>Availability of Documentation</i>	Lists available from EPA.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturer must qualify new engine designs, new emission control system designs, and existing engine and emission control system designs when emission regulations change.
<i>Enforcement</i>	EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	Annual with audit testing.
<i>Reciprocity</i>	Federal certification is recognized in all states except California. See: <a href="http://www.ccar-greenlink.org">http://www.ccar-greenlink.org</a> for state contacts and Clean Air Act Section 177: States.
<i>Standards, Codes or Regulations</i>	EPA prepares all criteria documents; some test methods prepared by others are referenced.
<i>Keywords</i>	aftermarket; carbon monoxide; diesel engines; environmental treatment; evaporative emissions replacement; exhaust emissions; gasoline engines; hydrocarbons; light duty trucks; motor vehicles; motorcycles; oxides of nitrogen; pollution control; vehicles; warranty

Received 8/98

*Products or  
Services*

**BUSES AND DIESEL TRUCKS**

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Air and Radiation  
Office of Mobile Sources (OMS)  
Engine Programs and Compliance Division  
Engine Compliance Programs Group  
401 M Street, SW (6403J)  
Washington, DC 20460  
Phone: (202) 564-9287  
FAX: (202) 565-2057  
URL address: <http://www.epa.gov/OMSwww/hd-hwy.htm>

*Initiated*

1994.

*Compliance*

Mandatory for manufacturers of heavy duty engines for trucks and buses.

*Authority*

The Clean Air Act of 1990.  
40 CFR Part 86

*Aim*

To control emissions from heavy duty trucks and buses in the interest of public health.

*Benefits*

The atmospheric environment has become cleaner through progressively more restrictive emissions of carbon monoxide, hydrocarbons, oxides of nitrogen, and particulates from internal combustion engines.

*Methodology*

Model year 1994 heavy duty diesel trucks and buses have to be built to reduce particulate releases. Model year 1998 heavy duty diesel truck and buses have to be built to reduce emissions of oxides of nitrogen. Government conducts design approval, testing, and audits in conjunction with manufacturer's self-certification.

*Testing*

Uses government labs, government accredited lab, and manufacturer's labs.

*Inspection*

Inspection is conducted by government employees.

<i>Conformity Identification</i>	Authorized label by manufacturer. List of certified products.
<i>Availability of Documentation</i>	See URL address or contact the address listed above.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturer must qualify new engine designs, new emission control system designs, and existing engine and emission control system designs when emission regulations change.
<i>Enforcement</i>	OMS can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a formal administrative response, such as an administrative penalty order; (3) initiate a civil judicial response; or (4) initiate a criminal judicial response. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	Annual with audit testing.
<i>Reciprocity</i>	Federal certification is recognized in all states except California and states which have adopted California Standards under the Clean Air Act Section 177. See: <a href="http://www.ccar-greenlink.org">http://www.ccar-greenlink.org</a> for state contacts.
<i>Standards, Codes or Regulations</i>	EPA prepares all criteria documents; some test methods prepared by others are referenced.
<i>Keywords</i>	buses; carbon monoxide; diesel engines; environmental treatment; evaporative emissions replacement; exhaust emissions; gasoline engines; hydrocarbons; trucks; motor vehicles; pollution control; vehicles; warranty

Received 7/98

*Products or  
Services*

LOW EMISSION VEHICLES - Final Rulemaking

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Air and Radiation  
Office of Mobile Sources  
National Low Emission Vehicle (NLEV) Program  
2000 Traverwood Drive  
Ann Arbor, MI 48105  
Phone: (734) 214-4380  
FAX: (734) 214-4869  
URL address: <http://www.epa.gov/OMSWWW/lev-nlev.html>

*Initiated*

Begins n Northeast in model year 1999. Begins nationwide in model year 2001.

*Compliance*

Voluntary.

*Authority*

The Clean Air Act of 1990.  
40 CFR Parts 85 and 86.

*Aim*

To encourage manufacturers to develop and consumers to buy low emission vehicles.

*Benefits*

The atmospheric environment has become cleaner through progressively more restrictive emissions of carbon monoxide, hydrocarbons, oxides of nitrogen, and particulates from internal combustion engines.

*Methodology*

Government inspection.

*Testing*

EPA. Manufacturers do testing as well and provide test data to EPA.

*Inspection*

EPA.

*Conformity  
Identification*

List of certified products.

*Availability  
of Documentation*

Lists will be available from EPA.

<i>Enforcement</i>	Removal from program; withdrawal of certification.
<i>Term</i>	Annual on a model year basis.
<i>Reciprocity</i>	Federal certification is recognized by other federal and state agencies. See: <a href="http://www.ccar-greenlink.org">http://www.ccar-greenlink.org</a> for state contacts.
<i>Standards, Codes or Regulations</i>	EPA prepares all criteria documents; some test methods prepared by others are referenced.
<i>Keywords</i>	low emissions vehicles; light trucks; automobiles



Received 8/98

*Products or  
Services*

NONROAD (Off-Road or Off-Highway) ENGINES (Lawn and  
Garden Equipment, Construction Equipment, Locomotives,  
Marine, Aviation, etc.)

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Air and Radiation  
Office of Mobile Sources (OMS)  
Engine Programs and Compliance Division  
Engine Compliance Programs Group  
401 M Street, SW (6403J)  
Washington, DC 20460  
Phone: (202) 564-9287  
FAX: (202) 565-2057  
URL address: <http://www.epa.gov/OMSWWW/nonroad.htm>

*Initiated*

1996. (Different years for industry/engine type.)

*Compliance*

Mandatory for manufacturers of nonroad vehicles.

*Authority*

The Clean Air Act of 1990.  
40 CFR Part 89-92.

*Aim*

To control emissions from nonroad engines which lead to  
air pollution in the interest of public health.

*Benefits*

The atmospheric environment has become cleaner through  
progressively more restrictive emissions of carbon  
monoxide, hydrocarbons, oxides of nitrogen, and  
particulates from internal combustion engines.

*Methodology*

Certified nonroad engines are required to be used after  
the effective date of the applicable regulations for  
specific types of engines.

*Testing*

Uses government labs, government accredited lab, and  
manufacturer's labs.

*Inspection*

Inspection is conducted by government employees and by  
the manufacturers themselves in certain instances.

*Conformity*

Authorized label by manufacturer.

*Identification*

List of certified products.

<i>Availability of Documentation</i>	See URL address or contact the address listed above.
<i>Obligations of the Manufacturer/Vendor</i>	Manufacturer must qualify new engine designs, new emission control system designs, and existing engine and emission control system designs when emission regulations change.
<i>Enforcement</i>	OMS can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a formal administrative response, such as an administrative penalty order; (3) initiate a civil judicial response; or (4) initiate a criminal judicial response. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Reciprocity</i>	Federal certification is recognized in all states except California and states which have adopted California standards under the Clean Air Act Section 177. See: <a href="http://www.ccar-greenlink.org">http://www.ccar-greenlink.org</a> for state contacts.
<i>Standards, Codes or Regulations</i>	EPA prepares all criteria documents; some test methods prepared by others are referenced.
<i>Keywords</i>	diesel engines; exhaust emissions; gasoline engines; nonroad vehicles; off-road vehicle; off-highway vehicles; outdoor power equipment; recreational vehicles; farm and construction equipment; boats; locomotives; pollution control

*Products or Services*

## VEHICLE INSPECTION AND MAINTENANCE PROGRAMS

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Mobile Sources  
Regional and State Programs Division  
2565 Plymouth Road  
Ann Arbor, MI 48105  
Phone: (313) 668-4438  
FAX: (313) 668-47906  
URL address: <http://www.epa.gov/OMSWWW/14-insp.htm>

*Compliance*

EPA established requirements which are mandated by many states.

*Authority*

1990 Clean Air Act, as amended.

*Aim*

To check whether the emission control system on a vehicle is working correctly to ensure that vehicles stay clean in actual customer use through periodic vehicle checks and required repairs for vehicles that fail the test.

*Benefits*

Though motor vehicle manufacturers have been required to meet increasingly stringent vehicle pollution standards, poorly maintained or malfunctioning emission controls often cause emissions from a vehicle to increase -- sometimes dramatically. Effective inspection and maintenance programs can identify problem vehicles and assure their repair.

*Methodology*

Agency establishes requirements for implementation at the state level. States design and operate inspection and maintenance programs in accordance with national policy set by EPA.

*Testing*

States or state recognized facilities

*Inspection*

States or state recognized facilities

*Conformity*

Varies by state.

*Identification*

<i>Availability of Documentation</i>	Documentation on effective inspection and maintenance programs is available from EPA. Fact Sheet OMS-14 "Clean Cars for Clean Air: Inspection and Maintenance Programs" is available on the web at <a href="http://www.epa.gov/OMSWWW/14-insp.htm">http://www.epa.gov/OMSWWW/14-insp.htm</a>
<i>Enforcement</i>	Enforcement is at the state level.
<i>Term</i>	Varies by state.
<i>Reciprocity</i>	None. See: <a href="http://www.ccar-greenlink.org">http://www.ccar-greenlink.org</a> for state contacts.
<i>Standards, Codes or Regulations</i>	These are contained in EPA-AA-RSPD-IM-96-2 "Acceleration Simulation Mode Test Procedures, Emission Standards, Quality Control Requirements, and Equipment Specifications: Technical Guidance."
<i>Keywords</i>	vehicles; emission standards; vehicles emissions testing/inspection

<i>Products or Services</i>	Not Received EQUIPMENT AND OPERATORS WHICH SERVICE MOTOR VEHICLE AIR CONDITIONERS (MVACS)
<i>Department/Agency</i>	Environmental Protection Agency (EPA) Office of Mobile Sources Vehicle Programs and Compliance Division 2565 Plymouth Road Ann Arbor, MI 48105 Phone: (313) 668-4471 FAX: (313) 668-4869
<i>Initiated</i>	1992.
<i>Compliance</i>	Mandatory.
<i>Authority</i>	P.L. 101-549; Clean Air Act Amendments of 1990, Section 609. 40 CFR Part 82.
<i>Aim</i>	To maximize the recapture and recycling of refrigerant during the servicing of motor vehicle air conditioners.
<i>Benefits</i>	The protect the stratospheric ozone and allow for a smooth transition away from ozone depleting substances.
<i>Methodology</i>	Operators must be certified under an approved 609 program prior to offering services. EPA restricts the sale of small containers of Class I and Class II substances appropriate for use in motor vehicle air conditioners to certified personnel. Recovery and/or recycling equipment must be approved by EPA and must meet the requirements of the Society of Automotive Engineers (SAE) standards for approval. Recovery-only equipment must meet SAE Standard J-2209. Reclaimers must also be EPA approved.
<i>Testing</i>	Personnel testing is conducted by private industry programs approved by EPA.
<i>Inspection</i>	EPA performs inspections.

<i>Conformity Identification</i>	Certifying programs issue identification numbers to individual certified technicians. Certificates for such technicians are generally found framed on the wall of the shop or on wallet-sized cards carried by technicians. Each technician must have his own certification. EPA approved equipment must have a label indicating UL, ARI or EPA approval.
<i>Availability of Documentation</i>	EPA maintains a list of technician certification programs and approved equipment.
<i>Enforcement</i>	The Clean Air Act authorizes fines of up to \$25,000 per day of violation. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	Recertification not required.
<i>Reciprocity</i>	None. See: <a href="http://www.ccar-greenlink.org">http://www.ccar-greenlink.org</a> for state contacts.
<i>Standards, Codes or Regulations</i>	40 CFR Part 82, Subpart B (published in the <i>Federal Register</i> July 14, 1992).
<i>Keywords</i>	air conditioner; CFCs; chemicals; environmental hazards; motor vehicles; Class I or II substances; restricted use; vehicles



Received 6/98

*Products or  
Services*

UNDERGROUND STORAGE TANKS (UST'S) AND ASSOCIATED  
PIPING (Which Hold Petroleum Products or Certain  
Chemicals)

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Solid Waste and Emergency Response (OSWER)  
Office of Underground Storage Tanks (OUST)  
401 M Street, SW (Mail Code 5403G)  
Washington, DC 20460  
Phone: (703) 603-9900  
RCRA Hotline: 1-800-424-9346  
FAX: (703) 603-9163  
URL address: <http://www.epa.gov/swerust1/index.htm>

*Initiated*

Final rule issued in 1988.

*Compliance*

Mandatory.

*Authority*

Resource Conservation and Recovery Act (RCRA).  
See also 40 CFR Parts 280 and 281.  
Individual state and territorial programs are codified  
in 40 CFR 282.50-105.

*Aim*

To prevent underground storage tanks from leaking  
petroleum or other hazardous substances into the  
surrounding environment.

*Benefits*

Protects human health, safety, and the environment.

*Methodology*

Facilities with USTs must meet federal requirements  
specified in the CFR references listed above.

*Testing*

Tanks should comply with testing requirements contained  
in the CFR references listed above.

*Inspection*

Inspection requirements are specified in the CFR  
references listed above.

*Conformity*

None.

*Identification*



<i>Availability of Documentation</i>	See URL address or contact EPA at the above address for additional information.
<i>Enforcement</i>	See 40 CFR 281 Subparts A-F. States with approved programs are responsible for enforcement.
<i>Term</i>	N/A.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	See 40 CFR Parts 280 and 281.
<i>Keywords</i>	underground storage tanks; USTs; hazardous substances storage; petroleum; storage tanks

*Products or  
Services*

HAZARDOUS WASTE COMBUSTION FACILITIES

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Solid Waste and Emergency Response (OSWER)  
Office of Solid Waste  
401 M Street, SW  
Washington, DC 20460  
Phone: (703) 412-9810  
RCRA Hotline: 1-800-424-9346  
URL address:  
<http://www.epa.gov/epaoswer/hazwaste/combust.htm>

*Initiated*

1981 for incinerators.  
1991 for boilers and industrial furnaces.

*Compliance*

Mandatory.

*Authority*

Resource Conservation and Recovery Act (RCRA), 40 CFR 260-270. Individual state and territorial programs are also codified.

*Aim*

To reduce the amount of hazardous waste generated in this country and to improve the safety and reliability of hazardous waste combustion in incinerators and boilers and industrial furnaces (BIFs).

*Benefits*

See *Aim*.

*Methodology*

To work with states to co-regulate hazardous waste burning facilities. Agency serves as certifier where there is no approved state program.

*Testing*

Testing is likely to be required by EPA or state employees or organizations recognized by responsible agencies. Testing requirements and frequency may vary by state, though they must be consistent with (at least as stringent as) federal requirements.

*Inspection*

EPA or state employees or organizations recognized by responsible agencies. See also *Testing*.

<i>Conformity Identification</i>	Permits issued by EPA or the appropriate state agencies.
<i>Availability of Documentation</i>	See URL address or contact EPA at the above address for additional information.
<i>Enforcement</i>	States with approved programs are responsible for enforcement. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	Unknown. May vary by state.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	40 CFR Part 264 Subpart O (Incinerators). 40 CFR Part 266 Subpart H (Boilers and industrial furnaces).
<i>Keywords</i>	boilers; combustion; furnaces; hazardous waste; incinerators; industrial furnaces

Received 3/98

*Products or  
Services*

WASTE TREATMENT, STORAGE AND DISPOSAL FACILITIES;  
ALSO SOLID WASTE FROM: WASTEWATER TREATMENT PLANTS,  
WATER SUPPLY TREATMENT PLANTS, AIR POLLUTION CONTROL  
FACILITY, INDUSTRIAL, COMMERCIAL, MINING AND  
AGRICULTURAL OPERATIONS AND FROM COMMUNITY ACTIVITIES  
(See Also EPA Entries for Specific Industrial Sectors)

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Solid Waste and Emergency Response (OSWER)  
Office of Solid Waste  
401 M Street, SW  
Washington, DC 20460  
Phone: (703) 412-9810  
RCRA Hotline: 1-800-424-9346  
e-mail: rcra-docket@epamail.epa.gov  
URL address: <http://www.epa.gov/osw>

*Initiated*

1976.

*Compliance*

Mandatory.

*Authority*

Resource Conservation and Recovery Act (RCRA).  
40 CFR 258-270.  
Information on hazardous waste injection wells is  
contained in 40  
CFR 144-148.  
Individual state and territorial programs may also have  
codified  
requirements.

*Aim*

To reduce the amount of waste generated in this country  
and to improve the safety, efficacy, and reliability of  
waste treatment, storage and disposal facilities.

*Benefits*

Protection of human health and the environment from the  
hazards associated with solid waste.

*Methodology*

To work with states to co-regulate waste treatment,  
storage and disposal. Such activities are controlled by  
state and federal requirements. Agency serves as  
certifier where there is no approved state program.

<i>Testing</i>	Testing, where required, is conducted by EPA, state employees or organizations recognized by responsible agencies. Testing requirements and frequency may vary by state, though they must be consistent with (at least as stringent as) federal requirements.
<i>Inspection</i>	EPA or state employees or organizations recognized by responsible agencies. See also <i>Testing</i> .
<i>Conformity Identification</i>	Permits issued by EPA or the appropriate state agencies.
<i>Availability of Documentation</i>	See URL address or contact EPA at the above address for additional information.
<i>Enforcement</i>	States with approved programs are responsible for enforcement. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	Unknown. May vary by state.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	See 40 CFR Parts 258-270.
<i>Keywords</i>	hazardous waste injection wells; lead; solid waste; waste treatment facilities; waste storage facilities; waste disposal facilities

Received 3/98

*Products or  
Services*

FACILITIES THAT GENERATE/TRANSPORT/TREAT/STORE OR  
DISPOSE OF HAZARDOUS WASTE (See Also EPA Entries for  
Specific Industrial Sectors)

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Solid Waste and Emergency Response (OSWER)  
Office of Solid Waste  
401 M Street, SW  
Washington, DC 20460  
Phone: (703) 412-9810  
RCRA Hotline: 1-800-424-9346  
e-mail: rcra-docket@epamail.epa.gov  
URL address: <http://www.epa.gov/osw>

*Initiated*

1976.

*Compliance*

Mandatory.

*Authority*

Resource Conservation and Recovery Act (RCRA), 40 CFR  
260-270. Individual state and territorial programs may  
also have codified requirements.

*Aim*

To reduce the amount of hazardous waste generated in  
this country and to improve the safety, efficacy, and  
reliability of hazardous waste generating, treatment,  
storage and disposal facilities.

*Benefits*

Protection of human health and the environment from the  
hazards associated with hazardous waste.

*Methodology*

To work with states to co-regulate hazardous waste  
generation, treatment, storage and disposal. Such  
activities are controlled by state and federal  
requirements. Handlers of hazardous waste must meet  
certain regulatory requirements. Generators and  
transporters must have government issued identification  
numbers, and comply with other regulations regarding the  
handling of hazardous waste. Treatment, storage and  
disposal facilities must meet even more stringent  
requirements, and must have a permit to operate. Agency  
serves as certifier where there is no approved state  
program.



<i>Testing</i>	Testing, where required, is conducted by EPA, state employees or organizations recognized by responsible agencies. Testing requirements and frequency may vary by state, though they must be consistent with (at least as stringent as) federal requirements.
<i>Inspection</i>	EPA or state employees or organizations recognized by responsible agencies. See also <i>Testing</i> .
<i>Conformity Identification</i>	Permits issued by EPA or the appropriate state agencies.
<i>Availability of Documentation</i>	See URL address or contact EPA at the above address for additional information.
<i>Enforcement</i>	States with approved programs are responsible for enforcement. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	Varies by state.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	See 40 CFR 260-270.
<i>Keywords</i>	hazardous waste injection wells; hazardous waste; hazardous waste treatment facilities; hazardous waste storage facilities; hazardous waste disposal facilities



*Products or  
Services*

NEW RESIDENTIAL WOOD HEATERS

*Department/Agency*

U.S. Environmental Protection Agency (EPA)  
Office of Compliance  
Manufacturing, Energy & Transportation Division (2223-A)  
Wood Heater Program  
401 M Street, SW  
Washington, DC 20460  
Phone: (202) 564-7021  
FAX: (202) 564-0039  
URL address: <http://es.epa.gov/oeca/metd/stoves/html>

*Initiated*

1987.

*Compliance*

Mandatory.

*Authority*

Section 111 of the Clean Air Act.  
Standards of Performance for New Stationary Sources; New  
Residential Wood Heaters (40 CFR Part 60).

*Aim*

To require all new residential wood heaters to reduce  
emissions of particulate matter (PM) to levels  
achievable by the best demonstrated system of continuous  
emission reduction.

*Benefits*

Lower emissions of PM, increased wood heater efficiency  
by reduced wood consumption and a reduction in the  
creosote deposition in chimneys lessening the chance of  
chimney fires.

*Methodology*

An EPA accredited laboratory must conduct emissions  
testing for certification and submit the results to EPA.  
EPA certifies a representative model line. EPA has  
field inspectors throughout the country who inspect  
manufacturing and retail sites regularly to ensure  
compliance. Random compliance audit and selective  
enforcement audit programs are conducted.

<i>Testing</i>	EPA accredited, third party laboratories are responsible for conducting certification testing. For further information, contact: Emission Monitoring and Analysis Division SCGB (MD 19), U.S. EPA, Research Triangle Park, NC 27711, Att: Wood Heater Accreditation, Triangle Park, NC 27711, Att: Wood Heater Laboratory Accreditation.
<i>Inspection</i>	See <i>Testing</i> .
<i>Conformity Identification</i>	A model line which has been approved by EPA is granted a certificate which is good for 5 (five) years. The manufacturer must attach a permanent label and a temporary label to each unit. The permanent label must have the serial number, month and year of manufacturer, and model name or number.
<i>Availability of Documentation</i>	Certified stove lists, brochures, and other information can be obtained from the Federal Programs Section of the Stationary Source Compliance Division.
<i>Enforcement</i>	Revocation of certification. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	A certificate is valid for 5 (five) years.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	See 40 CFR Part 60.
<i>Keywords</i>	wood heater; wood stove; emissions

<i>Products or Services</i>	DRINKING WATER (Laboratory Certification Criteria)
<i>Department/Agency</i>	Environmental Protection Agency (EPA) Office of Ground Water and Drinking Water Drinking Water Standards Division 401 M Street, SW Washington, DC 20460 Phone: (202) 260-7575 Safe Drinking Water Hotline: 1-800-426-4794 FAX: (202) 260-3762 URL address: <a href="http://www.epa.gov/OGWDW/">http://www.epa.gov/OGWDW/</a>
<i>Initiated</i>	1974.
<i>Compliance</i>	<p>Mandatory. Laboratories performing drinking water analysis to demonstrate compliance with regulations must be certified as capable of delivering acceptable performance.</p> <p>States seeking to operate a drinking water regulatory program must implement a laboratory certification program based on federal standards; otherwise EPA's Regional Offices will certify laboratories in the State.</p>
<i>Authority</i>	Safe Drinking Water Act (42 U.S.C. 300), as amended. National Primary Drinking Water Regulations (40 CFR Parts 141 and 142).
<i>Aim</i>	To provide scientifically sound criteria for the evaluation of drinking water laboratories and associated method performance in the disciplines of chemistry, microbiology, and radiochemistry.
<i>Benefits</i>	Ensures high quality analytical information in support of Agency's drinking water and public health objectives.
<i>Methodology</i>	Government design of certification program with primarily state oversight. Key elements include recordkeeping, inspection, audit, and performance evaluation samples. Act requires that data from a laboratory be acceptable only after laboratory is certified; however, laboratory must be in operation

before it can be certified. Agency serves as certifier in cases where there is no approved state program.

<i>Testing</i>	Government labs. State labs.
<i>Inspection</i>	Government. State labs.
<i>Conformity Identification</i>	Certified labs are issued certificates identifying areas of competency. Certifying authorities maintain lists of labs which have been issued certificates.
<i>Availability of Documentation</i>	Lists are available from state certifying authorities and EPA Regional Offices.
<i>Obligations of the Manufacturer/Vendor</i>	Certified labs must complete periodic performance evaluations satisfactorily, maintain competency in approved methods, notify certifier of changes in staff or equipment and submit to periodic on-site evaluations.
<i>Enforcement</i>	Delisting. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	Three years if certified by EPA or most states; some states recertify more frequently.
<i>Reciprocity</i>	States are expected to develop procedures for recognizing certifications among themselves.
<i>Standards, Codes or Regulations</i>	EPA develops methods and QA/QC criteria.
<i>Keywords</i>	chemistry; drinking water; microbiology; on-site evaluation; performance evaluation; pollution; quality assurance; radiochemistry; water quality

*Products or  
Services*

OPERATORS OF DRINKING WATER SYSTEMS

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Ground Water and Drinking Water (OGWDW)  
Implementation and Assistance Division (4606)  
401 M Street, SW  
Washington, DC 20460  
Phone: (202) 260-7575  
Safe Drinking Water Hotline: 1-800-426-4794  
FAX: (202) 260-3762  
e-mail: naylor.rick@epamail.epa.gov or  
URL address: <http://www.epa.gov/OGWDW/>

*Initiated*

Under development.

*Compliance*

Mandatory. Operators of all drinking water systems will be required to obtain state certification.

*Authority*

Safe Drinking Water Act (42 U.S.C. 300), as amended.  
National Primary Drinking Water Regulations (40 CFR  
Parts 141 and 142).

*Aim*

To set minimum operator certification standards to be used by the states in their certification programs. Drinking Water operator competency is critical for the protection of public health and the maintenance of safe, optimal, and reliable operations of water treatment and distribution facilities.

*Benefits*

Minimum Federal guidelines ensure that operators have the operational skills, knowledge, experience, education, and training required to operate a water system.

*Methodology*

Agency develops recommended state operator certification guidelines and issues guidelines specifying minimum standards for certification and recertification of the operators of community and nontransient, noncommunity public water systems. States are required to implement the minimum guidelines or an equivalent state program to avoid a reduction in its drinking water state revolving fund allocation.



<i>Testing</i>	State agencies or their designees.
<i>Inspection</i>	State agencies or their designees.
<i>Conformity Identification</i>	Operators will be issued certification certificates by the appropriate state authority.
<i>Availability of Documentation</i>	Lists of certifying agencies and criteria should be available from EPA when the program is operational.
<i>Obligations of the Manufacturer/Vendor</i>	Must apply for certification and meet the required certification criteria.
<i>Enforcement</i>	Delisting. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	May vary by State.
<i>Reciprocity</i>	State program requirements must be "substantially equivalent" to federal guidelines published by EPA.
<i>Standards, Codes or Regulations</i>	EPA will develop federal guidelines.
<i>Keywords</i>	drinking water; water systems; water system operators; operator competency; water quality

*Products or  
Services*

CERTIFICATION OF PRIVATE AND COMMERCIAL APPLICATORS  
OF RESTRICTED USE PESTICIDES

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Pesticide Programs  
Certification and Worker Protection Branch  
401 M Street, SW  
Crystal Mall 2  
Washington, DC 20460-0001  
Phone: (703) 305-7666  
URL address: <http://www.epa.gov/pesticides>

*Initiated*

1972.

*Compliance*

Mandatory.

*Authority*

The Federal Insecticide, Fungicide, and Rodenticide Act  
(FIFRA - P.L. 94149 and P.L. 95396.  
40 CFR Part 171.  
Various state laws and regulations.  
Food Quality Protection Act of 1996.

*Aim*

To ensure that pesticides posing relatively high risk,  
or which are difficult to use, are used only by or under  
the direct supervision of competent, certified persons.

*Benefits*

Reduced risk to human health and the environment while  
maintaining necessary tools with which to control  
agricultural, public health, and other pest species.

*Methodology*

Agency oversees state programs to certify applicators  
and serves as certifier of applicators in Colorado and  
Nebraska. Applicator may not apply restricted use  
pesticides until competency is demonstrated and  
certification is received. Uses government facilities  
in Colorado and Nebraska; state facilities in all other  
states and territories.

*Testing*

Testing is conducted by the certifying agency for  
commercial applicators; in some cases, states test  
private applicators as well.

*Inspection*

Same basis as testing.



<i>Conformity Identification</i>	Certifying states issue identification numbers to individual certified applicators.
<i>Availability of Documentation</i>	Each state maintains a controlled list of certified applicators. Contacts in states are available from the states or EPA. Lists of certified applicators in Colorado and Nebraska are available from the EPA.
<i>Obligations of the Manufacturer/Vendor</i>	Certified applicators and/or their employees are obligated to limit applications to those restricted pesticides registered for uses for which they have been certified.
<i>Enforcement</i>	Delisting or limitation of certification by certifying agency; fines under FIFRA and governing laws of many states. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	State certification terms vary from one to six years; the term for federal certification is four years for private applicators and three for commercial applicators.
<i>Reciprocity</i>	Reciprocity among states is based on state agreements. No formal list of reciprocal relations is available.
<i>Standards, Codes or Regulations</i>	Minimum Certification Standards are found at 40 CFR Part 171. Certification standards also are promulgated by the states and must be as stringent as, or more stringent than those required at 40 CFR Part 171.
<i>Keywords</i>	chemicals; environmental hazards; fungicides; insecticides; pesticides; registered chemicals; restricted use; rodenticides; termiticides

*Products or  
Services*

AGRICULTURAL WORKER PROTECTION

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Pesticide Programs  
Worker Protection Program  
401 M Street, SW  
Washington, DC 20460-0001  
Phone: (703) 305-7666  
FAX: (703) 305-6920  
URL address: <http://www.epa.gov/pesticides>

*Initiated*

Initiated August 21, 1992. See 57 *Federal Register* 38151.

*Compliance*

Mandatory.

*Authority*

The Federal Insecticide, Fungicide, and Rodenticide Act  
FIFRA - P.L. 94149 and P.L. 95396.  
Various state laws and regulations.  
Food Quality Protection Act of 1996.

*Aim*

To reduce the risk of pesticide poisonings and injuries among agricultural workers who are exposed to pesticide residues and to reduce the risk of pesticide poisoning and injuries among pesticide handlers who may face more hazardous levels of exposure.

*Benefits*

See *Aim*.

*Methodology*

EPA has established the Worker Protection Standard (WPS) and oversees state programs designed to ensure worker safety. EPA implements several programs to protect workers from risks posed by pesticides in partnership with state agencies. The WPS contains requirements for pesticide safety training, notification of pesticide applications, use of personal protective equipment, restricted entry intervals following pesticide applications, decontamination supplies, and emergency medical assistance.

*Testing*

Is associated with certification and training and administered by state employees or their designees.

*Inspection*

Primarily by state employees or their designees.

<i>Conformity Identification</i>	Certification issues by the states.
<i>Availability of Documentation</i>	The Worker Protection Standard is available on the EPA website at the URL address listed above.
<i>Obligations of the Manufacturer/Vendor</i>	Training is required for all worker and handlers. In addition, employers must comply with WPS requirements.
<i>Enforcement</i>	Enforcement is primarily at the state level, though EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	Ongoing requirements, though term for certifications varies by state.
<i>Reciprocity</i>	Requirements are enforced at the state level, though states may impose additional requirements.
<i>Standards, Codes or Regulations</i>	See Worker Protection Standard.
<i>Keywords</i>	agricultural workers; pesticides; farm workers; forestry workers; nursery workers; greenhouse workers; pesticide handlers worker protection

*Products or  
Services*

ANTIMICROBIAL PRODUCTS

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Pesticide Programs  
Antimicrobial Division (Mail Code 7510W)  
401 M Street, SW  
Washington, DC 20460-0001  
Ombudsperson: Phone: (703) 308-6212  
FAX: (703) 308-4687  
URL address: <http://www.epa.gov/pesticides>

*Initiated*

1970.

*Compliance*

Mandatory.

*Authority*

The Federal Insecticide, Fungicide, and Rodenticide Act  
(FIFRA).  
Food Quality Protection Act of 1996.

*Aim*

To ensure that pesticides do not pose an unreasonable  
risk or to health and the environment.

*Benefits*

Reduced risk to human health and the environment while  
maintaining necessary tools with which to control  
agricultural, public health, and other pest species.

*Methodology*

Applicants submit an application to EPA with required  
information on the chemical composition of the  
pesticide; labeling and packaging for the pesticide.  
EPA reviews the documentation submitted by the  
manufacturer and registers the pesticide if appropriate.

*Testing*

Testing must be performed by the manufacturer and the  
required test data/information submitted to EPA for  
review. Any changes must be notified in accordance with  
regulations.

*Conformity  
Identification*

Registration.

*Availability  
of Documentation*

See CFR references listed above as well as information  
at the above URL address.

<i>Obligations of the Manufacturer/Vendor</i>	Must submit an application from a responsible official in the company to EPA containing the required information, certifications, and test data.
<i>Enforcement</i>	See FIFRA section 12 and 14. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. EPA is also able to immediately suspend registrations in an emergency. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	Good till cancelled, though EPA is attempting to initiate a 15 year review cycle for all registrations.
<i>Reciprocity</i>	EPA's requirements are recognized and enforced by the states, which may also impose additional requirements.
<i>Standards, Codes or Regulations</i>	See CFR references listed above.
<i>Keywords</i>	antimicrobial products; chemicals; environmental hazards; fungicides; insecticides; packaging; pesticides; registered chemicals; rodenticides; termiticides

*Products or  
Services***PESTICIDES***Department/Agency*

Environmental Protection Agency (EPA)  
 Office of Pesticide Programs  
 Registration Division (Mail Code: 7505C)  
 401 M Street, SW  
 Washington, DC 20460-0001  
 For general questions on registration, contact:  
 Registration Division Ombudsperson  
 Phone: (703) 305-5446  
 FAX: (703)-305-6920  
 For pesticide information, contact:  
 National Pesticide Telecommunications Network  
 (NPTN): 1-800-858-7378  
 For Biopesticides and Pollution Prevention information  
 contact:  
 For Biopesticides and Pollution Prevention Division  
 (Mail Code: 7501W)  
 Phone: (703) 308-8098  
 FAX: (703) 308-8712  
 For Antimicrobial information: See prior entry.  
 NPTN E-Mail: [nptn@ace.orst.edu](mailto:nptn@ace.orst.edu)  
 URL address: <http://www.epa.gov/pesticides/chemreg.htm>  
 or (NPTN) <http://ace.orst.edu/info/nptn>

*Initiated*

1970.

*Compliance*

Mandatory.

*Authority*

The Federal Insecticide, Fungicide, and Rodenticide Act  
 (FIFRA) as amended by the Food Quality Protection Act of  
 1996 (FQPA). (7 U.S.C. 136, et seq.)  
 Federal Food, Drug and Cosmetic Act as amended by the  
 FQPA.;

*Aim*

To ensure that pesticides do not pose an unreasonable  
 risk or to health and the environment.

*Benefits*

Reduced risk to human health and the environment while  
 maintaining necessary tools with which to control  
 agricultural, public health, and other pest species.



<i>Methodology</i>	Applicants submit an application to EPA with required information on the chemical composition of the pesticide; labeling and packaging for the pesticide. EPA reviews the documentation submitted by the manufacturer and registers the pesticide if appropriate. EPA also maintains the Pesticide Product Information System (PPIS), which contains information on all pesticide products registered in the United States.
<i>Testing</i>	Testing must be performed by the manufacturer and the required test data/information submitted to EPA for review. Any changes must be notified in accordance with regulations.
<i>Conformity Identification</i>	Registration/registration number. Registered product information is also contained in the PPIS.
<i>Availability of Documentation</i>	See references listed above as well as information at the above URL addresses. A updated edition of "General Information on Applying for Registration of Pesticides in the United States" is expected to be available in the Spring of 1998. The new edition will incorporate regulatory changes resulting from the passage of the Food Quality Act of 1996.
<i>Obligations of the Manufacturer/Vendor</i>	Must submit an application from a responsible official in the company to EPA containing the required information, certifications, and test data.
<i>Enforcement</i>	See FIFRA section 12 and 14. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. EPA is also able to immediately suspend registrations in an emergency. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	Good till cancelled, though EPA is attempting to initiate a 15 year review cycle for all registrations.
<i>Reciprocity</i>	EPA's requirements are recognized and enforced by the states, which may also impose additional requirements.



*Standards, Codes  
or Regulations*

See references listed above.

*Keywords*

chemicals; cockroach sprays/baits; defoliants;  
desiccants; disinfectants; environmental hazards; flea  
sprays; fungicides; fumigants; growth regulators; insect  
repellant; insecticides; miticides; molluscicides;  
nematicides; ovicides; packaging; pesticides; pet  
collars; registered chemicals; rodenticides; swimming  
pool chemicals; termiticides; tick sprays; weed killers

*Products or  
Services*

## PESTICIDE PACKAGING

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Pesticide Programs  
Registration Division  
Technical Review Branch (7505-W)  
401 M Street, SW, Room  
Crystal Mall 2  
Washington, DC 20460-0001  
Phone: (703) 305-5447  
URL address: <http://www.epa.gov/pesticides>

*Initiated*

1970.

*Compliance*

Mandatory.

*Authority*

The Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) section 25(c)(3) requires EPA's child resistant packaging (CRP) standards to be consistent with those established under the Poison Prevention Packaging Act of 1970 (PPPA). EPA's regulations at 40 CFR 157.32 reference the Consumer Product Safety Commission (CPSC) packaging standards and testing procedures for CRP (16 CFR 1700.15(b) and 1700.20).

*Aim*

To ensure that pesticides packaging resists entry by most young children and must not be difficult for most adults to open and properly resecure.

*Benefits*

Reduced risk of poisoning or other injury to young children.

*Methodology*

Agency adopts and enforces CPSC's CRP standards. Applicants submit an application to EPA to obtain a CRP certification for their packaging based on self-certification by the manufacturers that the product as packaged meets CRP requirements.

*Testing*

Must be conducted by manufacturer in accordance with testing requirements established by CPSC.

*Inspection*

Same as testing.

<i>Conformity Identification</i>	Registration.
<i>Availability of Documentation</i>	See CFR references listed above as well as the above URL address.
<i>Obligations of the Manufacturer/Vendor</i>	Must submit an application form with a CRP certification from a responsible official in the company to EPA and conduct the required testing.
<i>Enforcement</i>	See FIFRA section 12 and 14. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	Packaging is approved until changes are made in the CPSC requirements. Then packaging must be modified and reapproved based on those changes.
<i>Reciprocity</i>	EPA's requirements are recognized and enforced by the states, which may also impose additional requirements.
<i>Standards, Codes or Regulations</i>	See CFR references listed above.
<i>Keywords</i>	chemicals; child resistant packaging; CRP; environmental hazards; fungicides; insecticides; packaging; pesticides; registered chemicals; rodenticides

*Products or  
Services*RADON MEASUREMENT, MITIGATION, TRAINING AND EDUCATION  
SERVICES*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Radiation and Indoor Air  
Indoor Environments Division  
National Radon Proficiency Program (RPP)  
Radon Proficiency Program Information Service (RIS)  
401 M Street, SW  
Washington, DC 20460  
Phone: 1-800-962-4684 or (334) 270-3414  
FAX: (334) 270-3471 or (334) 270-4354  
National Safety Council's Radon Hotline: 1-800-55-RADON  
e-mail: mail10554@pop.net or poppell.sam@epamail.epa.gov  
URL address: <http://www.epa.gov/radonpro/>

*Initiated*

February 1986

*Compliance*

Voluntary.

*Authority*

Title III of TSCA, Section 305(a) (2) of the Indoor  
Radon Abatement Act (IRAA) of 1988.

*Aim*

To assess the proficiency of individuals and  
organizations providing radon in indoor air measurement  
services and individuals that offer radon mitigation  
(remediation) services.

*Benefits*

Allows consumers to purchase radon services from EPA-  
listed individuals and organizations providing consumers  
with some assurance of their competency.

*Methodology*

Agency approves state implementation plans (SIPS).  
Applicants must meet a number of programmatic  
requirements, e.g., submission of an application,  
adherence to sound QA/QC practices, passing a device  
performance test for analytical services, etc. In order  
to remain listed participants must also meet  
requirements on a continual basis.

*Testing*

Passing of a device performance test is required for  
analytical services listing.

<i>Inspection</i>	None.
<i>Conformity Identification</i>	EPA maintains a list of qualified participants which appear in the Proficiency Listings. Also issues photo ID cards showing the individual's/organization's status for some service categories.
<i>Availability of Documentation</i>	Additional information is available from the URL address listed above, or from the above address.
<i>Obligations of the Manufacturer/Vendor</i>	See <i>Methodology</i> . Requirements vary based on service category.
<i>Enforcement</i>	Removal from Listings. In addition, EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	One year.
<i>Reciprocity</i>	None, though other federal and state agencies use these listings in their communications and consumer publications.
<i>Standards, Codes or Regulations</i>	See RPP Handbook for requirements, EPA 402-R-95-013, July 1996.
<i>Keywords</i>	radon; air pollution; radon mitigation services; radon measurement services

*Products or  
Services*

## NEW ENVIRONMENTAL TECHNOLOGIES

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Research and Development  
National Risk Management Research Laboratory  
Environmental Technology Verification Program (ETV)  
401 M Street, SW  
Washington, DC 20460  
Phone: (202) 564-3211  
FAX: (202) 565-0075  
URL address: <http://www.epa.gov/etv>

*Initiated*

1996.

*Compliance*

Voluntary.

*Authority*

President's Environmental Technology Strategy;  
Congressional Appropriation.

*Aim*

The Environmental Technology Verification Program (ETV) verifies the performance of innovative technical solutions to problems that threaten human health or the environment.

*Benefits*

Helps to accelerate the entrance of new environmental technologies into the domestic and international marketplace by providing technology buyers, innovation developers, consulting engineers, states, and EPA regions with high quality data on the performance of new technologies.

*Methodology*

EPA competitively selects partner organizations to design, manage, test, report and quality assure the evaluation of environmental technologies in all media. Operational, test and report protocols are developed by Stakeholder Groups that consist of representative members of groups that are expected to use the data produced (e.g., state and federal regulators, consulting engineers, permittees, technology users/purchasers, and technology vendors.)



<i>Testing</i>	Verification is conducted under protocols and test plans by partner organization or by others operating under the oversight of partner organizations. Quality is assured through the implementation of a program-wide ANSI E4 Quality Management Plan operated under EPA oversight. Test reports and verification statements are independently peer reviewed and signed by EPA officials and their partners.
<i>Inspection</i>	ETV does not conduct operational inspections (See <i>Testing</i> ).
<i>Conformity Identification</i>	Test reports and the ETV mark.
<i>Enforcement</i>	Voluntary program.
<i>Term</i>	Ongoing.
<i>Reciprocity</i>	None, though this information is accepted by other state and federal government agencies.
<i>Standards, Codes or Regulations</i>	Based on test protocols developed by EPA in conjunction with all interested stakeholders.
<i>Keywords</i>	air pollution control technologies; drinking water technologies; indoor air products; pollution prevention research and waste treatment technology; wet weather flow control systems; source water protection technologies; climate change technologies; metal finishing technologies; environmental technologies; advanced monitoring systems; field monitoring systems.



*Products or Services*

## INNOVATIVE TECHNOLOGY DEMONSTRATION AND EVALUATION

*Department/Agency*

Environmental Protection Agency (EPA)  
Office of Research and Development  
Superfund Innovative Technology Evaluation (SITE) Program  
National Risk Management Research Laboratory  
26 West Martin Luther King Drive  
Phone: (513) 569-7697  
FAX: (513) 569-7620  
URL address: <http://www.epa.gov/ORD/SITE>

*Initiated*

1986.

*Compliance*

Voluntary.

*Authority*

Comprehensive Environmental Response, Compensation and Liability Act (1980), as amended by the Superfund Amendments and Reauthorization Act (1986), and other congressional mandates.

*Aim*

The goal of the SITE Program is to evaluate demonstrations of innovative or alternative technologies to provide performance, cost, and applicability information for cleanup decision making.

*Benefits*

Assists in the development and use of innovative treatment and monitoring and measurement technologies. Provides environmental decision makers with data on new, viable treatment technologies. Assists in the introduction of new environmental technologies into the commercial marketplace.

*Methodology*

Technologies are field tested on hazardous waste materials. Engineering and cost data are gathered on the innovative technology so that potential users can assess the applicability of the technology to a particular site.

*Testing*

Technology evaluations are performed with SITE Program oversight. Testing protocols are developed by EPA using Agency quality assurance protocols with input from all technology developers and other stakeholders.

<i>Inspection</i>	The SITE Program is responsible for assurance of the quality of the final product(s) of the demonstration.
<i>Conformity Identification</i>	Final reports.
<i>Enforcement</i>	This program is conducted on a voluntary basis.
<i>Term</i>	N/A.
<i>Reciprocity</i>	None, though this information is accepted by other state and federal government agencies.
<i>Standards, Codes or Regulations</i>	Based on test protocols established by the SITE Program.
<i>Keywords</i>	soil treatment technologies; hazardous waste site cleanup; groundwater treatment technologies; environmental remediation technologies; innovative treatment technologies; measuring and monitoring technologies.

Received 1/98

*Products or  
Services*

LABELING FOR HOUSEHOLD PRODUCTS (Indoor Insecticides,  
Outdoor House and Garden Pesticides, Household Hard  
Surface Cleaners)

*Department/Agency*

Environmental Protection Agency (EPA)

Address to send comments:

Office of Pollution Prevention and Toxics

Document Control Officer (7407)

Attention: AR-139, Consumer Labeling Initiative

401 M Street, SW

Washington, DC 20460

Address to obtain additional information:

Mary F. Dominiak

Office of Pollution Prevention and Toxics

Chemical Control Division (7405)

401 M Street, SW

Washington, DC 20460

Phone: (202) 260-7768

FAX: (202) 260-1096

e-mail: [consumer.label@epamail.epa.gov](mailto:consumer.label@epamail.epa.gov)

URL address: <http://www.epa.gov/opptintr/labeling>

*Initiated*

1996.

*Compliance*

Voluntary.

*Aim*

To foster pollution prevention, empower consumer choice,  
and improve understanding by presenting clear,  
consistent, and useful health, environmental, and safe  
use information on household consumer product labels.

*Benefits*

Label information is easier for consumers to find, read  
and understand.

*Methodology*

Joint project with industry to collect and use consumer  
research data to make label information more  
understandable and useful.

*Testing*

N/A.

<i>Inspection</i>	N/A.
<i>Conformity Identification</i>	None.
<i>Availability of Documentation</i>	See URL address for additional information or contact EPA at the address listed above.
<i>Obligations of the Manufacturer/Vendor</i>	Participants agree to make voluntary label changes on household products in an effort to improve labels.
<i>Enforcement</i>	Voluntary programs. Participants may withdraw from the program.
<i>Term</i>	N/A.
<i>Reciprocity</i>	EPA has been cooperating with the Consumer Product Safety Commission, the Federal Trade Commission, the Food and Drug Administration and other state agencies in this effort.
<i>Standards, Codes or Regulations</i>	Changes are being made based primarily on the results of research efforts rather than standards. Initial research findings were published in the "Consumer Labeling Initiative Phase I Report" dated 9/30/96. Additional research is planned.
<i>Keywords</i>	consumer products; insecticides; labeling; pesticides; household cleaners

Received 6/98

*Products or  
Services*

MAJOR APPLIANCES; OFFICE EQUIPMENT; TVs; VCRs; HEATING,  
VENTILATION AND AIR CONDITIONING EQUIPMENT/ SYSTEMS;  
TRANSFORMERS; RESIDENTIAL LIGHTING; EXIT SIGNS;  
INSULATION; NEW HOMES - ENERGY STAR PROGRAM

*Department/Agency*

U.S. Environmental Protection Agency (EPA)  
Atmospheric Pollution Prevention Division  
Mail Code (6202J)  
401 M Street, SW  
Washington, DC 20460  
Phone: (202) 564-9019 or 1-888-STAR-YES (1-888-782-7937)  
FAX: (202) 565-2134  
e-mail: fanara.andrew@epa.gov  
URL address: <http://www.energystar.gov>

NOTE: This program is conducted jointly with the U.S.  
Department of Energy (DOE). See also DOE Energy Star  
entry.

*Initiated*

1992 for personal computers; 1993 for printers; 1994 for  
fax machines and combination printer/fax machines and  
retrofit power management equipment; 1995 for new homes  
and photocopiers; 1997 for scanners and multi-function  
devices; 1998 for TVs and VCRs.

*Compliance*

Voluntary.

*Authority*

Clean Air Act; Pollution Prevention Act of 1990;  
Framework Convention on Climate Change; Global Climatic  
Protection Act of 1987; Climate Change R&D Act of 1990.

*Aim*

Reduce energy consumption through the voluntary  
development of more energy-efficient appliances.

*Benefits*

Helps consumers buy products that use less energy and  
raises awareness about environmental and economic  
benefits of energy efficient products.

*Methodology*

The EPA and the DOE work together to promote the use of  
energy-efficient equipment by awarding the *Energy Star*  
label to products that save energy. The agencies set  
energy-efficient criteria for specific consumer and  
commercial products. These criteria exceed the minimum  
national efficiency standards, where such standards

exist. Manufacturers or retailers volunteer to place the *Energy Star* label on those models that meet or exceed the criteria set by EPA and DOE.

<i>Testing</i>	Participant or independent third party agree to perform tests, as necessary, to determine which products comply.
<i>Inspection</i>	N/A.
<i>Conformity Identification</i>	<i>Energy Star</i> label.
<i>Availability of Documentation</i>	See information listed at the above URL address.
<i>Obligations of the Manufacturer/Vendor</i>	See <i>Methodology</i> .
<i>Enforcement</i>	Revocation of right to use the <i>Energy Star</i> label.
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	None, though program is recognized by many states, utility companies and retailers who cooperate in promoting the program.
<i>Standards, Codes or Regulations</i>	In order for a product to be labeled as <i>Energy Star</i> compliant, that product must meet standards as set forth by the <i>Energy Star</i> program. Product specifications vary from product to product.
<i>Keywords</i>	<i>Energy Star</i> ; office equipment; personal computers; printers; fax machines; photocopiers; scanners; multi-function devices; appliances; dishwashers; clothes dryers; refrigerators; heating, ventilating, and air conditioning equipment/systems; room air conditioners; residential light fixtures; transformers; new homes; exit signs; TVs; VCRs



<i>Products or Services</i>	ENERGY STAR BUILDINGS AND GREEN LIGHTS PARTNERSHIP - FIRMS WITH ENERGY EFFICIENT LIGHTING
<i>Department/Agency</i>	U.S. Environmental Protection Agency (EPA) Manager, Energy Star Buildings and Green Lights Partnership Atmospheric Pollution Prevention Division 401 M Street, SW (6202J) Washington, DC 20460 Phone: (202) 775-6650 or 1-888-star-yes FAX: (202) 564-2083 Fax-back system: (202) 564-8659 URL address: <a href="http://www.epa.gov/buildings">http://www.epa.gov/buildings</a>
<i>Initiated</i>	1991.
<i>Compliance</i>	Voluntary.
<i>Authority</i>	Energy Policy Conservation Act (EPCA) as amended, P.L. 94-163, 89 Stat. 917, 42 U.S.C. 6295.
<i>Aim</i>	To promote strategic energy management through investment in profit-based, energy-efficient building upgrades.
<i>Benefits</i>	Creates a cleaner environment by reducing pollutants released into the environment and reduces energy costs.
<i>Methodology</i>	Participants sign a Memorandum of Understanding (MOU) with EPA in which participants agree to survey their facilities and upgrade square footage that can be upgraded profitably without compromising workspace quality or comfort. Participants also agree to appoint an implementation manager to oversee their progress in the program and report at least annually to EPA on their upgrade progress.
<i>Testing</i>	N/A.
<i>Inspection</i>	N/A.
<i>Conformity Identification</i>	Green Lights and ENERGY STAR Buildings program logos.



<i>Availability of Documentation</i>	See information at the above URL address.
<i>Obligations of the Manufacturer/Vendor</i>	See <i>Methodology</i> .
<i>Enforcement</i>	Revocation of right to use the program logo or withdrawal from program.
<i>Term</i>	Participants have 7 years to complete their requirements for upgrade.
<i>Reciprocity</i>	None, though program is recognized by many states, utility companies and retailers who cooperate in promoting the program.
<i>Standards, Codes or Regulations</i>	EPA provides a range of participant support programs which include: technical manuals, software analysis and planning tools, and related publications.
<i>Keywords</i>	building; energy efficiency; green lights; lighting

Received 3/98

*Products or  
Services*

TOXIC AIR POLLUTANTS (Pollutants Known or Suspected to Cause Serious Health Problems. See Also Industry Specific EPA Programs. Includes Consumer Products containing CFCs and Related Chemicals Identified in the 1990 Clean Air Act)

*Department/Agency*

U.S. Environmental Protection Agency  
Office of Air Quality Planning and Standards (MD-6205J)  
401 M Street, SW  
Washington, DC 20460  
Stratospheric Ozone Information Hotline: 1-800-296-1996  
or (202) 775-6677  
Phone: (202) 564-9101  
FAX: (202) 565-2096  
URL address: <http://www.epa.gov/ttn/uatw/basicfac.html>  
[http://www.epa.gov/oaqps/peg\\_caa/pegcaa07.html](http://www.epa.gov/oaqps/peg_caa/pegcaa07.html)  
<http://www.epa.gov/docs/ozone/index.html>

*Initiated*

Varies by toxic pollutant and source.

*Compliance*

Mandatory.

*Authority*

Clean Air Act as amended in 1990. Section 112 lists 188 toxic air pollutants to be regulated by EPA.

*Aim*

To reduce the risk to human health and the environment by establishing and enforcing requirements designed to reduce the level of toxic emissions.

*Benefits*

Reduction in the potential release of toxic pollutants.

*Methodology*

In general, compliance is assessed during inspections by EPA or and EPA designee. Requirements placed on the source of the pollutant include: emission limits; implementation of ongoing monitoring and work practice standards; recordkeeping; initial testing; and periodic reporting. Permits may be required for larger potential sources of air pollutants. EPA also approves state implementation plans (SIPS).

As of May 1993, consumer products containing CFCs and related chemicals identified in the 1990 Clean Air Act as most damaging to the ozone layer are required to bear a warning label. All products containing less

destructive ozone destroying chemicals (HCFCs) identified in the Act must bear a warning label by 2015 unless otherwise accelerated by the Administrator. In addition EPA is authorized to issue regulations for product categories, starting with the worst polluters. Labeling, repackaging, chemical formula changes, fees or other procedures may be used to reduce VOC releases.

*Testing*

EPA, EPA designee, or regulated party depending on toxant and source.

*Inspection*

EPA or and EPA designee.

*Conformity  
Identification*

Permits issued by the states or EPA will be required. The permit must contain information on which pollutants are being released, how much may be released, and what kinds of steps the source's owners or operator are taking to reduce pollution, including plans to monitor the pollution. Consumer products containing ozone destroying chemicals other than HCFCs will bear a warning label.

*Availability  
of Documentation*

See information at the above URL address. In addition, fact sheets are available at <http://www.epa.gov/chemfact>.

*Obligations of the  
Manufacturer/Vendor*

See *Methodology*.

*Enforcement*

EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. Under the 1990 Clean Air Act, EPA was also given authority to fine companies for violating the Act. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.

*Term*

Usually not applicable. Monitoring is ongoing.

*Reciprocity*

None. EPA's requirements are the minimum applicable requirements. Some states may have stricter requirements in place.

*Keywords*

air pollutants; carburetor sprays; choke sprays;  
consumer products; foam plastic products; hair sprays;  
HCFCs; lead; paints; pollutants; toxic substances

Not Received

*Products or  
Services*

**LEAD BASED PAINT (LBP)**  
(See Also HUD Entry for Lead Paint Disclosure)

*Department/Agency*

U.S. Environmental Protection Agency  
Office of Pollution Prevention and Toxics (OPPT)  
National Program Chemical Division  
Lead, Heavy Metals, and Inorganics Branch Programs  
401 M Street, SW  
Washington, DC 20460  
Phone: (202) 260-1878  
FAX: (202) 260-0018  
National Lead Information Clearinghouse: 1-800-424-lead  
URL address: <http://www.epa.gov/opptintr/lead/>

*Initiated*

1996.

*Compliance*

Mandatory.

*Authority*

Section 1018 (LBP Disclosure Rule) of Title IV of the Toxic Substances Control Act (TSCA). Also TSCA Section 402/404 for federal training and certification programs authority. The Residential Lead-Based Paint Hazard Act of 1992.

*Aim*

To ensure family health by reducing lead exposure.

*Benefits*

Reduction of lead exposure, which is considered by EPA to be a major public health treat. Lead poisoning in young children can produce permanent damage to the brain and may cause reductions in intelligence and behavioral problems. It also can have deleterious health impacts on pregnant women and interfere with the formation of red blood cells.

*Methodology*

Disclosure of known information on lead-based paint and/or lead-based paint hazards is required before the sale or lease of housing built before 1978. Sellers must permit the purchasers a 10-day period in which to conduct an inspection or risk assessment for the presence of lead-based paint and/or lead based paint hazards. Sales contract must also include a lead Warning Statement, signed by the purchaser or lessor. Training and certification standards for contractors providing lead hazard evaluation and abatement services are still under development.

<i>Testing</i>	This Rule does not require any testing or removal of lead-based paint by sellers or landlords.
<i>Inspection</i>	Inspectors are selected by the purchaser.
<i>Conformity Identification</i>	Disclosure is required.
<i>Availability of Documentation</i>	Contact the National Lead Information Center at the phone number listed above or review the information at the above URL address.
<i>Obligations of the Manufacturer/Vendor</i>	See <i>Methodology</i> .
<i>Enforcement</i>	EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. Under the 1990 Clean Air Act, EPA was also given authority to fine companies for violating the Act. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.
<i>Term</i>	Not applicable.
<i>Reciprocity</i>	None. EPA's requirements are the minimum applicable requirements. Some states may have stricter requirements in place.
<i>Standards, Codes or Regulations</i>	TSCA Section 403 directs EPA to establish criteria for identifying lead-based paint hazards. EPA is currently in the process of establishing such standards.
<i>Keywords</i>	disclosure; housing; lead; paints; toxic substances



Not Received

*Products or  
Services*

TOXIC AIR EMISSIONS FROM SOLVENT CLEANING MACHINES  
(Degreasers - Generally Used to Dry Materials and Remove  
Soils, such as Grease, Wax and Oil from Metal Parts,  
Circuit Boards, Sheet Metal, Assemblies, and Other  
Materials) AND FROM DRY CLEANING MACHINES

*Department/Agency*

U.S. Environmental Protection Agency  
Office of Air Quality Planning and Standards  
Emission Standards Division  
Research Triangle, NC 27711  
Phone: (919) 541-5572  
FAX: (919) 541-2464  
URL address: <http://www.epa.gov/ttn/uatw/basicfac.html>

*Initiated*

1993 (dry cleaning machines) and 1995 (solvent cleaning  
machines).

*Compliance*

Mandatory.

*Authority*

Clean Air Act as amended in 1990. Section 112 lists 188  
toxic air pollutants to be regulated by EPA.

*Aim*

To set standards requiring owners and operators of batch  
cold cleaning machines and dry cleaning machines to  
implement procedures designed to control the release of  
halogenated solvents and percs. Regulations require the  
use good housekeeping practices and efficient, well-  
controlled cleaning machines.

*Benefits*

Reduction in the potential release of halogenated  
solvents or perc.

*Methodology*

All owners and operators of solvent cleaning machines  
and all dry cleaners who use perc in both transfer and  
dry-to-dry machines must implement specific process  
control procedures and worker practices. All new and  
some existing dry cleaning machines must be equipped  
with at least a refrigerated condenser used as a perc  
vapor recovery system. Compliance is assessed during  
inspections by EPA or and EPA designee. Recordkeeping  
requirements are also imposed by the EPA. Agency also  
approves State Implementation Plans (SIPS).

*Testing*

EPA or and EPA designee may, during the course of an  
inspection, request a solvent machine operator to pass a



written test. Refrigerated condensers and carbon adsorbers used for control equipment must also be tested.

*Inspection*

EPA or and EPA designee.

*Enforcement*

EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.

*Term*

N/A.

*Reciprocity*

None. EPA's requirements are the minimum applicable requirements. Some states may have stricter requirements in place.

*Keywords*

halogenated solvent; cleaning machines; degreasers; solvent cleaning machines; dry cleaning machines

Received 12/97

*Products or  
Services*

TOXIC AIR EMISSIONS FROM CHROMIUM ELECTROPLATING AND  
ANODIZING TANKS

*Department/Agency*

U.S. Environmental Protection Agency  
Office of Air Quality Planning and Standards  
Emission Standards Division (ESD)  
Organic Chemical Group (OCG) (MD-13)  
Research Triangle Park, NC 27711  
Phone: (919) 541-5420  
FAX: (919) 541-2464  
URL address: <http://www.epa.gov/ttn/uatw/basicfac.html>

*Initiated*

1995.

*Compliance*

Mandatory.

*Authority*

Clean Air Act as amended in 1990. Section 112 lists 188  
toxic air pollutants to be regulated by EPA.

*Aim*

To set standards requiring owners and operators of  
electroplating and anodizing tanks to implement  
procedures designed to control the release of chromium.  
Regulations require the use good housekeeping practices  
and efficient, well-controlled electroplating  
operations.

*Benefits*

Reduction in the potential release of chromium.

*Methodology*

All owners and operators of chromium electroplating and  
anodizing tanks must implement specific process control  
procedures and worker practices. Compliance is assessed  
during inspections by EPA or and EPA designee. The  
regulation requires: emission limits; implementation of  
ongoing monitoring and work practice standards;  
recordkeeping; initial testing; and periodic reporting.  
Agency also approves state implementation plans (SIPS).

*Testing*

Performed by the plater or anodizer and monitored by the  
EPA or its designee.

*Inspection*

EPA or and EPA designee.

*Enforcement*

EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.

*Term*

N/A. Ongoing monitoring is required.

*Reciprocity*

None. EPA's requirements are the minimum applicable requirements. Some states may have stricter requirements in place.

*Keywords*

anodizing; electroplating; tanks; anodizing tanks; electroplating tanks; chromium; plating

*Products or  
Services***ASBESTOS MITIGATION SERVICES AND PROCESSING FACILITIES***Department/Agency*

Environmental Protection Agency (EPA)  
Office of Air Quality Planning and Standards (MD-13)  
Office of Air Quality Planning and Standards  
Emission Standards Division (ESD)  
Research Triangle, NC 27711  
Phone: (919) 541-5572  
FAX: (919) 541-2464  
URL address: <http://www/epa.gov/iaq/asbestos.htm>

*Initiated*

1973.

*Compliance*

Mandatory

*Authority*

Clean Air Act as amended in 1990. Section 112 lists 188 toxic air pollutants to be regulated by EPA.  
National Emissions Standard for Hazardous Air Pollutants (NESHAP) for asbestos as revised in 1990.

*Aim*

To control asbestos emissions from various mitigation sources.

*Benefits*

Reduction in the environmental and health risks associated with asbestos emissions.

*Methodology*

Agency approves state implementation plans (SIPS).

*Testing*

A list of EPA approved laboratories is available from: NIST, NVLAP, Bldg. 820, Room 282, Gaithersburg, MD 20899 or by calling (301) 975-4042.

*Standards, Codes  
or Regulations*

National Emissions Standard for Hazardous Air Pollutants (NESHAP) for asbestos as revised in 1990.

*Keywords*

air pollutants; asbestos; emissions; mitigation;  
pollutants; toxics

*Products or Services***COAL BURNING BOILERS AND POWER PLANTS***Department/Agency*

U.S. Environmental Protection Agency  
Office of Air Quality Planning and Standards  
Emission Standards Division (ESD)  
Organic Chemical Group (OCG) (MD-13)  
Research Triangle Park, NC 27711  
Phone: (919) 541-5616  
FAX: (919) 541-2464  
URL address: <http://www.epa.gov/oar/oaqps/>

*Initiated*

1995.

*Compliance*

Mandatory.

*Authority*

Clean Air Act as amended in 1990.

*Aim*

To reduce the risk to human health and the environment by establishing and enforcing requirements designed to reduce acid rain.

*Benefits*

Reduction in acid rain.

*Methodology*

Phase I of the acid rain reduction program went into effect in 1995. Big coal burning boilers in 100 power plants in 21 Midwest, Appalachian, Southeastern and Northeastern states reduced releases of sulfur dioxide. In 2000, Phase II of the acid rain program goes into effect, further reducing sulfur dioxide releases from coal burning plants and covering other smaller polluters. Reductions in Sulfur dioxide releases will be obtained through a program of emission (release) allowances. EPA issued allowances to power plants covered by the acid rain program; each allowance is worth one ton of sulfur dioxide pollution released from the smokestack. To obtain reductions, allowances are set below 1980 levels of releases. Plants may only release as much as they have allowances to cover. If a plant expects to release more sulfur dioxide than it has allowances, it has to get more allowances, perhaps by buying them from another power plant that has reduced its sulfur dioxide releases below its number of allowances and therefore has allowances to sell or trade. Allowances can also be bought and sold by

"middlemen," such as brokers. Stiff penalties will be imposed for plants which release more pollutants than their allowances cover. The acid rain program provides bonus allowances to power plants for (among other things) installing clean coal technology, using renewable energy sources, or encouraging energy conservation by customers so that less power needs to be produced. All power plants have to install continuous emission monitoring systems (CEMS) to track how much sulfur dioxide and nitrogen oxides the plant is emitting. A power plant's program for meeting its sulfur dioxide and nitrogen oxide limit will appear on the plant's permit, which will be filed with the state or EPA. EPA will also require power plants to reduce their nitrogen oxide releases.

*Testing* See *Methodology*.

*Inspection* See *Methodology*.

*Conformity  
Identification* See *Methodology*.

*Availability  
of Documentation* Additional information is available from the appropriate state authority or from EPA.

*Obligations of the  
Manufacturer/Vendor* See *Methodology*.

*Enforcement* EPA can: (1) take an informal action, such as a notice of violation or warning letter; (2) issue a field citation for minor violations; (3) issue a formal administrative response, such as an administrative penalty order; (4) initiate a civil judicial response; (5) initiate a criminal judicial response; or (6) list a company so that it will not receive federal contracts. Under the 1990 Clean Air Act, EPA was also given authority to fine companies for violating the Act. For additional information on enforcement, See Environmental Enforcement: a Citizens Guide.

*Term* Usually not applicable. Monitoring is ongoing.

*Reciprocity* None. EPA's requirements are the minimum applicable requirements. Some states may have stricter requirements in place.

*Standards, Codes  
or Regulations*

Standards are established by EPA in conjunction with the states.

*Keywords*

acid rain; boilers; power plants; toxic substances; air pollutants; pollutants; sulfur dioxide



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FEDERAL COMMUNICATIONS COMMISSION

*Products or  
Services*

ELECTRICAL AND ELECTRONIC DEVICES/EQUIPMENT THAT  
GENERATE RADIO FREQUENCY ENERGY

*Department/Agency*

Federal Communications Commission (FCC)  
Office of Engineering and Technology (OET)  
Equipment Authorization Division  
7435 Oakland Mills Road  
Columbia, MD 21046  
Phone: (301) 725-1585  
FAX: (301) 344-2050  
URL address: <http://www.fcc.gov/oet>

Radio frequency electromagnetic fields requirements  
questions should be addressed to:

FCC  
Office of Engineering and Technology  
2000 M Street, NW, Suite 480, MS 1300  
Washington, DC 20554  
Phone: (202) 418-7506  
FAX: (202) 418-1944  
URL address: <http://www/fcc.gov/oet/rfsafety/>

*Initiated*

1940 (Marine equipment was the earliest type approved).  
The FCC has recently made major changes in their  
regulatory requirements and more changes are  
anticipated.

*Compliance*

Mandatory.

*Authority*

Federal Communications Act of 1934 as amended.  
National Environmental Policy Act of 1969.  
Telecommunications Act of 1996; P.L. 104-104, 110 Stat.  
56.  
47 CFR Parts 1 and 2.

*Aim*

To reduce uncontrolled radio frequency interference  
first observed in connection with medical diathermy  
equipment in the 1940's and to prevent harmful  
interference to authorized radio communications. The  
FCC has recently adopted streamlining actions to (1)  
simplify the existing equipment authorization process.

(2) move to a system of electronic filing of equipment authorization applications, and (3) deregulate and relax equipment authorization requirements for a wide number of types of equipment that have demonstrated a good record of compliance.

### *Benefits*

Broad decrease in spurious radio frequency energy in the environment in spite of tremendous increases in the types and quantity of devices in general use that have the potential for creating radio frequency interference.

### *Methodology*

Equipment authorization ensures that radio transmitters and other equipment meet standards to minimize their potential to cause interference to radio services. The equipment authorization process is based on a written application and test results submitted by the manufacturer or other responsible party. FCC acts on applications for three types of equipment authorization procedures: Certification, where applications are sent to the FCC; and Declaration of Conformity and Verification, which are based on manufacturer self-authorizations. FCC evaluates new products submitted for equipment authorization, determines interference risk, and decides how rules apply. FCC also designs test procedures for equipment subject to FCC regulations in cooperation with industry.

Procedures used reflect the requirements of particular categories of equipment which are summarized here:

#### Certification

-Applies to some compulsory installed marine safety-of-life equipment, to non-licensed devices, mostly low power radio frequency devices and, in addition, to certain categories of receivers which tune in the band from 30 to 960 MHz, personal computers and peripherals, citizen band receivers, and some other kinds of industrial, scientific and medical equipment.

-Manufacturers submit a written application for review and approval by the FCC, which includes a description of the product and a test report showing compliance with applicable FCC technical requirements.



-approval is based on desk review and evaluation of written application and test report submitted by applicant.

-Testing of samples at FCC Laboratory is not required by FCC Rules, but FCC has authority to request samples for testing either before or after issuance of grant.

-Grant of authorization is issued by FCC.

#### Verification

-Applies to non-consumer devices, including business computers; computing devices except personal computers, personal peripherals and exempt computing devices (Section 15.103); FM broadcast and television broadcast receivers; and ship earth stations. May also apply to transmitters used in certain licensed services under Parts 5, 73, 74, 78, 80, 87 and 101.

-Manufacturer submits brief application for authorization of device. Application is not required to include test data, though manufacturer must test product to determine compliance with applicable technical requirements. Manufacturer need not issue a Declaration of Conformity (DoC) or use an accredited laboratory.

-FCC may sample device or review the manufacturer's test data.

-No grant of authorization is issued by FCC.

#### Declaration of Conformity (DoC)

-Applies to personal computer equipment and peripherals; television interface devices (including video cassette recorders (VCRs); cable system terminal devices (CSTDs) and other types of television receivers); industrial, scientific and medical equipment (ISM); and radio receivers (except scanning receivers). May also apply to transmitters used in certain licensed services under Parts 5, 73, 74, 78, 80, 87 and 101.

-Requires manufacturer to test the equipment for compliance with applicable FCC requirements and to issue a Declaration of Conformity (DoC). Testing must be done in an accredited laboratory. ISM equipment may be tested in laboratories currently accredited to conduct Part 15 testing until a laboratory accreditation program is established for ISM equipment. No testing is required for product assembled from authorized modular components.

-Devices must be labeled with the FCC logo (for Part 15 and 18 equipment) as a demonstration of compliance with FCC requirements. Manufacturers must also include a short compliance statement to ensure the continued interference-free operation of the device by the user.

-FCC may sample device or review the manufacturer's test data.

-No grant of authorization is issued by FCC.

### *Testing*

Depending upon the type of approval sought, testing may be performed by:

- FCC laboratory.
- Manufacturer's laboratory.
- Third party laboratory.

FCC recognizes laboratories accredited by NIST's NVLAP program and by A2LA as well as laboratories accredited by foreign national accreditors who are parties to mutual recognition agreements with NVLAP or A2LA.

### *Inspection*

Agency does not inspect production facilities.

### *Conformity Identification*

FCC logo is required for some products. Agency maintains lists of producers of approved products.

### *Availability of Documentation*

The list of approved equipment may be purchased from:

Public Record Duplication  
International Transcription Services  
Suite 140  
2100 M Street, NW  
Washington, DC 20037  
Phone: (202) 857-3800

<i>Obligations of the Manufacturer/Vendor</i>	Maintain design of approved equipment. Explain maintenance requirements to users. Submit FCC sample requests with 14 days. After July 1999, manufacturers will be required to file applications electronically. Certain applicants for use of FCC regulated transmitters are required to routinely perform an environmental evaluation with respect to determining compliance with FCC RF electromagnetic exposure limits.
<i>Enforcement</i>	Marketing ban.
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	See <i>Testing</i> . Radio frequency devices must have the required form of equipment authorization before being imported into the United States and must be accompanied by a properly executed copy of FCC Form 740.  There are some specified exceptions to this requirement as given in Part 2 of the FCC Rules, Sections 2.806, 2.809, 2.811 and 2.813. Also, there are a few categories of devices which are not subject to technical standards in the FCC Rules. These devices must meet the applicable standards before importation.
<i>Standards, Codes or Regulations</i>	Criteria promulgated by FCC; private sector standards are considered in preparing rules.
<i>Keywords</i>	broadcast equipment; cable TV equipment; certification; communications equipment; computer peripherals; computers; medical electronics; radio frequency energy; transmitters; TV equipment; type approval; digital television; advanced television

*Products or  
Services*

## TELEVISION AND RADIO BROADCASTS

*Department/Agency*

Federal Communications Commission (FCC)  
Mass Media Bureau  
1919 M Street, NW, Room 314  
Washington, DC 20554  
Phone: (202) 418-2600  
FAX: (202) 418-2828  
E-mail: [mmbinfo@fcc.gov](mailto:mmbinfo@fcc.gov)  
URL address: <http://www/fcc.gov/bureaus/html>

Radio frequency electromagnetic fields requirements  
questions should be addressed to:

FCC

Office of Engineering and Technology  
2000 M Street, NW, Suite 480, MS 1300  
Washington, DC 20554  
Phone: (202) 418-2464  
URL address: <http://www/fcc.gov/oet/rfsafety/>

*Compliance*

Mandatory.

*Authority*

Federal Communications Act of 1934 as amended.  
Telecommunications Act of 1996; P.L. 104-104, 110 Stat.  
56.  
47 CFR Part 2, Subpart J.

*Testing*

N/A.

*Obligations of the  
Manufacturer/Vendor*

Certain applicants for use of FCC regulated transmitters  
are required to routinely perform an environmental  
evaluation with respect to determining compliance with  
FCC RF electromagnetic exposure limits.

*Term*

Indefinite term.

*Reciprocity*

None.

*Standards, Codes  
or Regulations*

Criteria promulgated by FCC; private sector standards  
are considered in preparing rules.

*Keywords*

broadcasts; radio; radio stations; TV; television;  
television networks; televisions stations

Not Received

*Products or  
Services*

**WIRELESS SERVICES** (Includes: 229 MHz Radio Service, Air-Ground Radiotelephone Service; Amateur Radio Service; Aviation and Marine Services; Basic Exchange Telephone Radio Service; Cellular Radiotelephone Service; Commercial Operators; Interactive Video and Data Service; Microwave Services; Offshore Radiotelephone Service; Paging Services; Personal Communications Services (PCS); Personal Radio Service; Private Radio Service; Private Land Mobile Radio Services; Public Safety Radio Services; Rural Radio Telephone Service; Specialized Mobile Radio Service; Wireless Communication Service (WCS)

*Department/Agency*

Federal Communications Commission (FCC)  
Wireless Telecommunications Bureau  
1919 M Street, NW  
Washington, DC 20554  
Phone: (202) 418-0600 or  
National Call Center: 1-888-225-5322  
FAX: (202) 418-2644  
e-mail: [callctr@nightwind.fcc.gov](mailto:callctr@nightwind.fcc.gov)  
or [dphythyon@fcc.gov](mailto:dphythyon@fcc.gov)  
URL address: <http://www/fcc.gov/wtb>

Radio frequency electromagnetic fields requirements questions  
should be addressed to:  
FCC  
Office of Engineering and Technology  
2000 M Street, NW, Suite 480, MS 1300  
Washington, DC 20554  
Phone: (202) 418-7506  
FAX: (202) 418-1944  
URL address: <http://www.fcc.gov/oet>

*Compliance*

Mandatory.

*Authority*

Federal Communications Act of 1934 as amended.  
National Environmental Policy Act of 1969.  
Telecommunications Act of 1996; P.L. 104-104, 110 Stat. 56.



Communications Assistance for Law Enforcement Act (CALEA) of 1994.

47 CFR Parts 17, 22, Subpart J.

<i>Aim</i>	To establish policies and requirements for all domestic wireless telecommunications equipment/services (except those involving satellite communications or broadcasting) in order to foster competition among different services; promote universal service, public safety, and service to individuals with disabilities; maximize efficient use of the spectrum; and facilitate innovative service and product offerings.
<i>Benefits</i>	See <i>Aim</i>
<i>Methodology</i>	Requires registration of antenna structures. (See WTB Fact Sheet #15). Has established a Universal Licensing System (ULS) for processing of applications for Part 22 paging licenses. Has established national wireless tower siting policies in accordance with the Telecommunications Act of 1996. Responsible for CALEA's requirements for telecommunications carriers to modify their equipment, facilities, and services by 10/98 to ensure that they are able to comply with authorized electronic surveillance.
<i>Conformity Identification</i>	License for some products/services.
<i>Availability of Documentation</i>	See URL address listed above or contact offices listed above for additional information.
<i>Obligations of the Manufacturer/Vendor</i>	Certain applicants for use of FCC regulated transmitters are required to routinely perform an environmental evaluation with respect to determining compliance with FCC RF electromagnetic exposure limits.
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	Criteria promulgated by FCC; private sector standards are considered in preparing rules.
<i>Keywords</i>	wireless services; private radio; cellular phones; personal services; communications service; pagers



*Products or  
Services*

CABLE TELEVISION AND RELATED SERVICES

*Department/Agency*

Federal Communications Commission (FCC)  
Cable Services Bureau  
1919 M Street, NW  
Washington, DC 20554  
Phone: (202) 418-7200  
FAX: (202) 418-1198  
URL address:  
<http://www/fcc.gov/Bureaus/Cable/WWW/cab.html>

Radio frequency electromagnetic fields requirements  
questions should be addressed to:

FCC/OET  
2000 M Street, NW, Suite 480, MS 1300  
Washington, DC 20554  
Phone: (202) 418-7506  
FAX: (202) 418-1944  
URL address: <http://www.fcc.gov/oet>

*Initiated*

Rules for cable television were first established in  
1965.

*Compliance*

Mandatory.

*Authority*

Federal Communications Act of 1934 as amended.  
Cable Communications Policy Act of 1984 (1984 Cable  
Act).  
Telecommunications Act of 1996; P.L. 104-104, 110 Stat.  
56.  
Cable Television Consumer Protection and Competition Act  
of 1992.  
47 CFR Part 2, Subpart J.

*Aim*

To provide a single point-of-contact for cable and other  
video distribution related issues before the FCC. The  
Bureau is responsible for establishing policy and rules  
regarding cable television and video distribution  
services and enforcing those rules.

<i>Benefits</i>	Promotes the availability to the public of cable television and other video distribution services; promotes competition in the video marketplace; ensures growth and development in the video industry; and ensures reasonable rates for consumers in areas that do not have competition to cable service.
<i>Methodology</i>	<p>Cable system operators must register cable systems with the FCC and provide the FCC with the required information. The FCC issues a public notice setting forth the details of each registration statement as it is received. The FCC has also established policies regarding franchising requirements and fees, subscriber signal quality standards, maximum sign leakage requirements; and guidelines for customer service. Unauthorized reception of cable services and unauthorized cable carriage of broadcast stations are prohibited. Other requirements for cable television can be found at the URL address listed above or in the CFR reference.</p> <p>There are also a variety of state and local laws for cable television. State and local authorities may select a cable franchisee and regulate in any areas that the FCC does not preempt.</p>
<i>Conformity Identification</i>	Cable systems must be registered with the FCC.
<i>Availability of Documentation</i>	See URL address listed above. Additional information may also be obtained from the Cable Services Bureau at the address listed above.
<i>Obligations of the Manufacturer/Vendor</i>	Certain applicants for use of FCC regulated transmitters are required to routinely perform an environmental evaluation with respect to determining compliance with FCC RF electromagnetic exposure limits.
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	None.
<i>Standards, Codes or Regulations</i>	Criteria promulgated by FCC; private sector standards are considered in preparing rules.
<i>Keywords</i>	cable TV; cable television

Received 3/98

*Products or  
Services*

INTERNATIONAL RADIO, TELECOMMUNICATIONS AND SATELLITE  
COMMUNICATIONS

*Department/Agency*

Federal Communications Commission (FCC)  
International Bureau  
2000 M Street, NW  
Washington, DC 20554  
Phone: (202) 418-0420  
FAX: (202) 418-2818  
e-mail: [ibinfo@fcc.gov](mailto:ibinfo@fcc.gov)  
URL address: <http://www/fcc.gov/ib>

Radio frequency electromagnetic fields requirements  
questions should be addressed to:

FCC/OET  
2000 M Street, NW, Suite 480, MS 1300  
Washington, DC 20554  
Phone: (202) 418-7506  
FAX: (202) 418-1944  
URL address: <http://www.fcc.gov/oet>

*Initiated*

N/A.

*Compliance*

Mandatory.

*Authority*

Federal Communications Act of 1934 as amended.  
Telecommunications Act of 1996; P.L. 104-104, 110 Stat.  
56. 47 CFR Part 2, Subpart J, and Parts 23, 25, 64 and  
65.

*Aim*

To develop policy rules, procedures and standards for  
licensing and regulation of satellite and earth stations  
facilities, both domestic and international under Part  
25; and the international fixed public radio program  
under Part 23; and international telecommunications  
facilities, services, and operators under relevant  
portions of Parts 63 and 65.

*Benefits*

Promotion of a high quality, reliable, globally  
interconnected and interoperable international  
infrastructure.

<i>Methodology</i>	Processes license applications and special requests under Part 25 for all space station and earth station facilities, Part 23 for international fixed public radio facilities, and under Parts 63 and 65 for international telecommunications facilities and services.
<i>Testing</i>	N/A.
<i>Inspection</i>	N/A.
<i>Conformity Identification</i>	Licenses.
<i>Availability of Documentation</i>	See 47 CFR Part 2, Subpart J, and Parts 23, 25, 63 and 65 as well as information on the website listed above.
<i>Obligations of the Manufacturer/Vendor</i>	Comply with the terms and conditions of their authorizations/licenses.  Pursues enforcement action in conjunction with other bureaus and offices.
<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	The U.S. is a signatory to a number of different agreements in this area.
<i>Standards, Codes or Regulations</i>	Criteria promulgated by FCC; private sector standards are considered in preparing rules.
<i>Keywords</i>	earth stations; international radiocommunications; Recognized Private Operating Agency; satellite communications; satellites; telecommunications

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## FEDERAL TRADE COMMISSION

Received 6/98

<i>Products or Services</i>	CIGARETTES (Testing for "Tar," Nicotine and Carbon Monoxide)
<i>Department/Agency</i>	Federal Trade Commission (FTC) Bureau of Consumer Protection Division of Advertising Practices 6th and Pennsylvania, NW Washington, DC 20580 Phone: (202) 326-3090 FAX: (202) 326-3259
<i>Initiated</i>	1966. Program was modified in 1987.
<i>Compliance</i>	Voluntary.
<i>Aim</i>	To inform the smoking public about the "tar," nicotine, and carbon monoxide machine smoking yields of cigarettes.
<i>Benefits</i>	See above.
<i>Methodology</i>	Cigarettes which used to be tested in a government owned laboratory are now tested by the industry using a government approved method. Results are reported to the FTC for publication. A consultant to the FTC monitors the testing.
<i>Testing</i>	See above.
<i>Inspection</i>	Advertisements are reviewed continually.
<i>Conformity Identification</i>	A report on the test results are published in the <i>Federal Register</i> and provided to Congress.
<i>Availability of Documentation</i>	A copy of the report is available from the FTC.
<i>Reciprocity</i>	There are no reciprocal agreements.
<i>Keywords</i>	carbon monoxide; cigarettes; CO; nicotine; tar; tobacco; TPM



*Products or  
Services*

ADVERTISING

*Department/Agency*

Federal Trade Commission (FTC)  
Bureau of Consumer Protection  
Division of Advertising Practices  
6th and Pennsylvania, NW  
Washington, DC 20580  
Phone: (202) 326-3090  
FAX: (202) 326-3259  
URL address: <http://www.ftc.gov/ftc/consumer.htm>

*Authority*

The Federal Trade Commission Act.  
Federal Cigarette Labeling and Advertising Act.  
Comprehensive Smokeless Tobacco Health Education Act.  
Fair Credit Reporting Act.  
Telephone Disclosure and Dispute Resolution Act.

*Compliance*

Mandatory.

*Aim*

To ensure that advertising is truthful and non deceptive; that advertisers have evidence to back up their claims; and that advertisements are not unfair. Note that additional laws/requirements apply to ads for specialized products like consumer leases, credit, 900 telephone numbers, products sold through mail order or telephone sales, household appliances; automobiles; funeral services, and tobacco. In addition, each state has consumer protection laws that govern ads running in that state.

*Benefits*

See above.

*Methodology*

The FTC looks at ads from the point of view of the "reasonable consumer." The FTC looks at both "express" and "implied" claims. The FTC also looks at what the ad does not say -- that is, if the failure to include information leaves the consumer with a misimpression about the product. The FTC also looks at whether the claim would be "material" -- that is, important to a consumer's decision to buy or use the product. Finally, the FTC looks at whether the advertiser has sufficient evidence to support the claims in the ad. The law requires that advertisers have proof before the ad runs. The FTC pays closest attention to ads that make claims

about health or safety and claims that consumers would have trouble evaluating for themselves. Although the FTC has jurisdiction over ads for most products and services, other government agencies also have authority to investigate advertising by food and drug companies, airlines, banks, insurance companies, telephone and cable companies, and companies that sell securities and commodities.

<i>Testing</i>	Not usually applicable.
<i>Inspection</i>	Advertisements are reviewed continually.
<i>Conformity Identification</i>	N/A.
<i>Availability of Documentation</i>	See URL site for additional information.
<i>Obligations of the Manufacturer/Vendor</i>	Companies need to ensure that ads are not false or deceptive and that they have objective evidence that supports their claims.
<i>Enforcement</i>	Among the remedies that the FTC or the courts can impose are: cease and desist orders, civil penalties, consumer redress, and other monetary remedies, corrective advertising, disclosures, and other informational remedies, bans and bonds.
<i>Term</i>	N/A.
<i>Reciprocity</i>	There are no reciprocal agreements.
<i>Keywords</i>	ads; advertising; advertisements; commercials; endorsements; labels; product claims; testimonials

Received 6/98

*Products or  
Services*

RESIDENTIAL CONSUMER APPLIANCES, LIGHTING DEVICES,  
PLUMBING PRODUCTS, AND COMMERCIAL EQUIPMENT  
(See Also Department of Energy)

*Department/Agency*

Federal Trade Commission (FTC)  
Bureau of Consumer Protection  
Division of Enforcement  
601 Pennsylvania Ave., NW  
Washington, DC 20580  
Phone: (202) 326-2996  
FAX: (202) 326-3259  
e-mail: [jmills@ftc.gov](mailto:jmills@ftc.gov)  
URL address: <http://www.ftc.gov/ftc/consumer.htm>

*Initiated*

1980.

*Compliance*

Mandatory for categories of covered products and systems.

Appliance manufacturers are required to label covered appliances with information indicating their estimated annual energy consumption or efficiency ratings and related information. Manufacturers base required label information on tests they perform using procedures prescribed by DOE. There are also specific requirements concerning the duty of appliance manufacturers to make reports to the Commission, to maintain records and to have substantiation for required disclosures or other representations they make.

Manufacturers of fluorescent lamp ballasts must disclose an encircled "E" on ballasts, luminaries containing them, and packaging to signify compliance with DOE minimum efficiency standards.

Manufacturers of showerheads, faucets, toilets, and urinals must disclose, on the products, packaging and labeling, the water usage of their products in gallons and liters per flush, per minute, or per cycle.

Manufacturers of certain incandescent and fluorescent bulbs must disclose, on packaging, the light output in lumens, energy used in watts, voltage, average life, and number of bulbs.

Manufacturers of certain tube-type fluorescent bulbs must disclose on packages an encircled letter "E" to show the bulb meets Federal minimum efficiency standards. The manufacturers of these products are required to make reports to the Commission, to maintain records and to have substantiation for the required disclosures and for some of the other representations they make.

*Authority*

The Energy Policy and Conservation Act ("EPCA"), P.L. 94-163, 89 Stat. 871 (1975), as amended by the National Energy Conservation Policy Act, P.L. No. 95-619, 92 Stat. 3258 (1978).

The National Appliance Energy Conservation Act, P.L. 100-12, 101 Stat. 103 (1987).

The National Appliance Energy Conservation Amendments of 1988, P.L. 100-357, 102 Stat. 671 (1988).

The Energy Policy Act of 1992, P.L. 102-486, 106 Stat. 2776 (1992).

16 CFR Part 305 (Rule Concerning Disclosures Regarding Energy Consumption and Water Use of Certain Home Appliances and Other Products Required Under the Energy Policy and Conservation Act ("Appliance Labeling Rule")).

*Aim*

To encourage consumers to comparison shop for energy efficient household appliances, fluorescent lamp ballasts, pool heaters, lighting products, and plumbing products in order to reduce the amount of energy and/or water they use in their homes.

*Benefits*

The availability of energy consumption or efficiency information should enhance consumer demand for products that save energy. In turn, competition should be generated among manufacturers to meet this demand by producing more energy efficient products. Consumers will be able to save money by reducing their energy costs and can help to promote the national goal of energy conservation.

*Methodology*

Following rulemaking proceedings as required by EPCA, the FTC has adopted labeling rules for several product categories. The appliance (and pool heater) labels give consumers the estimated yearly energy consumption or energy efficiency of competing products before they buy an appliance. Appliance labels also provide consumers with a range of estimated annual energy consumption or

efficiencies for comparable appliances. The FTC prescribed the required layout, type size, setting, colors, paper stock, and contents of the appliance labels. Under the EPCA, only appliances for which the Department of Energy has prescribed final test procedures can be covered by the FTC's Rule. Manufacturers must base required label information on the results of tests performed in accordance with the procedures prescribed by DOE. FTC representatives are allowed to observe any appliance testing required by the Rule and to inspect the results of the testing, if they so request. The Rule's requirements for other covered products vary. Manufacturers of fluorescent lamp ballasts must disclose an encircled "E" on ballasts, luminaries containing them, and packaging. The "E" signifies compliance with DOE minimum efficiency standards. Manufacturers of showerheads, faucets, toilets, and urinals must disclose, on the products, packaging and labeling, the water usage of their products in terms of gallons and liters per flush, per minute, or per cycle. Manufacturers of certain incandescent and fluorescent bulbs must disclose, on packaging, the light output in lumens, energy used in watts, voltage, average life, and number of bulbs. Manufacturers of certain tube-type fluorescent bulbs must disclose on packages an encircled letter "E" and a statement that the "E" logo means the bulb meets Federal minimum efficiency standards.

*Testing*

Commercial lab.  
Manufacturer's lab.

*Inspection*

Government.

*Conformity  
Identification*

The FTC's Appliance Labeling Rule mandates a disclosure scheme (in the form of labels for appliances and other marking requirements for certain other products) for energy consumption, energy efficiency, or water consumption. All appliance energy labels for each category of covered appliance use the same size, colors and typefaces with consistent positioning of headline, copy and charts. All disclosures for the other products covered by the Rule must provide identical information in a prescribed format for all such products. Such uniformity in the disclosure format facilitates immediate consumer recognition and readability.



*Availability  
of Documentation*

The ranges of estimated annual energy consumption or efficiency ratings for each covered appliance product is taken from the appropriate appendix to the Rule in effect at the time the labels are affixed to the products. The FTC publishes revised ranges annually in the *Federal Register*, if appropriate, or a statement that specific prior ranges are still applicable. Ranges are changed if the upper or lower limit of the range changes by 15% or more. Ranges do not appear in the disclosures required for covered products other than appliances and pool heaters.

The Appliance Labeling Rule is published in the CFR. See the URL site for additional information.

*Enforcement*

The FTC can sue violators of the Appliance Labeling Rule in Federal court. The court can impose civil penalties of up to \$11,000 for each violation and can issue an order prohibiting further violations, and other relief, such as redress, if appropriate.

*Term*

Indefinite term.

*Reciprocity*

The FTC's Appliance Labeling Rule is recognized by other federal agencies, state agencies, and private sector organizations.

*Standards, Codes  
or Regulations*

Standard test procedures are prescribed by the DOE. See 10 CFR Part 430, 10 CFR Part 431 (currently under development). Label format is prescribed by the FTC.

*Keywords*

appliance labeling; energy efficiency rating; energy conservation; estimated annual energy cost; appliances; boilers; central air conditioners; clothes dryers; clothes washers; codes; commercial package air conditioning and heating equipment; consumer products; direct heating equipment; dishwashers; electric motors; energy efficiency; EPACK; EPCA; faucets; showerheads; water closets; urinals; fluorescent lamp ballasts; furnaces; general service fluorescent lamps; incandescent reflector lamps; kitchen ranges and ovens; lighting; mobile home furnaces; NAECA; packaged terminal air conditioners and packaged terminal heat pumps; pool heaters; refrigerators; refrigerator-freezers; freezers; room air conditioners; standards; storage water heaters; instantaneous water heaters; unfired storage tanks; warm air furnace and packaged boilers; water heaters

*Products or  
Services*

CONSUMER GOODS OR SERVICES COSTING \$25 OR MORE  
MORE AND PURCHASED AT A PLACE OTHER THAN THE PERMANENT  
PLACE OF BUSINESS OF THE SELLER

*Department/Agency*

Federal Trade Commission (FTC)  
Bureau of Consumer Protection  
Division of Enforcement  
6th and Pennsylvania Avenue, NW  
Washington, DC 20580  
Phone: (202) 326-4357  
FAX: (202) 326-2012  
URL address: <http://www.ftc.gov/ftc/consumer.htm>

*Initiated*

Effective June 7, 1974.

*Compliance*

Mandatory for sellers who sell products or services (costing \$25 or more) at the buyer's residence or at temporary business locations (e.g. at facilities rented on a temporary or short-term basis, such as hotel or motel rooms, convention centers, fairgrounds and restaurants, or sales at the buyer's workplace or in dormitory lounges).

These sellers are required to furnish the buyer with a fully completed copy of the contract or receipt in the same language as that was principally used in the sales presentation. The contract must contain a verbatim disclosure of the buyer's right to cancel the transaction at any time prior to midnight of the third business day after the sale. Sellers are also required to furnish two copies of a Notice of Cancellation, which sets forth in detail the buyer's cancellation rights.

*Authority*

Rule Concerning Cooling-Off Period for Sales Made at Homes or at Certain Other Locations, 16 CFR Part 429 ("Cooling-Off Rule")  
Federal Trade Commission Act, 15 U.S.C. § 41, et seq.

*Aim*

To provide consumers with an opportunity to review their decision to purchase goods or services (where such purchases are made at the consumer's residence or at temporary business locations) and decide whether to cancel the transaction and receive a full refund of all payments.



<i>Benefits</i>	See above.
<i>Methodology</i>	FTC staff monitors and investigates consumer complaints involving the merchant's failure to inform consumers of their cancellation rights or failure to honor valid cancellations.
<i>Testing</i>	N/A.
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	N/A.
<i>Availability of Documentation</i>	The FTC publishes the Cooling-Off Rule in the Code of Federal Regulations. See URL side for additional information.
<i>Enforcement</i>	The FTC can sue violators of the Cooling-Off Rule in Federal Court. The court can impose civil penalties of up to \$11,000 for each violation and can issue an order prohibiting further violations, and other relief, such as redress if appropriate.
<i>Term</i>	N/A.
<i>Reciprocity</i>	N/A.
<i>Standards, Codes of Regulations</i>	16 CFR Part 455.
<i>Keywords</i>	used car; used vehicles; used car dealers

*Product or  
Services*

TEXTILE WEARING APPAREL AND CERTAIN PIECE GOODS

*Department/Agency*

Federal Trade Commission (FTC)  
Bureau of Consumer Protection  
Division of Enforcement  
6th & Pennsylvania Ave., NW  
Washington, DC 20580  
Phone: (202) 326-3034  
FAX: (202) 326-2558  
URL address: <http://www.ftc.gov/ftc/consumer.htm>

*Initiated*

Effective 1972, Amended Effective 1984 and 1997

*Compliance*

Mandatory. Manufacturers and importers of textile wearing apparel and certain piece goods must provide proper care instructions with the products at the point of sale.

*Authority*

Trade Regulation Rule for Textile Wearing Apparel and Certain Piece Goods, 16 CFR Part 423 ("Care Labeling Rule").  
Federal Trade Commission Act, 15 U.S.C. § 41, et seq.

*Aim*

The aim of the Care Labeling Rule is to provide appropriate care instructions for textile wearing apparel and textile products sold by the piece from bolts or rolls for the purpose of making home-sewn textile wearing apparel.

*Benefits*

The availability of care instructions for wearing apparel and certain piece goods helps consumers make informed purchasing decisions and promotes fair competition.

*Methodology*

FTC staff monitors complaints about products and may conduct investigations, including testing, to ensure accurate labeling.

*Testing*

See above.

*Inspection*

Government.

<i>Conformity Identification</i>	Laboratory analysis may be conducted. Complaints are reviewed.
<i>Availability of Documentation</i>	The FTC publishes the Care Labeling Rule in the Code of Federal Regulations. See the URL site for additional information
<i>Enforcement</i>	The FTC can sue violators of the Care Labeling Rule in Federal court. The court can impose civil penalties of up to \$11,000 for each violation and can issue an order prohibiting further violations, and other relief, such as redress, if appropriate.
<i>Term</i>	N/A.
<i>Reciprocity</i>	N/A.
<i>Standards, Codes or Regulations</i>	The Care Labeling Rule is located at 16 CFR Part 423.
<i>Keywords</i>	care labeling; textiles, clothing; apparel; piece goods; fabric; washing; dry cleaning

<i>Products or Services</i>	PACKAGED CONSUMER COMMODITIES (Excluding Meat or Meat Products, Poultry or Poultry Products, Tobacco or Tobacco Products, and Alcoholic Beverages)
<i>Department/Agency</i>	Federal Trade Commission (FTC) Bureau of Consumer Protection Division of Enforcement 6th and Pennsylvania, NW Washington, DC 20580 Phone: (202) 326-4357 FAX: (202) 326-2012 e-mail: <a href="mailto:consumerline@ftc.gov">consumerline@ftc.gov</a> URL address: <a href="http://www.ftc.gov/ftc/consumer.htm">http://www.ftc.gov/ftc/consumer.htm</a>
<i>Initiated</i>	1966.
<i>Compliance</i>	Mandatory.
<i>Authority</i>	Fair Packaging and Labeling Act, 15 U.S.C. § 1451, et seq. Rules Under the Fair Packaging and Labeling Act, 16 CFR Parts 500, 501, 502, and 503.
<i>Aim</i>	To enable consumers to obtain accurate information as to quantity and identity of packaged commodities to facilitate value comparisons by requiring disclosure of such information on the packages. To promote fair competition by ensuring that all consumer commodities are labeled properly.
<i>Benefits</i>	See above.
<i>Methodology</i>	The quantity disclosures must be made using both the metric and "traditional" inch/pound systems of measurement. The accuracy of quantity and identity disclosures is tested by state, county, and municipal weights and measures agencies.
<i>Testing</i>	See above.
<i>Inspection</i>	See above.

<i>Conformity Identification</i>	N/A.
<i>Availability of Documentation</i>	The FTC publishes the Fair Packaging Rules in the CFR. Copies of the Fair Packaging and Labeling Act are available upon request.
<i>Enforcement</i>	The FTC can bring administrative cases for cease and desist orders and can go to federal court for injunctions against mislabeling of consumer commodities. The Food and Drug Administration has enforcement authority under the Act with respect to foods, drugs, devices or cosmetics, as defined in the Federal Food, Drug and Cosmetic Act, 21 U.S.C. § 371.
<i>Term</i>	The required disclosures must remain on the packages of consumer commodities until purchased by the retail consumer.
<i>Reciprocity</i>	N/A.
<i>Standards, Codes, or Regulations</i>	16 CFR Parts 500, 501, 502 and 503.
<i>Keywords</i>	consumer commodity; packaged goods; quantity disclosure; identity disclosure; net contents; labeling

*Products or  
Services*

MERCHANDISE ORDERED BY MAIL, TELEPHONE,  
COMPUTER, AND FAX MACHINE

*Department/Agency*

Federal Trade Commission (FTC)  
Bureau of Consumer Protection  
Division of Enforcement  
6th and Pennsylvania, NW  
Washington, DC 20580  
Phone: (202) 326-4357  
FAX: (202) 326-2012  
e-mail: [consumerline@ftc.gov](mailto:consumerline@ftc.gov)  
URL address: <http://www.ftc.gov/ftc/consumer.htm>

*Initiated*

Originally effective February 2, 1976.  
Amended effective March 1, 1994.

*Compliance*

Mandatory for sellers of merchandise ordered by mail,  
telephone, computer, and fax machine.

If a seller cannot ship ordered merchandise to the buyer within the time represented in the advertisement soliciting the sale, or within 30 day if no time is represented, the seller must promptly provide the buyer with the option to either cancel the order and receive a prompt refund or to agree to the delayed shipment. If the seller fails timely to obtain the buyer's agreement to delayed shipment, the seller must promptly make a full refund to the buyer.

*Authority*

Mail or Telephone Order Merchandise Rule, 16 CFR Part 435 ("Mail or Telephone Order Rule").  
Federal Trade Commission Act, 15 U.S.C. § 41, et seq.

*Aim*

To give consumers the right to have mail or telephone order merchandise shipped within a certain period of time, and if there is a shipment delay, to provide consumers with a right to agree to a delayed shipment or receive a prompt refund.

*Benefits*

See above.

*Methodology*

FTC staff monitors and investigates consumer complaints involving the merchant's failure to timely and appropriately obtain the consumer's consent to delay or

make correct and timely refunds. The FTC continues to educate industry members by giving speeches and through distribution of a business guide to industry members. The FTC also educates consumers through distribution of consumer pamphlets regarding the Mail or Telephone Order Rule.

<i>Testing</i>	N/A.
<i>Inspection</i>	Government.
<i>Conformity Identification</i>	N/A.
<i>Availability of Documentation</i>	The FTC publishes the Mail or Telephone Order Rule in the CFR. See URL site for additional information
<i>Enforcement</i>	The FTC can sue violators of the Mail or Telephone Order Rule in Federal court. The court can impose civil penalties of up to \$11,000 for each violation and can issue an order prohibiting further violations, and other relief, such as redress, if appropriate.
<i>Term</i>	N/A.
<i>Reciprocity</i>	N/A.
<i>Standards, Codes or Regulations</i>	16 CFR Part 435.
<i>Keywords</i>	mail order sales; telephone sales; computer sales; facsimile sales; catalog sales



*Products or  
Services*

TELEPHONE PAY-PER-CALL SERVICES  
TELEPHONE-BILLED PURCHASES

*Department/Agency*

Federal Trade Commission (FTC)  
Bureau of Consumer Protection  
Division of Marketing Practices  
6th and Pennsylvania, NW  
Washington, DC 20580  
Phone: (202) FTC-HELP  
FAX: (202) 326-2012  
URL address: <http://www.ftc.gov>

*Initiated*

The 900 Number Rule was promulgated in 1993 pursuant to the Telephone Disclosure and Dispute Resolution Act of 1992 (TDDRA).

*Compliance*

All entities in the advertising, provision, billing and collection of pay-per-call services and telephone-billed purchases must comply with the Rule's requirements.

*Authority*

Telephone Disclosure and Dispute Resolution Act of 1992 (TDDRA), 15 U.S.C. § 5701 et. seq.  
Federal Trade Commission Act, 15 U.S.C. § 41, et seq.  
900 Number Rule, 16 CFR Part 308.

*Aim*

Abuses in the 900 number industry prompted Congress to pass legislation requiring the FTC and the FCC to promulgate rules to regulate the advertising, provision of, and billing and collection of pay-per-call services and the billing and collection of telephone-billed purchases.

*Benefits*

Enactment of the Rule has significantly reduced problems with 9000 numbers, but certain problems have migrated to other dialing patterns and telephone billing methods.

*Methodology*

The FTC reviews complaints and information received from consumers and other sources to determine whether a particular company's practices violated the Rule's requirements. If the Commission has reason to believe a company's practices are not in compliance, or are otherwise deceptive or unfair, the Commission may bring an enforcement action against that company.

<i>Testing</i>	N/A.
<i>Inspection</i>	The FTC monitors advertising for pay--per-call services, as well as reviews consumer complaints about a company's or the industry's practices.
<i>Conformity Identification</i>	N/A.
<i>Availability of Documentation</i>	A copy of the Rule, educational materials, and information about FTC enforcement actions can be obtained from the FTC's Consumer Response Center, at the telephone number listed above, or from the agency's website.
<i>Enforcement</i>	Among remedies available, the agency can seek civil penalties, in the amount of \$11,000 for each violation of the Rule. The FTC also has the authority to seek cease and desist orders, consumer redress, other monetary remedies, as well as injunctive relief, including bans on engaging in particular activities or bonding requirements.
<i>Term</i>	N/A.
<i>Reciprocity</i>	The TDDRA authorizes state attorneys general to bring actions for violations of the Rule.
<i>Standards, Codes or Regulations</i>	The text of the Rule and TDDRA can be found at the sites listed above. The Statement of Basis and Purpose to the Rule provides additional explanation regarding the Rule and can be found at 58 <i>Federal Register</i> 42364 (August 9, 1993).
<i>Keywords</i>	pay-per-call service; 900 number; provider; service bureau; billing entity; telephone-billed purchase

*Products or Services*

TELEMARKETING (Selling Products or Services Via the Telephone)

*Department/Agency*

Federal Trade Commission (FTC)  
Bureau of Consumer Protection  
Division of Marketing Practices  
6th and Pennsylvania, NW  
Washington, DC 20580  
Phone: (202) FTC-HELP  
FAX: (202) 326-2012  
URL address: <http://www.ftc.gov>

*Initiated*

The Telemarketing Sales Rule was promulgated in 1995, pursuant to the Telemarketing Consumer Fraud and Abuse Prevention Act.

*Compliance*

Compliance is mandatory for all entities whose activities are covered by the Telemarketing Rule. The Rule contains a number of exemptions. Businesses engaged in telemarketing should review the text of the Rule to determine whether it applies to them.

*Authority*

Telemarketing Sales Rule, 15 CFR Part 310.  
Telemarketing Consumer Fraud and Abuse Prevention Act. (Telemarketing Act) 15 U.S.C. §§ 6101-6108.  
Federal Trade Commission Act, 15 U.S.C. § 41, et seq.

*Aim*

The Telemarketing Sales Rule was promulgated in 1995. The purpose of the Rule is to prevent deceptive telemarketing practices and to ensure that consumers receive truthful and complete information about products and services marketed to them via the telephone.

*Benefits*

See *Aim*.

*Methodology*

The FTC reviews complaints and information received from consumers and other sources to determine whether a particular company's telemarketing practices are in compliance with provisions of the Telemarketing Sales Rule. If the Commission has reason to believe a company's telemarketing practices are not in compliance with the Rule, or are otherwise deceptive or unfair, the Commission may bring an enforcement action as described below.

<i>Testing</i>	N/A.
<i>Inspection</i>	The FTC monitors telemarketing practices. However, the FTC does not routinely inspect businesses engaged in telemarketing or the products or services they sell. In connection with particular FTC investigations or enforcement actions, businesses may be obligated to produce records, testify about their telemarketing practices, or provide FTC representatives with access to the business premises.
<i>Conformity Identification</i>	N/A.
<i>Availability of Documentation</i>	A copy of the Telemarketing Sales Rule, can be obtained by calling the telephone number listed above. Educational materials about telemarketing and information about FTC enforcement actions involving telemarketing are also available from the FTC's website.
<i>Enforcement</i>	Among the remedies available, the agency can seek civil penalties in the amount of \$11,000 for each violation of the Rule. The FTC also has the authority to seek cease and desist orders, consumer redress, other monetary remedies, as well as injunctive relief, including bans on engaging in particular activities or bonding requirements.
<i>Term</i>	N/A.
<i>Reciprocity</i>	The Telemarketing and Consumer Fraud and Abuse Act authorizes state attorneys general to bring actions for violations of the Rule.
<i>Standards, Codes or Regulations</i>	The Telemarketing Sales Rule and the Telemarketing Act can be found at the citations listed above. At the time the Commission issued the Telemarketing Sales Rule, it also issued a Statement of Basis and Purpose in support of the Rule. The Statement of Basis and Purpose provides additional explanation regarding the Rule and can be found at 60 <i>Federal Register</i> 43842 (August 23, 1995).
<i>Keywords</i>	telemarketing; telemarketers; consumer protection

*Products or  
Services*

LIQUID AUTOMOTIVE FUELS

*Department/Agency*

Federal Trade Commission (FTC)  
Bureau of Consumer Protection  
Division of Enforcement  
601 Pennsylvania Ave., NW  
Washington, DC 20580  
Phone: (202) 326-2996  
FAX: (202) 326-3259  
e-mail: nblickman@ftc.gov  
URL address: <http://www.ftc.gov/ftc/consumer.htm>

*Initiated*

1979

*Compliance*

Mandatory for refiners, importers, producers, distributors, and retailers of automotive fuel, with the exception of diesel fuel.

*Authority*

The Petroleum Marketing Practices Act, ("PMPA"), P.L. No. 95-297, 92 Stat. 322 (1978), as amended by the Energy Policy Act of 1992, P.L. No. 102-486, 106 Stat. 2776 (1992).  
16 CFR Part 306 (Automotive Fuel Ratings, Certification and Posting Rule ("Fuel Rating Rule")).

*Aim*

To give fuel purchasers the information they need to choose the correct type or grade of fuel for their vehicles.

*Benefits*

Consumers need to know, as accurately as possible, both the fuel rating requirements of their individual cars and the fuel ratings of the fuels they purchase at the dispenser. With this information, motorists simultaneously can conserve energy, save money, reduce air pollution, and protect their cars against possible engine damage.

*Methodology*

Following directives in the PMPA, the Fuel Rating Rule requires sellers of liquid automotive fuels, including alternative liquid automotive fuels, to determine, certify, post on fuel dispensers, and keep records of the automotive fuel rating appropriate for each fuel. The fuel rating for gasoline is the octane rating. For an alternative liquid automotive fuel, it is the



commonly-used name of the fuel along with a disclosure of the amount, expressed as a minimum percentage by volume, of the principal component of the fuel. The Fuel Rating Rule prescribes the required layout, type size, setting, colors and contents of the gasoline and liquid alternative fuel dispenser labels. Automotive fuel ratings must be determined and certified in accordance with specific provisions in the Fuel Rating Rule. Records of any fuel rating determinations and records on which fuel rating certifications are based must be available for inspection by FTC staff.

*Testing*

Commercial lab.  
Fuel seller's lab.

*Inspection*

Government.  
Inspections may be conducted by state, county, and municipal weights and measures agencies, as well as the FTC.

*Conformity  
Identification*

The Commission's Fuel Rating Rule mandates a disclosure scheme (in the form of dispenser labels) for posting on fuel dispensers the octane rating of gasoline, and the common name and minimum percentage of the principal component of liquid alternative fuels intended for sale to consumers. Dispenser labels for each fuel type covered by the Rule use the same size, colors and typefaces with consistent positioning of contents. Such uniformity in the disclosure format facilitates consumer confidence, recognition and readability. Gasoline labels are to be printed in black ink on a yellow background. Alternative fuel labels must be printed in black ink on an orange background.

*Availability  
of Documentation*

The FTC publishes the Fuel Rating Rule, including sample labels, in the CFR. See the URL site for more information.

*Enforcement*

The FTC can sue violators of the Fuel Rating Rule in Federal court. The court can impose civil penalties of up to \$11,000 for each violation and can issue an order prohibiting further violations, and other relief, such as redress, if appropriate. State and local agencies may also investigate violators of the Fuel Rating Rule.

*Term*

Indefinite term until sellers transfer automotive fuel with a lower automotive fuel rating.

<i>Reciprocity</i>	The Commission's Fuel Rating Rule is recognized by other federal agencies, state agencies, and private sector organizations.
<i>Standards, Codes or Regulations</i>	Standard test procedures are prescribed by the PMPA. Label format is prescribed by the FTC.
<i>Keywords</i>	alternative fuels; energy conservation; gasoline; labeling



Received 6/98

*Products or  
Services*

NON-LIQUID ALTERNATIVE FUELS AND  
ALTERNATIVE-FUELED VEHICLES ("AFVS")

*Department/Agency*

Federal Trade Commission (FTC)  
Bureau of Consumer Protection  
Division of Enforcement  
601 Pennsylvania Ave., NW  
Washington, DC 20580  
Phone: (202) 326-2996  
FAX: (202) 326-3259  
e-mail: nblickman@ftc.gov  
URL address: <http://www.ftc.gov/ftc/consumer.htm>

*Initiated*

1995.

*Compliance*

Mandatory for refiners, importers, producers, distributors, and retailers of vehicle fuels, manufacturers of electric vehicle fuel dispensing systems, manufacturers and dealers of new AFVs, dealers of used AFVs, and certain conversion companies.

*Authority*

The Energy Policy Act of 1992, P.L. No. 102-486, 106 Stat. 2776 (1992).

Labeling Requirements for Alternative Fuels and Alternative Fueled Vehicles, 16 CFR Part 309 ("Rule").

*Aim*

To give fuel purchasers the information they need to choose the correct type or grade of fuel for their vehicles. To provide information to potential purchasers of alternative fueled vehicles to help them compare vehicles.

*Benefits*

Consumers need to know, as accurately as possible, both the fuel rating requirements of their individual cars and the fuel ratings of the fuels they purchase at the dispenser. With this information, motorists simultaneously can conserve energy, save money, reduce air pollution, and protect their cars against possible engine damage. In addition, with the information made available by the Rule concerning AFVs, consumers can determine the costs and benefits of purchasing alternative fuels and AFVs.

## *Methodology*

Under the Rule, retail non-liquid alternative fuel dispensers must display a label near the selling price of the fuel disclosing the commonly-used name of the fuel. The label for gaseous fuels also must disclose the fuel's principal component, and could disclose other components, with all components expressed as minimum percentages. For electric vehicle fuel dispensers, the label must disclose the kilowatt capacity, voltage, current (either AC or DC), amperage, and type of charge (either conductive or inductive).

For AFVs, the Rule requires that AFV manufacturers affix to AFVs, and AFV dealers maintain, standard labels consisting of three parts. The labels are to be placed conspicuously on any visible surface on the AFV. The first part of these labels must contain the estimated cruising range and any Environmental Protection Agency emissions standard. The second part of the AFV label must list and explain factors consumers should consider in purchasing an AFV; and the third part directs consumers to additional sources of information from the Departments of Energy and Transportation.

Additionally, the Rule imposes substantiation, recordkeeping, and in some instances, certification requirements on importers, producers, refiners, and distributors of gaseous alternative fuels; manufacturers and distributors of electric vehicle fuel dispensers; retailers of non-liquid alternative fuels; and AFV manufacturers.

## *Testing*

Commercial lab.  
Fuel seller's or vehicle manufacturer's lab.  
Government lab.

## *Inspection*

Government.

## *Conformity Identification*

The FTC's Rule mandates disclosure schemes (in the form of fuel dispenser and AFV labels) for posting on fuel dispensers the fuel rating of gaseous alternative fuels, and for posting on covered AFVs specific data and other descriptive disclosures. Dispenser and AFV labels for each fuel type or AFV covered by the Rule use the same size, colors and typefaces with consistent positioning of contents. Such uniformity in the disclosure formats facilitate consumer confidence, recognition and readability. Alternative fuel labels must be printed in black ink on an orange

background. AFV labels must be printed in black ink on sky blue paper.

*Availability  
of Documentation*

The FTC publishes the Rule, including sample labels, in the CFR. See the URL site for additional information.

*Enforcement*

The Secretary of Energy may hold hearings, take testimony, and require by subpoena, the attendance and testimony of witnesses and the production of books, papers, correspondence, memorandums, contracts, agreements, or other records.

*Term*

Indefinite term. In the case of fuel sellers, however, the term is indefinite until they transfer vehicle fuel with a lower fuel rating.

*Reciprocity*

The FTC's Rule is recognized by other federal agencies, state agencies, and private sector organizations.

*Standards, Codes  
or Regulations*

Standard test procedures or methods, and label format are prescribed by the FTC.

*Keywords*

alternative fuels; alternative fueled vehicle; energy conservation; labeling

*Product or  
Services*

FUR, WOOL AND TEXTILE PRODUCTS

*Department/Agency*

Federal Trade Commission (FTC)  
Bureau of Consumer Protection  
Division of Enforcement  
6th & Pennsylvania Ave., NW  
Washington, DC 20580  
Phone: (202) 326-3034  
FAX: (202) 326-2558  
URL address: <http://www.ftc.gov/ftc/consumer.htm>

*Initiated*

Wool Products Labeling Act, effective 1941.  
Fur Products Labeling Act, effective 1952.  
Textile Fiber Products Identification Act, effective 1960.

*Compliance*

Mandatory: Textile, wool and fur products must be labeled with either the business name of some party distributing the goods or a Registered Identification Number ("RN number") obtained from the FTC; country of origin; and fiber/fur/textile content.

Voluntary: Continuing guaranties filed with the FTC are voluntary.

*Authority*

Textile Fiber Products Identification Act, 15 U.S.C. § 70.  
Wool Products Labeling Act, 15 U.S.C. § 68.  
Fur Products Labeling Act, 15 U.S.C. § 69.  
Federal Trade Commission Act, 15 U.S.C. § 41 et seq.

Rules and Regulations under the Textile Fiber Products Identification Act, 16 CFR Part 303.  
Rules and Regulations under the Wool Products Labeling Act, 16 CFR Part 300.  
Rules and Regulations under the Fur Products Labeling Act, 16 CFR Part 301.

<i>Aim</i>	The aim of these laws and regulations is to provide truthful, meaningful information that may be used in the purchasing decision process by distributors and consumers. A continuing guaranty filed with the FTC is a promise that the goods are properly labeled.
<i>Benefits</i>	See above.
<i>Methodology</i>	FTC staff monitors complaints about products and may conduct investigations, including testing of content, to ensure accurate labeling or advertising.
<i>Testing</i>	See above.
<i>Inspection</i>	FTC staff may inspect textile, wool, and fur products.
<i>Conformity Identification</i>	Laboratory analysis of content may be conducted.
<i>Availability of Documentation</i>	<p>Holders of RN numbers may be identified through the RN Lookup Service which is available on the Internet at <a href="http://www.ftc.gov/bcp/rn/rn.htm">http://www.ftc.gov/bcp/rn/rn.htm</a>, or by calling the FTC.</p> <p>The Los Angeles Regional Office of the FTC maintains the continuing guaranty files and may disclose whether a company has filed a continuing guaranty with the Commission.</p> <p>The FTC publishes the Rules and Regulations in the CFR. Copies of the Acts are available upon request.</p>
<i>Enforcement</i>	Enforcement actions may be brought by the FTC under the various Acts.
<i>Term</i>	RN numbers and continuing guaranties filed with the FTC remain in effect unless revoked by the Commission.
<i>Reciprocity</i>	N/A.
<i>Standards, Codes or Regulations</i>	The Wool, Fur, and Textile Acts are located at 15 U.S.C. §§ 68, 69, and 70, respectively. The regulations are located at 16 CFR Parts 300, 301, and 303, respectively.

*Keywords*

RN number; continuing guaranty; textile; wool; fur;  
apparel; clothing; fabric; labeling; advertising



Received 6/98

*Products or  
Services*

HOME INSULATION PRODUCTS

*Department/Agency*

Federal Trade Commission (FTC)  
Bureau of Consumer Protection  
Division of Enforcement  
601 Pennsylvania Ave., NW  
Washington, DC 20580  
Phone: (202) 326-4357  
FAX: (202) 326-2012  
e-mail: [consumerline@ftc.gov](mailto:consumerline@ftc.gov)  
URL address: <http://www.ftc.gov/ftc/consumer.htm>

*Initiated*

1980.

*Compliance*

Mandatory for manufacturers and other sellers of home insulation products.

Manufacturers or sellers of thermal insulation products for use in residential structures must disclose specific information about the thermal performance of the insulation at the point of sale (on product labels, manufacturers' fact sheets, and receipts or contracts to purchasers from professional installers and new home sellers), and in advertising and other promotional materials that contain certain claims. Thermal performance is described by the product's R-value, which varies among insulation types and forms and among specific products of the same type and form.

*Authority*

Labeling and Advertising of Home Insulation, 16 CFR Part 460 ("R-value Rule")  
Federal Trade Commission Act, 15 U.S.C. § 41 *et seq.*

*Aim*

To provide consumers with an opportunity to compare relative insulating efficiencies ("R-values"), to make a cost-effective purchase, and to consider the main variables limiting insulation effectiveness and realization of claimed energy savings.

*Benefits*

The availability of verified R-value information based on uniform standards should enhance consumer demand for insulation products that save energy. In turn, competition should be generated among manufacturers to meet this demand by producing more energy efficient



insulation products. Consumers will be able to save money by reducing the costs of heating and cooling their homes, which will help to promote the national goal of energy conservation.

*Methodology*

Following rulemaking proceedings under the Federal Trade Commission Act, the FTC has adopted testing and disclosure rules for manufacturers and other sellers of home insulation products. The required point-of-sale (label, manufacturers' fact sheets) and advertising disclosures give consumers R-value ratings and related information they can use in making cost-effective purchasing decisions. Manufacturers must use specified test procedures to determine the R-values of their products, and must disclose R-values and related information on product labels and fact sheets, and in advertisements that contain certain claims. FTC representatives may review a manufacturer's or other seller's test records, labels, fact sheets, advertising, or other materials to determine whether the manufacturer or other seller is in compliance with the R-value Rule's requirements.

*Testing*

Manufacturers are responsible for testing their products in their own labs or in commercial labs of their choice.

*Inspection*

No inspections are required. Government may inspect or have products tested to confirm manufacturers' test results or thermal performance claims.

*Conformity  
Identification*

The FTC's R-value Rule mandates a disclosure scheme for energy efficiency (R-value), based on standardized test procedures. All disclosures for insulation products covered by the Rule must provide identical information in a prescribed format. Such uniformity in the disclosure format facilitates immediate consumer recognition and readability. The FTC does not require the certification of home insulation products or suppliers.

*Availability  
of Documentation*

The FTC publishes the R-value Rule in the CFR. See the URL site for additional information.

*Enforcement*

The FTC can sue violators of the R-value Rule in Federal court. The court can impose civil penalties of up to \$11,000 per violation, and can issue an order prohibiting further violations, and other relief, such as redress, if appropriate.

<i>Term</i>	Indefinite term.
<i>Reciprocity</i>	The Commission's R-value Rule is recognized by other federal agencies, state agencies, and private sector organizations.
<i>Standards, Codes or Regulations</i>	16 CFR Part 460.
<i>Keywords</i>	advertising; energy conservation; insulation; labeling; trade practices

*Products or  
Services*GOODS OR MERCHANDISE SOLD BY PRENOTIFICATION NEGATIVE  
OPTION PLANS*Department/Agency*

Federal Trade Commission (FTC)  
Bureau of Consumer Protection  
Division of Enforcement  
6th & Pennsylvania Ave., NW  
Washington, DC 20580  
Phone: (202) 326-4357  
FAX: (202) 326-2012  
e-mail: [consumerline@ftc.gov](mailto:consumerline@ftc.gov)  
URL address: <http://www.ftc.gov/ftc/consumer.htm>

*Initiated*

1973.

*Compliance*

Mandatory. Operators of prenotification negative option plans must disclose the material terms of the membership in ads that contain a device consumers can use to subscribe.

*Authority*

Use of Negative Option Plans by Sellers in Commerce, 16 CFR Part 425 (the "Rule").  
Federal Trade Commission Act, 15 U.S.C. 41, et seq.

*Aim*

To ensure that consumers are not misled about the terms of prenotification negative option plans before they subscribe, the Rule requires sellers to disclose the material terms of the plans in ads that contain a means consumers can use to subscribe. The Rule also imposes certain duties on operators of prenotification negative option plans to protect consumers from potentially unfair or deceptive practices once they have subscribed.

*Benefits*

See above.

*Methodology*

FTC staff monitors ads that contain a means that consumers can use to subscribe to prenotification negative option plans to determine whether the ads disclose the material terms of membership, including disclosures specifically set forth in the Rule. FTC staff also monitors consumer complaints to determine whether operators of prenotification negative option plans are complying with Rule requirements.

<i>Testing</i>	N/A.
<i>Inspection</i>	Advertisements are reviewed continually.
<i>Conformity Identification</i>	N/A.
<i>Availability of Documentation</i>	The FTC publishes the Rule in the CFR. See the URL site for additional information.
<i>Enforcement</i>	The FTC may bring enforcement actions administratively or in federal court against companies or individuals who violate the Rule. In some cases, the FTC may seek civil penalties, as well as consumer redress and other remedies.
<i>Term</i>	N/A.
<i>Reciprocity</i>	N/A.
<i>Standards, Codes or Regulations</i>	16 CFR Part 425.
<i>Keywords</i>	goods; merchandise; advertising; prenotification negative option plan

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## GENERAL SERVICES ADMINISTRATION



Received 8/98

*Products or  
Services*

PAPTS, MATERIALS, AND EQUIPMENT  
(Qualified Products Listing (QPL) Program)

*Department/Agency*

General Services Administration (GSA)  
Federal Supply Service (FSS)  
Mail Code: 3FNE-CO  
CM4, Room 403  
Washington, DC 20406  
Phone: (703) 305-6338  
FAX: (703) 308-3658  
URL address: <http://www.fss.gsa.gov>

*Initiated*

1949.

*Compliance*

Mandatory for those products defined by Federal Specifications which have been designated for the Qualified Products List (QPL) program because conformance demonstration at each procurement would necessitate extensive testing.

*Aim*

As a means of expediting contract awards and deliveries of designated products, manufacturers are required to have these products tested to determine if the products conform to all specified requirements. Subsequently, assurance that proper quality is being maintained is achieved by normal acceptance inspection of selected samples of a shipment, rather than a detailed lot inspection.

*Benefits*

The availability of products known to be qualified reduces the cost and time to select products for inclusion in equipment and systems that must perform reliably. Helps control purchase lead times and increases the quality of equipment using these products. The majority of these QPLs are for security office equipment - safes, vault doors, filing cabinets, and padlocks.

*Methodology*

Testing prior to government purchase.

*Testing*

Government or private laboratories, including the manufacturer's lab, may be used if acceptable to the GSA and the designated preparing activity. Labs are not formally accredited by GSA.

<i>Inspection</i>	Follow-up inspection is not an integral part of this program. Listing on a QPL does not waive requirements for either in-process or other inspection by the manufacturer, or inspection by the buyer.
<i>Conformity Identification</i>	Listing on QPLs.
<i>Availability of Documentation</i>	Federal QPLs and specifications are distributed by GSA Business Service Centers.
<i>Obligations of Manufacturer/Vendor</i>	Manufacturers and distributors must supply test samples, ordinarily bear the cost of testing, maintain quality and notify of design changes. Reference may be made to listing of QPLs in advertising and related publicity, provided there is no claim or implication of government preference or endorsement, or that the product is the only one of its type that has passed the prescribed tests.
<i>Term</i>	Indefinite for most products; certain products may require retesting at periodic intervals.
<i>Reciprocity</i>	Federal and state agencies recognize and use federal QPLs. There are no bilateral or multilateral arrangements with other countries.
<i>Standards, Codes, or Regulations</i>	Program is based on qualification requirements specified in federal specifications.
<i>Keywords</i>	government procurement; procurement; QPL; quality control; testing

Not Received

*Products or  
Services*

**PARTS, MATERIALS, AND EQUIPMENT FOR GOVERNMENT PURCHASE**  
(Federal Supply Schedule Listing Program)

*Department/Agency*

General Services Administration (GSA)  
Federal Supply Service (FSS)  
Mail Code: 3FNE-CO  
CM4, Room 403  
Washington, DC 20406  
Phone: (703) 305-6338  
FAX: (703) 308-3658  
URL address: <http://www.fss.gsa.gov>

*Initiated*

1949.

*Compliance*

Currently mandatory for covered products and procurements. However, the FSS is converting to nonmandatory sources of supply. This includes all multiple and single award schedules.

*Aim*

To expedite government procurements. Allows agencies to purchase products from commercial firms at volume discount pricing for given period of time.

*Benefits*

Reduces cost and time in the government procurement process.

*Methodology*

The Federal Supply Schedule Program mirrors commercial buying practices. The Multiple Award Schedules (MAS) cover contracts awarded to contractors supplying comparable commercial supplies and services at varying prices. Single Award Schedules (SAS) cover contract made with one supplier for a specific product at a stated price for delivery to a geographic area defined in the schedule.

*Conformity  
Identification*

Federal Supply Schedules are available from: GSA, Centralized Mailing List Services, 4900 Hemphill St., P.O. Box 6477, Fort Worth, TX 76115 Phone: (817) 334-5215; Fax: (817) 334-5227.

*Availability  
of Documentation*

Federal Supply Schedules and specifications are distributed by GSA Business Service Centers.

<i>Obligations of the Manufacturer/Vendor</i>	To comply with the terms of the contract.
<i>Term</i>	Contract period.
<i>Reciprocity</i>	Federal and state agencies recognize and use Federal Supply Schedules. There are no bilateral or multilateral arrangements with other countries.
<i>Standards, Codes or Regulations</i>	Program is based on commercial standards where available.
<i>Keywords</i>	federal supply schedule; government procurement; procurement; quality control; testing

*Products or  
Services*

FEDERAL AUTOMOBILES AND TRUCKS

*Department/Agency*

General Services Administration (GSA)  
Federal Supply Service (FSS)  
GSA Automotive Center (FCAE)  
Mailing Address:  
1941 Jefferson Davis Hwy.  
Arlington, VA 22202-4502  
Phone: (703) 308-4190  
FAX: (703) 305-3034  
URL address: <http://www.fss.gsa.gov>

*Compliance*

Mandatory for procuring federal agencies/offices.

*Authority*

Federal Property Management Regulation (FPMR) No. 101-26.501 regarding the Purchase of New Motor Vehicles.  
FPMR No. 101-38.13, Acquisition of Fuel Efficient Motor Vehicles.

*Aim*

To achieve a practical degree of standardization in the Federal automotive fleet, yet be responsive to the wide range of vehicles required to meet the needs of the various agencies.

*Benefits*

Allows the procurement of commercial, nontactical vehicles which are capable of meeting performance/functional requirements equal to or better than vehicles purchased by the private sector.

*Methodology*

Quality assurance operations performed by the contractor are subject to Government verification at unscheduled intervals. Verification will consist of observation of the operations to determine that practices, methods, and procedures of the contractor's inspection are being properly applied. Failure of the contractor to promptly correct product deficiencies discovered shall be cause for suspension of acceptance until correction has been made or until conformation of product to specification criteria has been demonstrated. The products provided must meet all of the FMVSS, conform to the producer's own drawings, specifications, standards, quality assurance practices, and government standards and be the

same product offered for sale in the commercial market. The Government reserves the right to require proof of such conformance.

*Conformity  
Identification*

GSA lists representative vehicles meeting federal vehicle standards in their respective documents, which are available from the office listed above.

*Availability  
of Documentation*

Federal Motor Vehicle Safety Standards are available from the National Highway Transportation Safety Administration (NHTSA), 400 7th Street, SW, Washington, DC 20590.

*Obligations of the  
Manufacturer/Vendor*

See *Methodology*.

*Term*

Annual.

*Reciprocity*

Federal agencies recognize and use federal vehicle standards in their procurements. There are no bilateral or multilateral arrangements with other countries.

*Standards, Codes  
or Regulations*

Program is based on federal vehicle standards developed by GSA and based on classification characteristics and specifications from the American Automobile Manufacturers Association (AAMA), the EPA and DOE's fuel economy information.

*Keywords*

government procurement; procurement; QPL; vehicles, automobiles; testing

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## NUCLEAR REGULATORY COMMISSION

Received 6/98

*Products or  
Services*

NUCLEAR POWER PLANTS, NUCLEAR FUEL CYCLE FACILITIES AND  
NONPOWER TEST AND RESEARCH REACTORS (Regulation of the  
Civilian Use of By-Product, Source and Special Nuclear  
Material)

*Department/Agency*

Nuclear Regulatory Commission (NRC)  
Office of Nuclear material Safety and Safeguards  
Two White Flint North Building  
Washington, DC 20555 (Mailing Address)  
Phone: (301) 415-2741  
Fax: (301) 415-3431  
e-mail: [jxl@nrc.gov](mailto:jxl@nrc.gov)  
URL address: <http://www.nrc.gov/NMSS/nrc.htm>

or Office of Nuclear Reactor Regulation  
OWFN 5-E7  
11545 Rockville Pike  
Rockville, MD 20552  
NRC, Washington, DC 20555 (Mailing Address)  
Phone: (301) 415-1270  
Fax: (301) 415-8333  
e-mail: [bmm@nrc.gov](mailto:bmm@nrc.gov)  
URL address: <http://www.nrc.gov/OPA/finder.htm>

*Initiated*

1954 with the Atomic Energy Act, as amended.

*Compliance*

Mandatory.

*Authority*

Atomic Energy Act, as amended.

*Aim*

Protection of public health and safety, promote common  
defense and security, and protect the environment  
through effective and efficient regulations.

*Benefits*

See *Aim*.

*Methodology*

NRC develops regulations and guidance documents for  
programs and activities it regulates, reviews  
applications and issues licenses for regulated  
activities, and conducts periodic inspections to ensure  
compliance and overall safe implementation of programs.

<i>Inspection</i>	NRC conducts routine planned inspections and conducts inspections in response to events and operational concerns.
<i>Availability of Documentation</i>	NRC maintains a public docket room in Washington, DC and local public document rooms at selected locations throughout the U.S. in the vicinity of key licensees.
<i>Enforcement</i>	NRC may issue Notices of Violation, impose civil penalties and issue Orders. All violations are subject to civil enforcement action and may also be subject to criminal prosecution.
<i>Standards, Codes or Regulations</i>	10 CFR 1.
<i>Keywords</i>	construction; design; design; environment; nuclear facility; nuclear fuel cycle; fuel fabrication facility; gaseous diffusion plant; nuclear safety

Received 6/98

*Products or  
Services*

RADIOACTIVE MATERIAL FOR MEDICAL, INDUSTRIAL AND  
ACADEMIC USES, RADIOACTIVE MATERIAL PACKAGING AND  
CONTAINERS

*Department/Agency*

Nuclear Regulatory Commission (NRC)  
Office of Nuclear Material Safety and Safeguards  
Two White Flint North  
Washington, DC 20555-0001 (Mailing Address)  
Phone: (301) 415-7800  
FAX: (301) 415-5369  
e-mail: opa@nrc.gov  
URL address: <http://www.nrc.gov/NMSS/nrc.htm>

*Initiated*

1974.

*Compliance*

Mandatory.

*Authority*

Atomic Energy Act of 1954, as amended.  
Energy Reorganization Act of 1974, as amended.  
Uranium Mill Tailings Radiation Control Act of 1978.  
Nuclear Non-Proliferation Act of 1978.  
Low-Level Radioactive Waste Policy Act of 1980, as  
amended.  
West Valley Demonstration Act of 1980.  
Nuclear Waste Policy Act of 1982, as amended.  
Diplomatic Security and Anti-Terrorism Act of 1986.  
Solar, Wind, Waste and Geothermal Power Production  
Incentives Act of 1990.  
Energy Policy Act of 1992.  
10 CFR 1.

*Aim*

To ensure adequate protection of public health and  
safety, the common defense and security, and the  
environment in the use of nuclear material in the United  
States.

*Benefits*

See *Aim*.

*Methodology*

Responsible for the public health and safety licensing,  
inspection, and environmental review for all activities  
regulated by the NRC, except operating power and all  
non-power reactors and for the safeguards technical

review of all licensing activities, including export/import of special nuclear materials, but excluding reactors. Develops and implements NRC policy for the regulation of activities involving safety, quality, approval, and inspection of the use and handling of byproduct or special nuclear materials, such as uranium recovery activities fuel fabrication and fuel development; medical industrial, academic, and commercial uses of radioactive isotopes; safeguards activities; transportation of nuclear materials, including certification of transport containers; spent fuel storage; safe management and disposal of low-level and high-level radioactive waste; and management of related decommissioning.

Most organizations or individuals intending to possess, use, or transfer byproduct or special nuclear materials must also be licensed and inspected by NRC or an NRC Agreement State. Such materials include: new and spent nuclear fuel; medical radiation therapy and diagnostic tests using a radiopharmaceutical; consumer products, such as smoke detectors, "exit" signs, static eliminations devices and luminous watch dials, wood flooring treated with gamma radiation to resist abrasion, and certain gemstones such as blue topaz; industrial radiography; and other commercial and industrial uses of radioactive materials, such as testing devices, and gauges. States also have regulatory jurisdiction over certain radioactive substances that occur naturally (primarily radium) or are produced by machines called particle accelerators.

<i>Testing</i>	NRC, State government, or Applicant.
<i>Inspection</i>	NRC or Agreement State.
<i>Conformity</i>	Approved products are assigned an identification number.
<i>Identification</i>	Approved users are issued licenses.
<i>Availability of Documentation</i>	NRC documents may be requested from the NRC, for single copies, or through the Government Printing Office. Additional information may also be available from the agency or for viewing at the NRC Public Document Room.

<i>Obligations of the Manufacturer/Vendor</i>	Report defects or noncompliance. Report significant reduction of effectiveness of packaging/containers during use. To conform to regulatory requirements and abide by conditions and limitations of licensing and registration.
<i>Enforcement</i>	NRC may issue Notices of Violation, impose civil penalties and issue Orders. All violations are subject to civil enforcement action and may also be subject to criminal prosecution.
<i>Term</i>	Five (5) year (renewable) for certificate holders.
<i>Reciprocity</i>	Recognition of certification by: <ul style="list-style-type: none"> <li>- State agencies (Agreement States and Licensing States).</li> <li>- U.S. Department of Transportation (DOT).</li> <li>- Foreign governments upon issuance of DOT Competent Authority Certificate.</li> </ul>
<i>Standards, Codes or Regulations</i>	U.S. Nuclear Regulatory Commission Regulatory Guides (NUREG). 10 CFR 1 Parts 1-199. ANSI, ISO, or other industry and consensus standards.
<i>Keywords</i>	brachytherapy; byproduct material; consumer products; containers; device; diagnostic tests using radiopharmaceuticals; environment; "exit" signs; fuel fabrication; gamma irradiator; gauges; industrial radiography; luminous watch dials; medical radiation therapy; new nuclear fuel; nuclear; nuclear fuel; nuclear safety; packaging; radioactive material; radiation treated gemstones; sealed source; smoke detectors; special nuclear; spent nuclear fuel; static elimination devices; teletherapy; testing devices; transportation; well logging; wood flooring treated with gamma radiation

*Products or  
Services*

NUCLEAR WASTE

*Department/Agency*

Nuclear Regulatory Commission (NRC)  
Office of Nuclear Material Safety and Safeguards  
11545 Rockville Pike  
Rockville, MD 20852

NRC, Washington, DC 20555-0001 (Mailing Address)  
Phone: (301) 415-7800  
FAX: (301) 415-5369  
e-mail: opa@nrc.gov  
URL address: <http://www.nrc.gov>

*Compliance*

Mandatory.

*Authority*

Energy Reorganization Act of 1974, as amended.  
Uranium Mill Tailings Radiation Control Act of 1978.  
Nuclear Non-Proliferation Act of 1978.  
Low-Level Radioactive Waste Policy Act of 1980, as amended.  
West Valley Demonstration Act of 1980.  
Nuclear Waste Policy Act of 1982, as amended.  
Energy Policy Act of 1992.  
10 CFR 1.

*Aim*

To protect public health and safety and the environment through the licensing and monitoring of nuclear waste facilities.

*Benefits*

See *Aim*.

*Methodology*

NRC licenses the siting, design, construction, operation and closure of low-level radioactive waste disposal sites under NRC jurisdiction and the construction, operation and closure of the geologic repository for high-level radioactive waste. NRC also regulates the siting, operation, decontamination, decommissioning, and reclamation of uranium mills, and uranium mill tailings disposal facilities at both active and inactive mill sites. NRC also inspects all licensed interim storage facilities and related vendor activities.



<i>Testing</i>	NRC or applicant.
<i>Inspection</i>	NRC Inspectors.
<i>Conformity Identification</i>	NRC maintains a list of licensed facilities and certificate holders.
<i>Availability of Documentation</i>	See URL address listed above for further information. Additional information is also available from the offices listed above.
<i>Obligations of the Manufacturer/Vendor</i>	To conform to regulatory requirements and abide by conditions for licensing or certification.
<i>Enforcement</i>	NRC may issue Notices of Violation, impose civil penalties and issue Orders. All violations are subject to civil enforcement action and may also be subject to criminal prosecution.
<i>Term</i>	Not determined for repository. Twenty (20) year renewable for independent spent fuel storage installations, licenses and certificates of compliance.
<i>Reciprocity</i>	N/A.
<i>Standards, Codes or Regulations</i>	10 CFR Parts 40, 60, 61, 72.
<i>Keywords</i>	nuclear waste; nuclear waste facility; nuclear safety; waste disposal; waste management; uranium mill tailings; uranium mills; uranium mill tailings disposal facilities; spent fuel storage; spent fuel cask; independent spent fuel installations; interim spent fuel storage; monitored retrievable storage

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## APPENDIX II

INFORMATION AVAILABLE FROM  
Office of Standards Services  
National Institute of Standards and Technology  
Gaithersburg, Maryland 20899  
(See last page for ordering information)

### *The ABC's of Standards-Related Activities in the United States (NBSIR 87-3576)*

This report is an introduction to voluntary standardization, product certification and laboratory accreditation for readers not fully familiar with these topics. It stresses some of the more important aspects of these fields; furnishes the reader with both historical and current information on these topics; describes the importance and impact of the development and use of standards; and serves as background for using available documents and services.

Order from NTIS by #PB 87-224309.

### *The ABC's of Certification Activities in the United States (NBSIR 88-3821)*

This report, a sequel to NBSIR 87-3576, *The ABC'S of Standards-Related Activities in the United States*, provides an introduction to certification for readers not entirely familiar with this topic. It highlights some of the more important aspects of this field, furnishes the reader with information necessary to make informed purchases, and serves as background for using available documents and services.

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### *The ABC's of the U.S. Conformity Assessment System (NISTIR 6014)*

This report is designed to provide the reader with an introduction to conformity assessment and information on how the various conformity assessment activities are interlinked. It highlights some of the field's more important aspects and serves as background for using available documents and services.

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### *Directory of U.S. Private Sector Product Certification Programs (NIST SP 903)*

This directory presents information from 178 private sector organizations in the United States which engage in product certification activities. Entries describe the type and purpose of each organization, the nature of the activity, a pictorial representation of the organization's mark (if available), products certified, standards used, certification requirements, any accreditation or recognition by a U.S. or foreign private sector or

government agency, availability of services, methods of cost determination, and other relevant details.

Order from NTIS by #PB 96-215074.

*Profiles of National Standards-Related Activities (NIST SP 912).*

This directory identifies the metrology, standardization, testing, and quality (MSTQ) activities of more than 70 countries. Each entry includes basic data on the country's economy and trade; agencies and institutions responsible for metrology and calibration, standards development, testing, product certification, quality and environmental system registration; and key contacts and information sources. Entries are formatted to facilitate access to specific information. An introductory section provides general information on development of the directory and an overview of worldwide MSTQ activities.

Order from NTIS by #PB97-169874/AS.

*Laboratory Accreditation Activities in the United States (NISTIR 4576)*

This report, a companion to NBSIR 87-3576 The ABC'S of Standards-Related Activities in the United States and NBSIR 88-3821 The ABC'S of Certification Activities in the United States, is designed to provide information on laboratory accreditation to readers who are new to this field. It discusses some of the more significant facets of this topic, provides information necessary to make informed decisions on the selection and use of laboratories, and serves as background for using other available documents and services.

Order from NTIS by #PB 91-194495.

*The U.S. Certification System from a Governmental Perspective (NISTIR 6077)*

This report is designed to provide the reader with an introduction to the U.S. certification system from a governmental perspective. It highlights some of the relationships that exist between federal and state agencies and the private sector and discusses some of the history and philosophy behind the U.S. system.

Order from NTIS by #PB98-104086.

*The National Technology Transfer and Advancement Act - Plan for Implementation (NISTIR 5967)*

The National Technology Transfer and Advancement Act (P.L. 104-113) gives NIST responsibility to coordinate standards and conformity assessment activities with other Federal agencies, state and local governments, and with the private sector. Congress required NIST to submit a plan for implementing the coordination activities. Specific activities in strategic standards management, responsiveness to international trade concerns, greater use of voluntary standards, and conformity assessment procedures are



described. Responsibilities of governments, standards developers, and private sector interests are outlined, as are a number of specific tasks.  
Order from NTIS by #PB97-7153001.

*Report on the Open Forum on Establishment of the National Council for Laboratory Accreditation (NACLA) at the National Institute of Standards and Technology January 7, 1997 (NISTIR 6008)*

The forum was jointly sponsored by NIST, ACIL (formerly the American Council of Independent Laboratories), and the American National Standards Institute (ANSI). It was attended by more than 300 representatives from private industry and the government. The purpose of the Forum was to discuss a proposal to establish the National Council for Laboratory Accreditation (NACLA), which would be a cooperative partnership between the public and private sectors designed to provide a national infrastructure for laboratory accreditation in the United States.  
Order from NTIS by #PB97-1588133.

*Examination of Laboratory Accreditation Programs in the United States and the Potential Role for a National Laboratory Accreditation System (NIST GCR 97-714)*

This report presents an initial study of existing U.S. laboratory accreditation programs, with a focus on government programs, particularly at the Federal level. The study was conducted in two phases: Phase I established categories of existing laboratory accreditation programs in the Federal government, at the state and local level, and in the private sector. Phase II compared technical standards used by five Federal government laboratory accreditation programs with general standards for laboratory accreditation established by ISO.

Order from NTIS by #PB97-167365.

*Proceedings of the Open Forum on Laboratory Accreditation at the National Institute of Standards and Technology October 13, 1995 (NIST SP 902)*

The American National Standards Institute and ACIL requested that NIST work with them in an informal Laboratory Accreditation working group (LAWG) to evaluate the current situation in laboratory accreditation in the United States. This group sponsored a forum to hear reports from various sectors and to arrive at some consensus on the need to improve the current situation and infrastructure for laboratory accreditation in the United States.  
Order from NTIS by #PB96-210141.

*Questions and Answers on Quality, the ISO 9000 Standard Series, Quality System Registration, and Related Issues (NISTIR 4721)*

This report provides information on the development, content and application of the ISO 9000 standards to readers who are unfamiliar with these aspects of the standards. It attempts to answer some of the most commonly asked questions on quality; quality systems; the content, application and revision of the ISO 9000 standards; quality system approval/registration; European Community requirements for quality system approval/registration; and sources for additional help.

Order from NTIS by #PB 93-152080/AS.

*More Questions and Answers on the ISO 9000 Standard Series and Related Issues (NISTIR 5122)*

This report, a sequel to NISTIR 4721, provides additional information on the ISO 9000 standards and related issues to readers unfamiliar with some of the new developments in this area. It attempts to answer additional questions on ISO 9000 standards related issues which NIST has received since the publication of NISTIR 4721 and identifies sources for further help in this area.

Order from NTIS by #PB 93-140689.

*Survey on the Implementation of ISO/IEC Guide 25 by National Laboratory Accreditation Programs (NISTIR 5473)*

ISO/IEC Guide 25, General Requirements for the Competence of Calibration and Testing Laboratories, has been used by many laboratory accreditation programs worldwide to establish accreditation requirements designed to promote confidence in the calibrations and testing results of laboratories. National delegations to the International Laboratory Accreditation Conference (ILAC) were surveyed to collect information on the implementation and supplementation of the requirements of ISO/IEC Guide 25 within the context of their countries' laboratory accreditation programs. This report summarizes the results of that survey and includes a bibliographic list of publications concerned with ISO/IEC Guide 25 implementation compiled from the information by the national delegations.

Order from NIST by #PB 94-210150.

*Directory of International and Regional Organizations Conducting Standards-Related Activities (NIST SP 767)*

This directory contains information on 338 international and regional organizations which conduct standardization, certification, laboratory accreditation, or other standards-related activities. It describes their work in these areas, as well as the scope of each organization, national affiliations of members, U.S. participants, restrictions on membership, and

the availability of any standards in English.

Order from NTIS by #PB 89-221147 or Global Engineering Documents by Order #Cat. SP767.

*Directory of European Regional Standards-Related Organizations* (NIST SP 795)

This directory identifies more than 150 European regional organizations - both governmental and private - that engage in standards development, certification, laboratory accreditation and other standards-related activities, such as quality assurance. Entries describe the type and purpose of each organization; acronyms; national affiliations of members; the nature of the standards-related activity; and other related information.

Order from NTIS by #PB 91-107599 or Global Engineering Documents by Order #Cat. 0258-3.

*Standards Activities of Organizations in the United States* (NIST SP 806, 1996 Edition).

The directory identifies and describes activities of over 700 U.S. public and private sector organizations which develop, publish, and revise standards; participate in this process; or identify standards and make them available through information centers or distribution channels. The revision covers activities related to both mandatory and voluntary U.S. standards. It also contains a subject index and related listings that cover acronyms and initials, defunct bodies and organizations with name changes.

Order from NTIS by #PB 97-124135/AS.

*Directory of Federal Government Laboratory Accreditation/Designation Programs* (NIST SP 808)

This directory provides updated information on 31 federal government laboratory accreditation and similar type programs conducted by the federal government. These programs, which include some type of assessment regarding laboratory capability, designate sets of laboratories or other entities to conduct testing to assist federal agencies in carrying out their responsibilities. The directory also lists 13 other federal agency programs of possible interest, including programs involving very limited laboratory assessment and programs still under development.

Order from NTIS by #PB 91-167379.

*Directory of State and Local Government Laboratory Accreditation/ Designation Programs* (NIST SP 815)

This directory provides updated information on 21 state and 11 local government laboratory accreditation and similar type programs. These programs, which include some type of assessment regarding laboratory capability, designate private sector laboratories or other entities to conduct testing to assist state and local government agencies in carrying out their



responsibilities. Entries describe the scope and nature of each program, laboratory assessment criteria and procedures used in the program, products and fields of testing covered, program authority, and other relevant details.

Order from NTIS by #PB 92-108968.

*Directory of Professional/Trade Organization Laboratory Accreditation/Designation Programs (NIST SP 831)*

This directory is a guide to laboratory accreditation and similar types of programs conducted by professional and trade organizations. These programs accredit or designate laboratories or other entities to assist private sector professional societies, trade associations, related certification bodies, their membership, as well as government agencies, in carrying out their responsibilities. This accreditation or designation is based on an assessment of the capability of the laboratory to conduct the testing. However, the nature of the assessment varies considerably by organization and program.

Order from NTIS by #PB 92-181940.

*ISO Environmental Management Standardization Efforts (NISTIR 5638-1)*

This report describes the development of planned "environmental management" standards by the International Organization for Standardization (ISO). These standards address management systems and the environmental aspects of products in the areas of life cycle assessment and labeling. The report outlines the current status of the ISO standards and also covers developments relating to third party certification of environmental management systems.

Order from NTIS by #PB 96-158662.

*Standards Setting in the European Union - Standards Organizations and Officials in EU Standards Activities (NIST SP 891, 1997 Edition)*

The guide is designed to help U.S. manufacturers, exporters, and other interested persons in locating contact points for important information on the development of standards and conformity assessment issues. The report includes a history of the role of standards in the European Union (EU) and the latest information on the EU's harmonization directives for implementing the "New Approach" and the "Global Approach" for harmonizing technical regulations and standards to reduce barriers to trade.

Order from NTIS as #PB 97-153738.

*TBT Agreement Activities of the National Institute of Standards and Technology*

This annual report describes the World Trade Organization (WTO) Agreement on Technical Barriers to Trade (TBT) activities conducted by NIST. NIST receives

notifications of proposed foreign technical regulations related to trade, responds to inquiries on proposed technical regulations, participates in various bilateral and multilateral standards-related trade discussions, and respond to inquiries on the existence, source and availability of standards and standards-related information.

Order from Standards Information Program, (301) 975-4040; fax (301) 926-1559, e-mail: ncsci@nist.gov.

### *Using Voluntary Standards in the Federal Government (NISTIR 6086)*

This report is a compilation of presentations given at a NIST-sponsored conference held on September 8, 1997 to foster better understanding among Federal agencies of the private sector standardization process. The conference took place as part of a major effort by NIST to implement the National Technology Transfer and Advancement Act which gives NIST responsibility to coordinate standards and conformity assessment activities with other Federal agencies, state and local governments, and with the private sector.

Order from NTIS.

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### APPENDIX III

#### FORMAT USED FOR EACH ENTRY

##### DATE INFORMATION

##### APPROVED BY THE AGENCY

<i>Products or Services</i>	The products/services covered by this program.
<i>Department/Agency</i>	The responsible office/agency/department, as well as their address, telephone, telex, fax and e-mail numbers, and URL address, if available.
<i>Initiated</i>	The date the program was initiated.
<i>Compliance</i>	Whether the program is mandatory, voluntary, or mandatory only under specified circumstances.
<i>Authority</i>	The public laws, sections in the Code of Federal Regulations (CFR) or in the <i>Federal Register</i> which authorize the agency to conduct the program.
<i>Aim</i>	The problems or conditions which prompted the program's establishment and how the program will or has remedied them.
<i>Benefits</i>	Information on the benefits (decreased accident rate, improved product quality/safety, improved competition, etc.) of the program.
<i>Methodology</i>	The methodology used by the program to ensure compliance with certification criteria, such as government inspection, third party testing, compliance with Good Manufacturing Practices, etc.
<i>Testing</i>	Whether the agency or another specified party is responsible for any tests conducted on the product/service.
<i>Inspection</i>	Whether the agency or another specified party is responsible for any inspections of the product/service.
<i>Conformity Identification</i>	The method, if any, that the agency uses to identify that the product/service has been certified.

<i>Availability of Documentation</i>	How information on lists of approved products/suppliers or other documentation on the program can be obtained.
<i>Obligations of the Manufacturer/Vendor</i>	Requirements for testing, inspection, labeling, documentation, submission, notification, etc., placed on the manufacturer by the agency.
<i>Enforcement</i>	The remedies (product recall, marketing ban, product seizure, etc.) available to the agency in cases of noncompliance with certification criteria.
<i>Term</i>	The length of time the certification is valid.
<i>Reciprocity</i>	Any recognition of the certification by other federal or state agencies, private sector organizations, foreign governments, or international organizations.
<i>Standards, Codes or Regulations</i>	The documents which define the acceptance criteria for the certification.
<i>Keywords</i>	Words describing key characteristics of the program.



## APPENDIX IV

### LIST OF ACRONYMS AND ABBREVIATIONS

AAHC	ACCREDITATION ASSOCIATION FOR AMBULATORY HEALTH CENTERS
AABB	AMERICAN ASSOCIATION FOR BLOOD BANKS
AAMA	AMERICAN AUTOMOBILE MANUFACTURERS ASSOCIATION
AAR	ASSOCIATION OF AMERICAN RAILROADS
AFVS	ALTERNATIVE-FUELED VEHICLES
AGA	AMERICAN GAS ASSOCIATION
AHAM	ASSOCIATION OF HOME APPLIANCE MANUFACTURERS
AMC	ARMY MATERIAL COMMAND, DOD
AMS	AGRICULTURAL MARKETING SERVICE, USDA
ANSI	AMERICAN NATIONAL STANDARDS INSTITUTE
AOA	AMERICAN OSTEOPATHIC ASSOCIATION
APHA	AMERICAN PUBLIC HEALTH ASSOCIATION
APHIS	ANIMAL AND PLANT HEALTH INSPECTION SERVICE, USDA
APIS	FAA APPROVED PRODUCTION INSPECTION SYSTEM
ARI	AIR-CONDITIONING AND REFRIGERATION INSTITUTE
ASC	AMBULATORY SURGICAL CENTER
ASHI	AMERICAN SOCIETY FOR HISTOCOMPATIBILITY AND IMMUNOGENETICS
ASME	AMERICAN SOCIETY OF MECHANICAL ENGINEERS
ASQ	AMERICAN SOCIETY FOR QUALITY
ASTM	AMERICAN SOCIETY FOR TESTING AND MATERIALS
BATF	BUREAU OF ALCOHOL, TOBACCO AND FIREARMS
BIA	BUREAU OF INDIAN AFFAIRS, DOI
BIFS	BOILERS AND INDUSTRIAL FURNACES
BOCA	BUILDING OFFICIALS AND CODE ADMINISTRATORS INTERNATIONAL
CAC	CODEX ALIMENTARIUS COMMISSION
CALEA	COMMUNICATIONS ASSISTANCE FOR LAW ENFORCEMENT ACT OF 1994
CAP	COLLEGE OF AMERICAN PATHOLOGISTS
CASCO	ISO COUNCIL COMMITTEE ON CONFORMITY ASSESSMENT
CBER	CENTER FOR BIOLOGICS EVALUATION AND RESEARCH, FDA
CC	NTEP OR FGIS CERTIFICATE OF CONFORMANCE
CCC	COMMODITY CREDIT CORPORATION
CCPL	CERTIFIED COMPLIANT PRODUCTS LIST MAINTAINED BY DISA
CDC	CENTER FOR DISEASE CONTROL AND PREVENTION, DHHS
CDER	CENTER FOR DRUG EVALUATION AND RESEARCH, FDA
CDL	COMMERCIAL DRIVER LICENSE
CDRH	CENTER FOR DEVICES AND RADIOLOGICAL HEALTH, FDA
CEMS	CONTINUOUS EMISSION MONITORING SYSTEMS
CFR	CODE OF FEDERAL REGULATIONS

CFSAN	CENTER FOR FOOD SAFETY AND APPLIED NUTRITION, FDA
CLIA	CLINICAL LABORATORIES IMPROVEMENT AMENDMENTS OF 1988
CNM	CERTIFIED NURSE MIDWIFE
COI	CERTIFICATE OF INSPECTION
COLA	BATF CERTIFICATES OF LABEL APPROVAL
COLA	COMMISSION OF LABORATORY ACCREDITATION
CORF	COMPREHENSIVE OUTPATIENT REHABILITATION FACILITIES
(CP)2	ARMY CONTRACTORS/SUPPLIERS CONTRACTOR PERFORMANCE CERTIFICATION PROGRAM, AMC ARMY MATERIAL COMMAND, DOD
CPL	NHTSA CONFORMING PRODUCTS LIST
CPSA	CONSUMER PRODUCT SAFETY ACT
CPSC	CONSUMER PRODUCT SAFETY COMMISSION
CRP	CHILD RESISTANT PACKAGING
CSTDs	CABLE SYSTEM TERMINAL DEVICES
CVM	CENTER FOR VETERINARY MEDICINE, FDA
DEIP	DAIRY EXPORT INCENTIVE PROGRAM
DESC	DEFENSE ELECTRONICS SUPPLY CENTER, DOD
DFARS	DOD FEDERAL ACQUISITION REGULATION SUPPLEMENT
DHHS	U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (DHHS)
DISA	DEFENSE INFORMATION SYSTEMS AGENCY
DLA	DEFENSE LOGISTICS AGENCY, U.S. DEPT. OF DEFENSE
DMS	DEFENSE MESSAGE SYSTEM
DOA	U. S. DEPARTMENT OF ENERGY
DOC	DECLARATION OF CONFORMITY
DOC	U.S. DEPARTMENT OF COMMERCE
DOD	U.S. DEPARTMENT OF DEFENSE
DOE	U.S. DEPARTMENT OF ENERGY
DOI	U.S. DEPARTMENT OF THE INTERIOR
DOJ	U.S. DEPARTMENT OF JUSTICE
DOL	U.S. DEPARTMENT OF LABOR
DOT	U.S. DEPARTMENT OF TRANSPORTATION
DSMA	DIVISION OF SMALL MANUFACTURERS ASSISTANCE, CDRH/FDA
E.O.	EXECUTIVE ORDER
EFT	ELECTRONIC FUND TRANSFER (SYSTEMS)
EIA	ELECTRONIC INDUSTRIES ASSOCIATION
EPA	ENVIRONMENTAL PROTECTION AGENCY
EPAct	ENERGY POLICY ACT
EPCA	ENERGY POLICY AND CONSERVATION ACT
ESRD	END STAGE RENAL DISEASE
ETV	ENVIRONMENTAL TECHNOLOGY VERIFICATION PROGRAM, EPA
FAA	FEDERAL AVIATION ADMINISTRATION, DOT
FAO/WHO	FOOD AND AGRICULTURAL ORGANIZATION/WORLD HEALTH ORGANIZATION

FAR	FEDERAL ACQUISITION REGULATIONS
FCAE	GSA AUTOMOTIVE CENTER
FCC	FEDERAL COMMUNICATIONS COMMISSION
FDA	FOOD AND DRUG ADMINISTRATION, DHHS
FDAMA	FOOD & DRUG ADMINISTRATION MODERNIZATION ACT OF 1997
FFD&CA	FEDERAL FOOD, DRUG AND COSMETIC ACT
FGIS	FEDERAL GRAIN INSPECTION SERVICE, GIPSA/USDA
FHA	FEDERAL HOUSING ADMINISTRATION, HUD
FHWA	FEDERAL HIGHWAY ADMINISTRATION, DOT
FIFRA	FEDERAL INSECTICIDE, FUNGICIDE, AND RODENTICIDE ACT
FIPS	FEDERAL INFORMATION PROCESSING STANDARDS
FIRM	FEDERAL INFORMATION RESOURCE MANAGEMENT REQUIREMENTS
FMCSRS	FEDERAL MOTOR CARRIER SAFETY REGULATIONS
FMVSS	FEDERAL MOTOR VEHICLE SAFETY STANDARDS
FPMR	FEDERAL PROPERTY MANAGEMENT REGULATION
FQHCS	FEDERALLY QUALIFIED HEALTH CENTERS
FQPA	FOOD QUALITY PROTECTION ACT OF 1996
FR	<i>FEDERAL REGISTER</i>
FRA	FEDERAL RAILROAD ADMINISTRATION, DOT
FSA	FEDERAL SEED ACT
FSA	FARM SERVICE AGENCY, USDA
FSIS	FOOD SAFETY AND INSPECTION SERVICE, USDA
FSS	FEDERAL SUPPLY SERVICE, GSA
FTA	FEDERAL TRANSIT ADMINISTRATION, DOT
FTC	FEDERAL TRADE COMMISSION
GIPSA	GRAIN INSPECTION, PACKERS AND STOCKYARDS ADMINISTRATION, USDA
GMP	GOOD MANUFACTURING PRACTICE GUIDELINES (FDA)
GOES-DCS	GEOSTATIONARY ORBITING ENVIRONMENTAL SATELLITE DATA COLLECTION SYSTEM
GPO	GOVERNMENT PRINTING OFFICE
GSA	GENERAL SERVICES ADMINISTRATION
HACCP	HAZARD ANALYSIS CRITICAL CONTROL POINT
HCFA	HEALTH CARE FINANCING ADMINISTRATION, DHHS
HEPA	HIGH ENERGY PARTICULATE AIR (FILTERS)
HMTUSA	HAZARDOUS MATERIALS TRANSPORTATION UNIFORM SAFETY ACT OF 1990
HUD	U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
IACP	INTERNATIONAL ASSOCIATION OF CHIEFS OF POLICE
IBIS	INTEGRATED BALLISTIC IDENTIFICATION SYSTEM
ICAO	INTERNATIONAL CIVIL AVIATION ORGANIZATION
ICBO	INTERNATIONAL CONFERENCE OF BUILDING OFFICIALS
ICSP	INTERAGENCY COMMITTEE ON STANDARDS POLICY
ICSSL	INTERSTATE CERTIFIED SHELLFISH SHIPPERS LIST

ILO	INTERNATIONAL LABOUR ORGANISATION
IMO	INTERNATIONAL MARITIME ORGANIZATION
IRAA	INDOOR RADON ABATEMENT ACT OF 1988.
ISM	INDUSTRIAL, SCIENTIFIC AND MEDICAL EQUIPMENT
ISO	INTERNATIONAL ORGANIZATION FOR STANDARDIZATION
ISTA	INTERNATIONAL SEED TESTING ASSOCIATION
ITA	INTERNATIONAL TRADE ADMINISTRATION, DOC
ITL	INFORMATION TECHNOLOGY LABORATORY, NIST
ITU	INTERNATIONAL TELECOMMUNICATIONS UNION, UNITED NATIONS
JACHO	JOINT COMMISSION ON ACCREDITATION OF HEALTHCARE ORGANIZATIONS
JITC	JOINT INTEROPERABILITY TEST COMMAND, DISA, DOD
LACF	LOW ACID CANNED FOOD PROGRAM
LAP	LABORATORY ACCREDITATION PROGRAM
LBP	LEAD BASED PAINT
LSVS	LOW SPEED VEHICLES
MAS	GSA MULTIPLE AWARD SCHEDULES
MECEA	MUTUAL EDUCATIONAL AND CULTURAL EXCHANGE ACT OF 1961
MMS	MINERALS MANAGEMENT SERVICE, DOI
MOU	MEMORANDUM OF UNDERSTANDING
MQSA	MAMMOGRAPHY QUALITY STANDARDS ACT OF 1992
MRA	MUTUAL RECOGNITION AGREEMENT
MSCS	AMC'S MAJOR SUBORDINATE COMMANDS
MSHA	MINE SAFETY AND HEALTH ADMINISTRATION, DOL
MUTCD	MANUAL OF UNIFORM TRAFFIC CONTROL DEVICES
MVACS	MOTOR VEHICLE AIR CONDITIONERS
NAD	NEW ANIMAL DRUG
NAECA	NATIONAL APPLIANCE ENERGY CONSERVATION ACT
NAFTA	NORTH AMERICAN FREE TRADE AGREEMENT
NATO	NORTH ATLANTIC TREATY ORGANIZATION
NCIE	NATIONAL CENTER FOR IMPORT-EXPORT ANIMALS PROGRAM
NCSCI	NATIONAL CENTER FOR STANDARDS & CERTIFICATION INFORMATION, NIST
NCWM	NATIONAL CONFERENCE ON WEIGHTS AND MEASURES
NECPA	NATIONAL ENERGY CONSERVATION POLICY ACT
NEDRED	NOAA NATIONAL ENVIRONMENTAL DATA REFERRAL SERVICE
NESDIS	NATIONAL ENVIRONMENTAL SATELLITE, DATA, & INFORMATION SERVICE
NESHAP	NATIONAL EMISSIONS STANDARD FOR HAZARDOUS AIR POLLUTANTS
NF	NATIONAL FORMULARY
NF	NURSING FACILITIES
NHS	NATIONAL HIGHWAY SYSTEM
NHTSA	NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION, DOT
NIJ	NATIONAL INSTITUTE OF JUSTICE, DOJ
NIOSH	NATIONAL INSTITUTE FOR OCCUPATIONAL SAFETY AND HEALTH, CDC/DHHS



NIST	NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY, DOC
NLECTC	NATIONAL LAW ENFORCEMENT AND CORRECTIONS TECHNOLOGY CENTER
NLEV	NATIONAL LOW EMISSION VEHICLE PROGRAM
NMC	NATIONAL MARITIME CENTER, USCG
NMFS	NATIONAL MARINE FISHERIES SERVICE, NOAA/DOC
NOAA	NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION, DOC
NOAADIR	NOAA ENVIRONMENTAL SERVICES DATA DIRECTORY
NOP	NATIONAL ORGANIC PROGRAM
NP	NURSE PRACTITIONER
NPIAS	NATIONAL PLAN OF INTEGRATED AIRPORT SYSTEM
NPTN	NATIONAL PESTICIDE TELECOMMUNICATIONS NETWORK
NRC	NUCLEAR REGULATORY COMMISSION
NRTL	NATIONALLY RECOGNIZED TESTING LABORATORIES PROGRAM, OSHA
NSA	NATIONAL SECURITY AGENCY
NSSP	NATIONAL SHELLFISH SANITATION PROGRAM
NTEP	NATIONAL TYPE EVALUATION PROGRAM
NUREG	U.S. NUCLEAR REGULATORY COMMISSION REGULATORY GUIDES
NVCASE	NATIONAL VOLUNTARY CONFORMITY ASSESSMENT SYSTEMS EVALUATION PROGRAM
NVLAP	NATIONAL VOLUNTARY LABORATORY ACCREDITATION PROGRAM, NIST
NWS	NATIONAL WEATHER SERVICE, NOAA/DOC
OET	OFFICE OF ENGINEERING AND TECHNOLOGY, FCC
OFPA	ORGANIC FOODS PRODUCTION ACT OF 1990
OGWDW	OFFICE OF GROUND WATER AND DRINKING WATER, EPA
OIML	INTERNATIONAL ORGANIZATION FOR LEGAL METROLOGY
OLEs	OFFICE OF LAW ENFORCEMENT STANDARDS
OPPT	OFFICE OF POLLUTION PREVENTION AND TOXICS, EPA
OSHA	OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION, DOL
OSS	OFFICE OF STANDARDS SERVICES, NIST
OSWER	OFFICE OF SOLID WASTE AND EMERGENCY RESPONSE, EPA
OTC	OVER-THE-COUNTER
OUST	OFFICE OF UNDERGROUND STORAGE TANKS, EPA
OWM	OFFICE OF WEIGHTS AND MEASURES, NIST/DOC
P.L.	PUBLIC LAW
PA	PHYSICIAN ASSISTANT
PCS	PERSONAL COMMUNICATIONS SERVICES
PCTS	POSIX CONFORMANCE TEST SUITE
PIC	NOAA PRODUCT INFORMATION CATALOG
PM	PARTICULATE MATTER
PMA	PREMARKET APPROVAL
PMA	FAA PARTS MANUFACTURER APPROVAL
PMPA	PETROLEUM MARKETING PRACTICES ACT

POSIX	PORTABLE COMPUTER OPERATING SYSTEM INTERFACE
PPIS	EPA PESTICIDE PRODUCT INFORMATION SYSTEM
PPM	PROVIDER PERFORMED MICROSCOPY
PPPA	THE POISON PREVENTION PACKAGING ACT
PSDI	PRESENCE SENSING DEVICES FOR INITIATING MECHANICAL POWER PRESSES
PT	PROFICIENCY TESTING
PTM	PATIENT TEST MANAGEMENT
PUFI	PROCESSED UNDER FEDERAL INSPECTION
PVP	PLANT VARIETY PROTECTION
QA	QUALITY ASSURANCE
QAP	QUALITY ASSURANCE PROGRAM
QAS/SPC	QUALITY ASSURANCE SYSTEMS/STATISTICAL PROCESS CONTROL
QC	QUALITY CONTROL
QML	QUALIFIED MANUFACTURERS LISTS
QPL	QUALIFIED PRODUCT LIST
RCRA	RESOURCE CONSERVATION AND RECOVERY ACT
RECS	COAST GUARD REGIONAL EXAMINATION CENTERS
RHC	RURAL HEALTH CLINICS
RHCSA	RURAL HEALTH CLINIC SERVICES ACT OF 1977
RIS	EPA'S RADON PROFICIENCY PROGRAM INFORMATION SERVICE
ROT	NIST OR FGIS REPORT OF TEST
RPP	EPA'S NATIONAL RADON PROFICIENCY PROGRAM
RSA	THE REFRIGERATOR SAFETY ACT
RSPA	RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION, DOT
RUS	RURAL UTILITIES SERVICE
SAAS	APPROVED STATE ADMINISTRATIVE AGENCIES
SAE	SOCIETY OF AUTOMOTIVE ENGINEERS
SAS	GSA SINGLE AWARD SCHEDULES
SBCCI	SOUTHERN BUILDING CODE CONGRESS INTERNATIONAL
SIFE	SANITARY INSPECTED FISH ESTABLISHMENTS
SIPS	STATE IMPLEMENTATION PLANS
SITE	SUPERFUND INNOVATIVE TECHNOLOGY EVALUATION PROGRAM, EPA
SNF	SKILLED NURSING FACILITIES
SNF	SKILLED NURSING FACILITIES
SRMS	STANDARD REFERENCE MATERIALS
SSA	SOCIAL SECURITY ACT
SSSVS	SURFACE AND SUBSURFACE SAFETY VALVES
SSV	SURFACE SAFETY VALVES
STCE	INTERNATIONAL CONVENTION ON STANDARDS OF TRAINING CERTIFICATION & WATCHKEEPING FOR SEAFARERS
TAPIC	TECHNOLOGY ASSESSMENT PROGRAM INFORMATION CENTER
TDDRA	TELEPHONE DISCLOSURE AND DISPUTE RESOLUTION ACT OF 1992



TSCA	TOXIC SUBSTANCES CONTROL ACT
TSOA	FAA TECHNICAL STANDARD ORDER AUTHORIZATION
TSOS	FAA TECHNICAL STANDARD ORDERS
U.N.	UNITED NATIONS
U.S.C.	U.S. CODE
UL	UNDERWRITERS LABORATORIES, INC.
ULS	FCC'S UNIVERSAL LICENSING SYSTEM
UPOV	INTERNATIONAL UNION FOR THE PROTECTION OF NEW VARIETIES OF PLANTS
USCG	U.S. COAST GUARD, DOT
USDA	U.S. DEPARTMENT OF AGRICULTURE
USGS	U.S. COAST GUARD, DOT
USP	U.S. PHARMACOPEIA
USTS	UNDERGROUND STORAGE TANKS
USV	UNDERGROUND SAFETY VALVES
USWA	UNITED STATES WAREHOUSE ACT
UTQG	UNIFORM TIRE QUALITY GRADING STANDARDS
VA	U.S. DEPARTMENT OF VETERANS AFFAIRS
VCRS	VIDEO CASSETTE RECORDERS
VHA	VETERANS HEALTH ADMINISTRATION, VA
VPL	VALIDATED PRODUCTS LIST
VS	VETERINARY SERVICES, APHIS/USDA
WCS	WIRELESS COMMUNICATION SERVICE
WPS	EPA WORKER PROTECTION STANDARD
WTB	WIRELESS TELECOMMUNICATIONS BUREAU, FCC
WTO	WORLD TRADE ORGANIZATION







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