

The National Bureau of Standards<sup>1</sup> was established by an act of Congress on March 3, 1901. The Bureau's overall goal is to strengthen and advance the nation's science and technology and facilitate their effective application for public benefit. To this end, the Bureau conducts research and provides: (1) a basis for the nation's physical measurement system, (2) scientific and technological services for industry and government, (3) a technical basis for equity in trade, and (4) technical services to promote public safety. The Bureau's technical work is performed by the National Measurement Laboratory, the National Engineering Laboratory, the Institute for Computer Sciences and Technology, and the Institute for Materials Science and Engineering.

### *The National Measurement Laboratory*

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Provides the national system of physical and chemical measurement; coordinates the system with measurement systems of other nations and furnishes essential services leading to accurate and uniform physical and chemical measurement throughout the Nation's scientific community, industry, and commerce; provides advisory and research services to other Government agencies; conducts physical and chemical research; develops, produces, and distributes Standard Reference Materials; and provides calibration services. The Laboratory consists of the following centers:

- Basic Standards<sup>2</sup>
- Radiation Research
- Chemical Physics
- Analytical Chemistry

### *The National Engineering Laboratory*

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Provides technology and technical services to the public and private sectors to address national needs and to solve national problems; conducts research in engineering and applied science in support of these efforts; builds and maintains competence in the necessary disciplines required to carry out this research and technical service; develops engineering data and measurement capabilities; provides engineering measurement traceability services; develops test methods and proposes engineering standards and code changes; develops and proposes new engineering practices; and develops and improves mechanisms to transfer results of its research to the ultimate user. The Laboratory consists of the following centers:

- Applied Mathematics
- Electronics and Electrical Engineering<sup>2</sup>
- Manufacturing Engineering
- Building Technology
- Fire Research
- Chemical Engineering<sup>2</sup>

### *The Institute for Computer Sciences and Technology*

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Conducts research and provides scientific and technical services to aid Federal agencies in the selection, acquisition, application, and use of computer technology to improve effectiveness and economy in Government operations in accordance with Public Law 89-306 (40 U.S.C. 759), relevant Executive Orders, and other directives; carries out this mission by managing the Federal Information Processing Standards Program, developing Federal ADP standards guidelines, and managing Federal participation in ADP voluntary standardization activities; provides scientific and technological advisory services and assistance to Federal agencies; and provides the technical foundation for computer-related policies of the Federal Government. The Institute consists of the following centers:

- Programming Science and Technology
- Computer Systems Engineering

### *The Institute for Materials Science and Engineering*

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Conducts research and provides measurements, data, standards, reference materials, quantitative understanding and other technical information fundamental to the processing, structure, properties and performance of materials; addresses the scientific basis for new advanced materials technologies; plans research around cross-country scientific themes such as nondestructive evaluation and phase diagram development; oversees Bureau-wide technical programs in nuclear reactor radiation research and nondestructive evaluation; and broadly disseminates generic technical information resulting from its programs. The Institute consists of the following Divisions:

- Ceramics
- Fracture and Deformation<sup>3</sup>
- Polymers
- Metallurgy
- Reactor Radiation

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<sup>1</sup>Headquarters and Laboratories at Gaithersburg, MD, unless otherwise noted; mailing address Gaithersburg, MD 20899.

<sup>2</sup>Some divisions within the center are located at Boulder, CO 80303

<sup>3</sup>Located at Boulder, CO, with some elements at Gaithersburg, MD

*NBS Special Publication 714*

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# *Federal Government Certification Programs for Products and Services*

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Prepared for:  
Office of Product Standards Policy  
National Bureau of Standards  
Gaithersburg, MD 20899

Robert B. Toth, Editor  
R. B. Toth Associates

Issued April 1986



**U.S. Department of Commerce**  
Malcolm Baldrige, Secretary  
National Bureau of Standards  
Ernest Ambler, Director

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Library of Congress  
Catalog Card Number: 86-600516  
National Bureau of Standards  
Special Publication 714  
Natl. Bur. Stand. (U.S.),  
Spec. Publ. 714  
157 pages (Apr. 1986)  
CODEN: XNBSAV

U.S. Government Printing Office  
Washington: 1986

For sale by the Superintendent  
of Documents,  
U.S. Government Printing Office,  
Washington, DC 20402

## Foreword

This volume is the second of three listings of certification programs in the United States. NBS Special Publication 703, published in August 1985, provided information on private sector programs; the current work is devoted to Federal government programs; and a compilation of state programs is under way. These databases will combine to furnish a comprehensive source of information to respond to the needs of a vast and broad array of public and private sector organizations.

Interest in product certification stems from any of a number of economic, procurement, health and safety, equity, or other considerations. Federal agencies, manufacturers, distributors, state government officials, and others may find this directory to be of value for identifying pertinent programs, the nature of the certification activities, program requirements, standards used, and other relevant information.

Dr. Stanley I. Warshaw, Director  
Office of Product Standards Policy

## Acknowledgements

This directory could not have been compiled without the contributions and cooperation of many key people responsible for standardization and certification programs at Government agencies. They deserve the thanks of those who worked on this project and all who use the directory. Walter Leight, NBS Office of Product Standards Policy, provided guidance and direction and Maureen Breitenberg contributed her expertise and experience. Norman W. Lemley, U.S. Coast Guard, was most generous in providing information on the Government's earliest certification program.

Special thanks are due the staff of R. B. Toth Associates who acquired and organized this volume for publication.

Robert B. Toth  
Editor

## Abstract

This directory presents information on 61 U.S. Government certification programs for products and services. Entries describe the scope and nature of each certification program, testing and inspection practices, standards used, methods of identification and enforcement, reciprocal recognition or acceptance of certification, and other relevant details.

This directory is part of an ongoing NBS effort to establish and maintain a comprehensive database 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 certification programs in accordance with the requirements of the U.S. Trade Agreements Act of 1979.

Key Words: approved products; certification; certifiers; grading; inspection; listing; premarket evaluation; qualification; qualified products; specifications; standards; testing

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## Introduction

### Classifying Certification Programs

The public has traditionally looked to government to provide protection and prevent hazardous conditions. In many areas the U.S. Federal Government accomplishes this through laws that establish regulations and standards. In some instances, users need assurance that products or services comply with the regulations or standards. This need usually arises because only sophisticated or expensive assessments - design analysis and/or testing - can provide each user with the necessary level of assurance that a product or service will not harm the user nor the public at large. The process of assessment, then marking or listing the product or service so as to indicate compliance, is generally termed certification.

Federal Government certification programs can be classified into three general categories:

1. Certification of products or services which directly affect the health or safety of the user or the public;
2. Programs to avoid extensive product testing to demonstrate conformance at each procurement;
3. Programs to provide a uniform basis for trade by objective evaluation of the quality and condition of products.

Of the 61 Federal Government certification programs described in this directory, many include elements of more than one category. As listed on the following page, 19 can be classified as Category 2 or 3 programs; the remaining 42 Category 1 programs directly affect health and safety.

Nearly all Category 1 certification programs are mandatory. Affected products cannot be sold or used, except for carefully restricted experimental purposes, until they have been judged safe. In some cases, such as drugs and medical devices, products must not only be harmless, but they must also be effective. Except for eggs and tobacco, Category 3 programs are voluntary. Producers and distributors participate in these certification programs because their products have wider customer acceptance or can command better prices when marked "choice" or "Grade A".

Nearly all Category 2 programs are basically voluntary in that producers or distributors can sell their products in the open market without Government certification. However, if these products are to be

## Category 2 Certification Programs

### Avoiding Repetitive Extensive Conformance Demonstration

- Department of Defense
  - Qualified Products Lists
- General Services Administration
  - Qualified Products Lists
- Rural Electrification Administration
  - Approved Products Lists
- Department of Commerce
  - Measuring Instruments
  - Input/Output Channel Interfaces
- Environmental Protection Agency
  - Automotive Aftermarket Parts
- Department of Housing and Urban Development
  - Building Products
- Department of Transportation
  - Breath Alcohol Testers
- Department of the Treasury
  - Electronic Fund Transfer Authentication Devices
- Veterans Administration
  - Self Propelled and Motorized Wheelchairs

## Category 3 Certification Programs

### Uniform Grading of Quality and Conditions

- Department of Agriculture
  - Eggs and Dairy Products
  - Fresh and Processed Fruits and Vegetables
  - Poultry and Meats
  - Turpentine and Rosin
  - Tobacco
- Department of Commerce
  - Processed Fish and Shellfish

bought by Government agencies or with funds provided or guaranteed by the Government, certification is mandatory. The largest program of this type is operated by the Department of Defense. Its Qualified Products Lists (QPL's) are used throughout the world not only by U.S. and foreign military agencies, but many commercial organizations such as aircraft and electronic equipment manufacturers and their customers. Of the more than 38,000 military specifications and standards, fewer than 1300 (3.4%) require qualification testing and establishment of a QPL.

The Department of Defense has strict criteria for its QPL's. One or more of the following must apply:

- (a) Tests to determine compliance with the specification exceed 30 days (720 hours).
- (b) Quality conformance inspection requires special equipment not commonly available.
- (c) The products are emergency life saving equipment or are critical to life survival.

General Services Administration has a similar program, with 80 QPL's (1.3%) among its 6000 Federal specifications, standards, and product descriptions.

While the private sector often uses these QPL's merely as buyer's guides, for a variety of reasons (including product liability) many buyers will purchase products only from sources that have demonstrated their military specification requirements and being listed on the pertinent QPL. Small businesses have found this technique to be particularly cost-effective to gain entry into a market.

### Certification for Safety and Health

Category 1 certification programs are the most visible and pervasive. With few exceptions, nearly every certification program in this category has been mandated by Congress in reaction to major disasters or to protect the public from unhealthy or hazardous conditions that could not be controlled adequately by traditional market factors. The oldest Federal certification program illustrates the relationship between legislation and certification.

In the early nineteenth century steamboats were a major, easily observed indicator of America's growing industrial and commercial strength. However, boiler explosions were common occurrences and took many lives. These disasters made a real impression on the public since they occurred not on the high seas, or in remote areas, but on heavily trafficked rivers and harbors, often near cities and towns. Harrowing descriptions by spectators and survivors spread throughout the country. Congress was reluctant to act because it would be "...adverse to fetter or discourage the ingenuity and skill for which the artists of this country are so distinguished..." In many circles, including Congress, it was felt that the prudent businessman would see to it that his equipment was properly designed and operated because of the tremendous loss he would incur should there be an accident. Nevertheless, boiler explosions continued at a disastrous rate. In 1832 alone, fourteen percent of this country's steam vessels were destroyed by such occurrences, and over one thousand people were killed. Between 1830

and 1838, Presidents Jackson and Van Buren periodically requested Congress to take action.

In the Spring of 1838 explosions on three steamboats killed more than a thousand. That year Congress enacted legislation which required periodic regulatory inspection and certification of ship boilers and machinery. Subsequent legislation in 1852 and 1871 provided a system of requirements including establishment of maximum permitted steam pressure, instituting hydrostatic overpressure testing, and extending inspection from boiler fabricators to also include boiler materials suppliers. Certification was a basic element of this system.

While steamboat boiler explosions fell off markedly, boilers continued to explode ashore with considerable frequency, but the effects were usually confined to factory sites. The general public was not affected directly as in the case of steamboats, so public clamor for legislation was not raised until 1907, when a catastrophic boiler explosion in a shoe factory in Brockton, Mass. led to legislation by the Commonwealth of Massachusetts. This was the first legal code for steam boiler construction by a state and other states soon followed suit. The American Society of Mechanical Engineers then undertook development of its Boiler Code, which was first published in 1914. This Code has since been adopted by most states, and in 1969 selected sections were adopted by the Coast Guard for application on steamboats. Self-certification by equipment manufacturers and government certification either by a government agency or a designated third-party inspection agency, are basic elements of boiler safety assurance on land and sea.

The most comprehensive Federal certification program is unique in that it was not established as a result of public clamor but at the instigation of the industry that would be regulated. Immediately after World War I, the nascent aircraft manufacturing industry recognized that the public would more likely have sufficient confidence to fly regularly if their airplanes had been tested and certified safe for flying by the Federal Government. A certification program was proposed by industry that included assessment and certification of the detailed design; certification of the production process with special emphasis on quality assurance; and an airworthiness certificate for each aircraft, engine and propeller produced by the certified facility. The first aircraft was certified in 1926. Interestingly, in these early years, the Government delegated certification of airworthiness for production aircraft to Underwriters Laboratories.

The rigorous testing and subsequent certification by the U.S. Government resulted in a level of assurance and confidence which became recognized throughout the world. This product certification program contributed in no small measure to the sales of American aircraft. The preeminent position earned by American aircraft manufacturers in the world market continues to this day. Since those days, the aircraft certification program has encompassed nearly every critical aspect of

aviation. In addition to certification of aviation products, the Federal Aviation Administration certifies pilots and mechanics, their instructors, and their schools, the airlines, airports, repair facilities, and many other elements. This comprehensive approach has been adopted by most countries that manufacture or operate aircraft.

The U.S. Department of Transportation is responsible for the widest range of Federal certification programs. These programs also probably have the largest actual or potential monetary impact. In addition to certifying ships, recreational boats, and aircraft, the Department of Transportation has certification programs for automobiles, all types of containers for shipping hazardous materials, as well as pipelines.

Food and Drug Administration (FDA) no doubt has responsibility for protecting the greatest number of lives. Its certification programs include not only foods and drugs for human consumption, but also those for animals with special attention to those elements that affect the food chain. Medical devices of all kinds require FDA certification. Unlike the FAA, which implements its comprehensive certification program on the basis of a single, all-inclusive law, FDA is responsible for enforcing a variety of individual programs defined by Congress in a half dozen laws.

### Interrelationships and International Developments

The specialized responsibilities of Federal agencies and the mandates of Congress may confuse those who are not familiar with Federal certification programs. An importer of television sets, for example, requires not only Federal Communications Commission certification, but FDA certification that viewers' eyes will not be exposed to harmful radiation from the cathode ray tube. A wholesaler of seafood products needs to be aware of grading programs of the Department of Commerce's National Marine Fisheries Service, the special requirements of FDA's Shellfish Sanitation Branch, and the general requirements for sanitation, labelling and plant identification set by FDA's Bureau of Foods. This directory is intended to assist in identifying pertinent and related certification programs.

Most Federal certification programs have in the past been established to meet domestic needs. Recently, however, the U.S. has originated certification programs in response to international initiatives. International organizations established by treaties to which the United States is signatory set product standards and regulations to alleviate specific problems, usually affecting safety or health, encountered in international trade. Certification is a common technique to assure compliance. The establishment of a U.S. Government certification program enables U.S. companies to comply and continue to engage in international trade.

As a result of the International Convention for Safe Containers, the U.S. Coast Guard has been designated this nation's Certifying Authority. A certification program has been established complying with requirements of the Convention for design approval, testing and certification, including affixing a safety approval plate to each container. Without this plate, a container cannot be entered into international traffic. If the container is refrigerated, or if it is a refrigerated trailer, another certification program applies. The United Nations Economic Commission for Europe has set requirements for transporting perishable food which include design approval, testing, inspection and certification. To enable U.S. exporters to continue to use U.S.-made refrigerated containers and vehicles, the Department of Agriculture's Office of Transportation has been designated the U.S. certifying authority and has established a certification program in accordance with United Nations criteria. The U.S. Department of Labor certifies maritime cargo handling equipment as complying with the International Labor Organization Convention for cranes, derricks, wire rope and other equipment used to load and unload ships. Standards and certification requirements set by the United Nations for packing hazardous materials resulted in the Department of Transportation's Materials Transportation Bureau being designated the "National Competent Authority" to evaluate and issue approval and conformance certificates for a wide variety of tanks and other types of packaging.

Few (if any) new Federal Certification programs are expected in the foreseeable future except those mandated by international requirements. In these cases, the Federal Government probably will participate only at the urging of industrial sectors which would be adversely affected if the certification process were not available to them.

#### Certification and the National Bureau of Standards

The U.S. Trade Agreements Act of 1979 implemented U.S. acceptance of the Agreement on Technical Barriers to Trade (also known as the "Standards Code") of the General Agreement on Tariffs and Trade (GATT). The Act assigned to the Department of Commerce responsibility to maintain an information center for standards and standards-related subjects, such as certification. The National Bureau of Standards Office of Product Standards Policy carries out this departmental responsibility through its National Center for Standards and Certification Information (NCSCI), which maintains a reference collection consisting of data on 240,000 standards, specifications, and related materials. NCSCI exchanges standards information with similar national centers in other countries and responds to requests for information from governmental and private sector organizations, as well as individuals. Besides specifications and standards, NCSCI seeks, maintains, and disseminates information on certification programs and activities as they relate to the application and use of specifications and standards.

In the area of certification, the Office of Product Standards Policy aims to improve the accessibility, understanding, and acceptability of certification programs. Specific objectives include help for interested parties in acquiring information on certification activities and facilitating the acceptance of U.S. based certification data by both domestic and foreign jurisdictions.

This directory is the result of one phase of the efforts initiated by NBS's Office of Product Standards Policy to accomplish its certification-related objectives. It is a companion volume to NBS SP 703 which lists private sector certification programs, and a third volume on state programs, currently under development. It will aid in recognizing the diversity and therefore the complexity of U.S. certification activities, and will serve as a useful reference for finding out about specific programs operated by U.S. Government agencies.

#### Organization of the Directory

Sixty-one certification programs are arranged in alphabetic order by department or agency name and, where there is more than one certification program, in alphabetic order by name of the product or service. The index provides the quickest route to identify responsible agencies. Numerous synonyms and cross-references are provided. Each entry includes a block of keywords. These synopsis the scope of each certification program and, as such, assist the directory user to find pertinent information. These keywords provide the capability for simple computer search at some time in the future, and for that reason are separated by semicolons - the convention that is utilized in most search software.

Considerable effort was made to be comprehensive. More than 100 U.S. Government organizations were invited to provide information and documentation relevant to their certification programs. Information for the entries was voluntarily provided by the respondents. Other Federal organizations concerned with certification activities that are not included in this directory are invited to send pertinent information to:

National Center for Standards and Certification  
Information (NCSCI)  
Office of Product Standards Policy  
National Bureau of Standards  
Administration Building, Room A629  
Gaithersburg, MD 20899

U.S. Government agencies are also encouraged to keep NBS informed of changes in name or address, or in the nature of their programs. In addition to this directory, NCSCI maintains a publicly accessible reference collection of current materials on U.S. Government certification programs.

### Other NCSCI Documents of Possible Interest

In addition to this directory, NCSCI has published three related directories:

- NBS SP 649 Directory of International and Regional Organizations Conducting Standards-Related Activities, April, 1983,
- NBS SP 681 Standards Activities of Organizations in the United States, August 1984, and
- NBS SP 703 Private Sector Product Certification Programs in the United States, August, 1985.

A new microfiche revision of

- NBS SP 329 Index of U.S. Voluntary Engineering Standards, May, 1975

lists U.S. Voluntary Standards by key words in the titles.

NCSCI is also preparing a directory of State certification programs. Further information on these publications and activities can be obtained from NCSCI at the address listed above.

ALPHABETIC LISTING OF GOVERNMENT DEPARTMENTS AND AGENCIES

|                                  |   |
|----------------------------------|---|
| <b>Products or Services</b>      | Dairy Products  |
| <b>Department/Agency</b>         | U.S. Department of Agriculture<br>Agricultural Marketing Service<br>Dairy Division, Room 2750-S<br>Washington, D.C. 20250<br>(202) 382-9382               |
| <b>Initiated</b>                 | 1925  |
| <b>Compliance</b>                | Voluntary   |
| <b>Authority</b>                 | CFR Title 7 Part 58 and Agricultural Marketing Act of 1946  |
| <b>Aim</b>                       | Orderly trade in processed dairy products and assurance of consistent quality of such commodities   |
| <b>Benefits</b>                  | Identification of qualified producers.<br>Grading of selected dairy products.<br>Consistent nomenclature for buying and selling processed dairy products. |
| <b>Agency Function</b>           | Certifier and program administrator   |
| <b>Type of Program</b>           | Pre-marketing evaluation<br>Assessment prior to government purchase   |
| <b>Methodology</b>               | Government agency provides testing, inspection, audit, and site approval.<br>State governments cooperate in some phases.                                  |
| <b>Testing</b>                   | Government labs<br>Government accredited labs   |
| <b>Inspection</b>                | Government<br>State government  |
| <b>Conformity Identification</b> | List of approved dairy plants.<br>Authorized grading marks are applied on products for which grading standards are established.                           |

Availability  
of Documentation

List of approved dairy plants is updated quarterly; available from above address.

Obligations of  
Manufacturer/Vendor

Approved dairy plants must maintain quality control.

Enforcement

Delisting  
Product recall

Term

Dairy plants are reinspected two to four times per year.

Reciprocity

Other Federal agencies  
State agencies

Standards, Codes,  
or Regulations

Agency prepares all criteria documents

Keywords

grading; dairy products; butter; cheese; food quality;

|   |  |
|---|--|
| <b>Products or Services</b>               | Fresh Fruits, Vegetables, Nuts, and Related Products   |
| <b>Department/Agency</b>                  | U.S. Department of Agriculture<br>Agricultural Marketing Service<br>Fruits and Vegetables Division, Room 2056-S<br>Washington, D.C. 20250<br>(202) 447-5697  |
| <b>Initiated</b>                          | 1917   |
| <b>Compliance</b>                         | Voluntary  |
| <b>Authority</b>                          | Agricultural Marketing Act of 1946   |
| <b>Aim</b>                                | Orderly trade in fresh fruits and vegetables based on standard nomenclature. Common basis for settling market disputes over quality of products.   |
| <b>Benefits</b>                           | 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. |
| <b>Agency Function</b>                    | Both certifier and program administrator   |
| <b>Type of Program</b>                    | Voluntary premarketing evaluation<br>Voluntary post marketing assessment<br>Assessment prior to government purchase  |
| <b>Methodology</b>                        | Third party certification  |
| <b>Inspection</b>                         | Federal Government inspection<br>Inspection by State government inspectors trained by the USDA   |
| <b>Conformity Identification</b>          | Certificate of Inspection  |
| <b>Availability of Documentation</b>      | There are no lists of participating producers.   |
| <b>Obligations of Manufacturer/Vendor</b> | Must have a financial interest in the product. Pay assessed fee for service rendered.  |

|                                  |   |
|----------------------------------|---|
| Enforcement                      | Although nearly all aspects of this program are voluntary, a full range of enforcement options apply to shippers who practice fraud.                                |
| Term                             | Certification made on lot by lot basis.   |
| Standards, Codes, or Regulations | Grading criteria are established by Agricultural Marketing Service. USDA grade marking is recognized nation-wide and world-wide in both private and public sectors. |
| Keywords                         | grading; fruits; vegetable; nuts; food quality;   |

|                             |  |
|-----------------------------|--|
| <b>Products or Services</b> | Meats, Prepared Meats, and Meat Products<br>(beef, lamb, veal, calf, and pork)   |
| <b>Department Agency</b>    | U.S. Department of Agriculture<br>Agricultural Marketing Service<br>Livestock Seed Division<br>Meat Grading and Certification Branch, Room 2638-S<br>Washington, DC 20250<br>(202) 382-1246<br>Telex: 89491  |
| <b>Initiated</b>            | 1946   |
| <b>Compliance</b>           | Voluntary  |
| <b>Authority</b>            | Agricultural Marketing Act of 1946<br>(as amended).  |
| <b>Aim</b>                  | To facilitate the marketing of livestock and meat.   |
| <b>Benefits</b>             | In FY 1982, the Meat Grading and Certification (MGC) Branch graded an estimated 11.9 billion pounds of beef, 271.5 million pounds of lamb, and 38.3 million pounds of veal and calf. This represents approximately 53 percent of the commercial beef slaughter or two-thirds of the steers and heifers slaughtered under Federal inspection. These figures also represent 76 percent of the commercial lamb slaughter and 10 percent of the commercial veal and calf slaughter. Additionally, the MGC Branch certified approximately 2.0 billion pounds of meat and meat products in FY 1982 for buyers such as Department of Defense, Livestock Industry Promotion Corporation, and the Federal School Lunch Program. |
| <b>Agency Function</b>      | The MGC Branch provides onsite certification of meats and meat products by the physical examination of product characteristics during the production process prior to the purchase.  |
| <b>Methodology</b>          | Inspection by MGC Branch personnel.  |
| <b>Testing</b>              | Required tests are performed in Government laboratories.   |

|                                     |  |
|-------------------------------------|--|
| Inspection                          | MGC Branch personnel.  |
| Conformity<br>Identification        | Approved U.S. Department of Agriculture (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,<br>or Regulations | The agency develops and maintains its own USDA approved standards and specifications for the various meat items.                               |
| Keywords                            | meat; meat products; grading;  |

|                                  |  |
|----------------------------------|--|
| <b>Products or Services</b>      | Parts, Materials and Equipment for Rural Electric and Telephone Systems  |
| <b>Department/Agency</b>         | U.S. Department of Agriculture<br>Rural Electrification Administration (REA)<br>14th and Independence Avenue, NW.<br>Washington, DC 20250<br>(202) 382-9082, Electric<br>(202) 382-8663, Telephone   |
| <b>Initiated</b>                 | About 1938   |
| <b>Authority</b>                 | 7 CFR 1701   |
| <b>Aim</b>                       | 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 REA standards for construction and installation, provides an important element of loan security. |
| <b>Benefits</b>                  | The standardization and product evaluation program yields many economies in the construction, operation, and maintenance of rural electric and telephone systems thus assuring dependable service at affordable rates.   |
| <b>Agency Function</b>           | Certifier  |
| <b>Type of Program</b>           | Electric and telephone systems receiving financing administered by REA shall use materials and equipment evaluated and listed by REA.  |
| <b>Methodology</b>               | Government design review and testing   |
| <b>Testing</b>                   | Government lab<br>Manufacturers' labs  |
| <b>Conformity Identification</b> | Approved manufacturers and suppliers for rural electric systems are included in REA Bulletin 43-5, "List of Materials Acceptable for Use on Systems of REA Electrification Borrowers". The 1985 issue contains over 185 categories of material and equipment from over 200 manufacturers.  |

Approved manufacturers and suppliers for rural telephone systems are listed in REA Bulletin 344-2, "List of Materials Acceptable for Use on Telephone Systems of REA Borrowers".

**Availability of Documentation** Bulletin 43-5 and 344-2 are available on a subscription basis from the Superintendent of Documents, Government Printing Office, Washington, DC 20402

**Enforcement** Delisting

**Term** Indefinite; Bulletin 43-5 is published yearly and supplements are issued quarterly. Bulletin 344-2 is printed on a two-year basis followed by eleven supplements.

**Standards, Codes, or Regulations** REA prepares product standards which define performance and design requirements together with acceptance criteria.

**Keywords** approved products lists; acceptable materials; components; electric systems; distribution; transmission; telephone; electronic; microwave; telecommunications; radio-telephone; central office equipment; private branch exchanges;

|                             |   |
|-----------------------------|---|
| <b>Products or Services</b> | Poultry, Shell Eggs, Egg Products, and Rabbits  |
| <b>Department/Agency</b>    | U.S. Department of Agriculture<br>Agricultural Marketing Service<br>Poultry Division<br>Grading Branch, Room 3938-S<br>Washington, DC 20250<br>(202) 447-3271 Telex: 89-491<br>TWX; 710-822-9424 and 710-822-1104   |
| <b>Initiated</b>            | 1917  |
| <b>Compliance</b>           | Mandatory for all products cited if service is rendered. However, grading of poultry, shell eggs, and rabbits is not mandatory and is provided only to plants requesting the service.   |
| <b>Authority</b>            | Laws:<br><br>Agricultural Marketing Act of 1946 as amended (60 Stat. 1087-1091; U.S.C. 1621-1627)<br>Egg Products Inspection Act (84 Stat. 1620-1635; 21 U.S.C. 1031-1056)<br><br>Regulations:<br><br>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)<br><br>Voluntary egg products inspection - Regulations Governing the Voluntary Inspection and Grading of Egg Products (7 CFR Part 55)<br><br>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)<br><br>Mandatory egg products inspection - Regulations Governing the Inspection of Eggs and Egg Products (7 CFR Part 59) |

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| <b>Aim</b>             | <p><b>Voluntary:</b><br/> 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 poultry and poultry products.</p> <p><b>Mandatory:</b><br/> To assure that the health and welfare of consumers is protected by adoption of measures for assuring that eggs and egg products distributed to them and used in products consumed by them are wholesome and labeled properly.</p> |
| <b>Benefits</b>        | <p>Third party evaluation<br/> Easier dispute settlement<br/> More accurate market price reporting<br/> More equitable competition<br/> Fewer rejections at destination<br/> Established buying guides (specifications)<br/> Reduced illness<br/> Upgraded product quality</p>   |
| <b>Agency Function</b> | <p>Certifier and regulator</p>   |
| <b>Type of Program</b> | <p>Pre-market evaluation<br/> Post-market evaluation<br/> Assessment prior to Government purchase<br/> Specification development<br/> Inspection<br/> Grading</p>  |
| <b>Methodology</b>     | <p>Government<br/>     Sampling<br/>     Organoleptic laboratory testing<br/>     Evaluation against standard<br/>     Inspection<br/>     Audits</p> <p>Certification by third party certifiers</p>   |

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| Testing                                   | Government laboratories<br>Approved State laboratories<br>Third party laboratories<br>Manufacturer's laboratories  |
| Inspection                                | Government<br>Approved State government agencies   |
| Conformity<br>Identification              | Stamps (authorized marks)<br>Certificates<br>Labeling<br>Seals   |
| Availability<br>of Documentation          | Single copies of regulations may be<br>obtained from the Agency. Multiple<br>copies may be obtained from the<br>Superintendent of Documents, U.S. Govern-<br>ment Printing Office.   |
| Obligations of<br>Manufacturer/<br>Vendor | Operate in sanitary manner<br>Maintain volume records<br>Comply with regulations<br>Perform required laboratory tests<br>Reimburse Government for cost of<br>voluntary inspections and gradings<br>Provide access to products<br>Provide access to equipment and facili-<br>ties necessary for accomplishing<br>official duties. |
| Enforcement                               | Product retention<br>Product recall<br>Withdrawal of service<br>Laboratory comparison samples<br>Removal/withhold official identifi-<br>cation<br>Reinspection/regrading<br>Interruption of operations (mandatory<br>only)<br>Judicial system  |
| Term                                      | Continuous mandatory inspection<br>Continuous or intermittent voluntary<br>inspection  |

**Reciprocity**

Use of licensed State employees  
Recognition of certification of ingredients by manufacturer  
Recognition of certification by approved Government laboratory  
Recognition of certification of ingredients by other Government agencies  
Recognition of inspection stamp of "Agriculture Canada" for egg products produced in specifically approved Canadian plants

**Standards, Codes, or Regulations**

See "Authority"

**Keywords**

contract acceptance; egg products; grading; grading branch; poultry; grading; grading branch; poultry; rabbits; shell; eggs; USDA;

|                      |   |
|----------------------|---|
| Products or Services | Processed Fruits and Vegetables   |
| Department/Agency    | U.S. Department of Agriculture<br>Agricultural Marketing Service<br>Fruit and Vegetable Division<br>Processed Products Branch, Room 0709-S<br>Washington, D.C. 20250<br>(202) 447-4693                              |
| Initiated            | 1931  |
| Compliance           | Voluntary except for products covered by Federal or State marketing orders.   |
| Authority            | CFR Title 7 Part 52 and Agricultural Marketing Act of 1946  |
| Aim                  | Provide an objective evaluation of quality and condition of various processed food products and conditions under which they are produced.   |
| Benefits             | Provide a uniform basis for nation-wide trade in processed fruits and vegetables. As of 1984, over 300 plants participated with more than 10.5 million tons of commodities in 150 categories subject to inspection. |
| Agency Function      | Certifier   |
| Type of Program      | Pre-marketing evaluation<br>Post-marketing assessment<br>Assessment prior to Government procurement   |
| Methodology          | Government, testing, inspection, audit, site approval, compliance with good manufacturing practices.  |
| Testing              | Government's lab<br>Manufacturer's lab used under view of Government inspection<br>State labs if state is cooperating in program<br>Third party labs may be used by manufacturer for quality control                |

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| <b>Inspection</b>                       | Inspection by Government personnel, or cooperating State representatives.   |
| <b>Conformity Identification</b>        | Authorized grade and/or inspection marks applied by manufacturer. Government applied mark is restricted to officially sampled lots.   |
| <b>Availability of Documentation</b>    | List of processing plants under contract is published annually; available from the above address.   |
| <b>Obligations of Manufacturer</b>      | Manufacturer must submit to plant inspection and provision of samples at request of agency.   |
| <b>Enforcement</b>                      | Since bulk of program is voluntary, means of enforcement is withdrawal of labelling privilege or withdrawal of service.<br>When Marketing Orders are in effect, agency sponsoring the order, has authority for product recall or marketing ban. |
| <b>Term</b>                             | Term is set by contract; activity may be renewed and/or may provide for continuous inspection.  |
| <b>Reciprocity</b>                      | Certificates are recognized by other Federal agencies for procurement. Certificates of Sampling from States are recognized by Agency under certain cooperative agreements.  |
| <b>Standards, Codes, or Regulations</b> | Most acceptance criteria are based on requirements or specifications developed by Federal or State agencies; however, sometimes buyer specifications are used.  |
| <b>Keywords</b>                         | fruits; vegetables; processed foods; in-plant inspection; sanitation; good manufacturing practices; agricultural marketing orders; food quality;  |

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| <b>Products or Services</b>          | Refrigerated Vehicles   |
| <b>Department/Agency</b>             | U.S. Department of Agriculture<br>Office of Transportation<br>1405 Auditor's Building<br>14th Street and Constitution Avenue, NW.<br>Washington, DC 20250<br>(202) 447-3963   |
| <b>Initiated</b>                     | Being established   |
| <b>Compliance</b>                    | Mandatory for manufacturers of refrigerated containers intended to be used in Europe.   |
| <b>Authority</b>                     | International Carriage of Foodstuffs Act of 1982.   |
| <b>Aim</b>                           | The program is responsive to an international agreement on the transport of perishable food which aims to promote public health and consumer values by assuring that transport equipment is initially capable of performing in a safe and effective manner. |
| <b>Benefits</b>                      | Technical requirements are based on transport refrigeration practices in countries which have successful records in commercial transport of perishable food.  |
| <b>Agency Function</b>               | Certifier   |
| <b>Type of Program</b>               | Pre-market evaluation   |
| <b>Methodology</b>                   | Government design approval, testing, inspection.  |
| <b>Testing</b>                       | Government lab<br>Government accredited lab   |
| <b>Inspection</b>                    | Government  |
| <b>Conformity Identification</b>     | Lists of approved suppliers and certified products<br>An internationally-recognized mark may be instituted at some time in the future.  |
| <b>Availability of Documentation</b> | Lists available from Office of Transportation, the Department of Agriculture  |

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| <b>Obligations of<br/>Manufacturer</b>      | Subject a sample container to specified tests   |
| <b>Enforcement</b>                          | Delisting   |
| <b>Term</b>                                 | Indefinite  |
| <b>Reciprocity</b>                          | Recognition by foreign government agencies<br>and international organizations<br>(For the present, U.S. participation will be<br>limited to certification for U.S. export-<br>ers). |
| <b>Standards, Codes,<br/>or Regulations</b> | U.S Department of Agriculture adopts test<br>requirements agreed to in the international<br>program sponsored by the United Nations Economic<br>Commission for Europe.              |
| <b>Keywords</b>                             | refrigerated trucks; refrigerated rail<br>cars; perishable foodstuffs; international<br>agreement; frozen food;   |

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| <b>Products or Services</b> | Tobacco, and Naval Stores   |
| <b>Department/Agency</b>    | U.S. Department of Agriculture<br>Agricultural Marketing Service<br>Tobacco Division<br>Room 502 Annex Building<br>300 12th Street, SW.<br>Washington, DC 20250<br>(202) 447-2567   |
| <b>Initiated</b>            | Tobacco - 1935<br>Naval Stores - 1923   |
| <b>Compliance</b>           | Tobacco:<br><br>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.<br><br>Naval Stores:<br><br>Voluntary |
| <b>Authority</b>            | The Tobacco Inspection Act<br>The Dairy and Tobacco Adjustment Act<br>The Naval Stores Act  |
| <b>Aim</b>                  | Protection of producers and others against speculation, manipulation, control and unreasonable price fluctuations.  |
| <b>Benefits</b>             | Helps producers move commodities to consumers quickly, fairly and efficiently.  |
| <b>Agency Function</b>      | Certifier and program administrator   |
| <b>Type of Program</b>      | Pre-marketing evaluation  |
| <b>Methodology</b>          | Government grading in accordance with U.S. Official Standard Grades and Specifications.   |

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| Testing                               | Naval Stores:<br>Government lab certifies results of<br>manufacturer's lab.   |
| Inspection                            | Tobacco:<br><br>Government<br><br>Naval Stores:<br>Licensed company inspectors<br>Federal accepted appointees   |
| Conformity<br>Identification          | Tobacco:<br><br>Government certificates<br><br>Naval Stores:<br><br>Government certificates and authorized<br>mark by manufacturer  |
| Availability<br>of Documentation      | Documentation is confidential.  |
| Obligations of<br>Manufacturer/Vendor | Proper lighting and adequate space  |
| Enforcement •                         | Tobacco:<br><br>Reduction of sales opportunity or<br>withdrawal of inspection.<br><br>Naval Stores:<br><br>Withdrawal of inspection.  |
| Term                                  | Continuous inspection   |
| Reciprocity                           | Recognition of certification by other<br>Federal agencies and international<br>organizations.   |
| Standards, Codes,<br>or Regulations   | 7 CFR Part 29, Subpart C - Standards<br>7 CFR Part 160, Regulations and<br>Standards for Naval Stores<br>American Society for Testing and<br>Materials, Designation D 233, Sampling<br>and Testing Turpentine |
| Keywords                              | tobacco; naval stores; turpentine; rosin;   |

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| <b>Products or Services</b>      | Evaluation of Measuring Instruments   |
| <b>Department/Agency</b>         | U.S. Department of Commerce<br>National Bureau of Standards (NBS)<br>Office of Weights and Measures<br>Gaithersburg, MD 20899<br>(301) 921-2401   |
| <b>Initiated</b>                 | 1984  |
| <b>Compliance</b>                | Voluntary   |
| <b>Authority</b>                 | Resolution of the National Conference on Weights and Measures (NCWM) and NBS Organic Act (PL 81-619)  |
| <b>Aim</b>                       | Provide an evaluation service for producers of specified kinds of measuring instruments used in commercial trade prior to acceptance for sale or use within the U.S.                            |
| <b>Benefits</b>                  | Provides a uniform means of recognizing the measurement quality of specific models of measuring instrument and the ability of their producers to manufacture instruments of consistent quality. |
| <b>Agency Function</b>           | Certifier and program administrator   |
| <b>Type of Program</b>           | Pre-market evaluation   |
| <b>Methodology</b>               | NBS provides design approval, testing, inspection, auditing, and site approval either directly or jointly with an authorized laboratory.  |
| <b>Testing</b>                   | Government approved laboratory (Authorized laboratory indicated above is most likely to be a certified State measurement laboratory).   |
| <b>Inspection</b>                | State government  |
| <b>Conformity Identification</b> | Certificates of conformance issued to manufacturer.<br>List of qualified manufacturers  |

Availability  
of Documentation

List published by NBS.

Obligations of  
Manufacturer/Vendor

Manufacturer must mark instruments marketed under the Certificate of Conformance exactly as specified and provide installation, maintenance, and operating instructions consistent with the evaluation report.

Enforcement

Delisting. States may require Certificate of Conformance before allowing device to be marketed in the State.

Term

Certificate is valid as long as the type and model of instrument is produced consistent with the evaluation report.

Reciprocity

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.

Standards, Codes  
or Regulations

NBS prepares acceptance criteria, taking advice from NCWM, device manufacturers and participating laboratories and international organizations. The NCWM adopts these criteria by consensus vote.

Keywords

commercial measuring devices; measurement instruments; state laboratories; legal metrology; type evaluation; prototype; production control;

|                                  |  |
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| <b>Products or Services</b>      | Input/Output Channel Level Interfaces for Information Processing Equipment   |
| <b>Department Agency</b>         | U.S. Department of Commerce<br>National Bureau of Standards (NBS)<br>Institute for Computer Sciences and Technology<br>System Components Division<br>Gaithersburg, MD 20899<br>(301) 921-3723  |
| <b>Initiated</b>                 | 1979   |
| <b>Compliance</b>                | Mandatory for applicable information processing equipment to be purchased by Federal agencies.   |
| <b>Authority</b>                 | Title 15, CFR Part 200   |
| <b>Aim</b>                       | To verify the ability of information processing equipment from one manufacturer to function successfully with equipment of other manufacturers.  |
| <b>Benefits</b>                  | Federal agencies are able to purchase information processing equipment that has the necessary level of compatibility. This enables systems to be assembled or expanded more-readily and with considerably less time for troubleshooting. This program also enables all suppliers to compete on an equitable basis. |
| <b>Agency Function</b>           | Certifier and program administrator  |
| <b>Methodology</b>               | NBS verification of compliance to specified standards by review of documentation, or demonstrated use with verified equipment.   |
| <b>Type of Program</b>           | Verification of compliance prior to consideration for purchase by Government.  |
| <b>Testing</b>                   | Any testing is ordinarily accomplished by the manufacturer to fulfill requirements of the applicable standards or the NBS Verification Checklist.  |
| <b>Inspection</b>                | By purchasing agency   |
| <b>Conformity Identification</b> | A verification certificate is issued for equipment having no significant deviations from the applicable standard.<br><br>A Verification List of equipment conforming to standards is published and maintained by NBS.  |

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| Availability<br>of Documentation          | Verification List and Checklist, are available from the agency. Applicable standards are available through the National Technical information Service, Springfield VA, 22161.   |
| Obligations of<br>Manufacturer/<br>Vendor | Suppliers desiring a verification review must make a request to NBS, identify the make and model, provide required documentation, and reimburse the agency for costs incurred.  |
| Enforcement                               | Delisting   |
| Term                                      | Indefinite  |
| Reciprocity                               | Some States have used the Verification List in their procurement process.   |
| Standards, Codes,<br>Regulations          | Federal Information Processing Standards Publications (FIPS PUBs) 60-1, I/O Channel Interface; 61 Channel level Power Control Interfacel 62, Operational Specifications for Magnetic Tape Subsystems; 63, Operational Specifications for Rotating Mass Storage Sub-systems. |
| Keywords                                  | I/O; ADP; data processing; verification; computer systems;  |

|                      |  |
|----------------------|--|
| Products or Services | Measurement Calibration Services   |
| Department/Agency    | U.S. Department of Commerce<br>National Bureau of Standards (NBS)<br>Office of Weights and Measures<br>Gaithersburg, MD 20899<br>(301) 921-2401  |
| Initiated            | 1965   |
| Compliance           | Voluntary  |
| Authority            | PL 81-619 (NBS Organic Act).   |
| Aim                  | Provide certification of state measurement laboratory capabilities to calibrate standards and equipment for measuring mass, length, volume, temperature, and frequency-based devices.      |
| Benefits             | Provides basis for consistent results in calibration and tolerance testing among States and between States and NBS. Provides measurement equivalency in regulation of interstate commerce. |
| Agency Function      | Program administrator  |
| Type of Program      | A joint on-going activity between Federal and State Governments to evaluate, up-grade, and train measurement technicians in official State weights and measures laboratories.              |
| Methodology          | Government inspection and site approval. Installation and maintenance of measurement control programs. Program Requirements in NBS Handbook 143.   |
| Testing              | All delivery of services within this program is performed by state laboratories accredited by a Federal agency.  |
| Inspection           | Government   |

**Conformity  
Identification**

States receive certificates of accreditation and are identified in a list, NBS SP686. Instruments and standards certified by State laboratories may be identified by a government-applied mark.

**Availability  
of Documentation**

NBS SP686 is available from NBS.

**Obligations of  
Manufacturer/Vendor**

State laboratories are obligated to participate in external control programs based on geographical regions which include controlled sample testing, round-robin experiments, and continuing education for technicians.

**Enforcement**

NBS exercises influence over State laboratories through provision of traceability to NBS standards, provision of training and by sponsoring the Regional Measurement Management Programs. State programs may ban the use of uncalibrated measurement equipment in their regulatory programs.

**Term**

Indefinite term. Certificates of accreditation are valid for up to 3 years.

**Reciprocity**

NBS certification of a State laboratory carries recognition within that State and among the states and by private organizations.

**Standards, Codes,  
or Regulations**

Criteria documents are developed by NBS. See NBS Handbook 143 available from NBS.

**Keywords**

measurement instruments; mass; length; state laboratories; volume; quality control; temperature; frequency;

|                             |   |
|-----------------------------|---|
| <b>Products or Services</b> | Processed Fish and Shellfish  |
| <b>Department/Agency</b>    | U.S. Department of Commerce<br>National Oceanic<br>and Atmospheric Administration<br>National Marine Fisheries Service<br>National Seafood Inspection Program<br>Washington, DC 20235<br>(202) 634-7058   |
| <b>Initiated</b>            | 1958  |
| <b>Compliance</b>           | Voluntary   |
| <b>Authority</b>            | Agricultural Marketing Act of 1946 (as amended) 50 CFR Parts 260-266  |
| <b>Aim</b>                  | Increase consumer confidence in products which bear inspection marks and grade shields and provide technical services to the participating industry.  |
| <b>Benefits</b>             | Established quality control for seafood processing operations has improved the wholesomeness of fishery products. The quality and value of these products is communicated to consumers through the 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. |
| <b>Agency Function</b>      | Certifier and program administrator   |
| <b>Type of Program</b>      | Pre-marketing evaluation of both processing plant and processed products. Entire program is operated on a fee-for-service basis.  |
| <b>Methodology</b>          | Government inspection of plant and product, testing, and certification.   |
| <b>Testing</b>              | Testing in government labs, recognized state labs, and accredited private labs.   |
| <b>Inspection</b>           | Inspection by licensed government agents and state agents operating with a license agreement.   |

Conformity  
Identification

Lists of approved suppliers and certified products  
Government applied mark

Availability  
of Documentation

Lists of Sanitary Inspected Fish Establishments (SIFE) and seafood Packed Under Federal Inspection (PUFI) or which participate in grade marking. Lists of seafood products covered by these services. Lists may be obtained from:

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

Obligations of  
Manufacturer/  
Vendor

Producers must comply with sanitary, quality control, and inspection requirements in addition to providing office, laundry, and temporary lab space.

Enforcement

Delisting

Term

Indefinite term

Reciprocity

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 any other country.

Standards, Codes,  
or regulations

Agency prepares all criteria documents including the Fishery Products Inspection Manual.

Keywords

fish; fishery products; seafood; quality standards; fish quality; seafood specifications; plant inspection; sanitation; SIFE; PUFI;

|                               |   |
|-------------------------------|---|
| Products or Services          | Weather Observation   |
| Department/Agency             | U.S. Department of Commerce<br>National Oceanic<br>and Atmospheric Administration<br>National Weather Service<br>Basic Observations Branch<br>8060 13th Street, NW.<br>Silver Spring, MD 20910<br>(301) 427-7792  |
| Initiated                     | May 1983  |
| Compliance                    | Mandatory   |
| Authority                     | Organic Act of the National Weather Service,<br>15 USC 311.   |
| Aim                           | Codify the basis for training, examination,<br>and certification of human weather observers.<br><br>Benefits Assures consistent, minimum performance<br>expectations for manual weather observations<br>used for the preparation of forecasts and<br>warnings and the support of aviation operations. |
| Agency Function               | Certifier and program administrator   |
| Type of Program               | Pre-performance assessment  |
| Methodology                   | Government testing, inspection, and audit   |
| Testing                       | Government  |
| Inspection                    | Government  |
| Conformity Identification     | Government-issued certificates and master<br>list of validated observers  |
| Availability of Documentation | Master List is maintained at the FAA<br>Academy, Oklahoma City, OK.   |

Obligations of  
Manufacturer/Vendor

Certificate holder is required to maintain experience and participate in annual training.

Enforcement

Certificate suspension

Term

Audit testing keyed to individual performance, eyesight, and current experience.

Reciprocity

Other Federal agencies  
State agencies  
Private organizations  
Canadian government agencies

Standards, Codes,  
or Regulations

Agency prepares examination and performance criteria and incorporates related criteria prepared by DOD, FAA, and Canadian Atmospheric Environmental Service.

Keywords

weather observation; eyesight examination; vision standards; snellen test; laequer test; radar observation; aviation weather; radiosonde observation; computer data entry; self-study; personnel;

|                                    |  |
|------------------------------------|--|
| Products or Services               | Consumer Products<br>(personal use devices intended for household, school, or recreational use)  |
| Department/Agency                  | Consumer Product Safety Commission (CPSC)<br>Office of the General Counsel<br>1111 18th Street, NW.<br>Washington, DC 20207<br>(202) 492-6980  |
| Initiated                          | October 1972   |
| Compliance                         | Mandatory  |
| Authority                          | Public Law 92-573 as amended by PL 94-284, 95-319, 95-631-, 96373, 97-35   |
| Aim                                | Reduce the number of consumer products which present unreasonable risks.   |
| Benefits                           | Specific products covered by CPSC Standards are now certified by manufacturers to conform with legal requirements.   |
| Agency Function                    | Program administrator  |
| Type of Program                    | Post-marketing assessment  |
| Methodology                        | Manufacturer's self-certification<br>Government audit  |
| Testing                            | Manufacturer's lab<br>Third-party labs   |
| Inspection                         | Government   |
| Conformity Identification          | Government authorized mark or label by manufacturer or private brander   |
| Availability of Documentation      | Lists of manufacturers or private branders subject to certification rules or banning orders can be obtained from CPSC.   |
| Obligations of Manufacturer/Vendor | Manufacturers, private branders, and distributors shall keep such records as the Commission directs to assist in the enforcement of the Act, such as known non-conformance to applicable standards or known defects which could present an unreasonable risk of injury whether or not covered by a standard. |

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| Enforcement                      | Marketing ban<br>Product recall  |
| Term                             | Periodic retesting in a testing program acceptable to the Commission is usually required.  |
| Reciprocity                      | None   |
| Standards, Codes, or Regulations | 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. |
| Keywords                         | consumer products; audit testing; mandatory standards; product recall; banned products; imminent hazard;   |

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|---|---|
| <b>Products or Services</b>               | Fabrics Used in Wearing Apparel and Interior Furnishings  |
| <b>Department/Agency</b>                  | Consumer Product Safety Commission (CPSC)<br>Office of the General Counsel<br>1111 18th Street, NW.<br>Washington, DC 20207<br>(202) 492-6980 |
| <b>Initiated</b>                          | June 1953   |
| <b>Compliance</b>                         | Mandatory   |
| <b>Authority</b>                          | Public Law 83-88 as amended   |
| <b>Aim</b>                                | Reduce risk of fire and injury or death related to fire, in or on fabric articles.  |
| <b>Benefits</b>                           | Compliance with applicable standards and associated labelling have reduced the covered risks.   |
| <b>Agency/Function</b>                    | Program administrator   |
| <b>Type of Program</b>                    | Post-marketing assessment   |
| <b>Methodology</b>                        | Manufacturer's self-certification<br>Government audit inspection/testing  |
| <b>Testing</b>                            | Government labs<br>Government approved labs<br>Third-party labs<br>Manufacturers' labs  |
| <b>Inspection</b>                         | Government<br>State/local government<br>Third party   |
| <b>Conformity Identification</b>          | Authorized label by manufacturer  |
| <b>Availability of Documentation</b>      | No list of certified suppliers or products is prepared.   |
| <b>Obligations of Manufacturer/Vendor</b> | Manufacturer may comply with the Act by guaranteeing conformance with applicable standards based on test data.                                |

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| <b>Enforcement</b>                      | Product condemnation and destruction  |
| <b>Term</b>                             | Periodic audit testing/inspection is required to maintain certification.  |
| <b>Reciprocity</b>                      | Conformity is recognized by other Federal agencies, State governments, and private organizations.                                       |
| <b>Standards, Codes, or Regulations</b> | Criteria for standards are cited in the Act; Commission recognizes the use of voluntary standards to accomplish the purpose of the Act. |
| <b>Keywords</b>                         | fabrics; wearing apparel; interior furnishings; voluntary standards; flammability; product testing;                                     |

|                                    |   |
|------------------------------------|---|
| Products or Services               | Hazardous Substances (chemicals which are toxic, corrosive, flammable, irritating, radioactive or pressure-generating, and devices including these chemicals, or which may injure intended users) |
| Department/Agency                  | Consumer Product Safety Commission (CPSC)<br>Office of the General Counsel<br>1111 18th Street, NW.<br>Washington, DC 20207<br>(202) 492-6980   |
| Initiated                          | July 1960   |
| Compliance                         | Mandatory   |
| Authority                          | Public Law 86-613 as amended by the Poison Prevention Packaging Act P.L. 91-601   |
| Aim                                | Reduce risk of injury to all intended users of designated substances and devices.   |
| Benefits                           | Informative labelling is now in effect and selected products have been banned.  |
| Agency Function                    | Program administrator   |
| Type of Program                    | Pre-market evaluation   |
| Methodology                        | Government approval of labelling information to be provided with designated hazardous substances.   |
| Testing                            | Manufacturers' labs<br>Government labs  |
| Inspection                         | Government  |
| Conformity Identification          | Authorized label by manufacturer  |
| Availability of Documentation      | List of banned hazardous substances may be obtained from CPSC.  |
| Obligations of Manufacturer/Vendor | Carriers must keep records of interstate shipment of designated hazardous substances.   |

|                                  |   |
|----------------------------------|---|
| Enforcement                      | Marketing ban<br>Product recall   |
| Term                             | Indefinite term   |
| Reciprocity                      | Approved labelling is recognized by other Federal agencies, State governments, and private organizations.                 |
| Standards, Codes, or Regulations | Criteria for designating substances as hazardous are prepared by CPSC.  |
| Keywords                         | hazardous substances; flammability; corrosive; toxicity; irritant; radioactivity; banned products; misbranded substances; |

|                             |   |
|-----------------------------|---|
| <b>Products or Services</b> | Parts, Materials and Components Used in Military Systems  |
| <b>Department/Agency</b>    | U.S. Department of Defense<br>Director of Standardization<br>and Acquisition Support<br>The Pentagon, Room 2A-318<br>Washington, DC 20301   |
| <b>Initiated</b>            | 1949  |
| <b>Compliance</b>           | Mandatory for those products defined by specifications 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.  |
| <b>Authority</b>            | Federal Acquisition Regulations, General Provisions, Part 9;<br>Defense Standardization Manual, DOD 4120,3-M;<br>Defense Standardization Document SD-6.   |
| <b>Aim</b>                  | Maintain a high level of quality for critical products through pre-procurement evaluation of prospective vendors.   |
| <b>Benefits</b>             | The QPL Program normalizes the selection of possible vendors in several hundred critical technical commodities which are sufficiently standardized to permit a stringent, common, advance assessment of supplier capability. At the end of 1984 1300 QPL's existed listing more than 3000 manufacturers. Approximately 50 percent of these are U.S. small business manufacturers. |
| <b>Agency Function</b>      | Program administrator   |
| <b>Methodology</b>          | Pretesting prior to purchase by Government or its contractors.  |
| <b>Testing</b>              | Any type of laboratory acceptable to DOD sponsoring activity may be used; labs are not formally accredited by DOD.  |

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| Inspection                         | Periodic follow-up inspection. Plant visits are part of the overall management of the program. Listing on a QPL does not waive requirements for either in-process or other inspection by the manufacturer, or receiving inspection by the buyer.   |
| Conformity Identification          | Listing on Qualified Products Lists (QPL's) Authorized designation (JAN Mark) applied by manufacturer/distributor to qualified semiconductors, microelectronic, and established reliability products.  |
| Availability of Documentation      | DOD specifications and QPLs are distributed by:<br>Naval Publications and Forms Center<br>5801 Tabor Avenue<br>Philadelphia, PA 19120  |
| Obligations of Manufacturer/Vendor | 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. |
| Enforcement                        | Delisting  |
| Term                               | Indefinite for most products; most critical components require retesting at periodic intervals.  |
| Reciprocity                        | 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. Ministries of Defense   |
| Standards, Codes or Regulations    | Program is based on qualification requirements specified in Military Specifications.   |
| Keywords                           | quality control; procurement; qualification; testing; military; QPL;   |

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| <b>Products or Services</b>               | Air and Water Treatment Facilities  |
| <b>Department/Agency</b>                  | Environmental Protection Agency (EPA)<br>Office of Air Quality Programs, and<br>Office of Water Quality Programs<br>401 M Street, SW.<br>Washington, DC 20460<br>(202) 382-5575, Air<br>(202) 382-5400, Water |
| <b>Initiated</b>                          | 1976  |
| <b>Compliance</b>                         | Voluntary   |
| <b>Authority</b>                          | 40 CFR 20   |
| <b>Aim</b>                                | Identify facilities which reduce air or water pollution for the purpose of qualifying for investment tax credit.  |
| <b>Benefits</b>                           | Increased investment by industries in pollution abatement equipment and facilities.   |
| <b>Agency Function</b>                    | Certifier; some States also perform a parallel function for local tax purposes.   |
| <b>Type of Program</b>                    | Tax incentive program   |
| <b>Methodology</b>                        | Government design approval  |
| <b>Testing</b>                            | No testing  |
| <b>Inspection</b>                         | No inspection   |
| <b>Conformity Identification</b>          | Lists of certified facilities maintained by State certifying agencies and EPA.  |
| <b>Availability of Documentation</b>      | Lists available from States and EPA.  |
| <b>Obligations of Manufacturer/Vendor</b> | Facilities must submit plans for review whenever modifications are made.  |
| <b>Enforcement</b>                        | Delisting   |
| <b>Term</b>                               | Indefinite  |

Reciprocity

No reciprocity

Standards, Codes,

EPA defines acceptance criteria.

Keywords

air quality; water quality; pollution control; waste water treatment; waste heat removal; investment tax credit; depreciation; pollution control;

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| <b>Products or Services</b>              | Automotive Aftermarket Parts  |
| <b>Department/Agency</b>                 | Environmental Protection Agency (EPA)<br>Manufacturers Operations Division (EN-340F)<br>401 M Street, SW.<br>Washington, DC 20460<br>(202) 382-2515   |
| <b>Initiated</b>                         | 1980 (Modifications to current procedures are expected to be proposed in late 1985)   |
| <b>Compliance</b>                        | Voluntary   |
| <b>Authority</b>                         | Section 207 (a) of the Clean Air Act, 42 U.S.C. 7541; 40 CFR Part 85  |
| <b>Aim</b>                               | To enable vehicle owners to identify replacement parts that would not void the vehicle's emission warranty.   |
| <b>Benefits</b>                          | 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 emissions applies. |
| <b>Agency Function</b>                   | Program administrator   |
| <b>Type of Program</b>                   | Self-certification by supplier  |
| <b>Methodology</b>                       | Testing and self-certification by supplier after notifying EPA of intent to certify.  |
| <b>Testing</b>                           | By supplier   |
| <b>Conformity Identification</b>         | The part or its packaging shall bear the statement "Certified by (name of manufacturer or warranter) to EPA Emission Standards".  |
| <b>Availability of Documentation</b>     | Requirements are set forth in 40 CFR Part 85.   |
| <b>Obligation of Manufacturer/Vendor</b> | Suppliers are required to establish and maintain records containing descriptions and results of all certification tests as well   |

as other information related to the integrity of the parts and the certification procedures.

**Enforcement**

Decertification

**Term**

Indefinite term

**Standards, Codes,  
or Regulations**

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.

**Keywords**

automotive parts; vehicle emissions; air pollution; replacement; aftermarket; warranty; environment;

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| <b>Products or Services</b> | Drinking Water  |
| <b>Department Agency</b>    | Environmental Protection Agency (EPA)<br>Office of Drinking Water (WH550)<br>401 M Street, SW.<br>Washington, DC 20460<br>(202) 382-3040  |
| <b>Initiated</b>            | 1974  |
| <b>Compliance</b>           | Mandatory<br>Act requires States seeking primacy to implement a certification program based on federal standards; otherwise EPA will certify laboratories in remaining areas.             |
| <b>Authority</b>            | Safe Drinking Water Act (42 USC 300)<br>National Interim Primary Drinking Water Regulations (40 CFR 141 and 142)  |
| <b>Aim</b>                  | Broaden the base of testing facilities competent to analyze drinking water in disciplines of chemistry, microbiology, and radiochemistry.   |
| <b>Benefits</b>             | Easier access to competent testing facilities for all regulated and interested parties.   |
| <b>Agency Function</b>      | Certifier (in nonprimacy states, territories, and Indian reservations)<br>Program administrator elsewhere.  |
| <b>Type of Program</b>      | Premarket evaluation<br>(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). |
| <b>Methodology</b>          | Government design of certification program testing, inspection, audit, and site approval plus compliance with Good Laboratory Practice Regulations.                                       |
| <b>Testing</b>              | Government labs<br>State labs   |
| <b>Inspection</b>           | Government<br>State government  |

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| <b>Conformity</b>                         | Certified labs are issued certificates identifying areas of competency. Certifying authorities maintain list of labs which have been issued certificates.  |
| <b>Availability of Documentation</b>      | Lists are available from certifying authorities and EPA Regional Office.   |
| <b>Obligations of Manufacturer/Vendor</b> | Certified labs must complete periodic performance evaluations satisfactorily, maintain competency in approved method, notify certifier of changes in staff or equipment and submit to periodic onsite evaluations. |
| <b>Enforcement</b>                        | Delisting  |
| <b>Term</b>                               | Three years if certified by EPA or most States; some States recertify more frequently.   |
| <b>Reciprocity</b>                        | Direct EPA certification is recognized by other Federal agencies and some States. States on expected to develop procedures for recognizing certifications among themselves.  |
| <b>Standards, Codes, or Regulations</b>   | EPA develops standard methods.<br>Agency recognizes methods prepared by others.  |
| <b>Keywords</b>                           | drinking water; chemistry; microbiology; radiochemistry; quality assurance; performance evaluation; onsite evaluation;   |

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| <b>Products or Services</b>          | Motor Vehicle Engines, Gasoline and Diesel  |
| <b>Agency Function</b>               | Environmental Protection Agency (EPA)<br>Office of Mobile Sources<br>2565 Plymouth Road<br>Ann Arbor, MI 48105<br>(313) 668-4200  |
| <b>Initiated</b>                     | 1972  |
| <b>Compliance</b>                    | Mandatory for producers and distributors of motor vehicle engines, automobiles, light duty trucks, and motorcycles.   |
| <b>Authority</b>                     | Clean Air Act as amended in 1977, 42 USC 1857   |
| <b>Aim</b>                           | To control emissions from motor vehicles and engines in the interest of public health.  |
| <b>Benefits</b>                      | The atmospheric environment has become cleaner though progressively more restrictive emissions of carbon monoxide, hydrocarbons, oxides of nitrogen, and particulates from internal combustion engines. |
| <b>Agency Function</b>               | Both certifier and program administrator  |
| <b>Type of Program</b>               | Premarket evaluation; regulations provide for design evaluation, pre-production testing, and production auditing.   |
| <b>Methodology</b>                   | Governmental design approval, testing, and audit in conjunction with manufacturer self-certification.   |
| <b>Testing</b>                       | Government lab<br>Government accredited labs<br>Manufacturers' labs   |
| <b>Inspection</b>                    | Government<br>Third party   |
| <b>Conformity Identification</b>     | Authorized label by manufacturer<br>List of certified products  |
| <b>Availability of Documentation</b> | Lists available from EPA  |

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| Obligations of<br>Manufacturer/<br>Vendor | Manufacturer must qualify new engine designs, new emission control system designs, and existing engine and emission control system designs when emission regulations change. |
| Enforcement                               | Marketing ban<br>Product recall  |
| Term                                      | Annual with audit testing  |
| Reciprocity                               | Federal certification is recognized in all States except California.   |
| Standards, Codes<br>of Regulations        | EPA prepares all criteria documents; some test methods prepared by others are referenced.  |
| Keywords                                  | motor vehicles; light duty trucks; motor-cycles; exhaust emissions; hydrocarbons; oxides of nitrogen; carbon monoxide; diesel engines; evaporative emissions;                |

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| <b>Products or Services</b>      | Private and Commercial Applicators of Restricted Use Pesticides   |
| <b>Department/Agency</b>         | Environmental Protection Agency (EPA)<br>Office of Pesticide Programs<br>401 M Street, SW.<br>Washington, DC 20460<br>(703) 557-7096                              |
| <b>Initiated</b>                 | 1972  |
| <b>Compliance</b>                | Mandatory<br>Act requires States to perform certification to Federal guidelines, but permits EPA to perform the function if State is unable to do so.             |
| <b>Authority</b>                 | Federal Fungicide, Insecticide, and Rodenticide Act (FIFRA) PL 94140 and PL 95 396<br>40 CFR 171.1171.11; and various State laws and regulations                  |
| <b>Aim</b>                       | To minimize misuse of pesticides by both private and commercial applicators.  |
| <b>Benefits</b>                  | Greater awareness by regulated community of hazards associated with pesticide misuse.   |
| <b>Agency Function</b>           | Certifier in Colorado and Nebraska program. Administrator in all other States and territories in which the local program is approved.                             |
| <b>Type of Program</b>           | Premarket evaluation<br>Applicator may not offer services for hire until competency is demonstrated by examination or attendance at an approved training program. |
| <b>Methodology</b>               | Government facilities in Colorado and Nebraska; State facilities in all other States and territories.   |
| <b>Testing</b>                   | Personnel testing is conducted by the certifying agency.  |
| <b>Inspection</b>                | Same basis as testing   |
| <b>Conformity Identification</b> | Certifying States issue identification numbers to individual certified applicators.   |

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| <b>Availability of Documentation</b>      | Each State maintains a controlled list of certified applicators. Contacts in States are available from EPA. Lists of certified applicators in Colorado and Nebraska are available directly from EPA. |
| <b>Obligations of Manufacturer/Vendor</b> | Certified applicators and/or their employees are obligated to limit applications to those restricted pesticides for which they have been certified.  |
| <b>Enforcement</b>                        | Delisting or limitation of certification by certifying agency.   |
| <b>Term</b>                               | State certification terms vary from one to six years; the term for Federal certification is four years for private applicators and three years for commercial applicators.                           |
| <b>Reciprocity</b>                        | Reciprocity among States is based on State agreements which are on file with EPA. No formal list of reciprocal relations is available.   |
| <b>Standards, Codes, or Regulations</b>   | Certifications standards are promulgated by States and must be as stringent as required by FIFRA.  |
| <b>Keywords</b>                           | pesticides, fungicides, rodenticides; insecticides; registered chemicals; restricted use; environmental hazards; personnel;  |

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| <b>Products or Services</b> | Electrical and Electronic Devices that Generate Radio Frequency Energy  |
| <b>Department/Agency</b>    | Federal Communications Commission (FCC)<br>Authorization and Standards Division<br>Columbia, MD 21045<br>(301) 725-1585   |
| <b>Initiated</b>            | 1940 (Marine equipment was the earliest type approved).   |
| <b>Compliance</b>           | Mandatory   |
| <b>Authority</b>            | Federal Communications Act of 1934 as amended CFR 47 Part 2, Subpart J  |
| <b>Aim</b>                  | Reduce uncontrolled radio frequency interference first observed in connection with medical diathermy equipment in the 1940's.   |
| <b>Benefits</b>             | Broad decrease in spurious radio frequency energy in the environment in spite of tremendous increase in the types and quantity of devices in general use that have the potential for creating radio frequency interference.   |
| <b>Agency Function</b>      | Certifier and program administrator   |
| <b>Type of Program</b>      | Generally FCC procedures provide for pre-marketing evaluation and/or post-marketing assessment. Authorization procedures reflect the requirements of particular categories of equipment which are summarized here:<br><br>Type Approval<br><br>-Applies to some compulsory installed marine safety-of-life equipment, and to some nonlicensed devices, including certain industrial, scientific, and medical devices.<br><br>-Testing of sample by FCC prior to issuance of grant is mandated by FCC Rules. |

-Grant of authorization is issued by FCC.

#### Type Acceptance

-Applies to transmitting equipment used under a radio station license issued by the FCC in many of the radio services.

-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.

#### Certification

-Applies to nonlicensed devices, mostly low power radio frequency devices and, in addition, to certain categories of receivers which tune anywhere in the band 30 to 890 MHz, personal computers and peripherals, citizen band receivers, and some other kinds of industrial, scientific and medical equipment.

-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.

#### Notification

-A newly established procedure. (Report and Order - Docket No. 82-242 - released January 21, 1983.)

-Applicability to particular categories of equipment has been established in the Report and Order - Docket No. 83-10, released Jan. 26, 1984.

-Manufacturer submits brief application for authorization of device. Application is not required to include test data.

-FCC may sample device or review the manufacturer's test data at its option, before or after issuance of grant.

-Grant of authorization is issued by FCC.

#### Verification

-Applies to all computing devices except personal computers, personal peripherals and exempt computing devices (Section 15.801(e)); also applies to FM broadcast and television broadcast receivers.

-Manufacturer tests device prior to marketing, for compliance with applicable FCC regulations, and retains test data.

-No filing with FCC is required. However, manufacturer's test data may be required by FCC for subsequent review.

-FCC may sample device, at its option.

-No grant of authorization is issued by FCC.

#### Registration

-Applies to subscriber owned and common carrier owned telephone devices interconnected to the public telephone network. Objective of registration is to assure that device will not cause "harm" (as defined in FCC Rules) to telephone network. Radio frequency devices which connect to the public

telephone network may be subject to registration as well as to one or more of the other procedures.

-Based on desk review and evaluation of written application and test report submitted by applicant. Administrative review is done by FCC Laboratory. Other aspects of application are handled by FCC Common Carrier Bureau, including issuance of grant.

-Grant of authorization is issued by FCC.

-Subpart L of Part 2, and Part 68 of FCC Rules provides further information on this procedure.

#### **Methodology**

Program uses:

- Government lab for testing, inspection, audit
- manufacturer and third party labs
- Government recognition of private labs.

#### **Testing**

Testing may be performed by:

- FCC lab
- manufacturer's lab
- third-party lab.

#### **Inspection**

Agency accredits independent labs, but does not inspect production facilities.

#### **Conformity Identification**

Agency maintains lists of producers of approved products, but lists are not published.

Producers are licensed to apply approval markings in accord with regulations.

#### **Availability of Documentation**

Above lists must be requested from FCC through Freedom of Information procedures.

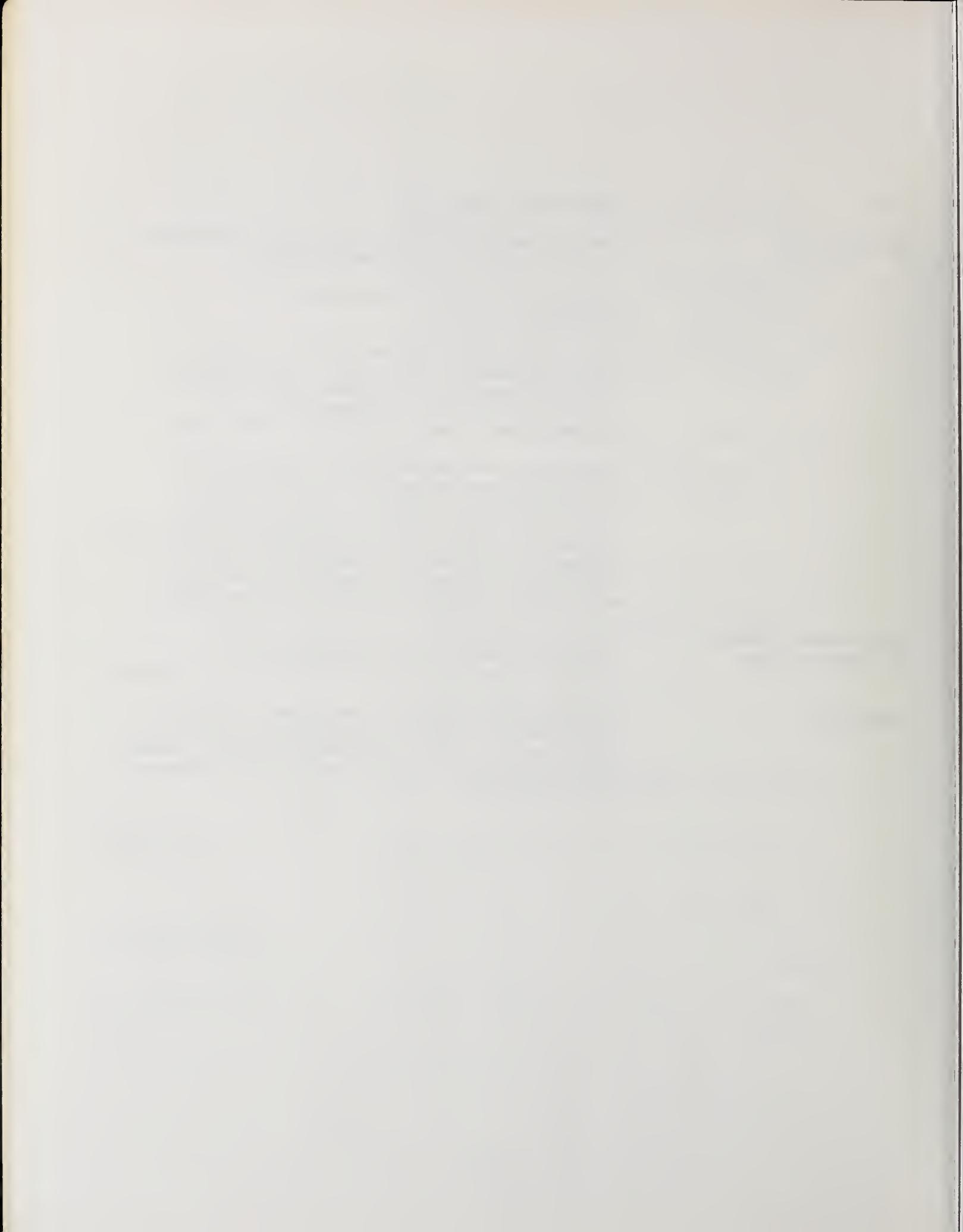
#### **Obligations of Manufacturer/ Vendor**

Maintain design of approved equipment. State maintenance requirements to users.

#### **Enforcement**

Marketing ban and product recall

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| <b>Term</b>                             | Indefinite term   |
| <b>Reciprocity</b>                      | <p>None. Test data from counterpart agencies is taken into consideration but no reduction of test requirements is provided.</p> <p>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.</p> <p>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.</p> |
| <b>Standards, Codes, or Regulations</b> | Criteria promulgated by FCC; private sector standards are considered in preparing rules.  |
| <b>Keywords</b>                         | transmitters; cable TV equipment; broadcast equipment; computer peripherals; medical electronics, radio frequency energy; communications equipment; type approval; computers; certification;  |



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| <b>Products or Services</b> | Parts, Materials, and Equipment   |
| <b>Department/Agency</b>    | General Services Administration (GSA)<br>Office of Federal Supply Services<br>Commodity Management Division (FCM)<br>Washington, DC 20406<br>(703) 557-1001   |
| <b>Initiated</b>            | 1944  |
| <b>Compliance</b>           | Mandatory for those products defined by Federal Specifications which have been designated for the Qualified Products List (QPL) certification program because conformance demonstration at each procurement would necessitate extensive testing.  |
| <b>Authority</b>            | Armed Services Property Regulations of 1944<br>Federal Property Management Regulations,<br>(FPMR) 101-29  |
| <b>Aim</b>                  | As a means of expediting contract awards and deliveries of designated products, manufacturers are required to have these products pre-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 inspection of each lot.  |
| <b>Benefits</b>             | The availability of products known to be qualified reduces the costs and time to select products for inclusion in equipment and systems that must perform reliably. Ready availability of qualified products reduces purchase lead times and increases quality of the equipment using these products. At the end of 1984, approximately 80 Federal Qualified Products Lists (QPL's) existed listing more than 450 manufacturers. The majority of these QPL's are for adhesives, paint, safety equipment, and security office equipment - safes, vault doors, filing cabinets, and padlocks. |
| <b>Agency Function</b>      | Program administrator   |
| <b>Type of Program</b>      | Pretesting prior to Government purchase   |

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| Testing                            | Government or private laboratories, including the manufacturer's lab, may be used if acceptable to General Services Administration (GSA) and the designated preparing activity. Labs are not formally accredited by GSA.   |
| Inspection                         | 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.  |
| Conformity Identification          | Listing on Qualified Products Lists (QPL's)  |
| Availability of Documentation      | Federal QPL's and specifications are distributed by:<br>General Services Administration<br>Specification Unit (WFSIS)<br>7th and D Streets, SW.<br>Washington, DC 20406  |
| Obligations of Manufacturer/Vendor | 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 on QPL's in advertising and 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. |
| Enforcement                        | Delisting  |
| Term                               | Indefinite for most products; certain products may require retesting at periodic intervals.  |
| Reciprocity                        | Federal and State agencies recognize and use Federal QPL's. There are no bilateral or multilateral arrangements with other countries.  |
| Standards, Codes, or Regulations   | Program is based on qualification requirements specified in Federal specifications.  |
| Keywords                           | quality control; procurement; testing; Federal; QPL;   |

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| Products or Services               | Color Additives   |
| Department/Agency                  | U.S. Department of Health and Human Services<br>Food and Drug Administration (FDA)<br>Center for Food Safety and Nutrition<br>Division of Color Technology (HFF-430)<br>200 C Street, SW.<br>Washington, DC 20204<br>(202) 245-1141 |
| Initiated                          | 1977 (latest authority)   |
| Compliance                         | Mandatory   |
| Authority                          | P.L. 94-295, 21 CFR 70 through 82   |
| Aim                                | To assure public health and safety in use and consumption of foods, drugs, and cosmetics to which specified colors have been added.   |
| Benefits                           | As an ongoing program, color additive certification monitors conformance of additives to existing requirements and identifies need for new limitations.   |
| Agency Function                    | Certifier   |
| Type of Program                    | Pre-marketing evaluation  |
| Methodology                        | Government testing  |
| Testing                            | Government labs   |
| Inspection                         | Government  |
| Conformity Identification          | List of approved colors and certified products  |
| Availability of Documentation      | Lists available from FDA.   |
| Obligations of Manufacturer/Vendor | Manufacturers must conform with Good Manufacturing Practices (GMP) and report any known ill effects associated with certified additives.  |
| Enforcement                        | Marketing ban<br>Product recall<br>Delisting  |

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| <b>Term</b>                             | Certification is provided on a batch basis.  |
| <b>Reciprocity</b>                      | Certification is recognized by other Federal agencies, State agencies, and private sector organizations.   |
| <b>Standards, Codes, or Regulations</b> | Agency prepares criteria for certification. Agency adopts test methods prepared by others such as the Association of Official Analytic Chemists. |
| <b>Keywords</b>                         | color additives; foods; drugs; cosmetics; certification; adulteration; misbranding; carcinogens;   |

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| <b>Products or Services</b>               | Electronic Products  |
| <b>Department/Agency</b>                  | U.S. Department of Health and Human Services<br>Food and Drug Administration (FDA)<br>Center for Devices and Radiological Health<br>5600 Fishers Lane<br>Rockville, MD 20857<br>(301) 443-4690 |
| <b>Initiated</b>                          | 1968   |
| <b>Compliance</b>                         | Mandatory  |
| <b>Authority</b>                          | Radiation Control for Health and Safety Act<br>42 USC 2636; 21 CFR 1000-1050   |
| <b>Aim</b>                                | To protect the public from unnecessary exposure to radiation from electronic products.   |
| <b>Benefits</b>                           | Through enforcement, as well as product improvement and user education, public exposure to ionizing and nonionizing radiation has been reduced significantly.                                  |
| <b>Agency Function</b>                    | Program administrator  |
| <b>Type of Program</b>                    | Pre-marketing evaluation   |
| <b>Methodology</b>                        | Manufacturer self-certification  |
| <b>Testing</b>                            | Manufacturer's lab<br>Third party lab<br>Government lab  |
| <b>Inspection</b>                         | Government   |
| <b>Conformity Identification</b>          | Manufacturer applied label   |
| <b>Availability of Documentation</b>      | No lists are published or maintained in this program.  |
| <b>Obligations of Manufacturer/Vendor</b> | Manufacturer must keep production and distribution records; notify buyers of nonconforming equipment and recall such equipment for repair.   |

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| <b>Enforcement</b>                      | Marketing ban   |
| <b>Term</b>                             | Certification applies for the life of each distinctive model.   |
| <b>Reciprocity</b>                      | No effective reciprocity  |
| <b>Standards, Codes, or Regulations</b> | Agency sets criteria and publishes performance standards.   |
| <b>Keywords</b>                         | electronic radiation; microwave ovens; lasers; sunlamps; ultrasonic therapy equipment; x-ray equipment; mercury vapor lamps; television receivers; product labelling; |

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| Products or Services               | Drugs Containing Insulin   |
| Department/Agency                  | U.S. Department of Health and Human Services<br>Food and Drug Administration (FDA)<br>Center for Drugs and Biologics<br>5600 Fishers Lane<br>Rockville, MD 20857<br>(301) 443-1016 |
| Initiated                          | 1969   |
| Compliance                         | Voluntary  |
| Authority                          | 21 CFR Part 429  |
| Aim                                | Provide insulin users with assurance of a uniform quality drug.  |
| Benefits                           | Virtually all producers participate in this certification program.   |
| Agency Function                    | Certifier  |
| Type of Program                    | Pre-market evaluation  |
| Methodology                        | Compliance with Good Manufacturing Practices<br>Government inspection  |
| Testing                            | Government lab<br>Manufacturer's lab   |
| Inspection                         | Government   |
| Conformity Identification          | Lists of qualified suppliers and certified products  |
| Availability of Documentation      | Lists available from FDA.  |
| Obligations of Manufacturer/Vendor | Producer must keep production records for two years after batch shipment.  |
| Enforcement                        | Marketing ban (under the requirement that any misbranded drug is banned by law).   |

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| <b>Term</b>                             | Certification is provided on a batch basis.   |
| <b>Reciprocity</b>                      | Certification recognized by other Federal agencies, State agencies, and private sector organizations.   |
| <b>Standards, Codes, or Regulations</b> | Agency prepares certification criteria.<br>Agency adopts test methods of the United States Pharmacopeial Convention and the National Formulary. |
| <b>Keywords</b>                         | insulin; packaging; labelling; color coding; distribution; records;   |

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| Products or Services               | Drugs for Human Use  |
| Department/Agency                  | U.S. Department of Health and Human Services<br>Food and Drug Administration (FDA)<br>Center for Drugs and Biologics<br>5600 Fishers Lane<br>Rockville, MD 20857<br>(301) 443-1016   |
| Compliance                         | Mandatory  |
| Authority                          | Food, Drug, and Cosmetic Act, Title 21 USC<br>21 CFR Parts 200-212 and 300-315   |
| Aim                                | To assure that drugs and antibiotics are both safe and effective for intended use.   |
| Benefits                           | Virtually all covered products consumed in the U.S. are made in registered establishments and produced under Good Manufacturing Practices (GMP).   |
| Agency Function                    | Certifier  |
| Type of Program                    | Pre-market evaluation  |
| Methodology                        | Government design approval, inspection, site approval and compliance with GMP.   |
| Testing                            | Manufacturer's lab<br>Third party lab  |
| Inspection                         | Government   |
| Conformity Identification          | Lists of qualified producers and approved products are maintained by FDA.  |
| Availability of Documentation      | Official lists may be obtained from the Drug Listing Branch (HFN-315) of the FDA.  |
| Obligations of Manufacturer/Vendor | Producers are required to register establishments, maintain sanitary conditions, provide substantial clinical evidence of safety and effectiveness, prepare adequate labelling and instructions for use, submit advertising for approval, comply with Good Manufacturing Practices, use approved packaging, and advise FDA of known adverse reactions. |
| Enforcement                        | Marketing ban and product recall   |

Term No specific term; retesting is based on changes in product characteristics, composition, or intended use. A major consideration is any misbranding or adulteration.

Reciprocity Certification is recognized widely in U.S. but no foreign reciprocity.

Standards, Codes, or Regulations FDA prepares all standard requirements including GMP rules, except that specifications of official drug components are prepared by private organizations, i.e., U.S. Pharmacopeia, Homeopathic Pharmacopeia, or National Formulary.

Keywords drugs; antibiotics; registration; labelling; good manufacturing practices; sanitation; misbranding; adulteration; recall; packaging; premarket evaluation;

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| <b>Products or Services</b>          | Food and Drugs for Animals   |
| <b>Department/Agency</b>             | U.S. Department of Health and Human Services<br>Food and Drug Administration (FDA)<br>Center for Veterinary Medicine (HFV-1)<br>Rockville, MD 20857<br>(301) 443-3450                                      |
| <b>Initiated</b>                     | 1938   |
| <b>Compliance</b>                    | Mandatory  |
| <b>Authority</b>                     | Food, Drug, and Cosmetic Act, Title 21 USC,<br>as amended by P.L. 90-399   |
| <b>Aim</b>                           | To assure that foods, feeds, additives and<br>medicines intended for animal use are safe and<br>effective for intended use.  |
| <b>Benefits</b>                      | Low-risk preparations with uniform quality and<br>predictable performance have been developed<br>for animal use.   |
| <b>Agency Function</b>               | For new animal drugs (NAD): certifier<br>For all other products: program administrator   |
| <b>Type of Program</b>               | Pre-market evaluation  |
| <b>Methodology</b>                   | For NAD, Government design approval,<br>inspection, site approval.<br>For other products, manufacturer self-<br>certification.<br>For all products, compliance with Good<br>Manufacturing Practices (GMP). |
| <b>Testing</b>                       | Manufacturer's lab<br>Third-party lab  |
| <b>Inspection</b>                    | Government   |
| <b>Conformity Identification</b>     | Lists of approved products and qualified<br>producers are maintained by FDA.   |
| <b>Availability of Documentation</b> | Official lists may be obtained from the FDA<br>Center for Veterinary Medicine.   |

Obligations of  
Manufacturer/  
Vendor

For all products, producers are required to register establishments annually, maintain sanitary conditions, provide adequate labeling, and comply with Good Manufacturing Practices. For NDA 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.

Enforcement

Marketing ban and product recall

Term

No specific term; testing is based on changes in product characteristics composition or intended use. A major consideration is any misbranding or adulteration.

Reciprocity

Certification recognized widely in the U.S. Many states require a "Guaranteed Analysis" for minimum protein, fat, fiber, and moisture content. There is no reciprocity among countries for these products.

Standards, Codes,  
or Regulations

FDA prepares the regulatory requirements including the GMP, but draws some technical input from the National Academy of Sciences.

Keywords

animal feed; pet food; food additives; veterinary medicines; animal drugs; misbranding; adulteration; good manufacturing practices; registration;

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| Products or Services               | Food for Humans   |
| Department/Agency                  | U.S. Department of Health and Human Services<br>Food and Drug Administration (FDA)<br>Bureau of Foods<br>5600 Fishers Lane<br>Rockville, MD 20857<br>(301) 443-1544                 |
| Initiated                          | 1938  |
| Compliance                         | Mandatory   |
| Authority                          | Food, Drug and Cosmetic Act of 1938, as amended   |
| Aim                                | Assure that foods are pure and wholesome, safe to eat, and produced under sanitary conditions.  |
| Benefits                           | The appearance of adulterated and misbranded products in the market has been minimized.   |
| Agency Function                    | Program administrator   |
| Type of Program                    | Pre-market evaluation   |
| Methodology                        | Government inspection   |
| Testing                            | Government labs<br>Manufacturers' labs<br>Third party labs<br>State/local government labs   |
| Inspection                         | Government<br>State/local government  |
| Conformity Identification          | Proper informative labelling; identification of processing plant where such are specifically inspected, such as shellfish packers.  |
| Availability of Documentation      | FDA publicizes only firms known to be not complying with required standards.  |
| Obligations of Manufacturer/Vendor | 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. |

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| <b>Enforcement</b>                          | Marketing ban<br>Product recall   |
| <b>Term</b>                                 | Continuous inspection   |
| <b>Reciprocity</b>                          | Other Federal agencies<br>State agencies<br>Private sector organizations  |
| <b>Standards, Codes,<br/>or Regulations</b> | Agency prepares all criteria document.  |
| <b>Keywords</b>                             | adulterated product; misbranded product;<br>dietary foods; infant foods; nutrition<br>labelling; good manufacturing practices;<br>standard of quality; sanitation; standard of<br>identity; fill of container standard; |

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| Products or Services          | Food Inspection Personnel  |
| Department/Agency             | U.S. Department of Health and Human Services<br>Food and Drug Administration (FDA)<br>5600 Fishers Lane<br>Rockville, MD 20857<br>(301) 443-1544 |
| Initiated                     | 1976   |
| Compliance                    | Voluntary  |
| Authority                     | Public Health Service Act, as amended  |
| Aim                           | Achieve a high degree of uniformity throughout the nation in the inspection of sanitation for the selling of food.                               |
| Benefits                      | Program has provided uniform methods of training, examination, and review of food inspection personnel.  |
| Agency Function               | Certifier  |
| Type of Program               | Evaluation of individual's competence.   |
| Methodology                   | Government testing and audit   |
| Testing                       | Federal and State examination and training facilities  |
| Inspection                    | Federal and State Governments  |
| Conformity Identification     | Lists of certified inspectors are kept by participating State health departments.  |
| Availability of Documentation | Lists must be obtained at the State level.   |
| Term                          | Retesting every three years.   |
| Reciprocity                   | Recognition by:<br>other Federal agencies,<br>State agencies,<br>private organizations.  |

Standards, Codes, Agency prepares criteria documents.  
or Regulations

Keywords food; retail sales; sanitation; program  
evaluation; model ordinance; training; person-  
nel certification;

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| <b>Products or Services</b> | Fresh and Frozen Molluscan Bivalves (oysters, clams and mussels)   |
| <b>Department/Agency</b>    | U.S. Department of Health and Human Services<br>Food and Drug Administration (FDA)<br>Shellfish Sanitation Branch, HFF-344<br>200 C Street, SW.<br>Washington, DC 20204<br>(202) 485-0149  |
| <b>Initiated</b>            | 1925   |
| <b>Compliance</b>           | Voluntary/cooperative  |
| <b>Authority</b>            | Federal Food, Drug and Cosmetic Act (Secs. 402, 403, 701(a) as amended<br>Public Health Service Act (Secs. 301, 308, 311, 361) as amended  |
| <b>Aim</b>                  | To identify actual or potential sources of pollution that may contaminate shellfish growing areas; prevent the harvesting of shellfish from contaminated waters; and maintain sanitary conditions during the handling and processing of shellfish.                 |
| <b>Benefits</b>             | Shellfish products marketed in interstate commerce are safe for human consumption.   |
| <b>Agency Functions</b>     | Administers program, evaluates State shellfish control programs, and develops program guidelines and standards.  |
| <b>Type of Program</b>      | Pre-marketing control of product through classification of shellfish growing areas, prevention of illegal harvesting, and inspection of harvesting and processing operations.  |
| <b>Methodology</b>          | State shellfish agencies have the responsibility for classifying growing waters and assuring industry maintains adequate sanitary operating procedures. FDA evaluates State programs to determine program compliance through field visits and office file reviews. |

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| Testing                                   | FDA evaluates State and local laboratories used for the examination of sea water and shellfish. The laboratories are only evaluated for compliance with American Public Health Association (APHA) procedures for the examination of sea water and shellfish, not approved or certified. |
| Inspection                                | State shellfish control officials conduct all shellfish activities through field surveys and inspection of harvesting and processing operations. State programs are evaluated by FDA shellfish specialists.   |
| Conformity<br>Identification              | FDA publishes monthly the "Interstate Certified Shellfish Shippers List" (ICSSL) containing the names and certification numbers of State certified shellfish firms.   |
| Availability<br>of Documentation          | The ICSS is provided free to all States, shellfish industry, and other interested individuals upon request.   |
| Obligations of<br>Manufacturer/<br>Vendor | Shellfish industry is required to meet state shellfish sanitary requirements for harvesting, handling and processing operations, conform to National Shellfish Sanitation Program (NSSP) criteria and Good Manufacturing Practice Regulations.  |
| Enforcement                               | State decertifies firm; FDA is notified and removes firm from the ICSSL.  |
| Term                                      | Indefinite term; reinspection after correction of deficiencies.   |
| Reciprocity                               | FDA certification is recognized by other Federal agencies, States and foreign government agencies.  |
| Standards, Codes,<br>or Regulations       | NSSP Manual of Operations Part I and II; Laboratory Procedures for the Examination of Seawater and Shellfish, Fifth Edition, 1985 APHA. FDA develops and revises manual of operations. Manual revisions are approved by state shellfish control agencies.                               |
| Keywords                                  | oysters; clams; mussels; shellfish; National Shellfish Sanitation Program; NSSP; interstate; seafood;   |

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| Products or Services               | Infant Formula   |
| Department/Agency                  | U.S. Department of Health and Human Services<br>Food and Drug Administration (FDA)<br>Center for Food Safety and Applied Nutrition<br>Division of Regulatory Guidance (HFF-310)<br>200 C Street, SW.<br>Washington, DC 20204<br>(202) 245-3117 |
| Initiated                          | 1980   |
| Compliance                         | Mandatory  |
| Authority                          | Infant Formula Act of 1980 21 USC 412, 21 CFR Chapter 1, Subchapters A and B   |
| Aim                                | To establish minimum nutrition requirements for infant formula.  |
| Benefits                           | Virtually all domestically produced infant formula now complies with this rule.  |
| Agency Function                    | Program administrator  |
| Type of Program                    | Pre-marketing evaluation   |
| Methodology                        | Manufacturer self-certification<br>Compliance with Good Manufacturing Practices (GMP).   |
| Testing                            | Manufacturers lab  |
| Inspection                         | Government   |
| Conformity Identification          | Lists of approved suppliers and certified products   |
| Availability of Documentation      | Lists available from FDA.  |
| Obligations of Manufacturer/Vendor | Quarterly recertification by each producer.<br>Prompt notification to FDA of any suspected batch noncompliance, adulteration, or misbranding.  |
| Enforcement                        | Marketing ban<br>Product recall by agency or producer  |

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| <b>Term</b>                             | Audit testing/inspection to assure conformance with quality control requirements prescribed by agency.                            |
| <b>Reciprocity</b>                      | Certification recognized by other Federal agencies, State agencies, and private sector organizations.                             |
| <b>Standards, Codes, or Regulations</b> | Technical requirements specified in the Act.  |
| <b>Keywords</b>                         | infant formula; nutrition requirements; good manufacturing practices; quality control; adulteration; misbranding; product recall; |

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| <b>Products or Services</b>      | Medical Devices  |
| <b>Department/Agency</b>         | U.S. Department of Health and Human Services<br>Food and Drug Administration (FDA)<br>Center for Devices and Radiological Health<br>(HFZ-1)<br>5600 Fishers Lane<br>Rockville, MD 20857<br>(301) 443-4690                        |
| <b>Initiated</b>                 | 1976   |
| <b>Compliance</b>                | Mandatory  |
| <b>Authority</b>                 | Medical Device Amendments P.L. 94-295 to Food, Drug and Cosmetic Act, Title 21 USC   |
| <b>Aim</b>                       | To assure that medical devices are both safe and efficacious in their intended use.  |
| <b>Benefits</b>                  | For Class III devices, the program provides a more thorough design review.<br>For Classes I and II devices, the program provides clear public expectations.  |
| <b>Agency Function</b>           | For Class III devices, certifier.<br>For Classes I and II devices, program administrator.  |
| <b>Type of Program</b>           | Pre-market evaluation  |
| <b>Methodology</b>               | For Class III, Government design approval, audit inspection, and site approval; manufacturers supply test data.<br>For Classes I and II, manufacturer self-certification and compliance with Good Manufacturing Practices (GMP). |
| <b>Testing</b>                   | Manufacturer's lab or third party lab.<br>Audit testing may be done by labs under contract to Government.  |
| <b>Inspection</b>                | Government   |
| <b>Conformity Identification</b> | For Class III devices only, list of approved products maintained by FDA. For Classes I and II, manufacturer self-certification is evidenced through information required in product labelling.                                   |

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| Availability of Documentation      | Official lists are available from FDA Center for Devices and Radiologic Health.   |
| Obligations of Manufacturer/Vendor | 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 non-compliances with Class III or Class II certification. |
| Enforcement                        | Marketing ban, product recall, delisting are all applicable to medical devices.   |
| Term                               | No specific term; retesting is based on changes in product characteristics or use. A major consideration is any misbranding or adulteration.  |
| Reciprocity                        | Certifications recognized widely in U.S., but no foreign reciprocity.   |
| Standards, Codes, or Regulations   | FDA prepares requirements for Class III; standards for Class II may be from private sector; FDA develops and maintains GMP rules.   |
| Keywords                           | medical devices; classification; misbranding; adulteration; good manufacturing practices; investigation use; recall; premarket notification;  |

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| Products or Services | Respirators and other Breathing Apparatus; Personal Coal Dust Samplers  |
| Department/Agency    | U.S. Department of Health and Human Services<br>National Institute for Occupational Safety and Health<br>Certification Branch<br>944 Chestnut Ridge Road<br>Morgantown, WV 26505-2888<br>(304) 291-4331   |
| Initiated            | 1972  |
| Compliance           | Voluntary   |
| Authority            | CFR Title 30 Part 11<br>CFR Title 30 Part 74  |
| 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             | There are 21 domestic manufacturers and five importers. The certifying laboratory evaluates approximately 2000 samples of respiratory protective devices. 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. |
| Agency Function      | Certifier   |
| Type of Program      | Pre-marketing evaluation and post-marketing assessment, in the form of defect investigation.  |
| Methodology          | Federal agency design approval and testing  |
| Testing              | Government laboratory and manufacturers labs  |

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| Inspection                          | Federal agency representatives only  |
| Conformity<br>Identification        | Approved products lists and government-<br>approved labels applied by manufacturer.  |
| Availability<br>of Documentation    | Approved products lists available to<br>equipment users at above address.  |
| Obligations of<br>Manufacturer      | Manufacturer must conduct pre-submittal<br>tests; establish a quality control plan<br>for agency approval; notify agency of<br>possible or actual equipment or component<br>defects; participate in agency-sponsored<br>investigations; and cease labelling if<br>approval is suspended. |
| Enforcement                         | Delisting<br>Product recall (voluntary by manufacturer)<br>Notification to users   |
| Term                                | Indefinite term  |
| Reciprocity                         | Other Federal agencies (e.g. NRC)<br>State agencies<br>Government of Canada (counterpart agencies)   |
| Standards, Codes,<br>or Regulations | Agency prepares criteria documents.<br>Agency adopts standards prepared by others for<br>quality plans and respirator maintenance.   |
| Keywords                            | respirators; air samplers; gas masks;<br>breathing apparatus; face pieces;<br>coal mine dust; pesticides; design<br>approval;  |

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| Products or Services | Building Products for Construction   |
| Department/Agency    | U.S. Department of Housing and Urban Development (HUD)<br>Office of Manufactured Housing and Construction Standards<br>451 Seventh Street SW.<br>Washington, DC 20410<br>(202) 755-5929  |
| Initiated            | 1965   |
| Compliance           | Voluntary  |
| Authority            | CFR Title 24 Part 200.935  |
| Aim                  | Prevent product failures and misrepresentations of products. 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 standard.  |
| Agency Function      | Program administrator  |
| Type of Program      | Ongoing validation of private certification of products included under a HUD mortgage insurance program.   |
| Methodology          | Third-party certification<br>Manufacturer's self-certification   |
| Testing              | Government-accredited labs<br>Third-party validating labs<br>Manufacturer's labs<br>State/local government labs<br>Agency-accredited labs  |

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| <b>Inspection</b>                         | Third party  |
| <b>Conformity Identification</b>          | Authorized mark or label by manufacturer or third-party validator. More than seventy third-party validators participate in the HUD Building Products Certification Program for approximately twenty products ranging from carpeting to plywood.  |
| <b>Availability of Documentation</b>      | All documentation is published in the Federal Register.  |
| <b>Obligations of Manufacturer/Vendor</b> | Manufacturers are obligated to cease marking products which do not meet required standards.  |
| <b>Enforcement</b>                        | 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 24.  |
| <b>Term</b>                               | All parties may operate indefinitely in these programs. Laboratories are subject to periodic reaccreditation.  |
| <b>Reciprocity</b>                        | Products in these programs enjoy a wide degree of reciprocal recognition including; other Federal agencies, State agencies, private sector organizations, foreign governments, and international organizations. There are participating organizations in Canada for certain building products. |
| <b>Standards, Codes, or Regulations</b>   | HUD adopts standards prepared by others, and prepares criteria documents where necessary. Documents defining acceptance are in 24 CFR 200.935.   |
| <b>Keywords</b>                           | building products; certification; third-party validation; mortgage insurance; housing; administrators; acceptance criteria;  |

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| <b>Products or Services</b>          | Manufactured Housing   |
| <b>Department/Agency</b>             | U.S. Department of Housing and Urban Development (HUD)<br>Manufactured Housing Standards Division<br>451 Seventh Street, SW.<br>Washington, DC 20410<br>(202) 755-6590                                   |
| <b>Initiated</b>                     | 1976   |
| <b>Compliance</b>                    | Mandatory  |
| <b>Authority</b>                     | National Manufactured Housing Construction and Safety Standards Act, PL 93-382,<br>42 U.S.C 5407; 24 CFR Part 3280   |
| <b>Aim</b>                           | 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. |
| <b>Benefits</b>                      | Uniform nationwide certification program has accomplished the stated purposes of the Act as well as improved interstate commerce in manufactured housing.  |
| <b>Agency Function</b>               | Program administrator  |
| <b>Type of Program</b>               | Pre-emptive, mandatory, national regulation  |
| <b>Methodology</b>                   | Third-party certification of building plans and in-factory enforcement for compliance.   |
| <b>Testing</b>                       | Third-party labs<br>Manufacturer's lab   |
| <b>Inspection</b>                    | Third-party<br>State government  |
| <b>Conformity Identification</b>     | Authorized label by manufacturer<br>Lists of approved manufacturers  |
| <b>Availability of Documentation</b> | Lists are maintained by the agency and the State Approved Administrators.  |

Obligations of  
Manufacturer/  
Vendor

Manufacturers must keep sufficiently accurate component data by finished unit serial number so that purchasers can be notified if an imminent safety hazard is alleged.

Enforcement

Marketing ban on unlabelled homes; product recall on defective units; removal of third-party inspection agencies for repeated inadequate performance.

Term

Indefinite term

Reciprocity

Other Federal agencies  
State agencies

Standards, Codes,  
or Regulations

Agency adopts standards prepared by others and provides necessary integrating requirements.

Keywords

inspection; product safety; design approval;

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| <b>Products or Services</b>               | Surface and Subsurface Safety Valves  |
| <b>Department/Agency</b>                  | U.S. Department of the Interior<br>Minerals Management Service<br>12203 Sunrise Valley Drive,<br>Reston, VA 22091<br>(703) 860-7506 |
| <b>Initiated</b>                          | 1980  |
| <b>Compliance</b>                         | Mandatory   |
| <b>Authority</b>                          | CFR Title 30, Part 250.11<br>Outer Continental Shelf (OCS) Orders   |
| <b>Aim</b>                                | Prevention of major oil spills that cause pollution.  |
| <b>Benefits</b>                           | Decreased pollution and accidents and improved consistency of manufacturing and testing.  |
| <b>Agency Function</b>                    | Program administrator   |
| <b>Type of Program</b>                    | Pre-marketing evaluation  |
| <b>Methodology</b>                        | Third-party certification   |
| <b>Testing</b>                            | Third-party accredited laboratories   |
| <b>Inspection</b>                         | Third-party   |
| <b>Conformity Identification</b>          | Authorized mark or label by manufacturer  |
| <b>Availability of Documentation</b>      | Available from ASME at 345 E. 47th Street, New York, New York 10017.  |
| <b>Obligations of Manufacturer/Vendor</b> | Traceability.   |
| <b>Enforcement</b>                        | Delisting.  |
| <b>Term</b>                               | 3 years.  |
| <b>Reciprocity</b>                        | None.   |

**Standards, Codes, or  
Regulations**

ANSI/ASME - SPPE-1, Quality Assurance  
and Certification of Safety and Pollu-  
tion Prevention Equipment Used in  
Offshore Oil and Gas Operations

ANSI/ASME - SPPE-2, Accreditation of  
Testing Laboratories for Safety and  
Pollution Prevention Equipment Used in  
Offshore Oil and Gas Operations

**Keywords**

safety valves; oil; gas; petroleum;  
pollution-prevention; offshore; OCS;

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| <b>Products or Services</b>               | Diesel-Powered Equipment for Gassy Mines  |
| <b>Department/Agency</b>                  | U.S. Department of Labor<br>Mine Safety and Health Administration<br>Approval and Certification Center, Box 251<br>Triadelphia, WV 26059<br>(304) 547-0400                      |
| <b>Initiated</b>                          | 1977  |
| <b>Compliance</b>                         | Mandatory for certain areas of non-coal mines where methane gas may be present.   |
| <b>Authority</b>                          | PL 91-173; 30 U.S.C. 957<br>PL 95-164; 30 U.S.C. 961, 951; 30 CFR 36  |
| <b>Aim</b>                                | To provide a uniform means for evaluating diesel-powered equipment used in non-coal mines for mining and transportation.  |
| <b>Benefits</b>                           | Accidents and deaths related to diesel-powered mine machinery have been minimized.  |
| <b>Agency Function</b>                    | Certifier   |
| <b>Type of Program</b>                    | Pre-market evaluation   |
| <b>Methodology</b>                        | Government design approval, testing, inspection   |
| <b>Testing</b>                            | Government labs or other labs under government monitoring   |
| <b>Inspection</b>                         | Government  |
| <b>Conformity Identification</b>          | Agency designated and issued mark   |
| <b>Availability of Documentation</b>      | Agency publishes lists of certified and approved equipment.   |
| <b>Obligations of Manufacturer/Vendor</b> | Manufacturer must maintain production according to type-approved drawings, including modifications to design required for approval, and employ acceptable quality control plan. |

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| <b>Enforcement</b>                          | Marketing ban; removal from mine use of non-conforming equipment; legal action.  |
| <b>Term</b>                                 | Indefinite   |
| <b>Reciprocity</b>                          | Other international, Federal and State agencies<br>Private organizations   |
| <b>Standards, Codes,<br/>or Regulations</b> | Agency prepares criteria documents.  |
| <b>Keywords</b>                             | non-coal mines; diesel-powered equipment;<br>mining machines; transporters; exhaust gases;<br>flammable atmospheres; dust collectors;<br>electrical components; ventilators; safety; |

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| <b>Products or Services</b>               | Electrical Equipment for Mines   |
| <b>Department/Agency</b>                  | U.S. Department of Labor<br>Mine Safety and Health Administration<br>Approval and Certification center, Box 251<br>Triadelphia, WV 26059<br>(304) 547-0400                     |
| <b>Initiated</b>                          | 1977   |
| <b>Compliance</b>                         | Mandatory  |
| <b>Authority</b>                          | PL 95-164; 30 U.S.C. 961, 951; 30 CFR 18<br>PL 91-173; 30 U.S.C. 957   |
| <b>Aim</b>                                | To provide uniform means for evaluating electrical equipment used in gassy mines for mining, illuminating, and measuring in order to reduce workplace hazards.                 |
| <b>Benefits</b>                           | Accidents and deaths related to electrically-powered mine machinery have been minimized.   |
| <b>Agency Function</b>                    | Certifier  |
| <b>Type of Program</b>                    | Pre-market evaluation  |
| <b>Methodology</b>                        | Government design approval, testing, and inspection  |
| <b>Testing</b>                            | Government labs or other labs under government monitoring  |
| <b>Inspection</b>                         | Government   |
| <b>Conformity Identification</b>          | Agency designated and issued mark  |
| <b>Availability of Documentation</b>      | Agency publishes lists of certified and approved equipment.  |
| <b>Obligations of Manufacturer/Vendor</b> | Manufacturer must maintain production according to type-approved drawings, including modifications to design required for approval and employ acceptable quality control plan. |
| <b>Enforcement</b>                        | Marketing ban; removal, from mine use, of non-conforming equipment; legal action.  |

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| Term                             | Indefinite  |
| Reciprocity                      | Other international, Federal and State agencies, private organizations  |
| Standards, Codes, or Regulations | Agency prepares criteria documents.   |
| Keywords                         | coal mines; electrical equipment; illumination; intrinsically-safe equipment; signalling devices; pumps; fans; compressors; battery powered equipment; instruments; shuttle cars; safety; |

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| <b>Products or Services</b> | Equipment and Materials Used in the Workplace   |
| <b>Department/Agency</b>    | U.S. Department of Labor<br>Occupational Safety and Health Administration (OSHA)<br>Directorate of Safety Standards Programs<br>200 Constitution Avenue, NW.<br>Washington, DC 20210<br>(202) 523-8061  |
| <b>Initiated</b>            | 1971  |
| <b>Compliance</b>           | Mandatory   |
| <b>Authority</b>            | Occupational Safety and Health Act of 1970, PL 91-596;<br>29 CFR Part 1910 -- Occupational Safety & Health Standards for General industry;<br>29 CFR, Part 1915 -- Occupational Safety & Health Standards for Shipyard Employments;<br>29 CFR, Part 1917-1918 -- Occupational Safety and Health Standards for Marine Terminals; Longshoring;<br>29 CFR, Part 1926 -- Construction Safety & Health Standards;<br>29 CFR, Part 1928 -- Occupational Safety & Health Standards for Agricultural Employments. |
| <b>Aim</b>                  | 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 is required to be listed, labelled, or approved by third-party laboratories.  |
| <b>Benefits</b>             | The Occupational Safety and Health Administration (OSHA) certification program enables employers to install equipment which has demonstrated compliance with applicable standards and regulations. OSHA workplace inspections can be expedited when certified equipment is used.  |
| <b>Agency Function</b>      | Program administrator   |
| <b>Type of Program</b>      | Post-marketing assessment   |

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| <b>Methodology</b>                        | Third-party certification   |
| <b>Testing</b>                            | Third-party test labs<br><br>Accreditation of laboratories proposed in Federal Register Notice of March 6, 1984.  |
| <b>Inspection</b>                         | OSHA inspectors can inspect equipment in the workplace.   |
| <b>Obligations of Manufacturer/Vendor</b> | Comply with applicable standards  |
| <b>Enforcement</b>                        | Ban from the workplace.   |
| <b>Term</b>                               | Indefinite term   |
| <b>Reciprocity</b>                        | Listing, labelling, or approval by foreign certification agencies is recognized by OSHA so long as evaluation criteria are equal or more stringent than the applicable OSHA standards and regulations.  |
| <b>Standards, Codes, or Regulations</b>   | OSHA standards include extensions of Federal standards and Federal and non-government standards incorporated by reference. These include numerous standards of American National Standards Institute, American Society of Mechanical Engineers, National Fire Protection Association, Underwriters Laboratories and others. |
| <b>Keywords</b>                           | safety; health; job safety; machinery; equipment; construction; agriculture; diving; fire protection; medical services; ventilation; hazardous materials; personal protective equipment; material handling; tools; welding; electrical;   |

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| <b>Products or Services</b>               | Maritime Cargo Handling Equipment  |
| <b>Department/Agency</b>                  | U.S. Department of Labor<br>Occupational Safety and Health Administration (OSHA)<br>Division of Maritime Compliance Assistance<br>200 Constitution Avenue, NW.<br>Washington, DC 20210<br>(202) 523-8133                                     |
| <b>Initiated</b>                          | 1971   |
| <b>Compliance</b>                         | Mandatory  |
| <b>Authority</b>                          | 29 CFR 1915-1919   |
| <b>Aim</b>                                | Assure that all covered equipment complies with regulatory requirements. Most of the equipment is at marine terminals and ship-yards. Cargo gear on board U.S. inspected vessels is under the jurisdiction of the United States Coast Guard. |
| <b>Benefits</b>                           | Safety of longshoremen, seamen, and dock workers has been improved by this program which fullfills U.S. responsibilities for International Labor Organization (ILO) Convention No. 32.   |
| <b>Agency Function</b>                    | Program Administrator  |
| <b>Type of Program</b>                    | Post-marketing assessment  |
| <b>Methodology</b>                        | Third party certification  |
| <b>Testing</b>                            | Government accredited lab  |
| <b>Inspection</b>                         | Third party  |
| <b>Conformity</b>                         | List of certified products made on OSHA official forms.  |
| <b>Availability of Documentation</b>      | Agency maintains a list of accredited inspectors. Such firms are not required to publicize a list of their clients.  |
| <b>Obligations of Manufacturer/Vendor</b> | Cooperate with a specific third-party certifier regarding design, fabrication, and installation data and maintenance requirements.   |

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| <b>Enforcement</b>                          | Delisting or ban on usage.  |
| <b>Term</b>                                 | Annual retesting  |
| <b>Reciprocity</b>                          | Other Federal and State agencies  |
| <b>Standards, Codes,<br/>or Regulations</b> | Agency adopts standards prepared by others.   |
| <b>Keywords</b>                             | accreditation; cranes; derricks; materials<br>handling equipment; wire rope; safe working<br>loads; |

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| <b>Products or Services</b>               | Packages and Containers for Radioactive Material   |
| <b>Department/Agency</b>                  | Nuclear Regulatory Commission<br>Office of Nuclear Material Safety<br>and Safeguards<br>Washington, DC 20555<br>(301) 427-4122                                       |
| <b>Initiated</b>                          | 1974   |
| <b>Compliance</b>                         | Mandatory  |
| <b>Authority</b>                          | Title 10, Code of Federal Regulations,<br>Part 71  |
| <b>Aim/Benefits</b>                       | Protection of public health and safety<br>and the environment.   |
| <b>Agency Function</b>                    | Program administrator or and certifier   |
| <b>Type of Program</b>                    | Review and assessment of package<br>designs prior to approval and grant of<br>certificate of compliance. Approximately<br>220 different designs have been certified. |
| <b>Methodology</b>                        | Government design approval, inspection,<br>and audit inspection/testing  |
| <b>Testing</b>                            | Applicant/Government   |
| <b>Inspection</b>                         | Applicant/Government   |
| <b>Conformity Identification</b>          | Approved packages are assigned an indent-<br>ification number.   |
| <b>Availability of Documentation</b>      | Part 71 Docket Files<br>United States Nuclear Regulatory Commission<br>Public Document Room<br>Washington, DC 20555<br>(202) 634-3273                                |
| <b>Obligations of Manufacturer/Vendor</b> | Report defects or noncompliance.<br>Report significant reduction of effective-<br>ness during use.   |

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| <b>Enforcement</b>                          | Order, denial, fine.   |
| <b>Term</b>                                 | 5 year renewable<br>Inspection prior to each use   |
| <b>Reciprocity</b>                          | Recognition of certification by:<br>-Department of Transportation (DOT)<br>-Foreign governments upon issuance of<br>DOT Competent Authority Certificate. |
| <b>Standards, Codes,<br/>or Regulations</b> | U.S. Nuclear Regulatory Commission<br>Regulatory Guides (Division 7)   |
| <b>Keywords</b>                             | packaging, radioactive material; nu-<br>clear; safety; environment;  |

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| Products or Services | Breath Alcohol Testers and Their Calibration Units  |
| Department/Agency    | U.S. Department of Transportation (DoT)<br>National Highway Traffic Safety Administration<br>Office of Alcohol Countermeasures, NTS-21,<br>400 Seventh Street, SW.<br>Washington, DC 20590<br>(202) 426-9581  |
| Initiated            | 1984  |
| Compliance           | Voluntarily adopted by States and local jurisdictions.<br>Manufacturers voluntarily submit testers for evaluation and listing.  |
| Authority            | 23 U.S.C. 402 and 49 CFR 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.  |
| Benefits             | States have adopted the National Highway Traffic Safety Administration (NHTSA) model specification for evidential breath testers and a calibration unit developed by the National Bureau of Standards (NBS). This qualification 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. |
| Agency Function      | Certifier   |
| Type of Program      | Qualification testing   |
| Methodology          | Government testing  |
| Testing              | Testing is accomplished by the Department of Transportation Systems Center.   |

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| Conformity<br>Identification              | Qualified manufacturers are listed on a<br>Conforming Products List (CPL).  |
| Availability<br>of Documentation          | Model specifications and CPL's are published<br>in the Federal Register; 49 FR 48854. Currently<br>thirteen manufacturers of breath measurement devices<br>are listed. Four of these are foreign suppliers. |
| Obligations of<br>Manufacturer/<br>Vendor | Manufacturer must submit a unit for test.   |
| Term                                      | Indefinite  |
| Standards, Codes,<br>or Regulations       | Acceptance criteria have been developed by<br>NHTSA in collaboration with NBS.  |
| Keywords                                  | alcohol; highway safety; legal evidence;<br>blood alcohol; breath alcohol; tester; cal-<br>ibration; analysis; law enforcement;   |

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| <b>Products or Services</b>               | Cylinders for Transportation of Hazardous Materials   |
| <b>Department/Agency</b>                  | U.S. Department of Transportation (DoT)<br>Research and Special Programs Administration<br>Office of Hazardous Materials Regulation<br>400 7th St., NW.<br>Washington, DC 20590<br>(202) 426-2075 |
| <b>Initiated</b>                          | 1964  |
| <b>Compliance</b>                         | Mandatory   |
| <b>Authority</b>                          | 49 CFR 178.36-178.68  |
| <b>Aim</b>                                | To provide a uniform testing program for cylinders made from a variety of metals and used for many kinds of hazardous materials.  |
| <b>Benefits</b>                           | Consistent safety and durability of cylinders for intended use.   |
| <b>Agency Function</b>                    | Program administrator   |
| <b>Type of Program</b>                    | Pre-market evaluation   |
| <b>Methodology</b>                        | Third-party certification or manufacturer self-certification  |
| <b>Testing</b>                            | Third-party lab<br>Manufacturer's lab   |
| <b>Inspection</b>                         | Third-party   |
| <b>Conformity Identification</b>          | Authorized identity by manufacturer   |
| <b>Availability of Documentation</b>      | No central registry of manufacturers; all cylinders legal for service are marked.   |
| <b>Obligations of Manufacturer/Vendor</b> | Manufacturers must maintain quality control.<br>Vendors must cycle inventory.<br>Users must not use out-of-date cylinders.  |

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| <b>Enforcement</b>                      | Product recall   |
| <b>Term</b>                             | 15-year term; regulation has no specific provision for retesting, but tanks in sound physical condition may be tested and recertified. |
| <b>Reciprocity</b>                      | Marked cylinders are accepted throughout U.S.A.  |
| <b>Standards, Codes, or Regulations</b> | Agency has integrated product requirements based on industry test methods.   |
| <b>Keywords</b>                         | cylinders; hazardous materials; hydrotest; quality control; inspection; maintenance; safety;   |

**Products or Services**

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, airports and heliports serving certificated air carriers, 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, and designated manufacturing inspection representatives.

**Department/Agency**

U.S. Department of Transportation (DoT)  
Federal Aviation Administration (FAA)  
Office of the Associate Administrator  
for Aviation Standards  
800 Independence Avenue, SW.  
Washington, DC 20591  
(202) 426-3131

**Initiated**

1926

**Compliance**

Mandatory

**Authority**

Federal Aviation Act of 1958 (49 U.S.C.),  
CFR 14, Parts 1 to 199

**Aim**

Promote, regulate, and encourage the development of civil aviation in such a manner as to promote its development and provide for the safe and efficient use of the airspace.

**Benefits**

The FAA certification system has helped 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 miles traveled.

Agency Function

Program administrator and certifier.

Type of Program

The comprehensive FAA product certification program includes assessment of the initial design; evaluation of the initial products; compliance with demonstrated design, manufacturing, and quality control practices; approval of maintenance periods; and monitoring of all service discrepancy reports.

Methodology

A Type Certificate 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, engine, or propeller. Special Conditions may be issued for novel or unusual design features.

A Production Certificate is issued to holders of type certificates upon demonstration that their quality control system assures that products conform to the type certificate.

An Airworthiness Certificate is granted for a specific aircraft that meets the approved type design and is in condition for safe operation. Airworthiness certificates are also issued for engines that are exported.

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 of an effective quality control system.

Authorization to manufacture and designate products, in accordance with FAA Technical Standard Orders (TSO's), requires demonstration of compliance with performance and quality control requirements specified in the respective TSO's.

**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 PMA and TSO's 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 requisite levels.

**Inspection**

Inspection is accomplished by FAA specialists and designated representatives.

**Conformity  
Identification**

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

**Availability  
of Documentation**

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

**Obligations of  
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 of 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 tests, and technical data files.

#### Enforcement

Various civil penalties are provided for under section 901 of the Federal Aviation Act of 1958. Under section 903 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 part of any Type Certificate, Production Certificate, Airworthiness Certificate, 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 the ICAO guidelines in the United States. The U.S. Department 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 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 Type Certificate has been issued if 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, PMA's or TSO authorizations if the manufacturing facilities are located outside the United States, unless there is no undue burden in administering the applicable requirements of the Federal Aviation Act of 1958.

**Standards, Codes,  
or Regulations**

Applicable design, performance, and quality requirements are specified in CFR Part 14, Parts 1 to 199. Approximately 60 nongovernment standards are incorporated in TSO's. These are primarily standards developed by the Society of Automotive Engineers, Radio Technical Commission for Aeronautics, and Aerospace Industries Association.

**Keywords**

type certificate; production certificate; airworthiness; PMA; TSO; aircraft; engines; propellers; avionics; parts; materials; processes; bilateral agreements; safety; quality; performance;



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| Products or Services | Lifesaving, Engineering, Fire Protection, and Pollution Prevention Equipment for Recreational Boats and Commercial Vessels  |
| Department/Agency    | U.S. Department of Transportation (DoT)<br>Coast Guard<br>Washington, DC 20593<br>Telex: 892427<br>For electrical, pneumatic, and hydraulic equipment:<br>Engineering Branch, G-MTH-2<br>(202)426-2160<br>All other equipment:<br>Survival Systems Branch, G-MVI-3<br>(202)426-1444 |
| Initiated            | 1946  |
| Compliance           | Mandatory for equipment required to be used on recreational boats and commercial vessels.   |
| Authority            | 33 CFR 159; 46 CFR 2, 159-164   |
| Aim                  | Approve equipment which meets minimum safety and performance standards.   |
| Benefits             | 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.   |
| Agency Function      | Program administrator and certifier   |
| Type of Program      | Pre-marketing evaluation, inspection, and testing   |
| Methodology          | Government design approval, and audit of testing and inspection<br><br>Third-party pre-approval testing, and production testing and inspection  |

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|   | Manufacturer self-certification and/or production testing and inspection on selected items  |
| <b>Testing</b>                            | Coast Guard accredited laboratory<br>Manufacturer testing on selected items   |
| <b>Inspection</b>                         | Coast Guard accredited laboratory<br>Manufacturer inspection on selected items  |
| <b>Conformity Identification</b>          | List of approved/certified products and suppliers<br><br>Items are marked with Coast Guard approval number.<br><br>Laboratory listing or classification marking required on some items. |
| <b>Availability of Documentation</b>      | Publication "Equipment Lists" (U.S. Coast Guard COMDTINST M16714.3A) available for sale through Government Printing Office, order number 050-012-00212-6.                               |
| <b>Obligations of Manufacturer/Vendor</b> | Manufacturer is required to produce approved item exactly as described in approved plans. Some recordkeeping required.  |
| <b>Enforcement</b>                        | Delisting. Civil and criminal penalties are also available in certain cases.  |
| <b>Term</b>                               | Five years. Renewal generally available on request.   |
| <b>Reciprocity</b>                        | None  |
| <b>Standards, Codes, or Regulations</b>   | 33 CFR 159.15 and 46CFR 160-164 define applicable requirements and criteria.  |
| <b>Keywords</b>                           | marine safety; marine pollution prevention; recreational boats; commercial vessels; equipment;  |

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| <b>Products or Services</b>          | Motor Vehicle Safety   |
| <b>Department/Agency</b>             | U.S. Department of Transportation (DOT)<br>National Highway Traffic Safety Administration<br>400 Seventh St. SW.,<br>Washington, D.C. 20590<br>(202) 426-2829                              |
| <b>Initiated</b>                     | 1966   |
| <b>Compliance</b>                    | Mandatory  |
| <b>Authority</b>                     | National Traffic and Motor Vehicle Safety Act<br>of 1966 as amended  |
| <b>Aim</b>                           | Regulate design, construction, and performance of motor vehicles to protect the public against unreasonable risk of injury in accidents.   |
| <b>Benefits</b>                      | Reduction of traffic accidents, and deaths and injuries resulting from traffic accidents.  |
| <b>Agency Function</b>               | Program administrator  |
| <b>Type of Program</b>               | Pre-market evaluation  |
| <b>Methodology</b>                   | Government audit<br>Manufacturer self-certification  |
| <b>Testing</b>                       | Government laboratories  |
| <b>Inspection</b>                    | Government   |
| <b>Conformity Identification</b>     | Authorized label by manufacturer   |
| <b>Availability of Documentation</b> | The agency maintains lists of vehicle and equipment manufacturers who have undertaken product recalls for the purpose of achieving compliance with Federal Motor Vehicle Safety Standards. |

Obligations of  
Manufacturer/  
Vendor

Manufacturers must inform the Agency, owners,  
purchasers, and dealers of known defects and  
the plans to correct the defect(s).

Enforcement

Marketing ban  
Product recall

Term

Indefinite

Reciprocity

Other Federal agencies  
State agencies  
Private sector organizations may be paid  
contractors to the agency for detection of  
of defects or compliance research

Standards, Codes,  
or Regulations

Agency prepares criteria documents.

Keywords

automobiles; trucks; schoolbuses; motor  
vehicle equipment; used vehicles; compliance;  
safety; product recall; labelling;

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| <b>Products or Services</b>      | Packaging of Hazardous Materials for Export  |
| <b>Department/Agency</b>         | U.S. Department of Transportation (DoT)<br>Research and Special Programs Administration<br>Office of Hazardous Materials Regulation<br>Materials Transportation Bureau<br>Washington, DC 20590<br>(202) 426-2075         |
| <b>Initiated</b>                 | March 13, 1985   |
| <b>Compliance</b>                | Voluntary  |
| <b>Authority</b>                 | 49 U.S.C. 1804, 1805, 1808; 49 CFR 1.53;<br>Appendix A to Part 1   |
| <b>Aim</b>                       | Designate third-party testing agencies through which shippers and container manufacturers may demonstrate conformance of packaging designs with United Nations (U.N.) standards.   |
| <b>Benefits</b>                  | Enhance the use of U.S. packaging in international transportation and facilitate the ability of U.S. companies to compete in export markets.   |
| <b>Agency Function</b>           | Program administrator and National Competent Authority in accordance with U.N. Recommendations   |
| <b>Type of Program</b>           | Pre-marketing evaluation   |
| <b>Methodology</b>               | Materials Transportation Bureau (MTB) designates third-party approval agencies to evaluate and issue approval certificates for intermodal portable tanks and certifications of conformance for other types of packaging. |
| <b>Testing</b>                   | Testing by third-party, manufacturers, and shippers labs is permitted if acceptable to the approval agencies.  |
| <b>Inspection</b>                | Subsequent inspection of packaging is not part of this program.  |
| <b>Conformity Identification</b> | Certificates are provided to shippers and/or manufacturers by approval agencies.   |

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| Enforcement                      | Designation of an approval agency to issue certificates may be withdrawn for failure to abide by requirements of the program.  |
| Term                             | Indefinite   |
| Reciprocity                      | Certification in accordance with U.N. Recommendations is intended to avoid acceptance testing and packaging approval in each country which might have such requirements. |
| Standards, Codes, or Regulations | Standards set forth in the U.N. Recommendations (Transport of Dangerous Goods), and Department of Transportation requirements listed as 49 CFR, Part 171, Subchapter C.  |
| Keywords                         | transportation; hazardous materials; packaging; containers; export; international; approval agencies; United Nations; National Competent Authority;                      |

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| Products or Services          | Packaging of Radioactive Materials for Transport  |
| Department/Agency             | U.S. Department of Transportation (DoT)<br>Research and Special Programs Administration<br>Office of Hazardous Materials Regulation<br>400 7th St., NW.<br>Washington, DC 20590<br>(202) 436-2311 |
| Initiated                     | 1975  |
| Compliance                    | 49 U.S.C. 1803, 1808 as amended<br>49 CFR 173.465-.469  |
| Authority                     | Mandatory   |
| Aim                           | To provide packaging for radioactive materials which maintains integrity under mild (Type A) or severe (Type B) fault conditions.   |
| Benefits                      | Transport of radioactive materials is accomplished with minimum radiation exposure to personnel.  |
| Agency Function               | Certifier   |
| Type of Program               | Pre-market evaluation   |
| Methodology                   | Government design approval, inspection, and validation of test data submitted by manufacturer based on own or third-party tests.  |
| Testing                       | Third-party or manufacturer's lab   |
| Inspection                    | Government or third-party   |
| Conformity Identification     | Mark on packaging authorized by agency, known as Competent Authority within International Atomic Energy Agency acceptance scheme.   |
| Availability of Documentation | Lists of approved manufacturers maintained in each country. Packaging of certain radioactive materials requires acceptance by Competent Authority in both shipping and receiving countries.       |

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| <b>Obligations of<br/>Manufacturer/<br/>Vendor</b> | Maintain specified quality control records,<br>cooperate in investigation of any package<br>failures.   |
| <b>Enforcement</b>                                 | Marketing ban<br>Product recall   |
| <b>Term</b>  | Indefinite. Certification is based on<br>prototype acceptance.  |
| <b>Reciprocity</b>                                 | Type A packaging for domestic use accepted by<br>other Federal, State, and private organizations.<br>Type B packaging for international use subtype U<br>(unilateral) accepted with mark from one<br>country.<br>Subtype M (multilateral) requires mark from<br>sending and receiving countries and transit<br>countries for certain materials. |
| <b>Standards, Codes,<br/>or Regulations</b>        | Agency establishes requirements and<br>procedures.  |
| <b>Keywords</b>                                    | fissile material; packaging; radioactive<br>material; package approval; quality assurance;<br>transportation; domestic; international; IAEA;<br>safety;   |

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| <b>Products or Services</b>               | Pipelines for Hazardous Fluids   |
| <b>Department/Agency</b>                  | U.S. Department of Transportation (DoT)<br>Research and Special Programs Administration<br>Office of Hazardous Materials Regulation<br>400 7th Street, NW.<br>Washington, DC 20590<br>(202) 426-2392   |
| <b>Initiated</b>                          | 1968   |
| <b>Compliance</b>                         | Mandatory  |
| <b>Authority</b>                          | 49 U.S.C. 1803-1809  |
| <b>Aim</b>                                | To provide a mechanism for regulating the installation and maintenance of pipelines for the transportation of hazardous materials.   |
| <b>Benefits</b>                           | Safety record of such pipelines in the United States meets expectations.   |
| <b>Agency Function</b>                    | Program administrator  |
| <b>Type of Program</b>                    | Pre-installation review with periodic test on safety equipment throughout the useful life of the pipeline.   |
| <b>Methodology</b>                        | Third-party certification: welder and plastic pipe assemblers. Manufacturer self-certification: valves, pressure-limiting devices, and overall installation to specified standards.  |
| <b>Testing</b>                            | Manufacturer or third-party  |
| <b>Inspection</b>                         | Third-party  |
| <b>Conformity Identification</b>          | Lists of qualified welders/installers and approved installations are published.  |
| <b>Availability of Documentation</b>      | Certification of Welders by American Welding Society; comparable program by installing contractor may be acceptable to DoT.<br>List of approved pipelines kept by DoT.   |
| <b>Obligations of Manufacturer/Vendor</b> | 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. |

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| <b>Enforcement</b>                      | 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. |
| <b>Term</b>                             | Pressure limiting devices must be inspected on an approximate annual cycle, not to exceed 17 month intervals.  |
| <b>Reciprocity</b>                      | Approved pipelines are not regulated by any other Federal or State agency or private organization.   |
| <b>Standards, Codes, or Regulations</b> | Agency mainly adopts standards of other organizations.   |
| <b>Keywords</b>                         | pipelines; hazardous materials; certified welder; qualified plastic pipe assembler; pressure-limiting devices; maintenance; safety;  |

|   |  |
|---|--|
| <b>Products or Services</b>               | Railway Tank Cars<br>(includes pressurized, non-pressurized, multi unit, and cryogenic types)  |
| <b>Department/Agency</b>                  | U.S. Department of Transportation (DoT)<br>Research and Special Programs Administration<br>Office of Hazardous Materials Regulation<br>400 Seventh Street, SW.<br>Washington, DC 20590<br>(202) 426-2075 |
| <b>Initiated</b>                          | 1965 (couplers subject to approval after 1977)   |
| <b>Compliance</b>                         | Mandatory  |
| <b>Authority</b>                          | 49 CFR 179.100-400   |
| <b>Aim</b>                                | To provide safe and reliable tank cars for transport of hazardous materials.   |
| <b>Benefits</b>                           | Certification minimizes the risk of leakage or rupture of tanks, inadequacy of couplers, and the improper use of tanks for designated materials.   |
| <b>Agency Function</b>                    | Program administrator  |
| <b>Type of Program</b>                    | Pre-market evaluation  |
| <b>Methodology</b>                        | Third-party certification; Association of American Railroads (AAR) provides design approval of couplers which is accepted by DoT under this regulation.  |
| <b>Testing</b>                            | Third-party lab  |
| <b>Inspection</b>                         | Third-party  |
| <b>Conformity Identification</b>          | Direct marking on tanks<br>Certificates of construction issued by Agency.  |
| <b>Availability of Documentation</b>      | Certificates of construction are kept by Agency and AAR.   |
| <b>Obligations of Manufacturer/Vendor</b> | Manufacturer is obligated to use approved welders during construction.   |

|                                     |   |
|-------------------------------------|---|
| Enforcement                         | Delisting or product recall if defects can be repaired.   |
| Term                                | Certification is essentially indefinite.  |
| Reciprocity                         | Other Federal agencies<br>State agencies<br>Private sector organizations<br>Canadian government               |
| Standards, Codes,<br>or Regulations | Agency adopts standards of other organizations and provides integrating requirements.                         |
| Keywords                            | railroads; hazardous materials; design approval; witness testing; welder certification; railway car couplers; |

|                                  |  |
|----------------------------------|--|
| <b>Products or Services</b>      | Rear End Marking Devices for Passenger, Commuter and Freight Trains  |
| <b>Department/Agency</b>         | U.S. Department of Transportation (DOT)<br>Federal Railroad Administration (FRA)<br>Office of Standards and Procedures<br>400 Seventh Street, SW.<br>Washington, DC 20590<br>(202) 426-0897  |
| <b>Initiated</b>                 | 1978   |
| <b>Compliance</b>                | Mandatory  |
| <b>Authority</b>                 | Sec. 202, 84 Stat. 971, 45 U.S.C. 431 and 49 CFR 1.49(n)   |
| <b>Aim</b>                       | 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.  |
| <b>Benefits</b>                  | Rear end collisions have decreased since implementation of this certification program.   |
| <b>Agency Function</b>           | Program administrator and certifier  |
| <b>Type of Program</b>           | Review of self-certification submitted by railways.<br>Review of test data submitted by device manufacturers or railways.<br>Publication of Lists of Approved Rear End Marking Devices. Currently twenty devices produced by six manufacturers are listed.   |
| <b>Methodology</b>               | 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. |
| <b>Conformity Identification</b> | Inclusion on FRA list of approved devices  |
| <b>Availability of</b>           | 49 CFR, Part 221, Appendix B   |

|   |   |
|---|---|
| <b>Obligation of Manufacturer</b>       | Produce devices that are the same as samples tested for original approval.  |
| <b>Enforcement</b>                      | Civil penalties ranging from \$250 to \$2500 for each violation. Each day of each violation constitutes a separate offense. |
| <b>Term</b>                             | Indefinite  |
| <b>Reciprocity</b>                      | Recognition by State regulators as minimum requirements.  |
| <b>Standards, Codes, or Regulations</b> | Guidelines for Testing of FRA Rear End Marking Devices.   |
| <b>Keywords</b>                         | lights; reflectors; strobe; photometric; colorimetric; qualified laboratory; railroad; railway; transportation; safety;     |

|                                      |   |
|--------------------------------------|---|
| <b>Products or Services</b>          | Shipboard Navigational Aides  |
| <b>Department/Agency</b>             | U.S. Department of Transportation (DOT)<br>Coast Guard<br>Waterways Safety Branch (G-WWM-1)<br>Washington, D.C. 20593<br>(202) 426-1940 |
| <b>Initiated</b>                     | January 1985  |
| <b>Compliance</b>                    | Mandatory   |
| <b>Authority</b>                     | CFR Title 33 Chapter 164<br>Port and Tanker Safety Act of 1978  |
| <b>Aim</b>                           | To improve the standard of collision avoidance at sea.  |
| <b>Benefits</b>                      | Awareness and performance of observers is enhanced through automatically acquired information.  |
| <b>Agency Function</b>               | Program administrator   |
| <b>Type of Program</b>               | Pre-market evaluation   |
| <b>Methodology</b>                   | Manufacturer self-certification   |
| <b>Testing</b>                       | Manufacturer's laboratory   |
| <b>Inspection</b>                    | Government  |
| <b>Conformity</b>                    | Authorized label by manufacturer  |
| <b>Availability of Documentation</b> | No lists of conforming products are published.  |
| <b>Obligations of Manufacturer/</b>  | Conformity obligations rest on the equipment user who must perform and document tests specified in Coast Guard regulations.             |
| <b>Enforcement</b>                   | Product recall (i.e. user would be required to replace equipment not in compliance)   |

|                                     |   |
|-------------------------------------|---|
| Term                                | Indefinite term   |
| Reciprocity                         | Other Federal agencies<br>Foreign government agencies<br>International organizations  |
| Standards, Codes,<br>or Regulations | Agency adopts standards prepared by the<br>International Maritime Organization and the<br>U.S. Maritime Administration.   |
| Keywords                            | automatic radar plotting aids; speed indica-<br>tors; gyro compasses; bearing encoders;<br>collision avoidance systems; steering gear;<br>alarms; loran receivers; depth sounding<br>devices; |

|   |   |
|---|---|
| <b>Products or Services</b>               | Shipping Containers   |
| <b>Department/Agency</b>                  | U.S. Department of Transportation (DoT)<br>Coast Guard<br>Merchant Vessel Inspection Division<br>Office of Merchant Marine Safety<br>Washington, DC 20593<br>(202) 426-4431 |
| <b>Initiated</b>                          | 1977  |
| <b>Compliance</b>                         | Mandatory   |
| <b>Authority</b>                          | International Safe Container Act  |
| <b>Aim</b>                                | Provide procedures to certify containers as conforming to the International Convention for Safe Containers.   |
| <b>Benefits</b>                           | International transport of containers is safer.   |
| <b>Agency Function</b>                    | Program administrator and enforcement agency  |
| <b>Type of Program</b>                    | Container must be certified before it can be entered into international traffic.  |
| <b>Methodology</b>                        | Third-party certification   |
| <b>Testing</b>                            | Manufacturer or owner and Certifying Authority witness tests for container design type approval.  |
| <b>Conformity Identification</b>          | Containers must display a safety approval plate from the Certifying Authority in the country of registry.   |
| <b>Availability of Documentation</b>      | List of approved manufacturers may be obtained from the Certifying Authority in each signatory country. Coast Guard can identify Certifying Authorities.                    |
| <b>Obligations of Manufacturer/Vendor</b> | Owner and lessees are responsible for maintaining each container in a safe condition.   |
| <b>Enforcement</b>                        | Detention of unsafe and noncomplying containers.  |

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| <b>Term</b>                             | Individual containers and vehicles are subject to re-inspection every 30 months.   |
| <b>Reciprocity</b>                      | Certification is recognized by foreign governments and international organizations.  |
| <b>Standards, Codes, or Regulations</b> | Standards are included in the International Convention for Safe Containers, regulations in 49 CFR Parts 450-453.             |
| <b>Keywords</b>                         | cargo container; design approval; international; Convention for Safe Containers; CSC; Approved Continuous Examination; ACEP; |

|   |  |
|---|--|
| <b>Products or Services</b>               | Special Tanks for Transportation of Hazardous Materials  |
| <b>Department/Agency</b>                  | U.S. Department of Transportation (DoT)<br>Research and Special Programs Administration<br>Office of Hazardous Materials Regulation<br>400 7th Street, NW.<br>Washington, DC 20590<br>(202) 426-2075 |
| <b>Initiated</b>                          | 1964   |
| <b>Compliance</b>                         | Mandatory  |
| <b>Authority</b>                          | 49 CFR 178.270-272<br>(special category reauthorized by PL 93-633)   |
| <b>Aim</b>                                | To provide a uniform means for assuring the reliability of containers for shipping designated hazardous materials.   |
| <b>Benefits</b>                           | Materials are transported safely and efficiently and personal injuries due to container failure are minimized.   |
| <b>Agency Function</b>                    | Program administrator  |
| <b>Type of Program</b>                    | Pre-market evaluation  |
| <b>Methodology</b>                        | Government design approval<br>Third-party certification  |
| <b>Testing</b>                            | Third-party or manufacturer's lab  |
| <b>Inspection</b>                         | Third-party  |
| <b>Conformity Identification</b>          | Authorized mark applied by manufacturer  |
| <b>Availability of Documentation</b>      | Agency maintains list of firms authorized to manufacture such tanks.   |
| <b>Obligations of Manufacturer/Vendor</b> | Manufacturer must maintain integrity of design, quality control, and cooperate in investigation of suspected faults.   |

|   |   |
|---|---|
| <b>Enforcement</b>                      | Product recall<br>Delisting   |
| <b>Term</b>                             | 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. |
| <b>Reciprocity</b>                      | Other Federal and State agencies, private organizations; Canadian government.   |
| <b>Standards, Codes, or Regulations</b> | Agency integrates standards from other sources into program.  |
| <b>Keywords</b>                         | tanks; hazardous materials; transportation; hydrotesting; quality control; safety;  |

|  |   |
|--|---|
| <b>Products or Services</b>                | Tanks for Transport of Hazardous Materials  |
| <b>Department/Agency</b>                   | U.S. Department of Transportation (DoT)<br>Research and Special Programs Administration<br>Office of Hazardous Materials Regulation<br>400 Seventh St., NW.<br>Washington, DC 20590<br>(202) 755-2075 |
| <b>Initiated</b>                           | 1964  |
| <b>Compliance</b>                          | Mandatory   |
| <b>Authority</b>                           | 49 U.S.C. 1803-1809<br>49 CFR 173.32-34   |
| <b>Aim</b>                                 | To provide safe and reliable containers for domestic shipment of hazardous materials.   |
| <b>Benefits</b>                            | Certification minimizes the risk of leakage or rupture of tanks and the improper use of tanks for designated materials.   |
| <b>Agency Function</b>                     | Program administrator   |
| <b>Type of Program</b>                     | Pre-market evaluation<br>(Certain types of tanks in use at time regulation went into effect which were made to specific standards of the Association of American Railroads were approved).            |
| <b>Methodology</b>                         | Manufacturer self-certification   |
| <b>Testing</b>                             | Manufacturer or third-party lab   |
| <b>Inspection</b>                          | Periodic inspection is performed by owner.  |
| <b>Conformity Identification</b>           | Certified tanks are identified by marking as specified in the regulation.   |
| <b>Availability of Documentation</b>       | Agency maintains lists of manufacturers of certified tanks by type.   |
| <b>Obligations of Manufacturer/ Vendor</b> | Manufacturer must maintain design control and submit design changes for approval.   |

**Enforcement** Marketing ban (also extends to distributors).

**Term** Tanks must be hydrotested every five years and documented inspection performed every 2 1/2 years; safety relief valves must be tested at 2 1/2-year intervals to maintain certification.

**Reciprocity** Other Federal agencies and State agencies, private organizations and Canada.

**Standards, Codes, or Regulations** Agency adopts standards from other organizations and provides integrating material.

**Keywords** portable tanks; hazardous materials; design approval; hydrotesting; witness testing;

|                           |  |
|---------------------------|--|
| Products or Services      | Electronic Fund Transfer Authentication Devices  |
| Department/Agency         | U.S. Department of the Treasury<br>Assistant Secretary for Electronic Systems<br>and Information Technology<br>15th Street and Pennsylvania Avenue NW.<br>Washington, DC 20220<br>(202) 566-2200                           |
| Initiated                 | 1984   |
| Compliance                | Mandatory for all Government bureaus that receive or send funds or securities electronically through the U.S. Treasury.  |
| Authority                 | U.S. Treasury Directive 81-80  |
| Aim                       | 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.  |
| Agency Function           | Program Administrator and certifier: Treasury<br>Standard compliance: National Bureau of Standards (NBS), Institute for Computer Sciences and Technology.<br>Security evaluation guidance: National Security Agency (NSA). |
| Type of Program           | Pre-market evaluation<br>Assessment prior to government purchase   |
| Methodology               | Testing by NBS and NSA   |
| Testing                   | NBS Institute for Computer Sciences and Technology and NSA   |
| Inspection                | Treasury   |
| Conformity Identification | A list of certified equipment and software is maintained by Department of the Treasury.  |

|                                     |  |
|-------------------------------------|--|
| Availability of Documentation       | List and other technical documentation available from Department of Treasury Assistant Secretary, Electronic Systems and Information Technology.                                     |
| Obligations of Manufacturer/ Vendor | Comply with criteria.  |
| Enforcement                         | Delisting  |
| Term                                | Indefinite term  |
| Reciprocity                         | None   |
| Standards, Codes, or Regulations    | Federal Information Processing Standard (FIPS) 46, Fed Std 1027, ANSI X9.9 and X9.17. Criteria documents are coordinated by Treasury.  |
| Keywords                            | communications security; electronic fund transfer; EFT; encryption standard; validation; interface requirements; computer security; cryptography; authentication devices; financial; |

|                          |   |
|--------------------------|---|
| <b>Products</b>          | Automotive Driving Aids and Automatic Wheelchair Lifts  |
| <b>Department/Agency</b> | Veterans Administration<br>Prosthetic & Sensory Aids Service (121)<br>810 Vermont Avenue, NW.<br>Washington, DC 20420<br>(202) 389-2011   |
| <b>Initiated</b>         | Driving aids, March 27, 1975; wheelchair lifts May 10, 1978.  |
| <b>Compliance</b>        | Mandatory only for purchases funded by the Veterans Administration (VA).  |
| <b>Authority</b>         | Public Law 91-666   |
| <b>Aim</b>               | Provide quality equipment and assure safety of veteran passengers and drivers as well as the general public.  |
| <b>Benefits</b>          | Since developing the Quality Products List for hand controls and van lifts, 27 out of 36 manufacturers of these units have been assisted by the VA in improving the quality of their products. Establishment of standards has fostered competition. |
| <b>Agency Function</b>   | Certification is made by the VA sponsored Automobile Adaptive Equipment Committee.  |
| <b>Type of Program</b>   | Assessment prior to government purchase   |
| <b>Methodology</b>       | Compliance is assured by Government testing/inspection or third-party Government approved certification, and manufacturers' self-certification.   |
| <b>Testing</b>           | Testing results are accepted from Government laboratories, Government approved labs, third-party labs and manufacturers' labs.  |

**Inspection**

**Government**

**Conformity  
Identification**

Listing in VA Circular 10-84-214.  
Currently, 15 wheelchair lift companies  
and 12 hand control suppliers are certi-  
fied.

**Availability  
of Documentation**

The VA Quality Products List, DM&S Cir-  
cular 10-84-214, dated December 17, 1984  
lists certified suppliers of wheelchair  
lift systems. Hand control suppliers are  
included in the January 1985 compliance  
list.

**Term**

Testing of new products is on-going.  
Listings are updated annually.

**Reciprocity**

Certification by other agencies is  
accepted when current standards are  
applied.

**Standards, Codes,  
or Regulations**

Federal Register, Vol. 40, No. 65 -  
April 3, 1975, defines standards for  
driving aides.

Requirements for wheelchair lifts are  
specified in Federal Register, Vol. 43,  
No. 96 - May 17, 1978.

**Keywords**

adaptive equipment; hand controls;  
prosthetic aids, driving aids; automo-  
tive; wheelchair lifts; safety; quality;

|                          |   |
|--------------------------|---|
| <b>Products</b>          | Self Propelled and Motorized Wheelchairs  |
| <b>Department/Agency</b> | Veterans Administration<br>Prosthetic & Sensory Aids Service (121)<br>810 Vermont Avenue, NW.<br>Washington, DC 20420<br>(202) 389-2011                   |
| <b>Initiated</b>         | Self propelled wheelchairs, December 7, 1977; motorized wheelchairs, December 15, 1981.   |
| <b>Compliance</b>        | Mandatory only for purchases funded by the Veterans Administration (VA).  |
| <b>Authority</b>         | Title 38 USC 4101(c)(2)   |
| <b>Aim</b>               | Avoid hazardous conditions for disabled persons caused by inferior products.  |
| <b>Benefits</b>          | Product quality and safety has improved and competition has increased. Federal Supply Schedule Contracts have been established to enforce compliance.     |
| <b>Agency Function</b>   | Certification is made by the VA sponsored Prosthetic Technology Equipment Committee.  |
| <b>Type of Program</b>   | Assessment prior to Government purchase   |
| <b>Methodology</b>       | Compliance is assured when made by Government testing/inspection or third-party Government approved certification, and manufacturers' self-certification. |
| <b>Testing</b>           | Testing results are accepted from Government laboratories, Government approved labs, third-party labs and manufacturers' labs.                            |

|                                     |   |
|-------------------------------------|---|
| Inspection                          | Government  |
| Conformity<br>Identification        | Ten VA propelled wheelchair suppliers and two motorized wheelchair suppliers are currently listed.  |
| Availability<br>of Documentation    | The General Services Administration's (GSA) Federal Supply Schedule for wheelchairs provides particulars.   |
| Term                                | Testing of new products is on-going. Listings are updated annually and GSA contracts are negotiated annually.   |
| Reciprocity                         | Certification by other agencies is accepted when current standards are applied.   |
| Standards, Codes,<br>or Regulations | Federal Register, Vol. 42, No. 239 - December 13, 1977, defines standards for self propelled wheelchairs. Requirements for motorized wheelchairs are specified in Federal Register, Vol. 46, No. 240 - December 15, 1981. |
| Keywords                            | prosthetic aids; wheelchairs; safety; quality;  |

|                                      |  |
|--------------------------------------|--|
| <b>Products or Services</b>          | Tests and Procedures Performed<br>by Veterans Administration Medical Center<br>Laboratories  |
| <b>Department/Agency</b>             | Veterans Administration<br>Pathology Service, Department of Medicine<br>and Surgery<br>810 Vermont Avenue, NW.<br>Washington, D.C. 20240<br>(202) 389-2348   |
| <b>Initiated</b>                     | 1970   |
| <b>Compliance</b>                    | Voluntary  |
| <b>Aim</b>                           | Standardization and uniformity in<br>laboratory test performance throughout<br>the 204 clinical laboratories, 44 nuclear<br>medicine laboratories, 144 special purpose<br>laboratories of the Veterans Administration<br>system. |
| <b>Benefits</b>                      | Improved quality of care for patients.<br>Peer-reviewed process provides cross-<br>educational benefits for all laboratories.  |
| <b>Agency Function</b>               | Certifier and program administrator  |
| <b>Type of Program</b>               | Quality control<br>Physician peer review   |
| <b>Methodology</b>                   | Third-party certification - College of<br>American Pathologists (CAP)  |
| <b>Inspection</b>                    | Third-party  |
| <b>Conformity Identification</b>     | Authorized certificate by third-party -<br>College of American Pathologists  |
| <b>Availability of Documentation</b> | Maintained by Pathology Service and<br>local laboratories, and at CAP.   |
| <b>Enforcement</b>                   | Pathology Service, Veterans Administration<br>Central Office   |

|                                  |   |
|----------------------------------|---|
| Term                             | Indefinite term   |
| Reciprocity                      | Recognition of certification by Joint Council of American Hospitals.        |
| Standards, Codes, or Regulations | College of American Pathologists Laboratory Accreditation Program (CAPLAP). |
| Keywords                         | pathology; clinical laboratories; nuclear medicine;                         |

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☆U.S. GOVERNMENT PRINTING OFFICE: 1986-491-070-40052

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|--|---|--|--|
| U.S. DEPT. OF COMM.<br><b>BIBLIOGRAPHIC DATA SHEET</b><br><i>(See instructions)</i>  | <b>1. PUBLICATION OR REPORT NO.</b><br>NBS/SP-714 | <b>2. Performing Organ. Report No.</b> | <b>3. Publication Date</b><br>April 1986               |
| <b>4. TITLE AND SUBTITLE</b><br>Federal Government Certification Programs for Products and Services  |   |  |  |
| <b>5. AUTHOR(S)</b><br>Robert B. Toth, Editor  |   |  |  |
| <b>6. PERFORMING ORGANIZATION</b> <i>(If joint or other than NBS, see instructions)</i><br>R. B. Toth Associates<br>McLean, VA 22101   |   | <b>7. Contract/Grant No.</b>           | <b>8. Type of Report &amp; Period Covered</b><br>Final |
| <b>9. SPONSORING ORGANIZATION NAME AND COMPLETE ADDRESS</b> <i>(Street, City, State, ZIP)</i><br>National Bureau of Standards<br>Department of Commerce<br>Gaithersburg, MD 20899  |   |  |  |
| <b>10. SUPPLEMENTARY NOTES</b><br>Library of Congress<br>Catalog Card Number: 86-600516<br><br><input type="checkbox"/> Document describes a computer program; SF-185, FIPS Software Summary, is attached.   |   |  |  |
| <b>11. ABSTRACT</b> <i>(A 200-word or less factual summary of most significant information. If document includes a significant bibliography or literature survey, mention it here)</i><br><p>This directory presents information on 61 U.S. Government certification programs for products and services. Entries describe the scope and nature of each certification program, testing and inspection practices, standards used, methods of identification and enforcement, reciprocal recognition or acceptance of certification, and other relevant details.</p> <p>This directory is part of an ongoing NBS effort to establish and maintain a comprehensive database 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 certification programs in accordance with the requirements of the U.S. Trade Agreements Act of 1979.</p> |   |  |  |
| <b>12. KEY WORDS</b> <i>(Six to twelve entries; alphabetical order; capitalize only proper names; and separate key words by semicolons)</i><br>approved products; certification; certifiers; grading; inspection; listing; premarket evaluation; qualification; qualified products; specifications; standards; testing   |   |  |  |
| <b>13. AVAILABILITY</b><br><input checked="" type="checkbox"/> Unlimited<br><input type="checkbox"/> For Official Distribution. Do Not Release to NTIS<br><input checked="" type="checkbox"/> Order From Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.<br><input type="checkbox"/> Order From National Technical Information Service (NTIS), Springfield, VA. 22161  |   | <b>14. NO. OF PRINTED PAGES</b><br>157 | <b>15. Price</b>                                       |







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