Summary of the Results of the Test Survey and a Proposed Project Plan

Valentin Nikonov, PhD (Economics), International Consultant, UNECE
Ad Interim Coordinator, Group of Experts on Risk Management in Regulatory Systems
The test survey

• July – August 2010
• Evaluate the needs of the regulatory stakeholders and to develop a project plan for the group
• To validate reference models on Risk Management
  – Technical Regulation
  – Standardization
  – Conformity Assessment
  – Market Surveillance
  – Cooperation among regulatory stakeholders and operators
• Reference models were developed on the basis of existing legislation, risk management standards
The state of things

• Technical regulators:
  – 80% use, all expressed needs
  – all encounter obstacles,
  – 2/3 have an approved methodology,

• Conformity assessment:
  – all use, all expressed needs
  – all encounter obstacles

• Market Surveillance:
  – 60% use,
  – level of application varies considerably, no methodologies

• Standardization bodies:
  – most – do not use, though all expressed needs
Technical regulators

Problems
• Information for risk identification
• Methodologies for risk prioritization
• Assigning a level of risk for areas that require regulatory intervention
• Acceptable level of risk
• Inclusion of contingency planning

Needs
• Developing common databases on risks and hazards
• Tools for assigning the level of risk to areas that require intervention
• Methodologies for risk prioritization and for choosing risk management strategies
Conformity assessment

Problems

• Lack of common understanding
• Identification of risks within management systems
• Lack of data on relevant risks

Needs

• Devising a sample plan for product certification
• Carrying out risk identification in MS certification
• Identifying special risks during CE marking
• Checking correctness of RI in CA
Market Surveillance

Problems
• Methodologies
• Quantifying risks
• Risk acceptance criteria
• Lack of training

Needs
• Identification of product’s risks
• Quantitative analysis of risks
• Communication with business companies on risks
• Verification of risk assessments made by business companies
• Software tools
Project plan

• The objective:
  – To develop recommendations on management of risks in regulatory systems

• Reference Models
• Best practice
• Legislation

• Project phases:
  – Initiation (March, 2011)
  – Gathering information (August, 2011)
  – Drawing up recommendations (November, 2012)
  – Promotion and implementation (November, 2013)
Project plan

Initiation

- Prioritizing areas of work
- ‘Housekeeping’
- Approving reference models

Gathering information

- Desk Research
- Survey
- Analysis of international legislation

Drawing up recommendation

- Drafting, approving, presenting
- Databases, trainings
- Field work: improving the models

Promotion and implementation

- Promoting recommendations
- Presenting the feedback

Membership, website, funds, approved models

Report on BP, the survey, on RM in legislation, reference model for legislation, consolidated report

Trainings, reports on BP, database, approved recommendations

Reports on implementation projects, Feedback

March 2011
August 2011
November 2012
November 2013
Organization of work

• The chairperson
• Coordinator
• Members and areas of competence
• Monthly webinars
• Reporting

• Main risks
– Insufficient funding
– Lack of competence
– Poor project management
– Lack of cooperation from UNECE member States
– Lack of governments’ representation