Plan of the presentation

- Rationale of UNECE work in CA and RM
- Present UNECE work on CA & RM
- Outline UNECE RM model for RM in regulatory systems
- Invite participation in our Group of Experts on RM
Rationale of UNECE work in Conformity Assessment & Risk Management
Accidents in mines, offshore facilities, plants

Cause casualties, loss of animal life, environmental and economic damage
Proliferation of low quality goods

- Endangers consumers
- Weakens compliant business
Absolute safety cannot be achieved but many risks can be mitigated:

- By reinforcing competent authorities
- By empowering consumers
- By strengthening cooperation
UNECE work in Conformity Assessment
What we are:
- Intergovernmental body
- Participation by: authorities, regional & int’l organizations, business, standards-setting bodies, certification bodies, test houses, civil society
- From all UN Member States
- 1970 – 2010: 40 years

Our mandate:
- Forum for dialogue on: Standardization, Technical regulations, Conformity assessment, Accreditation, Metrology, Market surveillance

Our activities
- Share info & best practice
- Capacity-building
- Develop and maintain a set of recommendations
- Implement a set of initiatives on specific industrial sectors
UNECE work on Conformity Assessment WP. 6 Sectoral Initiatives: Goals

- Increasing safety for workers, consumers’ health and protection of the environment
- Lowering barriers to trade
- Through: increased cooperation among all stakeholders (economic operators, consumers, policy makers, conformity assessment bodies, enforcement authorities)
UNECE work on Conformity Assessment

WP. 6 Sectoral Initiatives: CROs

- Sectoral initiatives: based on Recommendation L
- Sectoral initiatives develop CROs (common regulatory objectives)

CROs define:
- the requirements for equipments/products placed on the market or used in the workplace - with reference to international standards
- how compliance with requirements will be assessed
- which conformity assessment bodies will be recognized as competent to establish compliance

CROs can be used as a model to draw up legislative instruments in countries that do not currently have regulations in the sector, or to align existing divergent national regulations
Sectoral Initiatives: In practice

- Authorities decide to work together on a specific sector
- They agree on CROs
- They transpose the CROs into national technical regulations
- Then, when products have been assessed in the exporting country as compliant with the CROs they can automatically be sold in other markets with no further assessment.
### Conformity assessment choices in UNECE CROs & riskiness of products

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**Example:**
- Third party certification: Equipment for Explosive Atmosphere
- Supplier declaration of conformity: Telecomm
EU conformity assessment modules under the New Approach

- Internal production control
- EC type examination
- Conformity to type
- Production quality assurance
- Product quality assurance
- Product verification
- Unit verification
- Full quality assurance
Experience shows that for products with high risks

- “laboratory cooperation on a deep technical level is the only option for international cooperation on conformity assessment”
- strengthening technical equipment and human expertise is very costly, but the only way forward
UNECE work in Risk Management in Regulatory Systems
Goals of UNECE work in RM

• Raise awareness of how standards and regulations help address risks of all kinds

• Develop best practice on how RM tools can be used in the planning, development, implementation of standards, technical regulations, conformity assessment activities and market surveillance

• Develop recommendations on how regulators, conformity assessment bodies and MS authorities can use RM tools
  • in their respective activities
  • as the basis for interaction among stakeholders
  • In the design of the regulatory systems as a whole
UNECE activities in Risk Management: Achievements

- Conference on RM (November 2009) opened by ISO Secretary-General - OECD, WTO, European Commission - 40 UNECE & non-UNECE countries
- Outcome of the conference
- Report of the conference
- Reference model RM in Regulatory Systems
- Ongoing online survey of needs
- November 2010: Establishment of the Group of Experts on Risk Management (GRM)
Outline UNECE RM model for RM in regulatory systems
UNECE RM reference model

- Setting regulatory objectives;
- Identifying assets;
- Identifying risks to these assets;
- Assessing risks (probability/impact/vulnerabilities);
- Determining risk management strategy (transfer, avoidance, mitigation, acceptance);
- Implementing risk management strategy; and
- Contingency planning.
Setting regulatory objectives

- What is the goal of a regulation?
- What risks are considered acceptable?
- On the basis of what criteria?
Management of assets
what are the most critical risks to these assets?

Risk Identification
Risk Assessment
Determination of risk management strategies (controls and procedures)
Implementation of a risk management strategy

- how will the new measure complement existing tools?
- monitoring compliance
- budget implications

Implementation of a risk management strategy
Contingency planning
Improvement processes

- Internal Audits
  - Management Review
  - Corrective and Preventive Actions
RM is at the basis of legislative action in a number of areas

- Food safety
- Environmental safety
- Technical regulations
- Occupational health & safety
- Etc..
Conclusions

• Invite you to participate in the newly established Group of Experts
• Explore specific sectors and specific projects where RM principles can be applied and working together on proposals.
• Including horizontal areas, such as conformity assessment, market surveillance, quality infrastructure.