



UNITED STATES
 CONSUMER PRODUCT SAFETY COMMISSION
 4330 EAST WEST HIGHWAY
 BETHESDA, MD 20814

VOTE SHEET

DATE: APR 14 2010

TO: The Commission
 Todd A. Stevenson, Secretary

THROUGH: Maruta Budetti, Executive Director *myB*
 Cheryl A. Falvey, General Counsel *CAF*
 Philip L. Chao, Assistant General Counsel *W*

FROM: Harleigh P. Ewell, Attorney, OGC *HE*

SUBJECT: Accreditation of Four Laboratories as "Firewalled" Third Party Conformity Assessment Bodies

Ballot Vote Due April 22, 2010

This vote sheet relates to the staff's memorandum recommending that the Commission accredit four conformity assessment bodies (laboratories) as firewalled third party laboratories. Please indicate your vote on the following options:

I. The staff recommended that the following laboratories be accredited for the requirements and test methods indicated. Please indicate whether you approve or disapprove accreditation for each of the laboratories listed for the requirement(s) or test method(s) described. (A vote for approval also constitutes a vote for approval of the draft order for that laboratory, unless changes to the draft order are indicated in section IV of this vote sheet. The draft orders are attached to the legal memorandum from the Office of the General Counsel.)

A. MeadWestvaco Safety, Health, and Environmental Laboratory (for: Lead Paint Regulation, 16 CFR part 1303, and Lead Content in Children's Metal Jewelry, Test Method CPSC-CH-E1001-08).

_____ Approve accreditation and order. (staff recommendation)

_____ Disapprove.

 (Signature)

 (Date)

B. Dongguan Zensee Printing Limited DPI Laboratory (for: Lead Paint Regulation, 16 CFR part 1303, and Small Parts Regulation, 16 CFR part 1501).

_____ Approve accreditation and order. (staff recommendation)

_____ Disapprove.

(Signature)

(Date)

C. Testing Laboratory, Mattel Bangkok (for: Lead Paint Regulation, 16 CFR part 1303).

_____ Approve accreditation and order. (staff recommendation)

_____ Disapprove.

(Signature)

(Date)

D. Chang An PI Lab of Foshan Nanhai Mattel Consultancy Service Co. Ltd. (for: Lead Paint Regulation, 16 CFR part 1303, and Small Parts Regulation, 16 CFR part 1501).

_____ Approve accreditation and order. (staff recommendation)

_____ Disapprove.

(Signature)

(Date)

II. The staff also requested that the Commission authorize the staff to decide any future requests by any of these laboratories that the Commission accredits as a firewalled laboratory for changes in the requirements and test methods that the laboratory is approved to evaluate as a third party laboratory. Please indicate your vote on this request. If the Commission does not grant this authority to the staff, the paragraph in the draft orders granting such authority will be deleted.

A. Authorize the staff to decide any future requests by any of these laboratories that the Commission accredits as a firewalled laboratory for changes in the requirements and test methods that the laboratory is approved to evaluate as a third party laboratory.

(Signature)

(Date)

B. Do not authorize the staff to decide any future requests by any of these laboratories that the Commission accredits as a firewalled laboratory for changes in the requirements and test methods that the laboratory is approved to evaluate as a third party laboratory.

(Signature)

(Date)

III. Other. (This could include: a direction to the staff to obtain further information relating to one or more of the alternatives given above; a direction to the staff to prepare materials concerning an adjudicatory proceeding to address any of the issues addressed above; changes to the draft order for any laboratory to be accredited as a firewalled third party laboratory; or other action desired by the Commission. Please specify.)

(Signature)

(Date)

b. the Commission is notified immediately of any attempt by the manufacturer, private labeler, or other interested party to hide or exert undue influence over test results, and

c. allegations of undue influence may be reported confidentially to the Commission;

and

4. that, in view of the findings numbered 2 and 3 above, the accreditation of the applicant will provide equal or greater consumer safety protection than the manufacturer's or private labeler's use of an independent third party conformity assessment body for the requirements and test method(s) for which accreditation is ordered.

Accordingly, it is

ORDERED that the applicant is accredited as a third party conformity assessment body for the Lead Paint Regulation, 16 CFR Part 1303, and the Small Parts Regulation, 16 CFR Part 1501, and it is

FURTHER ORDERED that the applicant shall be placed on the list on the Commission's Internet website of entities that have been accredited to assess conformity with children's product safety rules in accordance with the requirements published by the Commission under 15 U.S.C. § 2063(a), and it is

FURTHER ORDERED that the authority to grant or deny subsequent applications by this applicant to be accredited for additional requirements or test methods is delegated to the Commission's staff.

Order issued on the ____ day of _____, 2010.

BY ORDER OF THE COMMISSION:

Todd A. Stevenson, Secretary
U.S. Consumer Product Safety Commission

b. the Commission is notified immediately of any attempt by the manufacturer, private labeler, or other interested party to hide or exert undue influence over test results, and

c. allegations of undue influence may be reported confidentially to the Commission;

and

4. that, in view of the findings numbered 2 and 3 above, the accreditation of the applicant will provide equal or greater consumer safety protection than the manufacturer's or private labeler's use of an independent third party conformity assessment body for the requirements and test method(s) for which accreditation is ordered.

Accordingly, it is

ORDERED that the applicant is accredited as a third party conformity assessment body for the Lead Paint Regulation, 16 CFR Part 1303, and Small Parts Regulation, 16CFR Part 1501, and it is

FURTHER ORDERED that the applicant shall be placed on the list on the Commission's Internet website of entities that have been accredited to assess conformity with children's product safety rules in accordance with the requirements published by the Commission under 15 U.S.C. § 2063(a), and it is

FURTHER ORDERED that the authority to grant or deny subsequent applications by this applicant to be accredited for additional requirements or test methods is delegated to the Commission's staff.

Order issued on the ____ day of _____, 2010.

BY ORDER OF THE COMMISSION:

Todd A. Stevenson, Secretary
U.S. Consumer Product Safety Commission

UNITED STATES OF AMERICA
CONSUMER PRODUCT SAFETY COMMISSION

In the Matter of the Application for Accreditation as a Firewalled Third Party Conformity Assessment Body)	
of)	CPSC Docket No. _____
Testing Laboratory, Mattel)	
Bangkok Limited)	
Bangboo Industrial Estate,)	
Export Zone, 683)	
Soi 9, MOO4, Prakesa, Muang)	
Bangkok , Samut Prakarn)	
Thailand 10280)	
)	

ORDER

Having considered the application of Testing Laboratory, Mattel Bangkok Limited (“the applicant”) to be accredited by the U.S. Consumer Product Safety Commission (“Commission”) as a third party conformity assessment body as that term is defined in 15 U.S.C. § 2063(f)(2), and having considered the analysis and recommendation of the Commission’s staff, the Commission by order finds:

1. that the applicant is owned, managed, or controlled by the manufacturer or private labeler of products that would be assessed by the applicant if the applicant is accredited as a third party conformity assessment body;
2. that the applicant is accredited by an accrediting body that is a signatory to the International Laboratory Accreditation Cooperation-Mutual Recognition Arrangement;
3. that the applicant has established procedures to ensure that:
 - a. its test results are protected from undue influence by the manufacturer, private labeler, or other interested party;

b. the Commission is notified immediately of any attempt by the manufacturer, private labeler, or other interested party to hide or exert undue influence over test results, and

c. allegations of undue influence may be reported confidentially to the Commission;

and

4. that, in view of the findings numbered 2 and 3 above, the accreditation of the applicant will provide equal or greater consumer safety protection than the manufacturer's or private labeler's use of an independent third party conformity assessment body for the requirements and test method(s) for which accreditation is ordered.

Accordingly, it is

ORDERED that the applicant is accredited as a third party conformity assessment body for the Lead Paint Regulation, 16 CFR Part 1303, and it is

FURTHER ORDERED that the applicant shall be placed on the list on the Commission's Internet website of entities that have been accredited to assess conformity with children's product safety rules in accordance with the requirements published by the Commission under 15 U.S.C. § 2063(a), and it is

FURTHER ORDERED that the authority to grant or deny subsequent applications by this applicant to be accredited for additional requirements or test methods is delegated to the Commission's staff.

Order issued on the ____ day of _____, 2010.

BY ORDER OF THE COMMISSION:

Todd A. Stevenson, Secretary
U.S. Consumer Product Safety Commission

c. allegations of undue influence may be reported confidentially to the Commission;

and

4. that, in view of the findings numbered 2 and 3 above, the accreditation of the applicant will provide equal or greater consumer safety protection than the manufacturer's or private labeler's use of an independent third party conformity assessment body for the requirements and test method(s) for which accreditation is ordered.

Accordingly, it is

ORDERED that the applicant is accredited as a third party conformity assessment body for the Lead Paint Regulation, 16 CFR Part 1303, and Lead Content in Children's Metal Jewelry, Test Method CPSC-CH-E1001-08, and it is

FURTHER ORDERED that the applicant shall be placed on the list on the Commission's Internet website of entities that have been accredited to assess conformity with children's product safety rules in accordance with the requirements published by the Commission under 15 U.S.C. § 2063(a), and it is

FURTHER ORDERED that the authority to grant or deny subsequent applications by this applicant to be accredited for additional requirements or test methods is delegated to the Commission's staff.

Order issued on the ____ day of _____, 2010.

BY ORDER OF THE COMMISSION:

Todd A. Stevenson, Secretary
U.S. Consumer Product Safety Commission



UNITED STATES
CONSUMER PRODUCT SAFETY COMMISSION
WASHINGTON, DC 20207

Date: **APR 14 2010**

TO: The Commission
Todd Stevenson, Secretary

THROUGH : Cheryl Falvey, General Counsel *CHF*
Maruta Budetti, Executive Director *MB*

FROM: Robert Howell *RH*
Assistant Executive Director
Office of Hazard Identification and Reduction

Scott Heh *SH*
Project Manager

SUBJECT: Consideration of Certain Conformity Assessment Bodies that
Applied for Commission Acceptance as Accredited Firewalled
Conformity Assessment Bodies

I. Introduction

In this memorandum, U.S. Consumer Product Safety Commission (CPSC) staff recommends that the Commission accredit four conformity assessment bodies (also referred to as testing laboratories) that have applied for accreditation as “firewalled laboratories” (defined below) to perform specified product testing required by the Consumer Product Safety Improvement Act of 2008 (hereafter referred to as “CPSIA” or the “Act”). The firewalled laboratory application and acceptance procedures have been published previously by the Commission in Federal Register (FR) notices. [1, 2, 3, 4, 5, 6] In addition, this memorandum describes the process used by CPSC staff to evaluate the applications.¹

¹ The applications and related supporting materials have not been attached to this memorandum but are available for review by any Commissioner.

II. Background

CPSIA: Third Party Laboratory Requirements and Conditions Applicable to Firewalled Laboratories

The CPSIA amended section 14 of the Consumer Product Safety Act (CPSA) to require manufacturers and importers to use third party conformity assessment bodies (third party testing laboratories) that have been recognized as accredited under CPSC requirements to test children's products for compliance with certain Commission product safety rules. Such testing is to be used by the manufacturer or importer as the basis for a manufacturer's or importer's certification of compliance with a "children's product safety rule," which is defined as a "consumer product safety rule under the CPSA or similar rule, regulation, standard or ban under any other Act [than the CPSA] enforced by the Commission, including a rule declaring a consumer product to be a banned hazardous product or substance." See CPSIA § 102(f)(1) (CPSA § 14(f)(1)). The Act further requires that the Commission establish requirements for accreditation of third party testing laboratories.

The CPSIA defines a third party testing laboratory as one that is not owned, managed, or controlled by the manufacturer or private labeler of a product assessed by such testing laboratory, except that a laboratory that is so owned, managed, or controlled by the manufacturer or private labeler may under certain specified conditions be recognized as accredited by the Commission. Laboratories that comply with these specified conditions are said to be "firewalled" against the possibility of undue influence.

The Commission may accredit a laboratory under the Act's firewalled provision if the Commission finds by order that:

A) accreditation of the laboratory would provide equal or greater consumer safety protection than the manufacturer's or private labeler's use of an independent third party conformity assessment body; and

B) the laboratory has established procedures to ensure that –

i) its test results are protected from undue influence by the manufacturer, private labeler or other interested party;

ii) the Commission is notified immediately of any attempt by the manufacturer, private labeler or other interested party to hide or exert undue influence over test results; and

iii) allegations of undue influence may be reported confidentially to the Commission.

CPSC laboratory accreditation requirements, including baseline requirements for third party laboratories and the process described for firewalled laboratory application and acceptance procedures, were approved by the Commission and published in the Federal Register notices referenced above. Below is a summary of the procedures that apply to third party laboratories and firewalled laboratories:

All third party laboratories must be accredited to the International Organization for Standardization ("ISO") Standard ISO/IEC 17025:2005--General Requirements for the Competence of Testing and Calibration Laboratories. The accreditation must be by an accreditation body that is a full signatory to the International Laboratory Accreditation Cooperation--Mutual Recognition Arrangement ("ILAC-MRA"), and the scope of the accreditation must include the specific CPSC regulation and/or test methodology for which the laboratory seeks CPSC acceptance. These criteria are referred to as the "baseline accreditation requirements."

A true copy in English of the accreditation and scope documents demonstrating compliance with these requirements must be registered with the Commission electronically.

In addition to the baseline accreditation requirements applicable to all third party laboratories, firewalled laboratories seeking accredited status must submit to the Commission copies in English of their training documents showing how employees are trained to notify the Commission immediately and confidentially of any attempt by the manufacturer, private labeler or other interested party to hide or exert undue influence over the laboratory's test results. This additional requirement applies if there is an ownership interest in the applicant laboratory of 10% or more by a manufacturer or private labeler of children's products to be tested by the laboratory for compliance with requirements for which the laboratory is applying.

The Commission has established an electronic accreditation acceptance and registration system accessed via the Commission's Internet site at

<http://www.cpsc.gov/cgibin/genlabapp.aspx>. The applicant provides, in English, basic identifying information concerning its location, the type of accreditation it is seeking, electronic copies of its ILAC-MRA accreditation certificate, a scope statement and firewalled laboratory training document(s), if relevant. Commission staff reviews that submission for accuracy and completeness.

In the case of a laboratory seeking accredited firewalled status, when the review is complete, the staff transmits its recommendation on accreditation to the Commission for consideration. If the Commission decides to accredit a firewalled laboratory, the Commission will issue an order to that effect and that laboratory will be added to the CPSC list of accredited laboratories.

III. Discussion

As discussed in the previous staff memoranda to the Commission on accreditation requirements for third party conformity assessment bodies (testing laboratories), the ISO/IEC 17025 standard has technical requirements for testing laboratories and management requirements on topics such as organization, management systems, document control, audits, and management reviews. Several of these management requirements address impartiality and safeguard against conflicts of interest. If the laboratory is part of an organization that performs activities other than testing, the responsibilities of key personnel in the organization that have an involvement or influence on the testing and/or calibration activities of the laboratory shall be defined in order to identify potential conflicts of interest. The laboratory must have arrangements to ensure that its management and personnel are free from any undue internal and external commercial, financial or other pressures and influences that may adversely affect the quality of their work. Further, the laboratory must have policies and procedures to avoid involvement in any activities that would diminish confidence in its competence, impartiality, judgment or operational integrity.

To ensure continued compliance, accredited laboratories are regularly reexamined, at least every two years, with either an on-site surveillance or a full reassessment, to ensure that they maintain their standards of independence and technical expertise.

Under the ISO 17025 accreditation, not only commercial laboratories, but manufacturer's laboratories and government laboratories must have arrangements to ensure that their management and personnel are free from any undue internal

and external commercial, financial, and/or other pressures and influences that may adversely affect the quality of their work.

ISO 17025 accreditation of a laboratory includes an assessment to confirm the technical competence of the laboratory for a given scope and also includes an assessment of a laboratory's management and organization to ensure safeguards against undue influence. Given these aspects of ISO 17025 accreditation, the staff recommended that the Commission recognize ISO 17025 accreditation by an ILAC-MRA signatory as a significant component that must be met for firewalled laboratories to be considered for approval under the firewalled provisions.

In addition, as recommended by staff and published in the FR notices, for a laboratory to be considered under the firewalled provision, the laboratory must submit additional documentation that is satisfactory to the Commission to demonstrate compliance with criteria on protections from undue influence.

Staff Review of Firewalled Laboratories' Applications

The staff completed a review of several firewalled laboratory applicants that seek Commission acceptance of accreditation as firewalled laboratories. The staff review process was as follows:

- a. Laboratories applied for firewalled acceptance via the CPSC on-line registration form. Each applicant submitted training materials and other information to show conformance with the criteria for acceptance for firewalled laboratories.
- b. A Firewalled Laboratory Review Committee comprised of four senior CPSC staff members reviewed the applications. The committee members individually compared the applications for each laboratory with the criteria for firewalled laboratories as described in the CPSIA and in the Commission-published requirements for laboratory accreditation. After individual members conducted their assessments, the committee met as a group to discuss each person's reasoning with regard to a laboratory's conformity or non-conformity with the firewalled laboratory criteria. The team reviewed documentation that included elements of training programs and records of training attendance, policies stated in laboratory quality manuals and operating manuals related to prohibition on acts of undue influence, organizational charts, and certification and scope documents associated with ISO 17025 accreditation.

- c. The Review Committee concluded, by majority vote,² that the documentation supplied by the applicants supported the statutory requirements for acceptance as firewalled laboratories.

IV. Firewalled Laboratory Review Committee Conclusions

The Review Committee recommended that the Commission approve the following laboratory applicants as firewalled laboratories:

1) MeadWestvaco Safety, Health, and Environmental Laboratory

965 Capstone Dr., Suite 219

Miamisburg

Ohio

United States

45342

[Review Committee approved for scopes: Lead Paint Regulation – 16 CFR Part 1303 and Lead Content in Children's Metal Jewelry, Test Method CPSC-CH-E1001-08]

2) Dongguan Zensee Printing Limited DPI Laboratory

Unit F, 3/F, Dongshen Industrial District

Aubuiwei, Zhangmutou

Dongguan

Guangdong

China

523619

[Review Committee approved for scope: Lead Paint Regulation – 16 CFR Part 1303 and Small Parts Regulation – 16 CFR Part 1501]

² None of the laboratories discussed in this memorandum received a disapproving vote for any of the scopes requested in its application.

3) Testing Laboratory, Mattel Bangkok Limited
Bangboo Industrial Estate, Export Zone, 683
Soi 9, Moo4, Prakesa, Muang
Bangkok
Samut Prakarn
Thailand
10280

[Review Committee approved for scopes: Lead Paint Regulation – 16 CFR Part 1303]

4) Chang An PI Lab of Foshan Nanhai Mattel Consultancy Service Co. Ltd.
Mattel Toys 2nd Factory
1st Industrial Zone, Chang An Town
Dongguan
Guangdong
China
523841

[Review Committee approved for scope: Lead Paint Regulation – 16 CFR Part 1303 and Small Parts Regulation – 16 CFR Part 1501]

V. Recommendations

The staff recommends that the Commission accept the accreditation of the laboratories listed in Section IV in accordance with the firewalled procedures as described in the FR notices for CPSC Accreditation Requirements for Third Party Conformity Assessment Bodies. These recommendations are based on the assessments of the CPSC Firewalled Laboratory Review Committee that examined the application materials and agreed that the documentation supplied by the applicants supported the conditions for acceptance as firewalled laboratories.

Should the Commission approve the firewalled accreditation of any of these laboratories, staff recommends that the Commission should authorize the staff to approve any future applications by these same laboratories to be approved by CPSC to conduct testing for additional CPSC children's product safety requirements (scopes), provided the application complies with the baseline requirements for third party laboratories.³ The expansion of approved scopes would not normally affect the additional factors to be considered in the approval of

³ To maintain CPSC acceptance of accreditation, the laboratory must maintain the baseline requirements of ISO 17025 accreditation by a full member ILAC-MRA Signatory accrediting body. In addition, all laboratories will be subject to any auditing requirements required by CPSA § 14(d)(1) that the Commission approves in the future.

a firewalled laboratory. (The Commission granted the staff this authority for the laboratories the Commission previously accredited as firewalled laboratories.)

VI. Commission Options

- 1) The Commission can vote to approve one or more of the four laboratories as recommended by the Review Committee for recognition as a firewalled laboratory for the specified testing scopes. In this event, the Commission is required to issue an order finding that the additional requirements for firewalled laboratories exist for the approved laboratories.
- 2) If the Commission decides that the documentation submitted by the applicants is not sufficient to support a Commission finding to accept the accreditation of the applicant laboratories under the firewalled provisions, the Commission can vote not to accept one or more of the applicant laboratories under the firewall provisions. Under this option, the Commission also could decide to direct the staff to obtain additional information relevant to whether the Commission should accredit the laboratories.
- 3) The Commission could accept or reject the staff recommendation that the Commission delegate to the staff the power to approve subsequent applications by these same firewalled laboratories to conduct testing for additional CPSC requirements.
- 4) Other options as directed by the Commission.

The Office of General Counsel has prepared a ballot vote presenting these options and will provide draft orders for the Commission's consideration if one or more of the laboratories are approved.

References

References 1 through 6 are available on the CPSC Web site at <http://www.cpsc.gov/about/cpsia/labaccred.html>

[1] Federal Register: September 22, 2008 (Volume 73, Number 184)]

AGENCY: Consumer Product Safety Commission.

ACTION: Notice of Requirements for Accreditation of Third Party Conformity Assessment Bodies to Assess Conformity with Part 1303 of Title 16, Code of Federal Regulations.

[2] Federal Register: October 22, 2008 (Volume 73, Number 205)

AGENCY: Consumer Product Safety Commission.

ACTION: Notice of Requirements for Accreditation of Third Party Conformity Assessment Bodies to Assess Conformity with Part 1508, Part 1509, and/or Part 1511 of Title 16, Code of Federal Regulations.

[3] Federal Register: November 17, 2008 (Volume 73, Number 222)

AGENCY: Consumer Product Safety Commission.

ACTION: Notice of Requirements for Accreditation of Third Party Conformity Assessment Bodies to Assess Conformity with Part 1501 of Title 16, Code of Federal Regulations.

[4] Federal Register: December 22, 2008 (Volume 73, Number 246)

AGENCY: Consumer Product Safety Commission.

ACTION: Notice of requirements for accreditation of third party conformity assessment bodies to assess conformity with the 600 parts per million (“ppm”) and 300 ppm lead content limits in metal and metal alloy parts of children's metal jewelry established by the Consumer Product Safety Improvement Act of 2008.

[5] Federal Register: September 2, 2009 (Volume 74, Number 169)

AGENCY: Consumer Product Safety Commission.

ACTION: Third Party Testing for Certain Children's Products; Notice of Requirements for Accreditation of Third Party Conformity Assessment Bodies to Assess Conformity with Parts 1203, 1510, 1512, and/or 1513 and Section 1500.86(a)(7) and/or (a)(8) of Title 16, Code of Federal Regulations

[6] Federal Register: October 29, 2009 (Volume 74, Number 208)

AGENCY: Consumer Product Safety Commission.

ACTION: Third Party Testing for Certain Children's Products; Notice of Requirements for Accreditation of Third Party Conformity Assessment Bodies to Assess Conformity with the Limits on Total Lead in Children's Products