

Background on Development of Association Standardization—

Part 1: Guidelines for Good Practice

1. Introduction

a. Task source

“Association standardization - Part 1: Guidelines for good practice” is one of the 1st batch of 2014 national standards development and revision projects launched in September 2014. The project code is “2014509-T-469”. Put forward and centrally managed by SAC/TC 286 on *Principles and Methods of Standardization*, the project is planned to be completed in 2015.

b. Background and purpose

Over the years, a number of associations such as academic groups, associations, confederations, industry technical alliances etc., have embarked on developing and implementing standards, to meet the challenges of rapid change in technology and diversified market demand, giving rise to multiple forms of association standards. The development and implementation of association standards reflect the decisive role of market in allocating standardization resources. Association standards play an active role in a market-oriented economy.

Standardization is an organized and regulated process with a specific purpose. As a key applied technology, standardization has its own principles and rules. Standardization is the behavior of an organization, the purpose of which is to establish the best order and promote co-benefits. The working principle of standardization is to put a standardization target in good order, through establishing (drafting standards) and applying (applying standards) rules. The success of standardization lies in full participation, coordination and consensus of all stakeholders.

To ensure the success of standardization activities, standardization organizations shall follow the pattern of standardization and design a good mechanism. Technical organizations with representation of all stakeholders and standards-drafting procedures recognized by all stakeholders shall be established under the designed mechanism, so as to make sure the drafted standards are applicable and recognized by stakeholders. Experience is drawn internationally from ISO, the US and the UK, where documents on “good practice” are often issued to guide standardization organizations to put the rules and pattern into practice. Developed according to the best practice of standardization in related fields, these documents explain the guidelines for standardization activities, and promote the development and application of voluntary standards. In the meantime, these documents also provide guidance for stakeholders to understand and fully participate in standards-drafting process of standardization organizations.

According to the *Plan for Deepening Standardization Reform* issued by the State Council in March 2015, the power of developing association standards shall be thoroughly delegated to

the market, with focus on improving competitiveness. Cultivating and developing association standards are also stated in the *Plan*. Competent standardization administration of the State Council and relevant departments of the State Council will jointly develop guidance to drafting association standards and to good practice of association standardization, providing necessary regulation, guidance and supervision for the development of association standards.

The purpose of this standard is to implement the reform requirements, guide the social groups which has strong standardization demand however lacks standardization experience to carry out standardization activities. It also provides guidance for social groups with standardization experience to improve related procedures and rules. Meanwhile, as association standards are supplied by the market and are at the very early stage of development, there is a problem of multiple entities with varied operation and administration mechanism are drafting standards. Therefore, a mandatory requirement to carry out standardization activities following the same rules is not appropriate. Guidance on general rules, principles and direction of carrying out standardization activities is necessary and adoption of this standard should be voluntary.

c. Main working procedures

According to the national revision procedure of standardization, the following works have been done concerning the development of Association Standardization—Part 1: Guidelines for Good Practice”

1) Information collection

During the process of standardization development, the drafting group has collected the following information:

-----GB/T 1.1---2009 Standardization Work Guidance Part 1: Structure and Compilation of Standards

-----GB/T 20000.6:2006 Guidelines for Standardization Part 6: Good Practice of Standardization

-----GB/T 20003.1---2014 Special procedures of standardization Development Part 1: Standards Involved in Patents

-----Appendix 3 of WTO/TBT Agreement: Developing, Approving and Practicing Good Practice Norms

-----Guidelines for ISO/IEC 59:1994: Standardized Good Practice

-----BSI PAS 98-1:2001 Standard Alliance Part 1: Guidelines for Organizing and Managing Good Practice Norms

-----Basic Requirements of ANSI: the Standardized Due Process Requirements of the United States

-----The copyright policy of international and regional standardization institutions

2) Drafting the standard

(1) From 2014.9 to 2015.3, the secretariat of technical committee took the responsibilities of finishing the pre-research work including data collection, translation, analyzing and so on.

Several expertise seminars were held during the process when the framework designing of association standards was processing by the Standardization Administration of the People's Republic of China, and the principal framework of standards has been completed.

(2) From mid-March 2015 to mid-April 2015, the technical committee publicly recruited working team members from society.

(3) In the late April 2015, the secretariat of technical committee screened the registered experts, promoted the team's working plan, and confirmed the association framework, due responsibilities and processing arrangement of the working team.

(4) May 5th 2015, the inaugurating meeting and standard development seminar was held. Over 10 representatives from originations including Petrochemical Maintenance Alliance, China Cultural Industry Association, IGRS Industry Association, Machinery Industry Beijing Electro-technical Institute of Economic Research, Brand Protection Committee, TC286 and China Institute of Standardization and so on. The meeting confirmed the team leader, team members and research tasks of each panel, established fundamental technological content of the standardization and formed the drafts of standards.

(5) In the early May of 2015, the working team held an internal seminar. Over 20 experts from IGRS Industry Association, China Communication Standard Association, WAPI Industry Association, Petrochemical Maintenance Alliance, China Cultural Industry Association, Beijing Patent Attorneys Association, Brand Protection Committee, China Special Equipment Inspection and Research Institute, Beijing Institute of Standardization, Machinery Industry Beijing Electro-technical Institute of Economic Research, Siemens China, TC286, China Institute of Standardization and so on were invited and joint the seminar. The experts revised the drafts of standards and formed the first comment solicitation draft.

(6) From late May to late June 2015, the first comment solicitation draft was sent to 85 organizations including the Administration of Quality and Technology Supervision of all provinces, autonomous regions, municipalities and XinJiang Production and Construction corps, Secretary Bureau of Cyber Administration of China, relevant departments of the State Council, Electronic Information Department of the General Equipment Department and concerned alliances and associations. The draft was also sent to the bureaus, divisions and committees to solicit comments. During the period, 64 feedbacks were received, of which 41 organizations presented agreement and 23 raised opinions, up to 60 pieces of opinions were collected. The work group secretary filtered the feedbacks and presented to all members for discussing on the meetings.

(7) In the middle August, the working team summoned a plenary session to tackle the feedbacks and revised the first comment solicitation draft according to the results.

(8) In the late September, China Institute of Standardization summoned the conference

concerning the drafting of guidelines for association standardization. CIS further polished the revised version of the first comment solicitation draft according to the conference's feedback, and completed the formal comment solicitation draft to the public.

2. Principles, main content and basis of the National Standards System

(I) Principles of National Standards System

The compilation of the standards follows the principles of compatibility, exclusiveness and practicability.

1. Compatibility

In order to realize the overall integration, the standards followed the current clauses including GB/T 20000.1 Guidelines for Standardization Part 1: General Terms of Standardization and Relevant Activities, GB/T 1.1 Work Guidance for Standardization Part 1: Structure and Compilation of Standardization, GB/T 20000.6:2006 Guidelines for standardization Part 6: Standardized good practice norms, GB/T 20003.1 Special Procedures of Standardization Development Part 1: Standards Involved in Patents

2. Exclusiveness

The standards aims at establishing commonly and repeatedly used clauses for the academies, associations, alliances, unions, chambers of commerce and industrial technical alliances, so as to provide guidance for their standardization activities.

3. Practicability

The development of the standards has involved plenty references, such as authority files concerning standardized good practices of associations and groups from home and abroad, copyright and patent policies of standardization institutions from home and abroad, experiences and methods practiced by domestic associations and alliances while organizing institutional operation and standards development and so on. Based on abundant references originated from existing experiences, the Standards presents a guideline for good practice and provides specific operational instructions in launching standardization within organizations.

(I) Main content and basis of the Standards

1. Basis of the Standards

In the development of the compilation, the Standards mainly referred to GB/T 20000.6:2006 Guidelines for Standardization Part 6: Good Practice of Standardization, GB/T 20003.1—2014 Special procedures of Standardization Development Part 1: Standards Involved in Patents, Appendix 3 of WTO/TBT Agreement: Developing, Approving and Practicing Good Practice Norms, The Guideline for ISO/IEC 59:1994: Standardized Good Practice, BSI PAS 98-1:2001 Standard Alliance Part 1: Guidelines for Organizing and Managing Good Practice Norms, Basic Requirements of ANSI: the Standardized Due Process Requirements of the United States and the copyright policy of international and regional standardization institutions

2. Main content

The standards provide general principles for associations to launch standardization activities and guidelines for the standardized practices.

(1) General principles

The general principles present the fundamental rules that associations are required to obey while launching standardization activities, namely open, fair, transparent, consensus and promoting trade and communication.

(2) The structural management of association standards

The structural management of association standards clearly defines the contents concerning structural framework and functions, operative rules, intellectual property rights management, code and archive management in standardization activities.

From the perspective of recommending organic functions in the standardization activities, the structural frameworks and functions provides guidelines for the structural management frameworks. It recommends associations to set a decision making body, a coordinative body of technology affairs management and a forming body of standardization and provides guidance for their due responsibilities and patterns. The operative rules present guidelines for holding conferences, handling complaints and connecting with other standardization institutions. The intellectual property rights management demonstrates guidelines for associations to formulate policies concerning patents, copyrights and right to use trademarks. Code and archive management guide the associations in terms of constitutions, management document of the standardization technological institutions, documents concerning the procedure of standard development, rule files of standard development, copyright and patent policies as well as coding standards.

(3) Revision procedure of association standards

Revision procedure of association standards is the institutional documents for associations to formulate standards. It provides suggestions for the formulating procedures of association standards and guidance for important elements in each link.

(4) Development of association standards

The development off association standards provides a general principle and guidance for association to in forming their standards. In terms of coordination between association standards and current standards, it is preferable that Chinese national standards, international standards and standards of other regions and nations and other association standards should be collected sufficiently for the corresponding standardization target; the association members are encouraged to directly use the standards (especially international standards and Chinese national standards) if they can meet the demand of the members of this association; association standards of its own can be developed if those standards cannot meet their demand to avoid redundancy in standardization projects and waste in development resources.

Associations can refer to GB/T 1.1, which provide several reference cases of standardization structures to formulate a unitary regulation in order to form their own standards.

(5) Popularization and application of association standards

Popularization and application of standards provide guidelines for associations to popularize and apply their standards. It recommends them to utilize technological communication methods such as trainings, forums and Medias to realize their purposes, and to establish a unified certification system based on the standards for formulating relevant certification patterns, procedures, trademarks and other institutional documents as well as specific projects in the proper time.

3. Comparison of similar standards from home and abroad

Standardization is a process of normalization. Currently, GB/T 20000.6—2006 is the only exclusive regulation of good practices in standardization activities in China.

However, due to the lack of pertinence in GB/T 20000.6—2006's Guidelines for Association Standardizations, affairs like the main body of standardization, standards of publication approval, standards of procedures development, standards of formulating periods, intellectual property rights are not yet regulated. Overseas, the WTO/TBT Agreement set rules for good practice in formulating and performing standards from an exclusive perspective. The Britain Institutions of Standardization formulated publicly available regulations on organizing, managing and evaluating standard alliances.

In summary, the standards keep ahead internationally compared with similar standards from home and abroad.

4. Relations with existed relevant laws, regulations and standards

In terms of coordinating with laws, regulations and mandatory standards, this standard strictly obeyed the Reforms of Deepening Standardization (NO.13 Document of State Council, 2015) and coordinated with revision of standardization laws and formulating of Guidance Suggestions for Cultivating and Developing Association Standard by the China Institutions of Standardization's management committee to ensure the supportive functions of this standard.

In terms of coordinating with current recommended standards, this standard managed to directly refer to relevant existed standards (such as GB/T 20000.1 Standard Work Guidance Part 1: General Terms of Standardizations and Relevant Activities) in order to realize coordination and cohesion.

5. Standards and basis of handling substantial divergence of opinions

No substantial divergence of opinions was emerged during the development progress.

6. Suggestions for setting this standard the national recommended

version

This standard is the fundamental national version of supporting the standard revisions and it is suggested to be the recommended version of national standard.

7. Constructions for requirements and measures of national standards

It is suggested that this national standard to be published and performed simultaneously with Guidance Suggestions for Cultivating and Developing Association Standard. Increasing publication and implementation of the standards into all levels, and to compile corresponding teaching materials when necessary.