

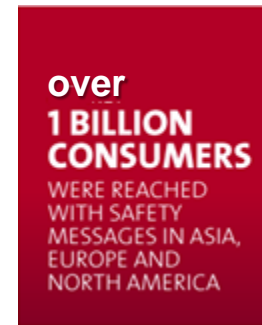
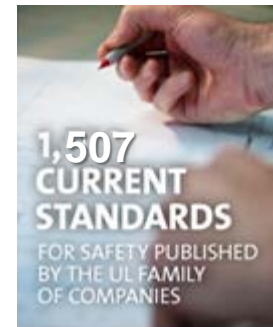
# Achieving Consensus & Avoiding Duplication in Standardization



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# UL Global Footprint 2014



# Standards Development - Overview

- UL Standards is part of Underwriter's Laboratories Inc.; a **not-for-profit** entity with a public safety mission.
- UL has been developing standards for **over 110 years** (since 1903).
- UL has published over **1,507** standards and Outlines of Investigation within the UL Family of Companies.



# UL Standards By the Numbers 2014

1,507  
CURRENT  
STANDARDS  
PUBLISHED BY THE UL  
FAMILY OF COMPANIES



OVER  
3,200  
STP MEMBERS  
ACTIVELY  
PARTICIPATING IN  
STANDARDS  
DEVELOPMENT

81% OF UL  
STANDARDS  
APPROVED AS  
AMERICAN  
NATIONAL  
(ANSI) STANDARDS



NEARLY  
14,380  
**PARTICIPATE**  
IN UL STANDARDS  
DEVELOPMENT  
ACTIVITIES ONLINE



# ACHIEVING CONSENSUS

# Consensus Process used by UL

- UL's consensus process is **accredited** by both the American National Standards Institute (**ANSI**) and the Standards Council of Canada (**SCC**).



- Working with all **affected stakeholders**, our aim is to develop standards that reflect a consensus among all participants.

# WTO & TBT

- UL's procedures also align with the November 2000 WTO TBT Committee's decision on international standards.
- UL adheres to the **principles** set out in that decision:
  - transparency
  - openness
  - impartiality and consensus
  - relevance and effectiveness
  - coherence and
  - development dimension

# STP Overview

- The Standards Technical Panel (STP) or committee process is essential for consensus standards development.
- An STP:
  - a group of individuals representing various interests
  - a balanced matrix (Goal: No Interest Group over 33%)
  - develops and reviews proposals
  - votes (or ballots) on proposals for new Standards or revisions to existing Standards.
- UL's STP procedures were **approved by ANSI** and meet their **essential requirements**.





# Who is on an STP or Committee?

STP Members include:

- STP Chair
- STP Project manager
- Members made up of a balanced matrix:
  1. Producer
  2. Supply Chain
  3. Regulators
  4. Government
  5. Consumers
  6. Commercial / Industrial End User
  7. General Interest
  8. Testing and Standards Organizations



# Consensus Definition

- Consensus **does not** mean **100%** approval;
- Consensus is a **two-part** process; consensus is considered achieved when:
  - a. Over 50% of the STP submits a ballot (vote) of any kind;
  - b. Of those voting,  $\frac{2}{3}$  must vote affirmative excluding abstentions.
- If a proposal **fails** the initial ballot, consensus can still be reached through **recirculation** if:
  - a. Over 50% of those that voted voted yes; and
  - b. Over 50% of the STP has submitted a vote.



# UL's Role in the STP Process

- Under the ANSI system, UL may have 1 vote during ballot. This vote could be cast by a UL **technical expert** who would be a member of the STP.
- The Chair is usually a UL employee; they ensure the standards development process continues in an efficient and transparent manner. The STP Chair is a **non-voting** member.
- UL also provides project managers to each STP to facilitate committee work and to act as secretariat. The project manager is a **non-voting** member of the STP also.



# Task Groups

- Task Groups & Task Group Chairs are created by the STP Chair to deal with specific topics or specific standards.
- Task Groups are usually a smaller group of STP Members or experts who work together to: work on specific proposals, specific standards, or specific comment resolutions
- Task Group members **do not** ballot; they review proposals, put together proposals for first editions, and resolve comments for consideration by the STP.
- The **STP** is the consensus body that can **ballot** on proposals.
- ***Task groups help achieve consensus because in smaller groups initial agreement can be achieved more easily or more complicated technical questions can be resolved.***



# The Collaborative Standards Development System (CSDS)

- CSDS is UL's **web-based standards development** system used to submit proposals, comment, and vote on proposals at any time of the day from any computer system with internet access.
- CSDS is **open to anyone** interested and is the designated and primary tool for participation in UL's standards development process.
- CSDS can be accessed at: <http://csds.ul.com/Home/Default.aspx>
- All proposals are viewable by any CSDS user; making UL's process **fully transparent**.
- ***CSDS allows STP members to open **work areas** to facilitate collaboration and share information. This is another tool to help achieve consensus.***



# Experience in Achieving Consensus

1. When issues come up, Task Group Chairs and/or STP members discuss with the Chair who can suggest ways to deal with issues:
  - a. If there are issues that arise during a meeting, the Chair can call for a break, to allow STP members an opportunity to cool down and have side conversations.
  - b. If a working group cannot achieve consensus on a proposal, a straw vote can be taken and the majority position can move forward to ballot.
  - c. If there are two very strong points of view, minority positions can be shared with STP and discussed to facilitate consensus.
  - d. If teleconference meetings are having issues; a face-to-face meeting can be called; it is sometimes easier to achieve consensus face-to-face.
2. Getting as many people to **submit a ballot** as possible is one of the main goals. We strive for 100% voter response rate.



# AVOIDING DUPLICATION

# WTO TBT Principle of Avoiding Duplication in Standardization

The WTO/TBT Committee has stated the following:

*“In order to avoid the development of conflicting international standards, it is important that international standardizing bodies **avoid duplication of, or overlap with, the work of other international standardizing bodies**. In this respect, cooperation and coordination with other relevant international bodies is essential”*

*“Coherence is the avoidance of redundancy and duplication of effort within the standardization community. It is the practice of not starting a standards activity when one already exists.”*



# Duplication

- No one wants duplication of standards; it causes confusion, wastes resources and increases costs to manufacturers.
- To avoid duplication, ANSI manages a **Project Initiation Notification System (PINS)** where SDOs submit notice when they initiate a new standard.
- This *notification* is posted in ANSI **Standards Action** for first-time approval of a standard.
- The intent is that notification to all stakeholders can help determine quickly whether there is possible duplication.



# If Duplication Identified

- An SDO has **30** calendar days to review new PINS and determine if the proposed standard duplicates or conflicts with an existing standard or prior PINS.
- If a written comment is submitted, a mandatory **deliberation** between the two SDOs is held within **90** calendar days to discuss the need for the standard.
- The intent of this process is to allow SDOs to work out potential issues while ensuring that stakeholder needs are met.



# Other Mechanisms to avoid Duplication

- In addition to the formal ANSI process, UL and other SDOs publish their work programs and have ongoing discussions among themselves and with stakeholders.
- Typically, SDOs develop standards within their area of competency so as to minimize duplication; however there are cases where similar standards do exist for particular reasons.
- Ultimately, SDOs respond to the needs of their stakeholders – no one wants to develop a standard that will never be used.



# Mechanisms to Avoid Duplication

- UL actively participates in regional (CANENA, COPANT) and other international standards activities (IEC, ISO)
- UL also follows the TBT principle of coherence:
  - making reference to existing standards;
  - not duplicating standards;
  - not forming new STPs or committees where ones already exist.
- To achieve this:
  - UL requires that new standards work consider the existence of ongoing activities before they can move forward.
  - STPs must review existing standards as they begin their work to minimize duplication and increase coherence among standards;
  - Where possible, UL standards also make normative reference to existing standards or test methods to ensure consistency.



# Additional Information

UL's ANSI Procedures for Standards for US:

<http://www.ul.com/global/documents/corporate/standards/ApprovedRevisionstoULsAccreditedProcedures.pdf>

Submit proposals via CSDS for revising standards:

<http://csds.ul.com/Home/Default.aspx>

Attend STP Meetings either as an STP Member or a Guest:

<http://csds.ul.com/Home/MeetingsDefault.aspx>

“Call for Members” indicates which STPs are seeking members:

<http://www.ul.com/global/eng/pages/solutions/standards/developstandards/participation/callformembers/index.jsp>



QUESTIONS??



THANK YOU

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