Achieving Consensus & Avoiding Duplication in Standardization

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NEARLY
22 BILLION
UL MARKS
APPEAR ON PRODUCTS

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

IN THE COUNTRIES IN WHICH WE OPERATE,
THERE ARE
159
LABORATORY
TESTING AND
CERTIFICATION
FACILITIES

over
1 BILLION
CONSUMERS
WERE REACHED
WITH SAFETY
MESSAGES IN ASIA,
EUROPE AND
NORTH AMERICA

10,842 EMPLOYEES
IN THE UL FAMILY OF COMPANIES READY
TO SERVE UL CUSTOMERS

44 COUNTRIES
WITH UL EMPLOYEES
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

29 COUNTRIES
REPRESENTED ON STPs

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

7,895 PROPOSALS
REVIEWED BY UL STP MEMBERS

NEARLY 14,380 PARTICIPATE IN UL STANDARDS DEVELOPMENT ACTIVITIES ONLINE

395+ ACTIVE STPs
DEVELOPING AND MAINTAINING STANDARDS

OVER 3,200 STP MEMBERS
ACTIVELY PARTICIPATING IN STANDARDS DEVELOPMENT
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.


- 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:

Submit proposals via CSDS for revising standards:

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:
QUESTIONS??
THANK YOU

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