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# UL/ULC STANDARDS ACCREDITATION MANUAL

**Approvals**  
(Name and Title)

|   |   |
|---|---|
| Document Owner<br><br>Tricia Sena<br>Standards Engineer | Approver<br><br>Mark Ramlochan<br>Standards Manager |
|---|---|

**Document Revision History**

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| Mark Ramlochan | This controlled document is based on the 2017 R&G publication by the Standards Council of Canada for Canadian standards development. This document replaces the following corporate controlled document:   | 1.0         | 2018-03-01 |            |
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| 05-ST-P0853    | ULC Standards Manual 1: Procedures for Standards   |             |            |            |
| Tricia Sena    | Revisions to correlate with the 2019 SCC Requirements and Guidance – Accreditation of Standards Development Organizations.<br><br>NEW – 1A (Documentation of accreditation requirements): clarity/guidance on maintenance of SDO accreditation.<br><br>NEW – 1B (Documentation of self-declaration requirements): clarity/guidance on self-declaration status and maintenance.<br><br>NEW - 6.2.3 (Availability in both official languages): alignment with ISO/IEC language policy for ISO/IEC adoptions in Canada.<br><br>NEW – 8.5 (Notification of suits or claims): new requirement.<br><br>NEW – 9.7.2 (ICS Codes): additional guidance.<br><br>Updated - 9.9.1.1 (Timeline for consideration of proposals): defining time frame for review of proposals.<br><br>NEW – 9.9.5.4 (Notice of intent): documenting current practice on when update to NOI is required. | 2.0         | 2020-03-19 |            |



**ULC Standards**  
Normes ULC



**Quality &  
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| Tricia Sena | <p>Updated – 6.3.2 (Avoiding Duplication): documenting Program Manager is responsible for monitoring the CNS.</p> <p>Updated – 9.15.4.1 B (Front Cover Page): clarification of designation year denoted.</p>   | 3.0 | 2021-03-04 |
| Tricia Sena | <p>Updated – 10.2.3.5 (Types of Membership) and 10.3.1.5 (STP/TC Meetings - General): aligning terms for associate members.</p> <p>Updated – 10.2.4.1 (Appointment of Chair) and 10.2.6.4 (Application Process): alignment with removal of pending list.</p> <p>Updated – 10.2.8.3 (Voting Procedures &amp; Privileges): no longer allow added members to vote if added after the start of the ballot.</p> <p>Updated – 5.1.1.1 and 5.1.1.2 (Need for a Standard in the Canadian Marketplace) and 9.9.1.4 (Proposal Stage – General): include link to web form for New Standard Requests.</p> <p>Updated – 9.15.4.1 (Front Cover Page): remove item D reflecting current practice.</p> | 3.0 | 2021-04-15 |
| Tricia Sena | <p>Section 2 - Revisions to address 2021 Audit Observation regarding references to obsolete SCC documents</p> <p>6.2.1 Clarification that Canadian interest is to be established for ALL standards development activities.</p> <p>9.10.7.1 – Clarification of normative marking requirements</p> <p>Editorial corrections</p>  | 4.0 | 2022-03-15 |
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## 1 INTRODUCTION

### 1.1 General

This document applies to all standards development activities within ULC Standards and UL Standards (abbreviated throughout this Manual as “UL/ULC Standards”) related to their separate Standards Council of Canada (SCC) accreditations. It covers requirements for National Standards of Canada and National Adoptions of International/Regional Standards and Other Deliverables. These requirements are based on the following SCC Requirements and Guidance documents:

- A. Accreditation of Standards Development Organizations 2019
- B. National Adoptions of International/Regional Standards and Other Deliverables 2017

This document also covers the role of the Technical Committees (TCs) of ULC Standards and the Standards Technical Panels (STPs) of UL Standards in this process. Rules concerning the establishment and operations of TCs and STPs are provided as well as criteria for striving for a balance of interests within the membership. This document also stipulates voting procedures and provides detailed requirements for the consideration of all negative votes and all public comments.

This document is to be reviewed and approved on cycle not to exceed 2 years, as required by the UL Document Control System.

### 1.2 Authority

UL/ULC Standards have issued this document, which either can amend from time to time and waive or supplement, in whole or in part, at any time or times at its discretion, while maintaining compliance with SCC requirements.

### 1.3 Conflicts with Recognized Installation Codes

Regulators have relied on UL/ULC Standards being compatible with nationally-recognized, consensus-based installation codes. This allows the Regulators to act with confidence in accepting products for installation within their jurisdiction. It is UL/ULC Standards policy that its standards not be in conflict with recognized national installation codes. If a proposal that would bring the standard into compliance with the code is defeated, then the STP/TC decision is appealable. If a proposal is submitted to UL/ULC Standards and approved by the STP/TC, causing the standard to be in conflict with the code, then the STP/TC decision is appealable.

## 1A MAINTENANCE OF ACCREDITATION

1A.1 In order to maintain accreditation by SCC, UL/ULC Standards shall continue to maintain procedures complying with the Requirements & Guidance for SDOs for the publication and  
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withdrawal of standards contained herein. If one or more approved NSCs are not maintained within the accreditation cycle, the UL/ULC Standards shall submit written justification from the Director of Standards at the reaccreditation as to why they have not submitted any NSCs to SCC for approval and why their accreditation remains relevant.

1A.2 UL/ULC Standards shall work with SCC's Accreditation Services Branch to arrange for assessments at selected intervals or due to special circumstances to confirm adherence to the Requirements & Guidance for SDOs and to confirm that their procedures and practices continue to be consistent with those which formed the basis for accreditation.

1A.3 UL/ULC Standards shall submit to a regular assessment in accordance with the Accreditation Policy and SDO Accreditation Agreement. When SCC issues revised or additional Requirements & Guidance for SDOs, UL/ULC Standards shall comply with them within a reasonable time period designated by the SCC's Accreditation Services Branch in order to maintain accreditation.

## **1B SELF-DECLARATION**

### **1B.1 Eligibility**

1B.1.1 UL/ULC Standards have achieved the status of Self-Declaration by complying with the following criteria:

- A. SCC has approved at least five distinct standards as NSCs.
- B. The NSCs shall be representative of the SDOs scope of work.
- C. No standard submitted during the three-year period was denied the NSC designation by SCC, due to a failure to comply with the Requirements & Guidance for SDOs.
- D. Not in arrears with respect to any fees invoiced.
- E. No open non-conformities from the last assessment activity.
- F. No open complaint (whether expressed as a complaint or appeal) against any NSC.

### **1B.2 Maintenance**

1B.2.1 UL/ULC Standards has a written agreement with SCC, which include commitments to meet the following requirements:

- A. The agreement shall be for a term aligned with the accreditation cycle; and
- B. Any additional terms included in the agreement may be modified as circumstances require with prior approval of SCC and UL/ULC Standards (as long as such additional term(s) do not conflict with any of SCC's existing policies and procedures).

### **1B.3 Suspension**

1B.3.1 UL/ULC Standards shall immediately cease to apply the NSC designation to any standard without obtaining SCC approval should UL/ULC Standards be notified by SCC that its self-declaration status has been suspended and/or withdrawn.

## 2 NORMATIVE REFERENCES

- SCC Requirements & Guidance – Committee Accreditation and Financial Assistance
- SCC Canadian Standards Development – Program Overview
- SCC Requirements & Guidance – Accreditation of Standards Development Organizations SCC
- SCC Requirements & Guidance – National Adoptions of International/Regional Standards and Other Deliverables
- SCC Requirements & Guidance – Participation in International Standardization

## 3 DEFINITIONS

**ACCREDITATION:** The formal recognition of the competence of an organization to carry out specific functions in accordance with established criteria. Where such accreditation has been accorded by SCC, the SDO is a component of Canada's standardization network.

**AMENDMENT/REVISION:** Modification, addition or deletion of specific parts of the normative content of a standard.

**APPEAL:** Any request submitted in writing to UL/ULC Standards for the adoption, reversal, or modification of any procedural action or inaction taken by the STP/TC or UL/ULC Standards at any time in the document development process. Safety issues, code conflict issues and membership issues are also appealable as described in Section 8.

**BALANCED REPRESENTATION:** A representation of interest groups in a STP/TC such that no single category of interest can dominate the voting procedures. Commonly used interest categories may include, but are not limited to, general interests, producers, regulators and users.

**CANADA'S STANDARDIZATION NETWORK:** The people and organizations involved in the development, promotion and implementation of standards.

**CENTRALIZED NOTIFICATION SYSTEM (CNS):** Public notice portal on SCC's corporate website of SDO Notices of Intent (NOI) to develop or adopt a new standard or other deliverable; new edition, amendment/revision, reaffirmation or withdrawal of an already published standard; Work Program; and a listing of published standards under SCC's accreditation.

CSDS (Collaborative Standards Development System): UL's paperless, web-based standards development system solely used to submit proposals, comment, and vote on proposals at any time of the day from any computer with internet access that meets the minimum system requirements. CSDS is the only means in which to participate in UL/ULC Standards standards development (submitting proposals, voting and commenting). The systems can be found at <https://csds.ul.com> (UL) and <https://csds.ul.com/canada> (ULC).

COMMENT: A position (for or against), opinion, observation, explanation, criticism or recommendation concerning a proposal, expressed in writing in accordance with this document. It can also mean a technical justification of a negative vote or an explanation of an abstention or affirmative vote.

COMPLAINT: Expression of dissatisfaction, other than an appeal, by any person or organization, against UL/ULC Standards, where a response is expected.

CONFLICT OF INTEREST: Is a situation in which a person or organization is involved in multiple interests (financial or otherwise), one of which could possibly corrupt the motivation of the individual or organization.

CONFORMITY ASSESSMENT: Demonstration that specified requirements of a particular standard relating to a product, service, process, system, person or body are fulfilled.

CONSENSUS: General agreement characterized by the absence of sustained opposition to substantial issues by a concerned interest, and by a process that takes into account the views of all parties concerned, and reconciles any conflicting arguments.

CONSUMER: Consumer organizations, consumer departments at universities, home economic departments at universities, professional consumers, individuals who use the product or service as part of their livelihood and are not eligible for STP/TC membership under another interest category.

EDITORIAL CHANGES: Those changes that do not change the meaning, scope, or intent of the standard. Examples include spelling, sentence structure, punctuation, changes to appropriate format, updating standard titles, and replacing reference to withdrawn standards when there are no substantive changes.

DUPLICATION RESOLUTION MECHANISM (DRM): SCC's process intended to address cases of identified duplication of standards and effort involving a collaborative discussion between concerned SDOs.

GENERAL INTEREST: Those on a STP/TC with a demonstrated interest and relevant expertise not associated with the production, distribution, direct use, or regulation of the product(s), material(s) or service(s). These include consultants, members of academia, scientists, special experts, representatives of professional societies, representatives of trade associations, representatives of non-governmental organizations, representatives of companies

that only private-brand label products (made by another manufacturer) covered by the STP/TC, and other individuals that are not covered by the other participation categories.

**GOVERNMENT:** Those on an STP/TC representing national government agencies. Also, representatives of regional (e.g. state/province/territory) or local government bodies that do not fall under the category of Regulators. For U.S. representatives, these may include CPSC, FDA, EPA, DOT, DOE, DOD, NIST, etc.

**HARMONIZATION:** The integration of work related to standards development activities involving the preparation of Canadian standards and International Standards with the objective of achieving the greatest practicable degree of commonality in accordance with policies and procedures of SCC and the applicable SDO.

**INTERNATIONAL STANDARD:** An International Standard published by ISO or IEC; or An international standard published by any international standardizing/standards organization and made available to the public.

**INTERNATIONAL ELECTROTECHNICAL COMMISSION (IEC):** A non-governmental organization whose membership is composed of national committees and which is responsible for preparing and publishing International Standards for the electrical and electronic fields.

**INTERNATIONAL DELEGATE:** Individual representing a National Standards Body outside of the United States and Canada (e.g. JISC, DIN, BSI). This person is designated by the National Standards Body and approved by the STP/TC Chair. A National Standards Body can only have one International Delegate per STP/TC. An International Delegate will be granted non-voting status if the International Delegate's base Company or Organization is already on the STP/TC.

**INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO):** A non-governmental organization whose membership is composed of national standards bodies and which is responsible for preparing and publishing International Standards in fields other than electrical, electronic and telecommunication.

**INTERNATIONAL STANDARDIZED PROFILE (ISP):** An internationally agreed-to, harmonized document that describes one or more profiles.

**ISONET:** The ISO Information Network is an agreement between standardizing bodies to combine their efforts in order to make information on standards, technical regulations and related matters readily available whenever it is required.

**JOINT CANADA–U.S. NATIONAL STANDARD:** A Standard that is published as a single document for both countries that indicates compliance to Standards Council of Canada (SCC) and American National Standards Institute (ANSI) national standards requirements.

**MAINTENANCE:** The action by the STP/TC of reviewing an international standard, regional standard, or other international /regional deliverable which results in its reaffirmation, amendment/revision, publication as a new edition or withdrawal.

**NATIONAL STANDARD OF CANADA (NSC):** A standard developed by an SDO, and approved by SCC, as meeting SCC's requirements for National Standards of Canada designation.

**NEW EDITION:** A standard that has been revised and is issued with the same designation number as its predecessor, but with a new publication date, and incorporates previous amendments/revisions and other changes.

**NON-VOTING MEMBER:** A member of a STP/TC who does not have the right to vote and is added to a STP/TC if the Chair determines that such an appointment serves a useful purpose. Non-voting Members may serve in an advisory, corresponding, or liaison capacity. Nonvoting Members may include, but are not limited to, members of SCC Mirror Committees (SMCs) to ISO and IEC standards development committees, CPSC, and NEMA. This is not intended for additional representatives from an organization already represented on the STP/TC.

**OTHER REGIONAL/INTERNATIONAL DELIVERABLE:** A Technical Specification, Technical Report, Publicly Available Specification or International Standardized Profile developed by a regional standards body or ISO or IEC. ISO/IEC Guide 21-2 defines each of these deliverable types in detail in an international context, except International Standardized Profiles, which is defined in ISO/IEC TR 10000-1.

**PERFORMANCE REQUIREMENTS:** Requirements that concern the behaviour of a product, process or service in or related to use.

**PRODUCER:** Those on a STP/TC who are predominantly involved in production, promotion, retailing, or distribution of the subject product(s), material(s) or service(s). For standards establishing product requirements, a representative of a company that is engaged in the manufacture of products covered by the standard. For standards establishing requirements for the installation and/or servicing of products or systems, a representative of a company that is engaged in the installation and/or system servicing. A company which contracts out operations (such as fabrication and/or assembly for product manufacturing), but still retains some control of the overall process, (including for example, performance of such major functions as research and development, design, ownership of tools and dies, production scheduling, quality control and wholesale distribution for product manufacturing) is also considered to be a producer. A consultant or agent who represents a producer is considered a producer.

**PROFILE:** A set of one or more base standards and/or ISPs. This may include, where applicable, the identification of chosen classes, conforming subsets, options and the parameters of those base standards, or ISPs necessary to accomplish a particular function.

**PROPONENT:** A person who puts forward a proposal for the development of a standard.

**PROPOSAL:** A suggested amendment/revision, deletion, or addition to a standard.

**Note:** For proposals suggesting the development of a new standard, see Clause 5.1.1.1.

**PUBLIC REVIEW:** An opportunity for the public to comment on a draft standard before final approval by the STP/TC.

**PUBLICLY AVAILABLE SPECIFICATION (PAS):** Document published by ISO or IEC to respond to an urgent market need, representing either a consensus in an organization external to ISO or IEC, or consensus of the experts within a working group.

**REAFFIRMATION:** continuation of an existing Standard without change except for updated numbering and editorial adjustments for those Standards that have not been revised in a 5-year period. The declaration by the SDO that the STP/TC confirms that a standard that has not been revised in a 5-year period continues to be valid without necessitating any technical change and that it is still in conformance with applicable requirements.

**REDRAFTING:** A regional standard, International Standard, or other regional/international deliverable published as a national adoption where the regional or international deliverable is not a reprint or identical translation of the source deliverable.

**REGIONAL STANDARD:** A standard that is developed or adopted by a regional SDO and made available to the public.

**REGIONAL STANDARDS DEVELOPMENT ORGANIZATION:** An organization whose membership is open to the relevant national standards body from each country within one geographical, political or economic area.

**REGULATION:** A document specifying mandatory rules created by an authority through the powers established under legislation.

**REGULATOR (AHJ):** Those involved in the regulation or enforcement of the requirements of codes and standards at a regional (e.g. state or province), and/or local level. The authority having jurisdiction / regulator may be a regional or local department or individual such as a fire chief; fire marshal; chief of a fire prevention bureau, state department of insurance official, labor department, or health department; building official; electrical inspector; or others having statutory authority.

**REPRINTING:** A regional standard, International Standard, or other regional/international deliverable published and printed as a national adoption by direct reproduction of the published regional/international deliverable (e.g. by photography, scanning or from an electronic file).

**SAFETY MARKING:** Text or graphical symbol instruction on a product designed to prevent unacceptable risk.

**SCC MIRROR COMMITTEE:** A national technical committee established by SCC which mirrors an international committee that facilitates Canadian participation within international standardization activities.

**SECOND LEVEL REVIEW:** Verification, conducted by the SDO at the end of the technical approval stage, to ensure compliance with the standards development process requirements.

**STANDARD:** A document, established by consensus and approved by a recognized body that provides for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at achievement of the optimum degree of order in a given context. For the purpose of this document this includes National Standards of Canada and National Adoptions of Canada.

**STANDARDIZATION:** The processes of formulating, issuing, and implementing standards to establish provisions for common and repeated use, aimed at the achievement of the optimum degree of order in a given context to address actual or potential needs.

**STANDARDS DEVELOPMENT:** Process based on the principles of the Canadian standards development system which includes the policies and procedures of an SCC-accredited SDO for the preparation, approval, publication and maintenance of standards.

**STANDARDS DEVELOPMENT ORGANIZATION (SDO):** An organization, or part thereof, accredited by SCC, that accepts responsibility for the development, approval, publication and maintenance of standards.

**STANDARDS TECHNICAL PANEL (STP):** The group of individuals representing a variety of interest categories formed to provide input on new or revised standards for processing by UL Standards. The STP is responsible for providing proposals, and reviewing and balloting proposals. The group may also meet to discuss standards-related issues. It serves as the consensus body for UL Standards. Alternately, these consensus bodies may be called a technical committee or similar descriptive name as situations dictate.

**SUBSTANTIVE CHANGES:** A substantive change in a Standard is one that directly and materially affects the use of the standard. Examples of substantive changes include:

- A. Modification of "shall" to "should" or "should" to "shall";
- B. Addition, deletion or revision of requirements, regardless of the number of changes;
- C. Addition or deletion of mandatory compliance with referenced standards;
- D. Revision of date of referenced code or standard; or
- E. Modification that changes the intent, scope, or meaning of the standard or has an impact (either positive or negative) on those affected by the standard.

**TASK GROUP:** An ad hoc group appointed by the STP/TC Chair to address a specific topic or issue within a standard.



**TECHNICAL COMMITTEE (TC):** The ULC Standards committee responsible for developing, approving and maintaining the technical content of a draft or published standard in accordance with the policies and procedures of ULC Standards. Alternately, these consensus bodies may be called a standards technical panel or similar descriptive name as situations dictate.

**TECHNICAL DEVIATION:** Any difference between the technical content of the International/regional standard or other deliverable and that of the national standard or other deliverable.

**TECHNICAL REGULATION:** A regulation that provides technical requirements, either directly or by referring to or incorporating the content of a standard, technical specification or code of practice. The technical regulation may be supplemented by technical guidance that outlines some means of compliance with the requirements of the regulation (i.e., deemed-to-satisfy provision).

**TECHNICAL REPORT (TR):** A document published by ISO or IEC containing collected data of a different kind from that which is normally published as an International Standard or Technical Specification.

**TECHNICAL SPECIFICATION (TS):** A document published by ISO or IEC for which there is the future possibility of agreement on an International Standard, but for which at present: the required support for approval as an International Standard cannot be obtained; there is doubt on whether consensus has been achieved; the subject matter is still under technical development; or there is another reason precluding immediate publication as an International Standard.

**TESTING AND STANDARDS ORGANIZATION:** Organizations that test and/or certify products, services, or systems covered by the standard, or that develop standards/codes related to the products, services, or systems covered by the Standard.

**ULC STANDARD:** A standard developed and published by ULC Standards but is not a National Standard of Canada.

**USER:** An interest category of those on a STP/TC who predominantly represent end users of the subject product(s), material(s), or service(s) and who are not involved in any way in production and/or distribution of the subject product(s), material(s) or service(s). Consumers are one type of end user, and may be defined as individual members of the general public, or consumer organizations, purchasing or using property, products or services for private purposes. A User may be further defined into Supply Chain, Commercial/Industrial User, or Consumer.

**SUPPLY CHAIN:** Component producers for an STP/TC responsible for standards covering end products, or end-product producers for an STP/TC responsible for standards covering components; and installers, distributors, and retailers. Manufacturers who have no manufacturing facilities for the products covered by the STP/TC, but solely use contract manufacturers to make the products are considered part of the supply chain category.

Wholesale or retail purchase-resellers for products made by other companies are also considered as part of the supply chain category.

WITHDRAWN STANDARD: A standard discontinued by an SDO and its responsible STP/TC as it is no longer valid, represents the most current, reliable, and/or available information.

#### 4 CROSS REFERENCE TABLES

| 2019 SCC R&G Accreditation of SDOs Reference | UL/ULC Standards Accreditation Manual | Title  |
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| 4.7  | Part 3                                | National Adoption of International/Regional Standards and Other Deliverables |
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| 6.5  | 9.7                              | Use of ISONET: International Harmonized Stage Codes and International Classification for Standards            |
| 6.6  | 9.9.5; 9.12.3;<br>9.15.7; 9.17.2 | Notification Requirements   |
| 6.7  | 9.12.2                           | Technical Committee Approval Process  |
| 6.8  | 9.13                             | Second Level Review   |
| 6.9  | 9.15.6                           | Publication Process   |
| 6.10 | 9.16.1                           | Maintenance of Standards  |
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| 6.12 | 9.2                              | International Inquiries on Code of Good Practice  |
| 6.13 | 9.4                              | Information Requests  |
| 6.14 | 8                                | Complaints and Appeals Mechanism  |
| 7.1  | 9.10.2                           | Normative Content   |
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## **PART 1 – ACCREDITATION REQUIREMENTS**

### **5 STRUCTURAL AND RESOURCE REQUIREMENTS**

#### **5.1 Canadian Relevance**

##### **Need for a Standard in the Canadian Marketplace**

5.1.1.1 In order to determine the need for a Standard in the Canadian marketplace, a [New Standard Request form](#) shall be completed by the proponent requesting the Standard. The information that is required on the form includes:

- A. Date of Proposal;
- B. Name of Proponent;
- C. Affiliation of the proponent;
- D. Proponent's mailing and email addresses;
- E. Telephone number;
- F. Title and scope of the proposed standard;
- G. Purpose and justification;
- H. Addressed gap in the Canadian Standards system;
- I. Evidence of stakeholder support;
- J. Relevant certification program standard will support;
- K. Type of Standard (Domestic, Adoption, Joint National Standard, etc.);
- L. Need for standard in both of Canada's official languages based on the needs of stakeholders;
- M. Suggested STP/TC membership based on Canadian representation appropriate to the subject area covered by the standard;
- N. Commitment anticipated from users;
- O. Funding; and
- P. Preparatory work.

5.1.1.2 The [New Standard Request form](#) is to be reviewed and approved by UL/ULC Standards Management before any work is started on the standard.

5.1.1.3 The need for the standard shall take into account the subjects of Canadian Interest as per 6.2.1.

##### **Appropriate participation of Canadian experts in STPs/TCs**

5.1.2.1 The STP/TC shall have balanced representation of interest categories. Typical interest categories are general interest, producer, AHJ/regulator and supply chain, commercial/industrial users, government, testing and standards, and consumer (see Subsection 7.5).

5.1.2.2 UL/ULC Standards exists to be of service to inspection authorities, insurance inspection agencies, manufacturers, plant operators, architects, utilities, consulting

engineers, consumers, and others across Canada by developing standards and supplying authoritative information on products.

- 5.1.2.3 The need for standards for products or services falling within the above-mentioned subject areas exists on a broad national scale. Consequently, the associated standards published by UL/ULC Standards are correspondingly national in essence. Producers, users, regulators and general interests on a wide geographical basis throughout Canada are provided with an opportunity to contribute to the standards development process in their areas of concern.
- 5.1.2.4 UL/ULC Standards has co-operative working relationships with the major national authorities and interests concerned with similar areas of activities including various levels of federal, provincial and municipal governments and the insurance industry. A large number of such bodies are represented on the various UL/ULC Standards advisory councils, which provide representation from all provinces and territories of Canada and municipal jurisdictions.
- 5.1.2.5 UL/ULC standards have been referenced in the National Building Code of Canada, the National Fire Code of Canada, the Canadian Electrical Code, Hazardous Products Act, Environmental Code, and all similar provincial and territorial codes and regulations for many years.

## 5.2 Legal Responsibility

UL Standards and ULC Standards are separate legal entities in Canada, and as such are held responsible for all their respective standards development activities.

## 5.3 Separation of Management Activities

ULC: In 1966, as the activities of ULC continued to increase, it became evident that a separate department, independent of the Engineering Department, would be required to provide the necessary staff, knowledge and facilities needed to carry out the functions associated with the writing and servicing of standards. Accordingly, the Standards and Records Department was formed. In 1996, the Standards Department became completely independent from the Records Department. On April 1, 2010, a new not-for-profit corporation was established called ULC Standards.

UL: The standards department was formed, independent of the Engineering Department, to provide the necessary staff, knowledge and facilities needed to carry out the functions associated with the writing and servicing of standards. In 2012, UL Standards became officially separate from the conformity assessment activity as part of the not-for-profit corporation, Underwriters Laboratories Inc.

In 2016, to achieve operational efficiencies, UL Standards and ULC Standards aligned their operations where possible, while maintaining individual accreditations.

## 5.4 Continuity of Operations

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The attributes of UL/ULC Standards as a standards development organization that enhance the continuity of business operations include:

- A. A trained and competent staff dedicated to the task of serving the public of Canada;
- B. Highly developed facilities directed towards the aims and objectives of the organization;
- C. An independent, not-for-profit organization with a tradition of unbiased public service in the fields of standards writing and testing for safety;
- D. Knowledge and a co-operative working relationship with those concerned in the fields of life, electrical and fire safety across Canada;
- E. Published National Standards of Canada, the validity of which has been confirmed by long use; and
- F. Experience and knowledge extending over a large area of the field of activities.

UL/ULC Standards recognizes that the safety and well-being of employees, ongoing services to customers and survival of the mission are dependent on an effective and comprehensive business continuity program. The UL/ULC Business Continuity Plan enables the UL/ULC Standards sites to more effectively recover its business processes in the event of business interruption and is activated when events adversely impact UL/ULC Standards staff, facilities, or IT systems.

In the event of a disaster, the electronic records backed up and stored off-site may be recovered by the UL/ULC IT Department.

For the history of UL/ULC Standards, refer to Appendix A.

### **5.5 Staff Competence**

Formal Standards training is provided to project managers on the following major topics:

- A. UL/ULC Standards Manuals;
- B. Electronic Publishing System (EPS);
- C. Collaborative Standards Development System (CSDS); and
- D. SCC Requirements and Guidance Documents.

Training of staff is monitored by the Operations Manager who maintains a list of training courses that staff has completed.

UL/ULC Standards staff provides project management support to STPs/TCs. This support includes, but is not limited to the following:

- A. Ensure adherence to documented procedures;
- B. Support for STP/TC members through guidance and training;
- C. Communication with organizations and individual experts on a national basis who are likely to have substantial concern and competence in the field of the STP/TC's work;
- D. Review of requests for STP/TC memberships;

- E. Determining that STP/TC members participate actively and that all those having a substantial concern with the STP/TC activities have the opportunity to participate;
- F. Proposing work programs together with proposed completion dates and direction and guidance to the STP/TC;
- G. Responsibility for the administrative work, including secretarial services, arrangements for meetings, preparation and distribution of draft standards, letter ballots, minutes of meetings, collations and follow-up of comments, proof-reading, etc;
- H. Processing of ballots;
- I. Reporting of results of voting and comments;
- J. Maintenance of standards within the scope of the STP/TC, arranging for the publication, translation and distribution of standards;
- K. Providing technical information to be used in standards by STP/TC members, wherever possible;
- L. Keeping abreast of associated standards and the activities of national or international standards development organizations in similar areas of interest;
- M. Ensuring that STP/TC work proceeds as expeditiously as possible; and
- N. Maintaining of information on individuals, companies, organizations and agencies capable of contributing to the deliberations of the STP/TCs.

## 5.6 Facilities

UL Standards and ULC Standards are located in the following regional offices: Fremont, CA; Northbrook, IL; Ottawa, Ontario; Research Triangle Park, NC; and Toronto, Ontario. UL/ULC Standards has facilities for holding standards STP/TC meetings in all five offices.

## 5.7 Record Keeping

Records concerning actions on Standards, or a part(s) of a Standard, maintained under the continuous maintenance option shall be retained for a minimum of five (5) years or until approval of the subsequent revision or reaffirmation of the complete standard. Records concerning action on Standards maintained under the periodic maintenance option shall be retained for 10 years. Records concerning withdrawals of all Standards shall be retained for a minimum of five (5) years from the date of withdrawal.

Records contain information such as:

- A. Agendas;
- B. Minutes of meetings;
- C. Membership rosters;
- D. Canadian interest statements;
- E. Preliminary and balloted drafts;
- F. Summary of comments and responses;
- G. Notices of intent, and public review;
- H. Work Programs;

- I. Voting;
- J. Distribution;
- K. Publication;
- L. Reaffirmation;
- M. Withdrawal;
- N. Proposals;
- O. Comments on Proposals; and
- P. UL/ULC Standards Bulletins.

Records are stored on CSDS and on the UL/ULC Standards network drive. CSDS standards files are by Standard Number and the edition number.

Files for the SCC Mirror Committee of an International Standard Technical Committee for which UL/ULC Standards holds the secretariat, are retained at the SCC Sitescape Forum and in the SCC filing system. These files are denoted by the technical committee's designation such as "SMC/ISO/TC92", SCC Mirror Committee on ISO Technical Committee 92 on Fire Safety.

## **6 GENERAL REQUIREMENTS**

### **6.1 Consensus Requirements**

All standards shall be developed and published through the UL/ULC Standards consensus standards development process in accordance with this Manual.

### **6.2 Canadian Interest**

The following primary areas of Canadian Interest shall be considered at the beginning of the development process of an NSC, prior to the publication of the Notice of Intent (NOI) to the extent possible as appropriate:

- A. Strategic Need;
- B. Availability in Both Official Languages; and
- C. Geographical Representation.

Strategic Need – The strategic need of the key stakeholders shall be identified and confirmation expressing the need for the standard.

Availability in Both Official Languages – The standard is to be published in both of Canada's official languages. The following criteria shall be applied to determine when a bilingual standard is not required:

- A. No stakeholders' need;
- B. No user base need;
- C. No AHJ need; and
- D. No health and safety related needs

For ISO/IEC adoptions where a Canadian need has been identified for bilingual publications, SDOs shall use the official available ISO/IEC translations. Where no French translation is



available, UL/ULC Standards shall conduct a national translation and publish the ISO/IEC adopted NSC, with the French translation as non-official, in alignment with ISO/IEC language policy.

Geographical Representation – UL/ULC Standards TCs and STPs shall include Canadian geographical representation appropriate to the subject area covered by the standard.

### **6.3 Avoiding Duplication**

UL/ULC Standards shall make every effort to avoid duplication or overlap with the work of other SCC-accredited standards development organizations or with the work of relevant international or regional standards development organizations.

The Central Notification System (CNS) of the Standards Council of Canada shall be monitored by the Standards Program Manager in order to identify any duplication. For further information on the CNS, refer to SCC document Canadian Standards Development Program Overview, which specifies the requirements to provide notices of intent, as well as published standards. The CNS is designed to provide a centralized search tool to identify the possible duplication of standards.

In addition to monitoring the CNS, a search of published Canadian Standards and relevant international and regional standards shall be conducted prior to the development of a standard.

In the event that duplication is identified, UL/ULC Standards shall use the Duplication Resolution Mechanism (DRM) described in SCC document Canadian Standards Development Program Overview, which specifies the requirements for the collaborative phase of the dispute resolution mechanism to address duplication of standards.

UL/ULC Standards shall comply with the Action Plan developed as a result of the DRM process.

### **6.4 Work Program**

The UL Standards and ULC Standards Work Programs shall be update on a routine basis, no less than once every six months. The ULC Standards work program is found on the ULC Standards website at <http://canada.ul.com/ulcstandards/workprogram/> for each Standards Development Committee. The UL Standards Work Program is found on the UL Standards website at <http://ulstandards.ul.com/ul-standards-for-canada/work-programs/>.

A copy of the Work Program shall be provided to the SCC in accordance with the process steps found in the SCC document Canadian Standards Development Program Overview.

The work program gives information on the standard number and title, references to any international standards taken as a basis, status, stage code and date, public comment

due date, publication target date and the international classification for standards (ICS) number system for each standard.

The work program constitutes part of UL/ULC Standards compliance to the World Trade Organization agreement on technical barriers to trade. In addition, the Standards Council of Canada, Canada's representative for International standards development, publishes the existence of this work program. Additionally, a web link to each of the UL Standards and ULC Standards Work Programs is also provided from the SCC website.

Access to the most recent work programs is available online, free of charge. Interested parties are referred to the UL Standards and ULC Standards websites.

### **6.5 International/Regional Harmonization**

Where international standards exist or their completion is imminent, they or their relevant parts shall be used as the basis for development of corresponding Canadian standards. Exceptions to this rule exist where such international standards or relevant parts would be ineffective or inappropriate because of insufficient levels of protection or fundamental climatic or geographical factors or fundamental technological problems as determined by the committee having responsibility.

### **6.6 Standards Harmonization with International Community**

Wherever possible, UL/ULC Standards participates in the development of international standards with participation by SCC mirror committees formed under UL/ULC Standards.

UL/ULC Standards provides support for SCC Mirror Committees which are harmonized or partially harmonized with corresponding National committees by providing SCC Mirror Committee secretariats and ensuring members from the corresponding National Committee represent Canada on the SCC Mirror Committee.

The policies, responsibilities, and procedures which apply to SCC Mirror Committee are defined in Requirements & Guidance – Participation in International Standardization and International Standards Development - Program Overview.

### **6.7 Performance Based Standards**

All STPs/TCs shall be made aware that whenever possible, the requirements in standards shall be expressed in terms of performance rather than design, prescriptive or descriptive characteristics.

A rationale should be given when a STP/TC determines it is not possible to express the requirements in terms of performance.

### **6.8 Trade**

Standards should be developed to meet the needs of the market-place and should contribute to advancing trade in the broadest possible geographic and economic contexts. The STPs/TCs are to be made aware that standards are developed so as not to create unnecessary obstacles to international or inter-provincial trade, or both. When a standard results in the impedance or inhibition of trade, UL/ULC Standards shall take action to resolve an unjustified impediment or inhibition to trade.

## **6.9 Place of Origin**

All STPs/TCs shall be made aware that standards shall neither be developed nor adopted so as to discriminate among products on the basis of the place of origin.

Whenever evidence of instances of standards being developed with discrimination based on place of origin is brought to the attention of UL/ULC Standards, the Standards Program Manager shall ensure that the relevant STP/TC is advised and that the appropriate corrective action is taken.

## **6.10 Price Fixing**

Standards shall not be developed as a means to fix prices, nor to exclude competition or otherwise inhibit commerce beyond that necessary to meet requirements of relevant technical regulations or other legitimate sector or local requirements for compatibility, environmental protection, health and safety.

All STPs/TCs shall be made aware of these requirements to safeguard competition and open commerce. Whenever any concerns of this nature are brought to the attention of UL/ULC Standards, the Standards Program Manager shall ensure that the relevant STP/TC is advised and the appropriate corrective action is taken.

## **6.11 Protection Against Misleading Standards**

All STPs/TCs shall be made aware that standards should not be developed so as to allow them to be used to mislead consumers and other users of a product, process or service addressed by the standard.

Whenever evidence of instances of standards being used to mislead is brought to the attention of UL/ULC Standards, the Standards Program Manager shall ensure that the relevant STP/TC is advised and that the appropriate corrective action is taken.

## **6.12 Patents Policy**

### **ULC Standards Patent Policy**

6.12.1.1 All STPs/TCs shall be made aware that standards should not be drafted in terms that include the use of a patented item unless the use of such an item is justifiable for technical reasons, and the rights holder agrees to negotiate licenses with Interested Applicants, wherever located, on reasonable terms and conditions.

- 6.12.1.2 A published standard for which no patent rights are identified during the preparation thereof shall contain the following notice:

“Attention is drawn to the possibility that some of the elements of this Canadian standard may be the subject of patents rights. ULC Standards shall not be held responsible for identifying any or all such patent rights.”

- 6.12.1.3 A published standard, for which patent rights have been identified during the preparation thereof, shall include the following notice in the preface:

“ULC Standards draws attention to the fact that it is claimed that compliance with this Canadian standard may involve the use of a patent concerning (..subject matter..) given in (..subclause..).

ULC Standards takes no position concerning the evidence, validity and scope of this patent right.

The holder of this patent right has assured ULC Standards that he/she is willing to negotiate licenses under reasonable and non-discriminatory terms and conditions with applicants throughout the world. In this respect, the statement of the holder of this patent right is registered with ULC Standards. Information may be obtained from:  
[..name of holder of patent right]

[..address...]

Attention is drawn to the possibility that some of the elements of this Canadian standard may be the subject of patent rights other than those identified above. ULC Standards shall not be held responsible for identifying any or all such patent rights.”

- 6.12.1.4 All proposals submitted for comment shall include the following text:

“Recipients of this proposal are invited to submit, with their comments, notification of any relevant patent rights of which they are aware and to provide supporting documentation.”

- 6.12.1.5 If technical reasons justify the preparation of a standard in terms which include the use of items covered by patent rights, the following procedure shall be complied with:

- A. The originator of a proposal for a standard shall draw the attention of the committee to any patent rights of which the originator is aware and considers covering any item of the proposal. Any party involved in the preparation of a standard shall draw the attention of the committee to any patent rights of which it becomes aware during any stage in the development of the standard;
- B. If the proposal is accepted as a standard on technical grounds, the originator shall ask any holder of such identified patent rights for a statement that the holder would be willing to negotiate licenses under his/her rights with applicants throughout the world on reasonable and non-discriminatory terms and conditions. Such negotiations are left to the parties concerned and are performed outside of ULC Standards. A record of the right holders statement shall be placed in the

registry of ULC Standards head office and shall be referred to in the introduction to the relevant standard (see Clause 6.12.3). If the right holder does not provide such a statement, the ULC Standards committee concerned shall not proceed with inclusion of the item covered by a patent right in the standard without authorization from ULC Standards;

- C. A standard shall not be published until the statements of the holders of all identified patent items have been received, unless ULC Standards gives authorization; and
- D. Should it be revealed after publication of a standard that licenses under patent rights, which appear to cover items included in the standard, cannot be obtained under reasonable and non-discriminatory terms and conditions, the standard shall be withdrawn, and the subject referred back to the relevant committee for further consideration.

### **UL Standards Patent Policy**

- 6.12.2.1 The following is UL Standard's patent policy for CAN/UL Standards, which complies with the ISO/IEC Directives Part 1, 12th edition, 2021, Procedures for the technical work, Annex I - Guideline for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC.
- 6.12.2.2 Inclusion of Patents in CAN/UL Standards - There is no objection in principle to drafting a proposed CAN/UL Standard in terms that include the use of an essential patented claim (one whose use would be required for compliance with that standard) if it is considered that technical reasons justify this approach.
- 6.12.2.3 Timely Notification to UL Standards
  - 6.12.2.3.1 When a proposal author is aware that a patent exists, or has been applied for, that pertains to the proposal they are submitting (whether the patent application was made by the proposal author, his/her organization, or other parties), the author is to notify UL Standards that their proposal may require the use of a patented claim, and the procedures in 8.1.2 to 8.1.4 shall be followed. Alternatively, if a STP member or individual commenting on a standards proposal believes that a proposal contains an essential patented claim, that STP member or individual should notify UL Standards of the possible existence of the essential patented claim. UL Standards does not have any duty to investigate such claim of essentiality. UL Standards' only duty is to bring the claim of essentiality to the attention of the voting members of the STP and to request a patent statement consistent with section 8.1.2 of this policy from the patent holder.

### 6.12.2.4 Statement from patent holder

6.12.2.4.1 UL Standards shall receive from the patent holder or a party authorized to make assurances on its behalf, in written or electronic form, either:

- A. A general disclaimer to the effect that such party does not hold and does not currently intend holding any invention the use of which would be required for compliance with the proposed NSC or
- B. A statement that a license to such essential patent claim(s) will be made available to applicants desiring to utilize the license for the purpose of implementing the standard either:
  - 1. Without compensation and under reasonable terms and conditions that are demonstrably free of any unfair discrimination; or
  - 2. Under reasonable terms and conditions that are demonstrably free of any unfair discrimination.

6.12.2.5 Record of statement

6.12.2.5.1 A record of the patent holder's statement shall be placed and retained in the file of UL Standards.

6.12.2.6 Notice

6.12.2.6.1 When UL Standards receives from a patent holder the assurance set forth in 8.1.2 (b), the standard shall include a note substantially as follows:

“NOTE - The user's attention is called to the possibility that compliance with this standard may require use of an invention covered by patent rights. By publication of this standard, no position is taken with respect to the validity of this claim or of any patent rights in connection there with. The patent holder has, however, filed a statement of willingness to grant a license under these rights on reasonable and non-discriminatory terms and conditions to applicants desiring to obtain such a license. Details may be obtained from UL Standards.”

6.12.2.7 Responsibility for identifying patents

6.12.2.7.1 UL Standards shall not be responsible for identifying all patents for which a license may be required by a CAN/UL Standard or for conducting inquiries into the legal validity or scope of those patents that are brought to its attention.

### **6.13 Standards for Conformity Assessment**

All standards intended for conformity assessment shall have the following statement in the introductory pages:

“This standard is intended to be used for conformity assessment.”

## 6.14 Reference to Certification and Administration Requirements

All STPs/TCs shall be made aware that administrative requirements relating to conformity assessment and marks of conformity or other non-technical issues should be presented separately from technical and/or performance requirements.

All STPs/TCs shall be made aware that requirements for third party certification or requirements from authorities having jurisdiction should not be included within the normative content of a standard. This content may be provided as informative material.

## 6.15 Conflict of Interest

UL/ULC Standards shall exercise due diligence to verify that STP/TC members and UL/ULC Standards staff involved in Standards development have no conflict of interest in carrying out their roles and responsibilities on the STP/TC.

Members of UL/ULC Standards STPs/TCs, Subcommittees, Task Groups and Working Groups shall, at the start of each meeting, declare the interest that they represent in the Standards published by the Committee, or the work of the Committee. Where other interests or concerns may, or may be perceived to, result in the member voting, or contributing in the discussion, in a fashion other than to promote their declared interest, the member shall declare a conflict and withdraw from the discussion and voting on the item concerned.

## 6.16 Declaration of Compliance to Accreditation Requirements

Standards prepared by UL/ULC Standards shall indicate in the introductory pages that the standard has been developed in compliance to SCC's SDO accreditation requirements.

## 6.17 Withdrawal of Approval

If UL/ULC Standards decides to withdraw NSC approval of a Standard or revision for whatever reason, it shall so inform the STP/TC and active Task Groups for that standard and provide the reason. UL/ULC Standards will also announce the withdrawal on the UL/ULC Standards website as appropriate. The decision by UL/ULC Standards to withdraw approval is not appealable to UL/ULC Standards.

# 7 FORMAL INTERPRETATIONS

## 7.1 Request for Interpretation

Formal Interpretations are intended to respond to requests on the meaning or intent of a requirement in the Standard. The TC/STP is responsible for making a Formal Interpretation (hereafter referred to as an Interpretation). A reasonable fee will be charged for processing a formal interpretation. See 7.1.6.

A statement, written or oral, that is not processed in accordance with this section shall not be considered the official position of UL/ULC Standards or any of their TCs/STPs and shall not be considered to be, nor be relied upon as, an Interpretation.

Requests for Interpretations shall be clearly worded so as to solicit a Yes or No answer from the TC/STP.

Interpretations shall be rendered only on the text of the current edition of the Standard. Requirements that have been superseded by revisions are not eligible for interpretation.

A request for an Interpretation shall be directed to the Project Manager. The request shall include a statement that references the specific problem and identifies the portion (section, paragraph, table etc.) of the Standard on which an Interpretation is requested. Such a request shall be in writing and shall indicate the name and affiliation of the requester.

When an Interpretation is received by UL/ULC Standards, the Program Manager and/or STP/TC Chair shall determine the proper course of action. If the Interpretation will be processed, a fee of \$1000 will be collected from the requester before processing begins.

If the Project Manager and/or STP/TC Chair, after consultation with the Director, North America Standards and other individuals as appropriate, determines the request for an Interpretation is inappropriate in accordance with 7.1.8, the submitter of the request shall be notified of the reason and the interpretation request will not be processed.

A request for an Interpretation shall not be processed if the TC/STP Chair determines that the request:

- A. Involves a review of a specific product, or requires judgment or knowledge that can only be acquired as a result of on-site inspection;
- B. Involves text that clearly and decisively provides the requested information;
- C. Involves subjects that are not addressed in the Standard;
- D. Is not in a format that can be responded to with a “Yes” or “No” answer (see 7.1.3);
- E. Is unclear or is structured in a way that it contains assumptions that aren’t directly supported by the Standard’s text;
- F. Contains compound questions, where the answers to one or more questions are contingent on answers to other questions, that can be confusing or complicated;
- G. or
- H. Involves the text of an IEC/ISO standard that has been adopted by UL/ULC Standards.

A request for an Interpretation that is not clear or that is not worded so as to result in a “Yes” or “No” answer will be returned to the submitter for editing.

## **7.2 Balloting of Interpretations**

If accepted for consideration, each request for an Interpretation shall be submitted for ballot to the TC/STP having primary jurisdiction of the Standard under consideration. The ballot



period shall be 30 days. An official response will not be provided to comments received during ballot.

The ballot period can be extended by the TC/STP Chair if requested or if more time is needed to obtain sufficient ballots to determine consensus.

An Interpretation requires consensus. Consensus is considered achieved if a majority of the TC/STP has returned a ballot and there is agreement (either “Yes” or “No”) of at least two-thirds of those members who have submitted a vote, excluding abstentions.

### **7.3 Recirculation of Interpretations**

If consensus is achieved on an interpretation per 7.2.3 and substantive comments were received regarding a position set forth in an Interpretation request, such comments shall be recirculated after the original ballot period to each TC/STP member, who may change his or her ballot at that time. The recirculation period shall be two weeks. Extension requests will not be accepted. Comments received during recirculation will not be provided with a response. At the end of the recirculation period, consensus as defined in 7.2.3 must be maintained for the Interpretation to be issued.

### **7.4 Final Actions on an Interpretation**

If the Interpretation decision achieves and or maintains consensus, the requester and the TC/STP shall be notified in writing by the TC/STP Chair. The Interpretation shall be issued and shall become effective immediately. The decision by the TC/STP is binding until it is withdrawn as noted in 7.4.5. A decision on a technical matter may not be appealed beyond the Technical Committee level.

If consensus is not achieved on an Interpretation, the requester and the TC/STP shall be notified and no further action shall be taken.

Interpretations of text in the current edition of a Standard shall be published by UL/ULC Standards and made available with the Standard within 60 calendar days.

The TC/STP is responsible for maintaining and pursuing revisions for a standard as a result of a Formal Interpretation. When an Interpretation has been issued, the TC/STP Chair determines who will own, draft, and submit the Interpretation as a proposal request in CSDS. The TC/STP Chair may choose to assign this task to the requester of the Interpretation, an individual, or a task group. The proposal will then follow the standards process in accordance with these Regulations.

When consensus has been achieved on the proposal addressing an Interpretation, the Interpretation shall be withdrawn when the corresponding revision is published in the standard. If an Interpretation never achieves consensus through the standards proposal process, the Interpretation will be withdrawn the next time a new edition is issued for the standard.

## **8 COMPLAINTS AND APPEALS**

### **8.1 General**

Objectors may file a complaint or an appeal with UL/ULC Standards. Complaints may be either of a substantive (technical) or a procedural nature. Appeals are procedural in nature and are either an administrative appeal or a special circumstance appeal as defined in 8.3.

A duplication complaint shall follow the Duplication Resolution Mechanism process described in the Canadian Standards Development – Program Overview.

### **8.2 Complaint**

Objectors must submit in writing a complaint concerning either a technical or a procedural complaint in reference to the standard to the Project Manager. Technical complaints shall be handled by the responsible STP/TC. Procedural complaints shall be handled by the Program Manager. The time to respond to a complaint shall not exceed 60 calendar days.

The decision on the technical matter may not be appealed beyond the STP/TC. The decision on the procedural matter may be appealed by the objectors as per 8.3.

### **8.3 Appeals**

#### **General**

- 8.3.1.1 An appeal may be filed after a complaint decision or at any other time during the standards development process. When notified that an objector wishes to appeal, the STP/TC Project Manager will acknowledge the request generally within 5 working days.
- 8.3.1.2 During the course of a standards development project, objectors are informed of their right to appeal during the recirculation process, which means they have 2 to 4 weeks to file an appeal depending on the length of the recirculation.
- 8.3.1.3 If the appellant provides all of the documentation to support the appeal, the STP/TC Chair shall assign someone to develop the response to the appeal.
- 8.3.1.4 If the appellant does not provide the necessary documentation, the Project Manager will contact the appellant and give three weeks to provide the necessary documentation.
- 8.3.1.5 When the information is received, the response will be prepared by the person(s) designated by the STP/TC Chair. The rebuttal from the appellant should be submitted to the STP/TC Chair in three weeks. The STP/TC Chair will send the appellant's and defendant's documentation to the Appeals Panel Secretary.

#### **Extension**

8.3.2.1 Upon request, the appellant and/or the person(s) preparing the response can be granted a two-week extension.

### **Publication**

8.3.3.1 If there is an appeals request, publication of material will be put on hold until appeal is resolved.

### **Appeals Panel**

8.3.4.1 A standing Appeals Panel representing a variety of interests exists to hear all appeals, with a majority in attendance to hear an appeal. If neither the Chair of the Appeals Panel nor the Vice Chair of the Appeals Panel is in attendance at a scheduled hearing, then another person from the Appeals Panel will be named as a temporary Appeals Panel Chair. The appellant will be given the opportunity to claim a conflict of interest for any Appeals Panel member. The reason for the appellant's claim of conflict of interest and the involved Appeals Panel member's response will be reviewed by the Appeals Panel Chair for a decision on the merits of the claim. UL Standards staff shall not serve as a member of the Appeals Panel, but a staff member will act as the Appeals Panel Secretary.

### **Types of Appeals**

8.3.5.1 There are two classifications of Appeals, administrative appeals and special circumstances appeals. Appeals will be heard only on those two types.

8.3.5.2 Administrative appeals require approval of majority of the appeals panel at hearing. Administrative appeals are the following:

- A. Procedural issues – these are issues where it is believed the Approved Procedures were not followed.
- B. Membership issues – these are issues where the STP/TC Chair has accepted or denied membership based on interest category classification of an application.

8.3.5.3 Special circumstances appeals require approval of two-thirds of the appeals panel at the hearing since these deal with overriding the decision of the STP. (Note that the circumstances described in 9.9.7.1 and 9.12.7.1 are not appealable to UL's Appeals Panel). Special circumstances appeals are the following:

- A. Safety issues – these are issues where there is overriding concern that publication or non-publication of the proposed requirements will result in a serious safety concern.
- B. Code Conflict issues – these are issues where the STP/TC has not approved a proposal causing the standard to be in conflict with a recognized installation code. Another issue is where the STP/TC has approved a proposal which would cause conflict with a recognized installation code.

### **Handling Appeals Request**

- 8.3.6.1 The Appeals Panel Secretary will forward the documentation to the Appeals Panel Chair for evaluation of the next steps. The appellant and defendant will be copied on the correspondence for the Appeals Panel Secretary.
- 8.3.6.2 The Appeals Panel Chair may (1) dismiss the appeal without a hearing, if the appeals request is not based on an administrative violation (2) send the request to the whole appeals panel to decide if a hearing is warranted, or (3) grant an appeals hearing.
- 8.3.6.3 If the Appeals Panel Chair deems a request for an appeal to be inappropriate because it is based on issues not under consideration by the ballot (such as objections to other parts of the Standard or based on certification issues) or is otherwise without merit, the appeal may be dismissed without a hearing.
- 8.3.6.4 If an objector does not agree with the Appeals Panel Chair's determination to dismiss the appeal without a hearing, the objector may request that the Appeals Panel determine if the appeal shall be dismissed without a hearing. The Appeals Panel decision whether or not to have a hearing will be determined by a majority vote of those who return a ballot.

### **Conduct of Appeals Hearing**

- 8.3.7.1 A senior UL Standards staff member not involved in the standard in dispute shall serve as recording secretary. A face to face hearing will be scheduled within 90 days of the decision that an appeals hearing is warranted. If the parties cannot agree upon a date within those 90 days to hold a face to face meeting, then the hearing shall be conducted by teleconference on the scheduled date and if the appellant is not available for a teleconference, the appeal will be handled by correspondence on that date.
- 8.3.7.2 At the hearing, each side will be given 30 minutes (including rebuttal time) to present its case. Each side can have up to three speakers. Other observers may attend but will not be permitted to speak. The appellant presents first, followed by the defendant. At the end of the presentation, the appellant side may use whatever time is remaining of their 30 minutes to rebut the defendant's comments. Following that, the defendant may use whatever time is remaining of their 30 minutes to rebut the appellant comments. Following the presentations and rebuttals, the Appeals Panel is free to ask questions of both parties. Both parties shall limit their replies to just answering the questions.
- 8.3.7.3 After the question and answer period, both parties shall be informed that a written decision will be issued, normally within 30 calendar days. The Appeals Panel will then go into executive session. A majority vote of the Appeals Panel is required to accept an administrative appeal and two-thirds vote of the Appeals Panel is required to accept a special circumstances appeal.
- 8.3.7.4 The recording secretary will record the decision of the Appeals Panel, including whether to accept the appeal, the reasons for the decision, any corrective actions that need to be taken, etc. The Appeals Panel decision will be reviewed by the Appeals Panel Chair, the Vice President of Standards and/or Legal Counsel before it is sent to all involved parties.

The Appeals Panel decision is binding and there are no further levels of appeal within UL's Accredited Procedures.

#### **8.4 Appeal to SCC**

The final Complaint decision from the STP/TC or the UL/ULC Standards Appeals Panel decision may be appealed within 90 calendar days to SCC's Chief Executive Officer.

#### **8.5 Notification of Suits or Claims**

8.5.1 UL/ULC Standards shall promptly notify SCC of any suit or claim made against themselves arising from a standard designated as an NSC, and provide periodic updates to SCC of the status of any such suit or claim.

### **9 CONSENSUS REQUIREMENTS**

#### **9.1 Documented Process Based on Consensus**

UL/ULC Standards maintains documented policies and procedures for the development, publication, and maintenance of its standards.

Upon request, UL/ULC Standards shall make these documented policies and procedures available to interested parties.

In the event that policies and procedures have changed, UL/ULC Standards shall inform SCC that these changes have occurred.

#### **9.2 International Inquiries on Code of Good Practice**

UL/ULC Standards shall address, in a timely manner, inquiries and complaints from another SDO that has accepted the WTO/TBT Annex 3 Code of Good Practice for the Preparation, Adoption and Application of Standards.

#### **9.3 Co-Published Standards**

##### **Commitment to Co-Publication with Other Organizations**

9.3.1.1 UL/ULC Standards are committed to harmonization of requirements and co-publication of certain standards with other SDOs when in the interest of the involved parties.

##### **Harmonization Committee**

9.3.2.1 For harmonization efforts, a harmonization committee, joint committee, or other coordinating body exists to make recommendations on the technical content of the requirements, including reviewing submitted proposals and comment resolution, to the involved SDOs. Those proposals or proposed comment dispositions are then balloted through the STP/TC. Note that it may be necessary for an SDO to work with the Harmonization Committee to improve or revise the proposals or proposed comment dispositions before sharing them with the STP/TC. UL/ULC Standards has the right to

forward a proposal not accepted during the harmonization effort to the STP/TC for comment or ballot.

#### **9.4 Information Requests**

##### **General**

9.4.1.1 UL/ULC Standards shall provide standards development related information on request within the limits of applicable privacy legislation.

#### **9.5 Balance of Interests**

The STP/TC roster is subject to periodic review to ensure that the requisite balance of interests is being maintained.

The STP/TC shall have balanced representation of interest categories, including but not limited to producer, commercial/industrial user, general interest, supply chain, government, AHJ/regulators, consumer, international delegate. The interest categories shall reflect Canadian national interest. Foreign nationals are permitted to participate, (such as when there are few or no producers in Canada) as long as balance requirements are met.

Where consumer and public interest representation would provide the needed balance of interests, the STP/TC shall identify and make efforts to secure support for equal access and effective participation of such interests. Evidence of this effort shall be retained.

Balance is considered achieved if no single interest category dominates the voting procedures, by exceeding 49%. In no case shall an STP/TC be formed with more than 50 percent of the membership on the STP/TC in one interest category. If an STP/TC member resigns after an STP/TC is formed and that resignation causes one interest category to have more than 50 percent of the membership, then immediate action shall be taken to recruit needed interest categories to bring the STP/TC within the balance range. If an interest category is over the one-third of the total membership target, UL/ULC Standards reserves the right to deny additional membership to that membership category.

If the desired balance cannot be achieved despite reasonable attempts to recruit a more balanced membership, then the efforts shall be documented by the Project Manager and the STP/TC can proceed to function as the consensus body, while efforts to recruit new members continue.

The STP/TC roster is subject to periodic review to ensure that the requisite balance of interests is being maintained.

#### **9.6 Equal Access and Effective Canadian Participation to the Standards Development Process by Concerned Interests**

In all STP/TCs every effort shall be made to provide access to all concerned interests in Canada, and if appropriate, outside of Canada, where the scope of the standard has

more than Canadian National Interest. Foreign nationals shall be permitted to participate (such as when there are few or no producers in Canada) as long as balance requirements are met.

Membership in all UL/ULC Standards STPs/TCs shall be open to all interested parties subject to the rules of STP/TC balance established for each STP/TC (See Subsection 9.5, Balance of Interests).

In instances where interested STP/TC members (e.g. consumers, regulators, academia, or representatives of government agencies) do not have sufficient financial resources to participate in the STP/TC process (i.e. travel and living costs to attend meetings), UL/ULC Standards may provide funding to assist the member. Such funding is limited to the budget approved by UL/ULC Standards management for the particular STP/TC.

## **9.7 Use of ISONET Development Stage Codes and International Classification of Standards**

### **ISONET Stage Codes**

9.7.1.1 UL/ULC Standards uses the ISONET development stage code system in the publication of its STP/TC work programs. The codes describe the stage of development for each of the standards. The stage codes are defined in Table 1 located before Appendix A.

9.7.1.2 The standards development process for UL/ULC Standards has been divided into stages as per Sections 9.8 to 9.17.

### **9.7.2 ICS Codes**

9.7.2.1 The ICS code(s) is assigned at the initial stages of a Standards Development project, and throughout the life of the standard, as required using the International Classification for Standards (ICS) document. ICS codes are an administrative tool applied to standards to assist users in finding and organizing documents.

9.7.2.2 Validated ICS codes shall be recorded in the Notice of Intent and in the UL and ULC work programs. Upon publication, the ICS codes shall be included in the introductory material of a published standard.

9.7.2.3 If the scope or title changes during the course of the project, and new and/or different ICS codes are needed, the NOI and work program shall be updated.

9.7.2.4 When a document has not previously been assigned ICS codes, appropriate codes shall be selected by the Project Manager and verified by the responsible Program Manager.

## **9.8 Preliminary Stage (00)**

9.8.1 The preliminary stage is the receipt of the proposal. A proposal request may originate from any source. When appropriate, it is preferred that requests originate from organizations and represent a coordinated group interest.

## 9.9 Proposal Stage (10)

### General

9.9.1.1 This proposal stage step is to confirm that a new standard or a new proposal to revise an existing standard is needed.

9.9.1.2 Proposals for the development of new or revised standards shall be considered within 3 weeks of proposal submittal date.

9.9.1.3 A request should be accompanied with evidence to substantiate that the requested action would make a significant contribution to the national interest.

9.9.1.4 In the case of a new Standard, a [New Standard Request form](#) shall be completed and submitted to UL/ULC Standards for review and approval. (See Subsection 5.1.1) UL/ULC Standards will evaluate the request and provide a response to the requestor within sixty calendar days of the request. If UL/ULC Standards agrees with the development of the standard, it is referred to the STP/TC responsible for the subject matter. If a STP/TC does not exist, then the process of formation of a STP/TC takes place.

9.9.1.5 To evaluate the validity of a request, UL/ULC Standards may solicit the views of capable individuals whose interests provide a balance of representation (See Subsection 7.5, Balance of Interests).

9.9.1.6 Editorial/non-substantive changes may be made at any time without a requirement for ballot.

### Initiation

9.9.2.1 Any person, organization, or existing STP/TC can request UL/ULC Standards to develop a new standard or revision of proper concern to UL/ULC Standards. Submittals shall include a statement of the matter, substantiation of the need to address the matter, a precise description of the topic(s) to be addressed, and clarification that the matter is not already addressed by an existing UL, or other NSC Standard. UL/ULC Standards reserves the right to not develop a new standard if, in the exercise of its judgment, the publication of the proposed new standard would pose an overriding safety or legal risk for UL, or if there is not sufficient justification of the need for such a standard. If the decision is made to not process a request for a new standard, UL/ULC Standards will respond to the request with a letter that explains the reason for not processing the proposal within thirty days following the decision. Such a decision is not appealable to UL.



### **Format of Submitted Proposal**

9.9.3.1 Each proposal shall be submitted in electronic format using the Proposal Request function as found on the UL/ULC Standards CSDS website and shall include the following:

- A. Identification of the submitter and his or her affiliation (i.e., STP, organization, company), where appropriate,
- B. Identification of the Standard and paragraph of the Standard to which the Proposal is directed,
- C. Proposed text of the Proposal, including the wording to be added, revised (and how revised), or deleted, and
- D. Statement of the problem and substantiation for Proposal (rationale).

9.9.3.2 If a submitted proposed addition or revision is not fully developed (i.e. specific text not included, rationale/justification missing, or other problem areas), the Chair may direct the Project Manager to return the proposal to the originator for further development. UL Standards retains the right to edit the proposal as necessary to comply with its format and style guidelines.

### **Time for Submission of Proposals**

9.9.4.1 A proposal received after an established cut-off date will be held until the next cycle and the submitter will be so notified.

### **Publication of Notice of Intent (NOI)**

9.9.5.1 When UL/ULC Standards has accepted a proposal to develop or adopt a new standard, new edition, revise an existing standard or has decided to reaffirm or withdraw a previously published standard, a Notice of Intent (NOI) shall be provided to the Centralized Notification System (CNS) to inform the Canadian Public. (See Subsection 6.3).

9.9.5.2 The content of the NOI shall include:

- A. Designation number
- B. Title
- C. Scope
- D. Project need
- E. Contact information of the SDO
- F. ICS Code(s)

9.9.5.3 UL/ULC Standards shall issue a new NOI when the International harmonized stage code 10, Proposal stage, has not been completed within a maximum timeframe of 12 months.

9.9.5.4 UL/ULC Standards shall update the NOI if there are substantive changes to the scope and/or title of the originally proposed NOI.

### **Submission of Proposals to Existing Standards**

9.9.6.1 Most standards covered under this Procedure are maintained using continuous maintenance. This means that any part of the standard is open for comment or proposals at any time and by anyone, within the constraints of any established revision cycle.

9.9.6.2 Each proposal should be submitted in electronic format using the Proposal Request function as found on the UL/ULC Standards CSDS website and shall include the following:

- A. Identification of the submitter and his or her affiliation (i.e., Technical Committee, organization, company), where appropriate;
- B. Identification of the Standard and paragraph of the Standard to which the Proposal is directed;
- C. Indicate if the proposed text of the proposal contains copyrighted material;
- D. Proposed text of the Proposal, including the wording to be added, revised (and how revised), or deleted shown in legislative text; and
- E. Statement of the problem and substantiation for Proposal (rationale).

9.9.6.3 If a submitted proposed addition or revision is not fully developed (i.e. specific text not included, rationale/justification missing, or other problem areas), the Chair may direct the Project Manager to return the proposal to the originator for further development. UL/ULC Standards retains the right to edit the proposal as necessary to comply with its format and style guidelines.

9.9.6.4 A proposal received after an established cut-off date may be held until the next cycle.

9.9.6.5 All proposals submitted shall be reviewed by the Chair and Project Manager and processed in accordance with the following options (1) send the proposal out for preliminary review, (2) send the proposal out for ballot, (3) assign to a task group or submitter for further development, (4) send the proposal back to the submitter, or (5) hold for discussion at a meeting. The Chair also may add his/her comments to the proposal being sent out for preliminary review or ballot.

### **Proposals with Legal or Safety Risks**

9.9.7.1 UL/ULC Standards reserves the right to reject a proposal submitted for a standard if, in the exercise of UL/ULC Standard's judgment, the publication of the proposed requirements would pose an overriding safety hazard or a legal risk for UL/ULC Standards. If the decision is made to reject a proposal, UL/ULC Standards will respond to the request with a letter that explains the safety or legal reason for not processing the proposal. Such a decision is final (not appealable).

## **9.10 Drafting Stage (20)**

### **General**

9.10.1.1 This drafting stage covers items to be considered in the development of a standard.

9.10.1.2 The following shall be considered during the drafting of proposals:

- A. Be expressed in terms of performance rather than design, prescriptive or descriptive characteristics;
- B. International Harmonization;
- C. Not be used to mislead consumers and other users of a product, process or service (See Subsection 6.11);
- D. Not be developed as a means to fix prices, nor to exclude competition or inhibit commerce (See Section 6.10);
- E. Not be drafted in terms that include the use of patented items (See Subsection 6.12);
- F. Not be developed nor adopted to discriminate among products on the basis of the place of origin (See Subsection 6.9);
- G. Not include administrative requirements related to conformity assessment or other non-technical issues (See Subsection 6.14);
- H. Not to create unnecessary obstacles to international or inter-provincial trade or both (See Subsection 6.8);
- I. Avoiding Duplication (See Subsection 6.3);
- J. The national codes or regulations under which the class of products are to be installed and/or used;
- K. The general use of concepts and materials which the class of products may employ;
- L. Coordination with standards development works in other fields;
- M. Safety Markings identified and created in English and French; and
- N. Note: A graphical symbol with no language is considered acceptable, such as symbols provided in the international standards series ISO 3864
- O. For a proposed new standard, a decision as to what type of document to publish:
  - i. ULC Standard/UL Standard
  - ii. National Standard of Canada (NSC)
  - iii. International/Regional Other Deliverables (See Part 3)

9.10.1.3 Preparation of the Preliminary draft is usually assigned to an individual, or a task group, thus providing some assurance that this preliminary document is co-ordinated to form a practical and workable standard. In addition, the valuable time of STP/TC is conserved by avoidance of much detail work at STP/TC meetings on editorial, clause co-ordination, and workability matters, and consequently the processing of the development of the standard is expedited.

### **Normative Content**

9.10.2.1 The normative content of a National Standard of Canada shall include the scope, normative references, terms and definitions, and technical requirements (including normative annexes).

### **Units of Measurement**

- 9.10.3.1 The international system of units (SI) shall be the official unit of measurement in a National Standard of Canada. When no SI unit equivalent exists, such as trade sizes used in Canada, the trade size unit may be used.
- 9.10.3.2 If equivalent Imperial units are included, they shall be shown in brackets. Conversions expressed in the standards should be approved by the STP/TC.
- 9.10.3.3 ISO 80000 series of standards shall be used to apply SI units, including conversions to and from other systems of measurement.
- 9.10.3.4 It is the responsibility of the user of the standard to determine the unit of measurement appropriate for the user's needs.

#### **Date and Time**

- 9.10.4.1 Numeric date and time units shall comply with ISO 8601.

#### **Number and Title**

- 9.10.5.1 The designation of the standard should include the CAN descriptor to indicate its status as a National Standard of Canada, unless a rationale to omit the descriptor is identified during the proposal stage.

#### **Copyright Material**

- 9.10.6.1 Project managers are responsible for obtaining authorization to republish and distribute material in which copyright is owned by a third party. In the case of International Standards, UL/ULC Standards may use the ISO and IEC Standards for the purpose of developing National Standards of Canada since the Standards Council of Canada has been granted the copyright control within Canada of the ISO and IEC.

#### **Safety Markings**

- 9.10.7.1 When a standard contains requirements for cautionary text to address safety issues, this text shall be written in both of Canada's official languages. If markings are included in an Annex, the Annex shall be identified as Normative for Canada and Informative for the US.
- 9.10.7.2 Graphical symbols, such as those depicted in ISO 3864 series, are acceptable for use without supplementary text.

#### **Project Plan**

- 9.10.8.1 A project plan should be established that has clear and reasonable time limits for completing the project. The project plan should be prepared by the project manager in consultation with the STP/TC. The following target dates should be established to ensure the draft is ready by the target date:

- A. Preliminary Review;

- B. Ballot Approval;
- C. Second Level Review;
- D. Final Edit (including translation); and
- E. Publication.

### **9.11 Preliminary Review (Committee Comment) Stage (30)**

Preliminary review may be completed if the Chair or Project Manager, as appropriate, decides to send the proposals for preliminary review prior to formal balloting to determine the level of support for a proposal or to sort out competing proposals. The preliminary review STP/TC comment stage is a stage where the proposal is circulated to the STP/TC for review and comment. The intent is to obtain the STP/TC initial comments to the proposal. Upon receipt of all comments on the draft, the comments are submitted to the proposal submitter for review and possible revisions. Response to comments is not required at this phase.

The proposal is distributed to the STP/TC for comment for a specified time, minimum 14 days.

*Note: preliminary review is not required. The intent is to obtain initial reaction and comments to the draft.*

Consideration of the comments shall be handled one of two ways: (1) assigned to the proposal submitter (which may be a Task Group), (2) recorded by the ULC Project Manager as a result of discussion by the ULC Committee.

The comments are typically recorded in a Summary of Comments for consideration by the proposal submitter.

The proposal submitter shall determine to whether to revise or maintain the proposal based on the comments received.

If the proposal submitter does not provide the Chair or Project Manager, as appropriate, with confirmation of their final proposal (whether adjusted in response to preliminary review comments or maintained without changes) within the timeframe given, then the proposal is considered withdrawn.

**STP/TC Consideration of Proposals Prior to Official Balloting** - In cases where the Chair or Project Manager determines that proposals need to be discussed prior to the official balloting, the Chair may call an STP/TC Meeting. The following approach shall be used for determining the disposition of proposals at the STP/TC meeting This approach shall also be used when there are competing proposals on the same topic.

During the meeting, the proposals will be discussed and a preliminary disposition of the proposal will be determined. This will allow decisions to be made such as eliminating competing proposals and sorting out proposals that have no support from those that should be balloted. Dispositions shall be provided to the proposal submitter.

All submitters of proposals to be considered at the STP/TC meeting will be invited to the meeting. In addition, they will be copied on the proposal review work area.

## **9.12 STP/TC Ballot Stage (40)**

### **General**

9.12.1.1 The STP/TC ballot stage is when the proposal is circulated to the Technical Committee for vote. Although the 60-day public review can occur at any stage in the standards development process prior to final Technical Committee approval, the proposal is typically circulated for public review during this stage.

9.12.1.2 The STP/TC Chair and/or the Project Manager will confirm the length of the ballot period. Even though the minimum ballot periods are stated below, it may be necessary to allow for longer periods due to stakeholder request or the size or complexity of the document to review. The ballot period guidelines are as follows:

A. Minimum of 14 days for expedited proposals;

*Note: This option shall be used only when it is determined (1) there is a need for an escalated ballot period, and (2) substantive changes are not expected.*

B. Minimum of 30 days for a routine proposal;

C. 45 days for a more complex proposal, as determined by the Chair and/or Project Manager; or

D. 60 days for a proposed first edition or proposed new edition.

*Note: these durations do not also apply to the public review period.*

9.12.1.3 At the Chair's discretion at end of the ballot period, if sufficient ballots/votes are not returned to achieve consensus, the ballot period can be extended to allow for additional ballots to be returned.

9.12.1.4 Segmenting Document for Consensus Balloting – The decision to segment the Document (i.e., ballot or process the Document other than as a whole) shall be made by the Chair.

9.12.1.5 In addition, STP/TC Members may request one ballot period extension before the close of the ballot period. Normally, the STP/TC Chair should work to limit the extension periods to no more than half the original ballot period in order to maintain a timely standards development process.

### **STP/TC Approval Process**

9.12.2.1 Standards are not formally approved for publication until all of the consensus process steps have been satisfied.

9.12.2.2 The approval process shall be based on evidence of consensus reached by the STP/TC. The approval process shall not be used to block or obstruct the promulgation of standards.

9.12.2.3 The following shall constitute STP/TC ballot approval:

- A. More than 50% (simple majority) of the members who are eligible to vote cast affirmative votes; and
- B. A minimum of 2/3 of the votes are affirmative.

9.12.2.3.1 If the initial ballot only achieves item A of 9.12.2.3 then comment resolution and recirculation shall continue, with concurrence from the proposal submitter. If under the latter circumstances the proposal submitter agrees to withdraw the proposal, no further action shall be taken by the STP or UL Standards Department.

9.12.2.4 Negative votes without justification, negative votes based on material not under consideration, abstentions without justification, as well as unreturned and blank ballots shall be considered not cast.

9.12.2.5 When negative votes are received, a minimum 14 day recirculation of the draft standard or proposal(s) shall be conducted to confirm consensus by the STP/TC. The document or proposal(s) shall then proceed to Second Level Review.

## Comments

9.12.3.1 Content of Comments - Each comment shall include the following:

- A. Identification of the submitter and his or her affiliation (i.e., STP/TC, organization, company),
- B. Identification of the Document and paragraph of the Document and the proposal to which the Comment is directed, and
- C. Statement of the position with respect to the proposal and the substantiation of that position.

9.12.3.2 A Comment that does not include all of the required information listed above may be considered incomplete. In addition, comments submitted outside of CSDS will not be considered by the STP/TC.

9.12.3.3 Comments shall be confined to proposals under consideration for action. The Project Manager and/or Chair has the discretion to determine if a comment is appropriate to the proposal:

- A. Any comments not related to the proposal being balloted are considered non-germane. The submitter will be notified of this and asked to submit the comment as a new proposal via the proposal request form in CSDS. These ballots will not be circulated to the Technical Committee unless there are germane comments also accompanying the ballot, and then only the germane portion of the comments will be circulated.

- B. Any comments on certification issues, including effective dates, related to the proposals under consideration are considered non-germane and outside the scope of the SCC accredited process. These comments will be addressed and responded to but will not be recirculated to the Technical Committee unless there are germane comments also accompanying the ballot, then only the germane portion of the comments will be circulated. The commenter will not be advised that there is no right to appeal the response to this type of comment. Examples of certification issues are issues that relate to conformity assessment services, such as comments on effective dates, file reviews, certification labeling, or ongoing conformity assessment services.
- C. Any negative ballot submitted that does not have accompanying comments will be considered as a “negative without comments” without further notice to the voter. These ballots will not be circulated.
- D. If the comments that accompany a negative ballot are considered non-germane (as defined in items A and B); the ballot will be considered as a “negative without comments.”

9.12.3.4 The CSDS work area ballot instructions shall reflect these considerations.

### **Public Review**

9.12.4.1 A Public Review period of at least 60 days shall allow interested parties outside, as well as within Canada to submit comments on the proposal. In cases where urgent problems related to health, safety, or the environment may be involved, the Public Review period may be shortened to 45 days.

9.12.4.2 A notice is posted on the UL/ULC Standards websites notifying the Canadian Public that the standard or proposal is available for Public Review and the period for commenting on the proposal. This notice contains the start and end dates of the review period and indicates how to obtain a copy of the draft standard.

9.12.4.3 All comments received as a result of public review are handled in the same manner as comments attached to ballots. They will be addressed, circulated if a continuing objection and given the right to appeal. Extension requests from public review participants will not normally be granted, except under special circumstances as approved by the STP/TC Chair or Project Manager.

9.12.4.4 Timing - The public review is usually conducted concurrently with the STP/TC ballot but it may be conducted before or after the STP/TC ballot. If the STP/TC is balloted before public review and the proposal does not achieve consensus, then public review need not be conducted. Comments received after the closing date shall be handled as a new proposal and shall be considered at the next standards activity.



### Disposition of Comments

- 9.12.5.1 The ballot results and comments, including public review comments, shall be made available to the STP/TC members.
- 9.12.5.2 All comments, other than those accompanying abstentions, received on the proposals under consideration, whether accompanying an STP/TC member's ballot or from a public review participant, shall receive a written response indicating what action will be taken on the commenter's concerns. If a comment is not accepted, a reason shall be given.
- 9.12.5.3 At the Chair or Project Manager's discretion, comment resolution shall be handled one of three ways: (1) recorded by the STP/TC Project Manager as a result of discussion by the STP/TC, (2) assigned to a task group, or (3) assigned to the submitter of the proposal under consideration. If the comment responses are not drafted within the timeframe given by the Chair or Project Manager, then the proposal is considered withdrawn.
- 9.12.5.4 Comment Resolution at Meetings - Before holding an STP/TC meeting for comment resolution, the ballot results and comments, including public and subscriber review, shall be made available. Proposal submitters and public review participants who have submitted a comment shall also be invited to attend the meeting. At the meeting, the comments are discussed and an agreement reached on the disposition and any substantive changes. There are no quorum requirements for this type of meeting. The proposed resolution is handled like any other recirculation (see 9.12.6).
- 9.12.5.5 Guidelines for Action on Comments - The guidelines in 9.12.5.6 apply when determining action on each Comment. Action on each Comment shall be taken provided the Comment is relevant to the proposal and meets the provisions of 9.12.2.
- 9.12.5.6 Actions on Comments – One of the following actions as described below shall be taken on each Comment:
- A. Accepting the Comment,
  - B. Rejecting the Comment,
  - C. Accepting the Comment in principle but with changes in the proposed wording,
  - D. Accepting the Comment in part,
  - E. Accepting the Comment in principle and in part,
  - F. Acknowledging the comment (when the commenter agrees with the proposal), or
  - G. Answering the comment (when the comment poses a question, but doesn't advocate a particular technical revision).
- 9.12.5.7 The action on Comments "accepted in principle," "accepted in part," "accept in principle in part," "rejected," "acknowledged", or "answered" shall include a statement, preferably technical in nature, on the reason for the action. Such statement shall be sufficiently detailed so as to convey the rationale for the action.

9.12.5.8 Substantive Changes – As a result of balloting and public review, changes may be made to the proposals under consideration. If the changes are editorial, no further balloting or public review is needed. If the changes are substantive, then the changes shall be recirculated to the STP/TC in accordance with 9.12.6.

### **Recirculation**

9.12.6.1 The disposition of all comments shall be circulated to the STP/TC. The disposition of comments accompanying negative votes and negative comments from public review participants and any resulting substantive changes shall be circulated to the STP/TC for a period of time in order to afford all members an opportunity to respond, reaffirm, or change their vote.

9.12.6.2 If a vote is changed to negative as a result of the recirculation activities described, then a reason for the negative vote shall be provided. If a reason is not provided then the vote will be considered as negative without comment.

9.12.6.3 If a voter does not respond to the recirculation activities within the stated period, the original vote shall stand.

9.12.6.4 If during the recirculation period, additional comments are received from STP/TC members, a response shall be issued to the comments but no further recirculation is needed nor additional notification of right to appeal. This also applies to a public review participant who had previously commented.

9.12.6.5 At the end of the recirculation period(s), consensus must be maintained for the Proposal Document to be approved. In addition, the STP/TC must be notified whether the proposal has failed or has consensus and will be adopted and published in the standard.

### **Notice of Right to Appeal**

9.12.7.1 The notification of the right to appeal will be included in the recirculation documentation (but may also be included in other correspondence) and will notify the unresolved objectors that they have the right to appeal on procedural or technical issues, direct them to the website/URL where the appeals procedures are located. The notice shall indicate that the cut-off date for appeals to be submitted is two weeks from the close of the recirculation period.

### **Discontinuance of a Proposal**

9.12.8.1 For a proposal that is going through the consensus process and may have undergone balloting and public review, if UL/ULC determines that the proposal will present an overriding safety hazard or a legal risk, UL/ULC Standards will cease processing the proposal and promptly notify the consensus body of the reasons for the action. If the proposal has already gone through public review, UL/ULC Standards will notify SCC

that it is abandoning the proposal. The decision by UL/ULC Standards to abandon a proposal is final, but may be appealed to the SCC based on procedural noncompliance.

### **9.13 Second Level Approval Stage (50)**

The Second Level approval stage is for monitoring the general functions of the standards development process in accordance with the Standards Council of Canada criteria and the accredited standards development procedures of UL/ULC Standards. The Second Level Review provides a procedural review of all standards beyond the technical development level.

A second level review shall be completed by UL/ULC Standards before publication.

After final approval by the STP/TC, and prior to the publication, the standard and related documents shall be forwarded for not more than a 14-day review and approval by the Second Level reviewer.

The Second Level Reviewer shall assess the material and provide the project manager with a completed sign-off form. If any comments are received, they shall be addressed by the project manager before proceeding to National Standards Approval stage.

### **9.14 National Standard Approval Stage (55)**

UL/ULC Standards are accredited Standards Development Organizations by the Standards Council of Canada (SCC) to self-declare a UL/ULC Standard as a National Standard of Canada (NSC).

### **9.15 Publication Stage (60)**

The publication stage is the stage when the document is published in final form. Standards self-declared as National Standards of Canada (NSC) shall be published with the National Standards of Canada symbol.

Standards not submitted for Standards Council of Canada approval as NSCs, and that are not self-declared as NSCs, shall be published as standards of UL Standards or ULC Standards only.

All standards should be published in final form within 90 days of the SLR, as applicable.

#### **Front Cover Page**

9.15.4.1 The following items shall be included in the language(s) appropriate to the standard on the front cover page of the NSC:

- A. National Standard of Canada symbol in both of Canada's official languages format;

- B. ULC Standards designation as follows, CAN/ULC-SNNN:YYYY, or UL Standards designation as follows: CAN/UL-NNN:YYYY where “NNN” denotes the standard number and “YYYY” denotes the four digits of the year in which the most recent publication was self-declared as an NSC;
- C. Title of the standard;
- D. SCC logo, in both of Canada’s official languages format.

### **Introductory Pages**

9.15.5.1 The NSC shall be prepared using the appropriate SGML template to ensure that the introductory pages contain the following content in the language(s) appropriate to the standard:

- A. The established timeline for review of the standard;
- B. SCC foreword as provided in the Program Overview;
- C. UL Standards or ULC Standards contact information;
- D. The names of the STP/TC members or the number of STP/TC members representing the interest categories;
- E. Instructions for purchase;
- F. Statement of availability of the NSC, English text in the French version, French text in the English version;
- G. Statement indicating it is the responsibility of the user to judge the suitability of the NSC for the user’s purpose;
- H. International Classification for Standards (ICS) number(s); and
- I. statement indicating the standard was developed in compliance with SCC’s R&Gs for SDOs.

### **Publication Process**

9.15.6.1 Copies of standards shall be readily available to any person, wherever located.

9.15.6.2 Fees charged for standards shall be the same for both domestic and foreign sales, exclusive of the cost of delivery.

### **Notice of Completion**

9.15.7.1 Upon publication of a standard, notification of publication shall be posted to the UL/ULC Standards website as appropriate to inform the Canadian public that a standard has been completed. In addition, a Standards Bulletin may be issued to inform the public of the details of the published document is available.

### **Provision of Published Standards**

9.15.8.1 Electronic copies of published standards (new standards, new editions, amendments/revisions, and reaffirmations) shall be provided to the SCC upon publication.

### **9.16 Review Stage (90)**

## Maintenance of Standards

- 9.16.1.1 National Standards of Canada shall be kept current and technically relevant through continuous or stabilized maintenance. In the event that no updates are issued for a period of four years from the date of publication of a new edition, revision, or reaffirmation, action to update (new edition or revision), reaffirm, or withdraw the standard shall be initiated.
- 9.16.1.2 When a technical change is required to a Standard under continuous maintenance, UL/ULC Standards shall:
- A. Validate the technical change with the STP/TC;
  - B. Take appropriate action in order to address the issue(s); and
  - C. Notify the affected stakeholders/public.
- 9.16.1.3 Revision Cycles for standards not published as NSCs - After consulting with the STP/TC and other stakeholders, UL/ULC Standards has the option to place a standard on a revision cycle. If a standard is placed on a revision cycle, the standard shall not be revised outside of that cycle unless there is an emergency issue, or other circumstance approved by the Director of North American Standards.
- 9.16.1.4 The revision cycle schedule shall include final dates for all critical events in a processing cycle. The cycle and schedule shall be distributed to the STP/TC and shall be posted on the UL/ULC Standards website.
- 9.16.1.5 The procedures for the development of revisions shall follow the procedures for Standards development and comply with requirements of 9.16.2.2. Once the draft revision reaches the Technical Committee Ballot/Vote Stage (Stage Code 40.00), the work program shall be updated from “closed” to indicate the proposed publication target date.

## Revisions

- 9.16.2.1 Revisions shall comply with the following requirements:
- A. Equal Access and Effective Canadian Participation to the Standards Development Process by Concerned Interests, clause 9.6;
  - B. Balance of Interests, clause 9.5;
  - C. Availability in Both Official Languages, clause 6.2;
  - D. Geographical Representation, clause 6.2
  - E. Avoiding Duplication, clause 6.3;
  - F. Notice of Intent, clause 6.3;
  - G. Work Program, clause 6.4;
  - H. Technical Committee Approval, clause 9.12.2;
  - I. Number and Title, clause 9.10.5;
  - J. Front Cover Page, clause 9.15.4; and
  - K. Introductory Pages, clause 9.15.5.

9.16.2.2 Each standard can have an unlimited number of revisions between publication of new editions. A new edition is to be published at the discretion of UL/ULC Standards.

### **Reaffirmation**

9.16.3.1 Reaffirmation of an existing standard is permitted only where there are no changes to the normative content of the standard. It is recommended that a call for proposals be initiated prior to commencing the reaffirmation.

9.16.3.2 A reaffirmation includes the current edition and all amendments/revisions included in the previous approval and includes applicable updates to the informative section of the Standard.

9.16.3.3 A reaffirmation shall comply with the following:

- A. Equal Access and Effective Canadian Participation to the Standards Development Process by Concerned Interests, clause 9.6;
- B. Balance of Interests, clause 9.5;
- C. Availability in Both Official Languages, clause 6.2;
- D. Geographical Representation, clause 6.2;
- E. Avoiding Duplication, clause 6.3;
- F. Notice of Intent, clause 6.3;
- G. Work Program, clause 6.4;
- H. Technical Committee Approval, clause 9.12.2;
- I. Number and Title, clause 9.10.5;
- J. Front Cover Page, clause 9.15.4; and
- K. Introductory Pages, clause 9.15.5.

9.16.3.4 Reaffirmation of a standard is achieved by consensus approval of the STP/TC.

9.16.3.5 If the Project Manager receives no proposal prior to the agreed cut-off date for the call for proposals, the Project Manager shall proceed with the reaffirmation ballot.

9.16.3.6 If, when a Standard is due for review, the responsible TC/STP is no longer active and UL/ULC Standards staff have determined that the Standard should be retained or withdrawn, a public review notice shall be issued advising that the Standard is being reaffirmed for a further five years or withdrawn.

## **9.17 Withdrawal Stage (95)**

### **Withdrawal of Standards**

9.17.1.1 UL/ULC Standards may withdraw a standard in conjunction with the STP/TC at such time as it is established that a need for the standard has ceased to exist.

9.17.1.2 When considering the withdrawal of a Standard, UL/ULC Standards shall notify the impacted government departments (whether municipal, provincial, territorial or federal)

in particular where a standard may be referenced, as well as Code development organizations.

9.17.1.3 If appropriate, withdrawal of a standard may be achieved by a ballot submitted by UL/ULC Standards to the STP/TC.

9.17.1.4 Withdrawn Standards should be removed from all listings of Standards for sale. If a withdrawn standard is maintained in the listing of standards, it shall bear a clear mark within the listing itself indicating its withdrawn status. If a withdrawn standard is sold, a clear mark indicating the withdrawn status shall be included on the cover page.

#### **Notice of Withdrawal**

9.17.2.1 When it has been decided to withdraw a standard, UL/ULC Standards shall notify both the SCC and the public.

#### **Withdrawal of Approval**

9.17.3.1 If UL/ULC Standards decides to withdraw SCC approval of a Standard or revision for whatever reason, it shall so inform the TC/STP and active Task Groups for that standard and provide the reason. The decision by UL/ULC Standards to withdraw approval is not appealable to UL/ULC Standards.

## **PART 2 - PROCEDURES OF UL/ULC STANDARDS**

### **10 TECHNICAL COMMITTEES/STANDARDS TECHNICAL PANELS**

#### **10.1 Scope of Work**

The work of each TC/STP shall be:

- A. In accordance with the Scope as approved by UL/ULC Standards,
- B. In accordance with any guidelines subsequently issued by UL/ULC Standards,
- C. Consonant with the mission of UL/ULC Standards, as appropriate,
- D. Consonant with the elements of the Canadian Interest, and
- E. Without conflict of interest and In accordance with the Code of Ethics for UL Standards Technical Panel (STP)/ULC Standards Technical Committee (TC) Members.

The selection of STP/TC members takes the following into account:

- A. The requirement for a representative balance of the membership (See Subsection 7.5, Balance of Interests);
- B. The technical knowledge and competence of each person in the work of the STP/TC – an application and/or curriculum vitae (CV) is required; and
- C. The ability of each person to participate actively in the work of the STP/TC.

A Committee member who represents an Association shall not also be employed by an organization that is already represented on the Committee.

Efforts should also be made to achieve a broad representation of the interests of the Provinces and Territories of Canada.

Each STP/TC should have a Chair or Co-Chairs, a Project Manager, and may have assigned task groups to handle specific assignments.

#### **10.2 Membership of TCs/STPs**

##### **General**

10.2.1.1 UL/ULC Standards is responsible for determining the size and membership of each STP/TC. Membership for a new STP or TC shall be enlisted through a request to submit applications from UL/ULC Standards, and through a call for members on the UL/ULC Standards website.

10.2.1.2 The STP/TC Members after applying for membership shall be appointed by the STP/TC Chair if selected. Those STP/TC Members who consistently neglect to return ballots, consistently abstain on ballots, or otherwise exhibit lack of interest, knowledge, or responsibility may be removed for the stated causes at any time. If a Member does not return two consecutive ballots, a warning may be sent to the Member stating that failure to return the next ballot may result in removal from the STP/TC.



### **Endorsement Not Constituted**

10.2.2.1 Membership on an STP/TC shall not in and of itself constitute an endorsement of UL/ULC Standards, or of any Document developed by the STP/TC on which the Member serves.

### **Types of Membership**

10.2.3.1 Membership shall be limited to Voting and Nonvoting types.

10.2.3.2 Voting members of the STP/TC shall consist of the following interest categories: Producer, Supply Chain, Regulators, Government, Consumer, General Interest, Commercial / Industrial Users, Testing & Standards Organization, and International Delegate.

10.2.3.3 If the Chair or Project Manager as applicable, believes there is a discrepancy between an applicant's self-declared interest category and UL/ULC Standards defined interest categories, the Chair or Project Manager as applicable, makes the decision of classification based on the STP/TC application and notifies the applicant of the change of status. Decisions are appealable within 30 calendar days of notification of the classification.

*Note: Not all interest categories need to be represented.*

10.2.3.4 It may be necessary to define interest categories different than those listed in 10.2.3.2. In such cases the definitions of interest categories shall be provided to the STP/TC and the interest categories will comply with the definitions of balance.

10.2.3.5 Nonvoting Members - A person meeting the requirements of 10.2.6.2 may be appointed as a Nonvoting Member if the Chair determines that such an appointment serves a useful purpose. Nonvoting Members may serve in an advisory, corresponding, or liaison capacity. Nonvoting Members may include, but are not limited to, members of SCC Mirror Committees (SMCs) to ISO and IEC standards development committees.

10.2.3.6 Consultants - A consultant retained by a company or organization, whereby the arrangement includes representing it on an STP/TC, shall be considered the same classification and voting interest as the organization by which the member is retained. If a consultant is solely retained by one company or organization to do work in the area covered by this STP/TC, that company or organization can not be on the STP/TC also. A consultant must declare to UL/ULC Standards when they are representing the interests of another company. This information may be added to the members roster information (see 10.2.6.2). A member who consults for multiple organizations of exclusively the same classification shall be classified in accordance with their principal business activity. A member who consults for a variety of interests shall be classified as a General Interest participant.

10.2.3.7 On occasion, however, independent consultants in this category may be retained by a client to advocate on behalf of the client with regard to a specific issue or issues before the STP/TC. As to these specific issues, the independent consultant shall not be regarded as a General Interest participant because to do so may result in a balance of interests that was not intended. Therefore, the consultant shall abstain from voting on any proposal, comment or other matter relating to those issues for which they are being retained.

10.2.3.8 Qualifications for Membership - Qualification for Membership is based on all the information available to the UL/ULC Standards Staff, including the information provided in the candidate's Application as specified in 10.2.6.2. Membership is on an individual basis rather than company-based. Request for a company replacement of a member shall be considered by the Chair or Project Manager, as appropriate, when reviewing the request for membership and does not guarantee acceptance.

#### **Appointment of Chair**

10.2.4.1 The Chair shall be appointed by the Vice President of Standards and is typically from UL/ULC Standards and a non-voting member. If from outside of UL/ULC Standards, the Chair may be a voting member. The responsibilities of the Chair are as follows:

- A. Provide leadership to the STP/TC and ensure that the process is conducted in an efficient, effective, and timely manner;
- B. Schedule meetings as needed;
- C. Preside over meetings and ensure that due process is followed, order is maintained and all members have the opportunity to participate;
- D. Coordinate selection of Task Group members and establish the specific assignment to be addressed by such Task Group;
- E. Review STP/TC applications and determine whether applications can be accepted. Chairs also make decisions regarding changes in membership category and the possible termination of existing members;
- F. Maintain knowledge and expertise on procedures; and
- G. Review revision proposals to determine if there is a need for a meeting.

#### **STP/TC Project Manager**

10.2.5.1 UL/ULC Standards provides secretariat support for all STPs/TCs under its responsibility. Such support consists of:

- A. Supporting the STP/TC Chair by performing specific tasks related to Chair responsibilities;
- B. Assisting the STP/TC with workflow, acting as a central starting point for all incoming questions and need for assistance with any Standards related activity;
- C. Preparing proposal documents in accordance with UL/ULC Standards guidelines;
- D. Issuing proposal documents to STP/TC members for voting and commenting;

- E. Coordinating STP/TC applications and Committee CVs and maintaining Committee membership rosters;
- F. Communicating with the Chair on changes in STP/TC membership, the availability of meeting dates and places, and the like;
- G. Maintaining voting records and other relevant documents or records;
- H. Developing agendas for, and Minutes of, STP/TC meetings;
- I. Preparing all required forms;
- J. Coordinating meeting details;
- K. Maintaining the Work Program at least every six months, and in accordance with ISONET rules; and
- L. Maintaining knowledge of SCC procedures and serving in an advisory capacity and assisting the Committee with maintaining compliance with these procedures.

### **Application Process**

10.2.6.1 Information to be included in a candidate's Application for Membership and how UL/ULC Standards is to review and act on this information is specified in 10.2.6.2 and 10.2.6.4.

10.2.6.2 Applications for Membership - Each candidate for membership shall submit an application to the Project Manager providing the following information:

- A. Evidence of knowledge and competence in the work of the STP/TC,
- B. Assurance of ability to participate actively, including responding to correspondence, reviewing proposals, commenting on proposals (as appropriate), and voting on proposals,
- C. Relationship of applicant to the Scope of the STP/TC,
- D. What organization, company, etc., the applicant would represent,
- E. Whether the applicant would have an instructed vote and, if so, by and on behalf of whom; and whether the organization, in instructing its representative, can meet the time constraints imposed by the Procedures,
- F. What person or organization would fund applicant's participation. This information is mandatory for consultants,
- G. Agreement to notify the STP/TC Project Manager of a change in employment, organization represented, or funding source. This will require a new application to be completed,
- H. If the candidate is a consultant that represents organizations or companies that are current members on the STP/TC and
- I. What types of customers an applicant that is a consultant has in their job history.

10.2.6.3 The Project Manager shall review applications with the STP/TC Chair for approval.

10.2.6.4 Action on Applications for Membership - The STP/TC Chair may appoint a member, hold the application pending further information, or reject an application. Appointment shall be based on:

- A. Qualifications of the applicant under the provisions of 10.2.3.8,

- B. Limiting the size of each STP/TC to a manageable working group depending on the nature of the standard, and
- C. Maintaining a balance of interests within the membership. If any individual or organization has applied for and has been denied membership, the individual or organization may appeal to the Chair, then if still not satisfied, they may file an appeal with UL's Appeals Panel for purposes of reconsideration.

### **Change of Status**

10.2.7.1 When the status of a Member changes, including changing employment, organization represented, or funding source, the individual's continued membership is contingent on submitting a new application for membership to the STP/TC Project Manager. The change in status of the applicant, including any change in classification, shall be considered by the STP/TC Chair when reviewing the request for membership and does not guarantee acceptance.

### **Voting Procedures and Privileges**

10.2.8.1 Each voting Member shall have one vote in the affairs of the STP/TC on which the Member serves.

10.2.8.2 How Members May Vote on Ballots - Voting options on a ballot to the proposals under consideration are Affirmative, Negative, or Abstain. Only voting STP/TC members can submit an official ballot. Non-voting members may submit comments on the proposal.

- A. Affirmative Votes with Comments - If comments accompany an affirmative vote, the vote is considered affirmative regardless of the content of the comments. The affirmative with comments will be recirculated if there is any negative vote or any substantive change. If the voter intends to submit a "conditional" affirmative, meaning that the vote is affirmative only if the accompanying comment is accepted, then the vote should be submitted as a negative vote.
- B. Negative Votes - In order to receive consideration, all negative votes must be accompanied by an explanation which should clearly explain the member's technical reasons for objecting to the proposal. Where possible, recommendations for a solution to the problem raised should be included in the explanation of the vote.
- C. Negative Votes Without Comments (or comments not related to the proposal) - While this is not an option, a negative ballot not accompanied by supporting written reasons, will be recorded as a "negative without comment" and is not required to be responded to, recirculated to the STP/TC, or notified of right to appeal. This also applies to negatives with comments not related to the proposal under consideration and negatives with comments on certification issues (see 9.12.2.3. These types of negative votes shall not be factored into the numerical requirements for consensus (in other words, will be treated similar to abstentions in the numerical calculation of consensus).
- D. Abstain Votes - An abstain vote should be accompanied by an explanation for abstention. There will be no right to appeal given for abstained votes and any

associated comments will not be responded to or recirculated to the STP/TC. Consistent abstention voting shall cause the Chair to review the membership status of the Member and may be cause for removal per 10.2.1.2.

10.2.8.3 Eligibility to Vote on Ballots - A Member eligible to vote is the Member of record as of the date of the ballot. Members added after the start of a ballot period will not have voting privileges during this ballot cycle or related recirculations, but will have the ability to comment.

10.2.8.4 Member Resignation During Balloting Period - If, during the balloting period, UL/ULC Standards is notified in writing that an STP/TC member is resigning from the STP/TC and the member has not voted on the balloted item, the STP/TC member shall be removed from the consensus body and will not be included in the numerical calculation of consensus. This also applies if resignation occurs during a ballot extension that was granted equally to all unreturned voters. If a member votes negative and then resigns from the STP/TC before comment resolution and recirculation is completed without reaffirming or changing their vote, the vote will be considered as a negative without comment. An affirmative vote will stand as recorded. Member resignation during a ballot period that causes an imbalance in the STP/TC will not stop the consensus process from proceeding.

### **Consensus**

10.2.9.1 Consensus, developed in accordance with 10.2.8.2 -10.2.8.4, is considered achieved if there is approval by at least two-thirds of those members voting who have submitted a vote, excluding abstentions, negatives without comment, and negatives based on material not under consideration (see 9.12.2.3) and a more than 50% (simple majority) of the STP/TC have returned an affirmative ballot.

10.2.9.2 If it is determined that consensus was achieved on a proposal, then the proposal continues through the standards development process.

10.2.9.3 If it is determined that consensus is not achieved on the initial ballot of a proposal and there is not greater than 50% approval from those members voting, excluding abstentions then the proposal is considered as failing and no further action shall be taken by the STP/TC or UL/ULC Standards. However, if the initial ballot does not achieve consensus but there is a return of the majority of the ballots and approval of greater than 50% of those members voting, excluding abstentions, then comment resolution and recirculation shall continue, with concurrence from the proposal submitter. If under the latter circumstances the proposal submitter agrees to withdraw the proposal, no further action shall be taken by the STP/TC or UL/ULC Standards.

10.2.9.4 The results of the ballot shall be reported to the STP/TC in the form of number of yes, no, and abstention votes at the conclusion of the consensus process. This information shall also be available during the process

## **Establishment and Responsibilities of an STP/TC**

10.2.10.1 The responsibilities of an STP/TC include the following:

- A. Review of the need for new standards and the continuation of existing standards;
- B. Development of a standard or standards, whether standards of UL/ULC Standards only, binational, and/or NSCs, or the adoption of other international, regional or national standards;
- C. Consideration and voting/commenting on all proposal requests for revisions to existing standards;
- D. Development of the form and wording of such revisions;
- E. Interpreting the standard; and
- F. Periodic review of the applicable standard(s) to ensure that they are kept current.
- G. Note: Guidance documents are also the responsibility of the STP/TC.

10.2.10.2 When the evaluation of a request for a new standard(s) has been completed and the request accepted, if it is determined that the standard does not fall within the title, scope, and committee structure of an existing STP/TC, a new STP/TC shall be established for the development of the standard(s).

10.2.10.3 When the STP/TC is established or assigned, work on developing the new standard is initiated.

## **Task Groups**

10.2.11.1 The STP/TC Chairs may at their discretion create Task Groups to address a specific topic or issue. The Task Group shall be appointed and discharged by the Chair. Persons serving on a Task Group need not be Members of the STP/TC. Such a group need not be balanced by interest. The Chair of the Task Group shall be selected by the STP/TC Chair and shall be responsible for determining when general consensus is achieved within the Task Group. The Task Group shall forward recommendations to the STP/TC for action.

## **Continuing Jurisdiction**

10.2.12.1 Each standard issued by UL/ULC Standards shall be under the continuing jurisdiction of an appropriate STP/TC. It shall be the responsibility of each STP/TC to review periodically the Documents for which it is responsible to ensure that they are kept current and to consider suggested revisions..

## **Life of a Standards Committee**

10.2.13.1 Each STP/TC will continue in existence for interpretation of their standards and for their future revision, unless all of their standards are withdrawn or reorganized into new STPs/TCs, at which time the STP/TC shall be dissolved.

## **Multiple Representation**

- 10.2.14.1 Normally there can be only one official voting member from a company/organization on an STP/TC. This also applies to consultants for a company. However, there are instances where two or more representatives with the same parent organization may serve as voting members of the same STP/T.
- A. One division of a company produces an end product, while another division produces a component used in the end-product covered by the scope of the standard(s) under the jurisdiction of the STP/TC. In this case, one is a Producer and the other is Supply Chain.
  - B. Smaller companies with the same parent company if the individual company brand names and organizational structures remain in place and companies' brands compete against each other in the marketplace.
  - C. Different divisions within a company that make different products that compete with each other in the marketplace.

### **Public Access to STP/TC Membership Rosters**

- 10.2.15.1 Public access to STP/TC membership rosters is available from the UL Standards CSDS or ULC Standards CSDS home page (this material is available to users without a log-in ID).

## **10.3 STP/TC Meetings**

### **General**

- 10.3.1.1 Much of the work of the STP/TC is carried out via CSDS, with meetings arranged as necessary to complete the work expediently.
- 10.3.1.2 Although it is not necessary for STPs/TCs to meet for business to be conducted, Chairs may call meetings at such times as may be necessary and convenient for the transaction of business.
- 10.3.1.3 In addition, STP/TC members may request a meeting for the purposes of comment resolution or other standards related issues.
- 10.3.1.4 Secretariat services for STP/TC meetings are provided by UL/ULC Standards.
- 10.3.1.5 Attendance at STP/TC meetings is limited to STP/TC members, their alternates, and where necessary or desirable, special guests who, in the opinion of the STP/TC, are qualified to contribute significantly to the deliberations of the meeting. STP/TC Meetings for standards related issues are open to those materially affected by the proposals being discussed; however, Task Group meetings are not required to be open. Permission for non-members to attend an STP/TC meeting must be requested via CSDS in advance of the meeting. The Chair and/or STP/TC Project Manager reviews the attendance requests.

### **Availability of STP/TC Meeting Materials to the Public**

- 10.3.2.1 Agendas and supporting materials, including comments and proposals and any other materials distributed to the members for consideration by the STP/TC, shall be made available upon reasonable request in writing to interested members of the public.

### **Meeting Notices**

- 10.3.3.1 Notice of each meeting shall be sent to the STP/TC Members through CSDS. A general STP/TC meeting notice will be posted on the UL Standards or ULC Standards CSDS website.

### **Distribution of Agenda and Supporting Materials to STP/TC Members**

- 10.3.4.1 Normally, the Project Manager should post in CSDS an appropriate agenda at least four weeks in advance of the meeting date. In cases where including the supporting material would delay the release of the agenda within the four-week timeframe, then the supporting material may be posted in CSDS separately in advance of the meeting date.
- 10.3.4.2 When a member or non-member proposes to make a presentation to the STP/TC, in order to ensure sufficiently advanced availability of such materials for use at an STP/TC meeting, requests in writing to make presentations must be received by the Project Manager in advance of the meeting.

### **Call of a Meeting**

- 10.3.5.1 Before issuing a call for a meeting, the Chair may consult with others as necessary to be apprised of other meetings or other scheduled events that may affect attendance at the proposed meeting.
- 10.3.5.2 Special meetings called for the purpose of handling items of an emergency nature shall not be subject to the above scheduling constraints.

### **Physical Meetings**

- 10.3.6.1 When a physical meeting is held, any cost burden for attendance and participation are the responsibility of the STP/TC Member or guest unless special arrangements are made with UL/ULC Standards.

### **Transaction of Business**

- 10.3.7.1 The transaction of business at STP/TC meetings shall be governed in order of precedence, first by these Procedures and second by any applicable published procedures.
- 10.3.7.2 Meeting agendas consist basically of provision for the consideration of comments arising from a review of the draft document by the members. At all stages of the process leading to final acceptance of a standard, every effort is made to reach decisions by consensus, without the taking of undue time to reach conclusions.



10.3.7.3 Any agenda items submitted at a meeting, when the Chair asks if there are any additional agenda items, can be discussed, time permitting. Any proposals submitted after that can be considered, contingent on approval for discussion and action by at least a majority of those at the meeting and time permitting. If a proposal submitted at a meeting is not approved for discussion, it will be considered as a new submittal and handled at the next revision project. It does not need to be balloted with the material discussed at the meeting.

### **Conduct of Meeting**

10.3.8.1 Official voting is conducted by electronic ballot through CSDS. At the Chair's discretion, certain "unofficial" voting may be conducted at meetings to resolve differences in competing proposals, provide direction, or for comment resolution to be followed up by ballot or recirculation to all STP members.

### **Commercial Terms and Conditions**

10.3.9.1 Compliance with UL/ULC Standards anti-trust rules on commercial terms and conditions shall be demonstrated. UL/ULC Standard's anti-trust rules may be accessed on UL CSDS at: <http://ulstandards.ul.com/develop-standards/stps/ul-antitrust-rules/>

### **Participation**

10.3.10.1 The following guidelines apply to participation at STP/TC meetings:

- A. If attendance by a Member is not possible, written commentary may be submitted in advance of the meeting.
- B. Videos, slides, overheads, and similar visual aids may be presented during meetings of STPs/TCs and Task Groups. The review of samples of nonhazardous products and materials may be allowed.
- C. Physical demonstrations, experiments, or simulations may be allowed during meetings of STPs/TCs or Task Groups at the Chair's discretion.
- D. UL/ULC Standards may provide funding to STP/TC members who are consumers, regulators, academia, or representatives of government agencies to attend a meeting if requested to do so.

### **Voting at Meetings**

10.3.11.1 Voting at Meetings - As described in Clause 10.3.8.1, certain actions decided during STP/TC meetings, at the discretion of the Chair, shall be supported by at least a simple majority of the voting members at the meeting. In calculating the vote, those who abstain shall be omitted from the calculations. Voting in meetings is to establish a sense of agreement, but only the results of ballots shall be used to determine consensus.

10.3.11.2 Ballots - Consensus votes of Members shall be secured by electronic ballot in CSDS.

### **Meeting Report**

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10.3.12.1 A report of each meeting shall be issued without undue delay by the Project Manager, or a duly appointed individual acting at the direction of the Chair or Project Manager. No other report shall be authorized. The report shall, at a minimum, include the time and place of meetings, names and affiliations of all persons attending, and the actions taken. STP/TC and Task Group meetings shall not be recorded verbatim by any means unless authorized in advance by the Chair and announced before the start of the meeting. If the request is approved, UL/ULC Standards will make the recording and the requester will be asked to compensate UL/ULC Standards for the associated costs. The original recording will remain the property of UL/ULC Standards.

### **Guests**

10.3.13.1 Upon specific request, guests may be permitted to attend, provided that:

- A. The project manager is notified either via email or using the CSDS guest request function;
- B. The chair provides permission, with the concurrence of the project manager; and
- C. The request shall explain who the proposed guests are, their affiliation, and the reason for their request.

10.3.13.2 Guests may contribute to the discussion after being recognized by the chair. The guest contribution shall be limited to the subject under discussion.

10.3.13.3 Guests shall be made aware that the meeting is held to serve the purpose of the UL/ULC Standards development process, and the meeting material and results shall not be shared beyond their own organization or publicized in any way.

### **Alternates/Substitutes**

10.3.14.1 An alternate/substitute may attend a meeting on behalf of a member provided that the Chair/Project Manager is so advised by the member prior to the meeting. Such alternates/substitutes are given the privileges of a member at the discretion of the STP/TC Chair with regard to unofficial voting.

### **Proxies**

10.3.15.1 Any member of a STP/TC may appoint any other member of the same STP/TC to be a proxy and authorize, in writing to the chair and the Project Manager no later than 2 weeks before the meeting that proxy to vote on any question raised during a STP/TC meeting. Proxies are not considered in determining whether or not a quorum is present. No member shall hold or exercise proxies for more than one member in any STP/TC.

## **PART 3 – APPROVAL OF ADOPTIONS OF INTERNATIONAL STANDARDS, REGIONAL STANDARDS, AND OTHER INTERNATIONAL/REGIONAL DELIVERABLES**

*Note: Refer to ISO/IEC Guide 21-1:2005, Regional or national adoption of International Standards and other International Deliverables – Part 1: Adoption of International Standards; and ISO/IEC Guide 21-2:2005, Regional or national adoption of International Standards and other International Deliverables – Part 2: Adoption of International Deliverable other than International Standards for guidance information on adoption of International Standards, regional standards, and other international/regional deliverables*

### **11 GENERAL REQUIREMENTS**

#### **11.1 Eligibility**

UL/ULC Standards, as accredited SDOs by the SCC, are eligible to adopt an international/regional standard or other deliverable as described in 11.2.

#### **11.2 Documents for Adoption**

A standard, or other deliverable shall fall into one of the following categories:

- A. International Standard
- B. Regional Standard
- C. Other international/regional deliverables:
- D. Technical Specification (TS)
- E. Technical Report (TR)
- F. International Publicly Available Specification (PAS)
- G. International Standardized Profile (ISP)
- H. International Workshop Agreement

#### **11.3 Methods of Adoption**

##### **General**

11.3.1.1 International/Regional Standards and other deliverables shall be adopted as NSCs by either the endorsement or republication method.

*Note: Refer to ‘Annex A Degree of Correspondence/Method of Adoption’ of Requirements & Guidance – National Adoptions of International/Regional Standards and Other Deliverables*

11.3.1.2 When another deliverable is adopted as an NSC, it shall comply with the SCC requirements of R&G SDO Accreditation and R&G Adoptions and be indicated in the introductory pages.

11.3.1.3 When another deliverable is adopted as the same national deliverable type it shall comply with the applicable R&G – SDO Accreditation and adoption requirements for that deliverable type.

- 11.3.1.4 Existing amendments and technical corrigenda shall be included in the national adoption.
- 11.3.1.5 Before undertaking the adoption activity, the relevant UL/ULC Standards STP/TC should be harmonized with the SCC mirror committee within the applicable scope, in accordance with SCC's harmonization requirements.
- 11.3.1.6 Where possible, national adoptions should follow the parallel adoption process and be published at the same time as the relevant International Standards or other deliverables.
- 11.3.1.7 National adoptions should parallel the development of the relevant regional standards, if possible, and agreed to, with the regional standards body.
- 11.3.1.8 For transparency and traceability, it is strongly recommended that a national standard adopt only one single International Standard, regional standard or other deliverable.
- 11.3.1.9 The current version of an International Standard, regional standard, and/or other deliverable should be used as the basis for the corresponding national adoption. Existing amendments/revisions and technical corrigenda shall be included in the national adoption. New editions, amendments/revisions and technical corrigenda published after the adoption should be adopted as soon as possible.
- 11.3.1.10 National Standards of Canada (NSC) or ULC standards that conflict with adopted international or regional standards should be withdrawn.
- 11.3.1.11 Any suspected unauthorized reproduction, distribution or sale of an International Standard, regional standard, or other deliverable shall be reported to SCC.

#### **11.4 Endorsement Method**

The Endorsement Method is a method of adoption (only applicable to identical adoptions) that is compliant to the Standards Council of Canada's Requirements & Guidance. The endorsement method requires the publication of a separate endorsement notice, and does not require a reprint of the text of the International Standard or other deliverable.

UL/ULC Standards shall make available a separate endorsement notice with the International Standard publication as specified in (format section).

#### **11.5 Republication Method**

The Republication Method is an identical or modified adoption of an International Standard or other deliverable that is compliant to the Standards Council of Canada's Requirements &

Guidance. For clarity, a new document is issued. Methods of republication include reprint and translation.

### **11.6 Degrees of Correspondence**

The level of correspondence of the adoption as an identical (no change to technical content) or modified adoption (national technical deviations) shall be identified as follows:

- A. “identical” or “IDT”; or
- B. “modified” or “MOD”.

The “not equivalent” (NEQ) adoption option is not permitted.

### **11.7 Technical Deviations**

Technical deviations should be kept to a minimum. When required, technical deviations shall be identified and explained.

Where technical deviations (and reasons for them) or editorial changes are few, they may be placed in the introductory pages. Alternatively, they may be included in the text or in a special national annex.

National deviations should include how technical deviations are identified in the text, and national deviations or advice (with suitable cross-reference).

If an error in an International Standard, regional standard, or other deliverable has been detected, a national footnote should provide correct reference information, and the relevant international organization should be informed.

## **12 PROCESS REQUIREMENTS**

### **12.1 Public Review**

A public review shall be conducted for the national adoption of an international/regional standard.

A public review may be conducted for the adoption of an other deliverable.

### **12.2 Technical Committee Approval**

#### **Voting Rules**

12.2.1.1 The following voting rules shall constitute technical committee approval:

- A. International/Regional Standard: More than 50 % (simple majority) of the members who are eligible to vote cast affirmative votes. A minimum of 2/3 majority of the votes cast by the technical committee members are affirmative;
- B. International/Regional Technical Specification: A 2/3 majority of the votes cast by the technical committee members are affirmative;

- C. International/Regional Technical Report: 50 % + 1 (simple majority of the members who are eligible to vote) cast affirmative votes;
- D. Publicly Available Specification: 50 % + 1 (simple majority of the members who are eligible to vote) cast affirmative votes; or
- E. International Standardized Profile: In accordance with the voting rules of the international deliverable.
- F. International Workshop Agreement: Chair determination that the best possible consensus has been obtained.

### **Negative Votes**

12.2.2.1 Negative votes shall be addressed.

12.2.2.2 Negative votes without justification, abstentions without justification, as well as unreturned and blank ballots, shall be considered not cast.

### **12.3 Maintenance of Adoptions**

The international/regional maintenance review cycles for adoptions shall be followed. This includes IEC “Best Before Date” and JTC “Stabilized Standards”. This applies to standards and their respective amendment(s).

### **12.4 Adoption of Amendments**

When amendments of an international or regional standard is adopted, it shall comply with the following requirements:

- A. Equal Access and Effective Canadian Participation to the Standards Development Process by Concerned Interests, clause 9.6;
- B. Balance of Interests, clause 9.5;
- C. Availability in Both Official Languages, clause 6.2;
- D. Geographical Representation, clause 6.2;
- E. Avoiding Duplication, clause 6.3;
- F. Notice of Intent, clause 6.3;
- G. Work Program, clause 6.4;
- H. Technical Committee Approval Process, clause 9.12.2;
- I. Number and Title, clause 9.10.5;
- J. Front Cover Page, clause 9.15.4;
- K. Introductory Pages, clause 9.15.5; and
- L. Provision of Published Standards, clause 9.15.8.

### **12.5 Withdrawal of Adoptions**

If UL/ULC Standards decides to withdraw NSC approval of an adoption, it shall comply with 6.17, Withdrawal of Approval

### **12.6 Format of Adoptions**

#### **Number and Title**

12.6.1.1 The following shall be used for national adoptions b method of republication:

A. Identical national adoption of International Standard

EXAMPLE: CAN/ULC-ISO 6051:1998 - Photography — Processed reflection prints — Storage practices (ISO 6051:1997, IDT)

B. Modified national adoption of International Standard

EXAMPLE: ANSI/CAN/UL-12402-5, Standard for Safety, Personal Flotation Devices - Part 5: Buoyancy aids (level 50)- Safety requirements (ISO 12402-5:2006, MOD)

C. Identical national adoption of international technical report

EXAMPLE: CAN/ULC-ISO/TR 14971:2013 - Medical devices – Guidance on the application of ISO 14971 (ISO/TR 14971:2013, IDT).

D. Dual numbering – identical national adoption

EXAMPLE: CAN/ULC-12345:2017, Banking and related financial services – International bank account number (IBAN)

ISO 13616:1996, Banking and related financial services – International bank account number (IBAN)

### **Content and Structure Clarity**

12.6.2.1 For republication of modified adoptions, changes to the structure of the International Standard, regional standard, or other deliverable shall be permitted if an easy comparison of the content and structure with the national adoption continues to be possible.

12.6.2.2 Normative references should be left unchanged within the International Standard, regional standard or other deliverable text, regardless of the validity or status of those standards.

12.6.2.3 The UL/ ULC Standards STP/TC should review regional/national cited documents to ensure they are equivalent to the international standard(s) referenced and valid for the purposes of the national adoption.

12.6.2.4 The following should be included in the national introductory pages:

- A. indicate referenced standards or other deliverables that are considered valid in their referenced state;
- B. identify and explain differences contained in added/substituted references;
- C. identify references adopted as national standards with reference numbers; and

D. identify when there are no valid national documents.

### Endorsement Notice Content

12.6.3.1 The following items shall be included in the language(s) appropriate to the standard in the endorsement notice:

- a) Approved National Standards of Canada Symbol (NSC Symbol);
- b) International Standard number and title and where it can be obtained;
- c) confirmation that the following requirements have been met:
  - i. open consensus process
  - ii. balanced technical committee
  - iii. technical content validation
  - iv. public review
  - v. technical content approval
  - vi. publication
  - vii. maintenance to ensure technical currency
- d) for other deliverables, confirmation that applicable requirements have been met;
- e) international review timeframe;
- f) declaration the standard meets Canadian needs; and
- g) reassurance of usability.

### Republication Content

12.6.4.1 The following items shall be included in the language(s) appropriate to the standard:

- a) Front Cover Page
  - i. Logo of the originating organization(s); and
  - ii. Copyright notice, short format, refer to R&G Adoptions, Annex B – Protection of Intellectual Property – Copyright (Normative)
- b) Introductory Pages
  - i. Reference to the originating organization(s);
  - ii. Right to publish statement from the originating organization; and
  - iii. If applicable:
    1. Explanation of technical deviations;
    2. Change in deliverable type statement; and
    3. For other deliverables confirmation that applicable requirements have been met.
- c) Back Cover Page The Copyright notice, long format shall be included on the back cover page, refer to 18.5.5 Back Cover Page.

### Back Cover Page

12.6.5.1 The Copyright notice, long format shall be included on the back cover page (refer to Requirements & Guidance – National Adoptions of International/Regional Standards and Other Deliverables, Annex B – Protection of Intellectual Property – Copyright (Normative)).



**TABLE 1 – ISOnet Stage Codes**

| ULC PROJECT STAGES<br>(ADAPTED ISO GUIDE 65-1999 HARMONIZED STAGE CODE SYSTEM) |   |  |   |                                       |   |  |   |
|--|---|--|---|---------------------------------------|---|--|---|
| STAGE  | EVENT   |  |   |                                       |   |  |   |
|  | 00  | 20   | 60  | 70                                    | 90  |  |   |
|  | Registration  | Start of main action   | Completion of main action                               | Completion of further action          | Decision  | 33 Repeat Phase  | 98 Abandon  |
| 00 Preliminary Stage   | 00.00 Concept for New Work Item registered  | 00.20 Initiation of discussions  | 00.60 Completion of review of concept                   |                                       | 00.93 Decision to redefine concept                          | 00.98 Concept for New Work Item abandoned                          | 00.99 Decision to Investigate New Work Item   |
| 10 Proposal Stage  | 10.00 New Work Item Proposal (NWIP) registered                                    | 10.20 Proposal review initiated  | 10.60 Completion of evaluation                          | 10.70 Result of evaluation dispatched | 10.93 Proposal returned to requester for further definition | 10.98 New Work Item abandoned                                      | 10.99 New Work Item approved to register for next applicable stage                        |
| 20 Drafting Stage  | 20.00 NWIP registered in committee work program and public notification of intent | 20.20 Working Draft (WD) Initiated   | 20.60 WD completed                                      |                                       | 20.93 Decision made to redraft or redefine work item        | 20.98 Work Item abandoned  | 20.99 WD approved to register for next applicable stage                                   |
| 30 Committee Comment Stage   | 30.00 Committee Draft (CD) registered   | 30.20 Circulation of CD for comment  | 30.60 Close of comment period                           | 30.70 Comments dispatched             | 30.93 CD referred back to drafting stage                    | 30.98 Work Item abandoned  | 30.99 CD approved to register for next applicable stage                                   |
| 40 Committee Ballot and Public Comment Stage                                   | 40.00 Committee Draft for Vote (CDV) registered                                   | 40.20 Committee Vote Initiated and notification that draft is available for public comment | 40.60 Close of committee vote and public comment period | 40.70 Comments and results dispatched | 40.93 Decision made to repeat ballot with revisions         | 40.98 Work Item abandoned  | 40.99 CDV approved to register for next applicable stage                                  |
| 50 Second Level Approval Stage   | 50.00 Final Committee Ballot Draft (FD) registered                                | 50.20 Second Level Review Initiated  | 50.60 Close of Second Level Review                      | 50.70 Comments and results dispatched | 50.93 FD referred back to committee                         | 50.98 Work Item abandoned or converted to another type of document | 50.99 FD approved for publication as ULC Standard or for submission to SCC as a draft NSC |
| 55 SCC Approval Stage  | 55.00 Draft NSC registered  | 55.20 Draft NSC and documentation forwarded to SCC   | 55.60 SCC review completed                              | 55.70 Comments dispatched             | 55.93 Draft NSC referred back to committee                  | 55.98 Work Item abandoned or converted to another type of document | 55.99 Draft NSC approved for publication as NSC   |
| 60 Publication Stage   | 60.00 Standard under publication  | 60.20 Publication process Initiated  | 60.60 Standard Published                                | -                                     | -   | -  | 60.99 Proceed to review stage   |
| 90 Review Stage  | -   | 90.20 Standard under period of regular review  | 90.60 Review completed                                  | 90.70 Comments dispatched             | 90.93 Standard to be revised or re-approved (reaffirmed)    | 90.98 Standard to be withdrawn                                     | 90.99 Register for next applicable stage - Stages 20, 40 or 95                            |
| 95 Withdrawal Procedure  | 95.00 Withdrawal Ballot registered  | 95.20 Withdrawal ballot Initiated and public notification of intent to withdraw            | 95.60 Committee and Second Level Ballot Completed       | 95.70 Comments dispatched             | -   | -  | 95.99 Proceed to Withdrawal Stage   |
| 99 Withdrawal Stage  |   |  | 99.60 Approval of Withdrawal                            | -                                     | -   | -  |   |

## APPENDIX A (Informative)

### A1 HISTORY OF ULC STANDARDS

Underwriters Laboratories of Canada (ULC) was incorporated in 1920 by Letters Patent issued by the Government of Canada. The organization maintains and operates laboratories and a Certification Service for the examination, testing and certification of devices, constructions, materials and methods to determine their relation to life, fire, electrical safety, casualty hazards, public and environmental safety and protection, or their value in the prevention of crime. Underwriters Laboratories of Canada was transitioned into two new entities on April 1, 2010. Under the new structure, ULC activities related to certification testing and inspections were transferred to a new corporation called Underwriters Laboratories of Canada Inc. while Standards development activities were transferred to a new not-for-profit corporation called ULC Standards.

ULC Standards was initially accredited as a Standards Development Organization by Standards Council of Canada on June 4, 1973. ULC Standards develops and publishes standards on products and test methods having a bearing on fire, electrical, plumbing, security, environmental or accident hazards, crime prevention, and energy efficiency, among others.

The origin of the organization can be traced back to the year 1894 at which time a group of fire insurance companies operating in the United States established an organization called Underwriters Laboratories Inc. with headquarters in Chicago and thereby initiated a testing, inspection and standards writing service that was made available to manufacturers in the United States and Canada who wished to have their products rated, classified or approved. The benefits of that service soon found much utility among the governmental inspection authorities and the insurance industry in Canada with the resultant increasing demand for an “Underwriters Approval” on Canadian-made products.

This led to the formation of a separate Canadian organization under the name of “Underwriters Laboratories of Canada” in 1920, first as an affiliate of UL in Chicago, then from 1949 to 1974 as a completely separate Canadian entity under sponsorship of a Board called “Canadian Underwriters Association”, a group of fire and casualty insurance companies operating in Canada. From 1974 to 1995, ULC operated as a completely separate Canadian entity without sponsorship. In 1995, ULC affiliated with Underwriters Laboratories Inc.

ULC’s first operating facilities in Canada were opened January 1, 1950 on Richmond Street, Toronto. On October 4, 1954 operations moved into a new facility in Toronto (formerly Scarborough), where the ULC head office is currently located. The Toronto location has extensive test facilities. ULC also has laboratory and office space in Montreal and Vancouver. ULC Standards is located in Ottawa. A minimum number of Standards staff are also maintained in Toronto.

ULC's first technical advisory body, now called the ULC Advisory Council, was formed in 1952 with representation from the Dominion Fire Commissioner, all provincial fire marshals, managers of territorial insurance associations, and a building commissioner. The Council has since been expanded to include provincial and municipal building and electrical authorities, National Research Council of Canada, and UL. This Council meets annually and discusses at meetings and through correspondence matters pertinent to standards preparation and their revisions.

## **A2 STANDARDS DEVELOPMENT ORGANIZATION – HISTORY AND ATTRIBUTES OF UL and UL STANDARDS**

Underwriters Laboratories Inc. was incorporated in 1894. The organization maintains and operates laboratories and a Certification Service for the examination, testing and certification of devices, constructions, materials and methods to determine their relation to life, fire, electrical safety, casualty hazards, public and environmental safety and protection, or their value in the prevention of crime.

On January 1, 2012, UL reorganized into two companies as follows:

- Underwriters Laboratories Inc. - Not-for-Profit Corporation – Parent Company – Standards and Public Safety Activities
- UL Inc. - For Profit - Holding Company for Business Operations – Product Safety, Knowledge Services, Life & Health Sciences, UL Environment, Verification Services

In 1894, William Henry Merrill, an electrical engineer, founded UL. Prior to founding the company, Merrill had served as an electrical inspector for the Boston Board of Fire Underwriters, an electrician for the Chicago Underwriters Association and as an electrical inspector for the Chicago World's Fair.

In 1903, UL publishes the first standard for safety, "UL 10, Standard for Safety - Tin Clad Doors". Since that time, UL has developed over 1000 Standards in the areas of product safety (electrical, fire protection, and personal injury), life and health sciences, sustainability, and verification. UL Standards are used to assess products, test components, materials, systems and performance; and evaluate environmentally sustainable products, renewable energies, food and water products, recycling systems and other innovative technologies.

The attributes of UL Standards as a standards development organization that would enhance the acceptability of National Standards of Canada include:

- a) A staff trained, competent and dedicated to the task of serving the public of Canada;
- b) Highly developed facilities directed towards the aims and objectives of the organization;
- c) An independent, not-for-profit organization with a tradition of unbiased public service in the fields of standards writing;

- d) Published Standards since 1903; and
- e) Experience and knowledge extending over a large area of the field of activities.