



# **UNECE WP.6 Annual session Geneva, 2 – 3 December 2014**

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## **International Regulatory Cooperation - Draft revised Recommendation L**



*Christer Arvíus  
Advisor to the WP.6 Bureau  
Sweden*



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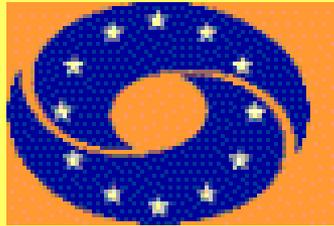
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# The idea and birth of the UNECE International Model





# **Standardization for the 21st Century**

**Tackling the new challenges**

**Conference in Berlin 15-17 March 1999**

**(more than 400 participants from over 40 countries in all  
regions of the world)**



# Global Trade

## Meeting international needs

Convenor: Christer Arvius

Rapporteur: Jan Roed

Speakers: Dr. Belinda L. Collins

Mr. Guido Gürtler

Dr. Otto Genee

Dr. Lawrence D. Eicher



# Global Trade

## Global framework model for regulation

### Purpose

- To develop global regulatory models concerning global recognition of standards to be used in national regulations
- To reduce technical barriers to trade
- To ensure/safeguard the investment in standardization



# Global Trade

## Global framework model for regulation

### Model/proposal

- Interested governments define essential requirements (e. g. safety requirements) on sectorial basis for products with significant effects on trade
- Codification of the agreed essential requirements
- Interested standardization organisations (e. g. ISO, IEC, IEEE) present list of candidates for international harmonized standards



1999-03-15  
1999-03-16  
1999-03-17

# Global Trade

## Global framework model for regulation

### Model/proposal (continued)

- The standardization organisations shall meet conditions/be approved to deliver standards
  - openness
  - transparency in operations and results
  - consensus
  - etc.



# Global Trade Conclusions

- The approach of sectorial standardization can be implemented globally
- The pilot project of ISO and 4 U.S. SDOs (ASTM, ASME, API and IEEE) shall be monitored closely and if possible followed up by a formal Dresden/Vienna-like agreement on sectorial basis



# Global Trade Conclusions

- The global framework model for regulation should be explored, starting with sectors likely to give success (EMC, ICT and electrotechnical)
- Initial discussions on essential requirements can be facilitated by TABD and further developed in UN/ECE and ultimately in WTO

## **Ninth session of WP.6 (17-19 May 1999):**

**On the basis of recommendations emanating from an international conference on standardization for the 21<sup>st</sup> century, which was held in Berlin earlier this year, the WP proposed that an advisory group be established to develop recommendations for a global framework model for regulation which would be coupled with international standards.**

**[a Team of Specialists on STandardization And Regulatory Techniques (“START” Team) was established in September 1999].**

## **Tenth session of WP.6 (6-8 Nov 2000):**

**The WP took note of document containing the draft text of the “International Model” and a document summarizing comments on the Model and agreed that the "START" Team should continue working on drawing up principles for international regulatory cooperation and its practical applications in specific sectors.**

## **Eleventh session of WP.6 (29-31 October 2001):**

**The WP agreed that the elaborated “International Model” would contribute to the facilitation of market access by providing a voluntary framework for establishing sectoral agreements between interested member countries**  
**and**  
**requested the secretariat to include the text of the “International Model” in the set of UNECE Recommendations on Standardization Policies and to publish it**  
**and**  
**to endorse the revised Terms of Reference of the START Team**  
**and**  
**called on the “START” Team to assist with sectoral initiatives based on the “International Model”, as forthcoming from interested parties and as requested.**

# The meaning and content of the International Model





**The UN/ECE “INTERNATIONAL MODEL”  
(Recommendation “L”)**



**is a regulatory cooperation model  
based on a  
“standards receptive regulatory technique”**

# UNECE International Model

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**The “International Model” is explained in a document with 22 paragraphs and three Annexes:**

- A. List of abbreviations used**
- B. Principal elements to be included in a Common Regulatory Objective (CRO), and**
- C. Administrative Procedures and Institutional Provisions**

*The “International Model” is published in the set of UN/ECE Recommendations on Standardization Policies and on the UN/ECE web site: <http://www.unece.org/trade/wp6/welcome.html>*

# UNECE International Model

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## Abbreviations used in the model (Annex A):

|               |  |
|---------------|--|
| <i>CAB</i>    | <i>Conformity Assessment Body;</i>                   |
| <i>CRO</i>    | <i>Common Regulatory Objective;</i>                  |
| <i>ISB</i>    | <i>International Standardizing Body;</i>             |
| <i>RCAB</i>   | <i>Recognised Conformity Assessment Body;</i>        |
| <i>SDoC</i>   | <i>Supplier's Declaration of Conformity;</i>         |
| <i>TR</i>     | <i>Technical Regulation;</i>                         |
| <i>UN/ECE</i> | <i>United Nations Economic Commission for Europe</i> |

# UNECE International Model

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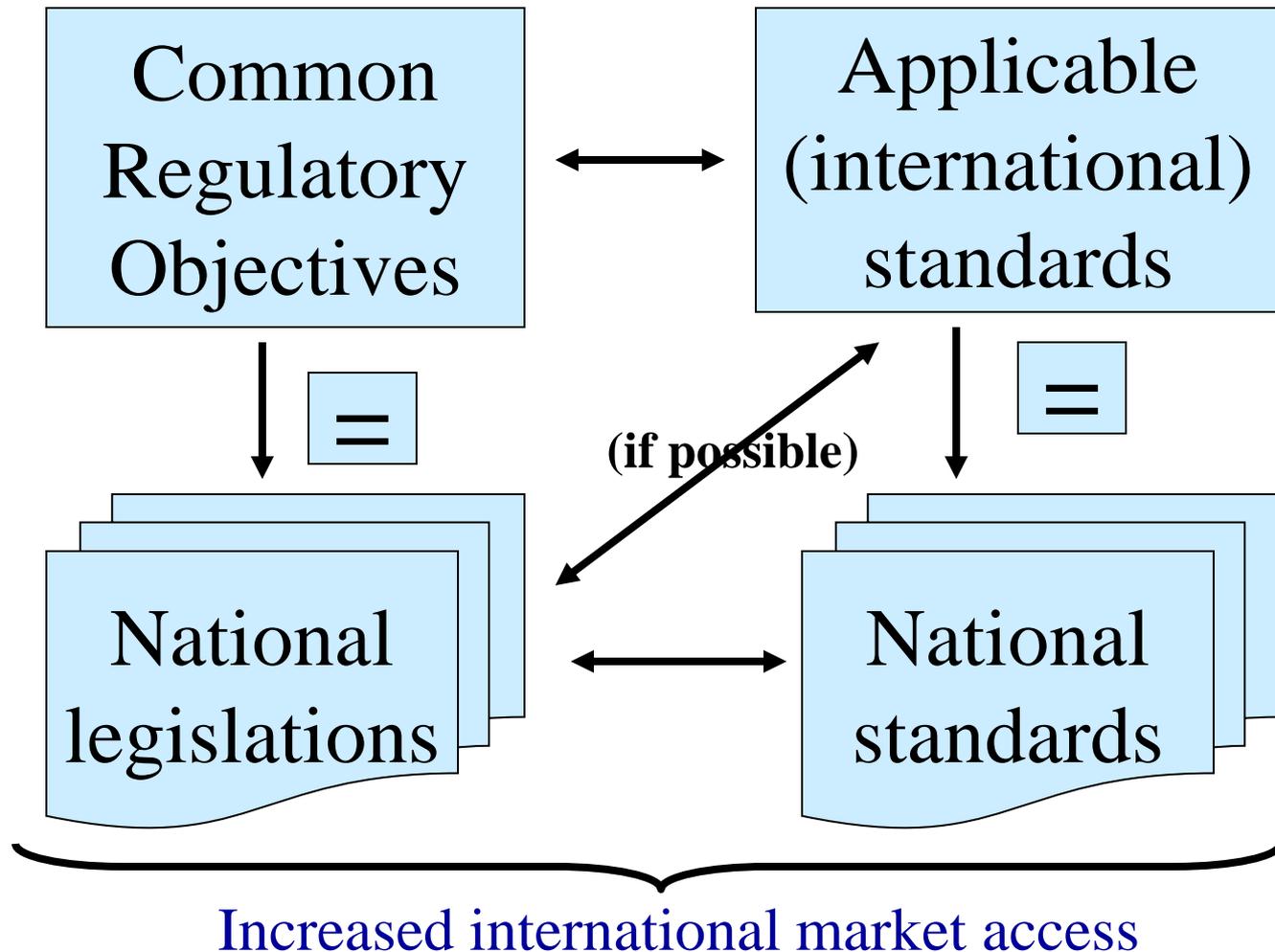
**Interested countries should agree on:**

**Common Regulatory Objectives (CROs). Principle elements in a CRO are set out at Annex B:**

- *scope of products/product areas;*
- *legitimate regulatory objectives;*
- *applicable international standards;*
- *conformity assessment procedure/s to demonstrate compliance (when applicable, provisions on CABs recognised to assess and attest compliance);*
- *market surveillance;*
- *protection clause to withdraw non compliant products etc.*

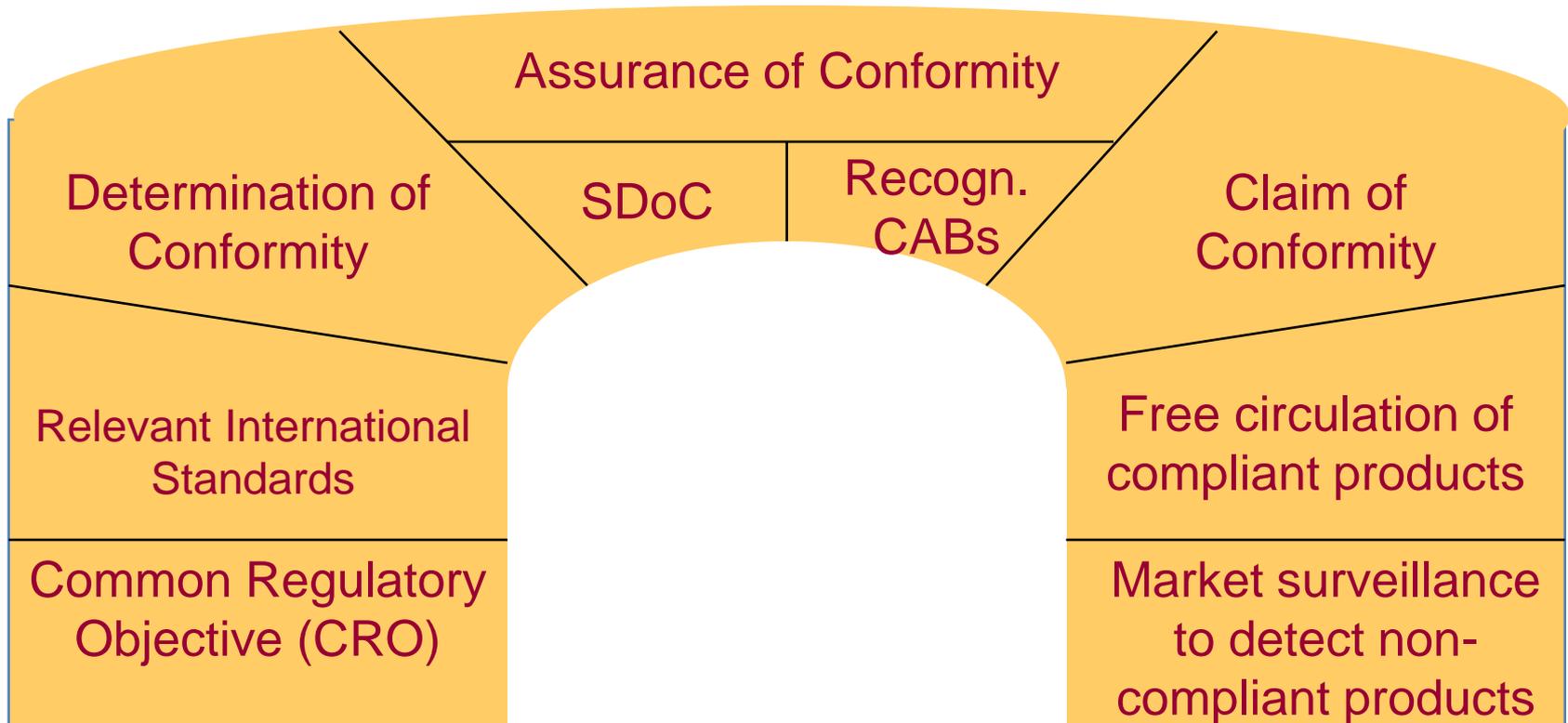
# UNECE International Model

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# UNECE International Model - Summary

**Elements to be included in international technical harmonization in specific sectors or product areas:**



# UNECE International Model

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## Advantageous with the use of the model:

- sectoral arrangements are open for all interested UN Member States;
- defines regulatory convergence which include the necessary health and safety conditions, applicable international standards and means of proofs of conformity for the sectors/product areas concerned and provide for open market access (“free circulation”);
- arrangements can be developed between interested countries/within regions on sectoral levels in an open and transparent manner. The number of countries in such arrangements can gradually be enlarged (a flexible “step-by-step” approach);
- simplify linking of sectoral/regional arrangements between countries using similar regulatory techniques;

# UNECE International Model

provide tools for

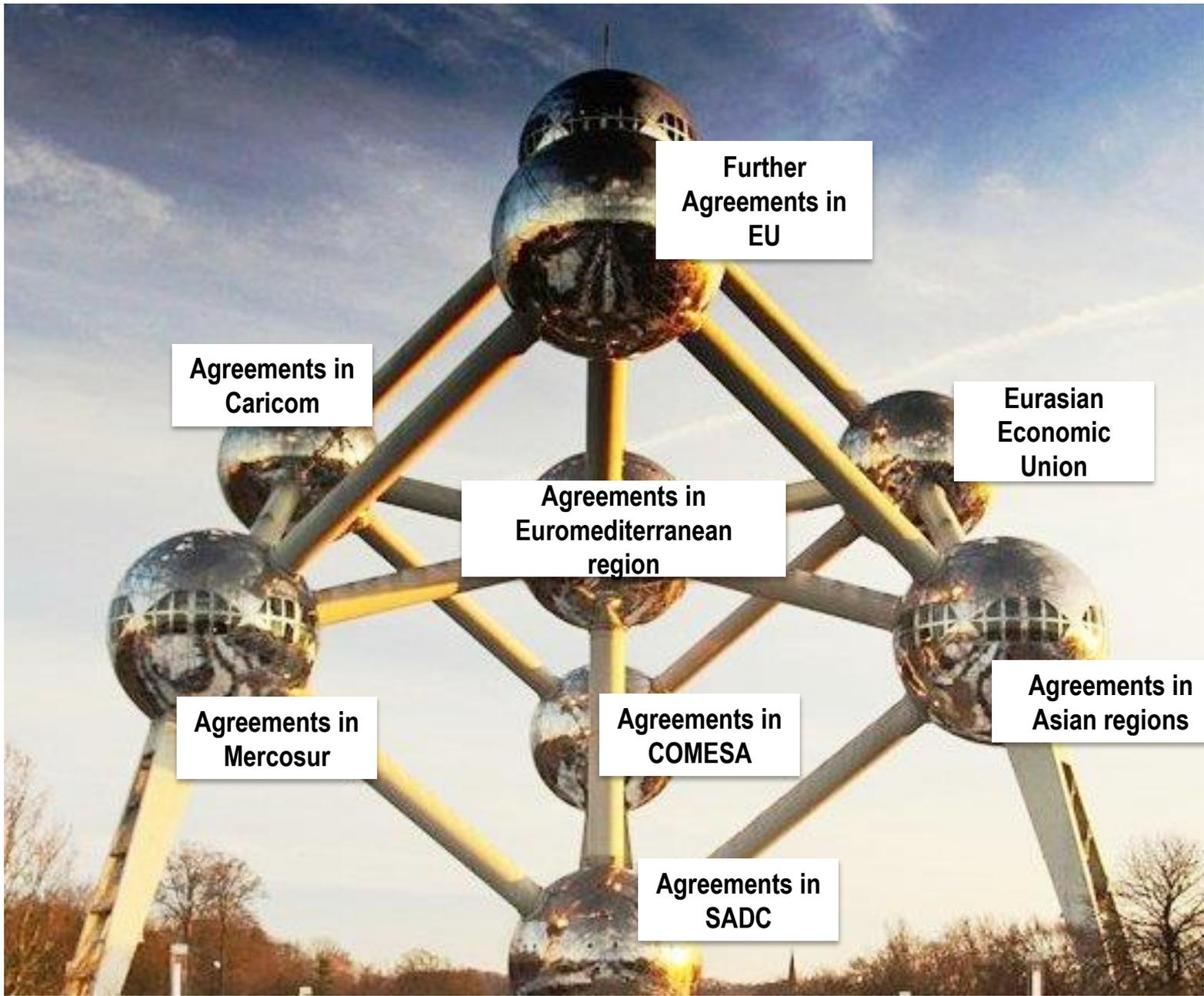
## Sectoral initiatives for regulatory convergence:

- Telecom
- Earth Moving Machinery
- Equipment for Explosive Environments
- Other

[ Industry specifies their needs, Regulatory Authorities to be aware of the industry needs and willing and able to enter into a regulatory convergence dialogue ]

## Regulatory techniques for regional integration:

- Harmonization of technical regulations in Eurasian Economic Union
- South-East Europe
- COMESA, SADC and other regions



**Further  
Agreements in  
EU**

**Agreements in  
Caricom**

**Eurasian  
Economic  
Union**

**Agreements in  
Euromediterranean  
region**

**Agreements in  
Mercosur**

**Agreements in  
COMESA**

**Agreements in  
Asian regions**

**Agreements in  
SADC**

# UNECE International Model

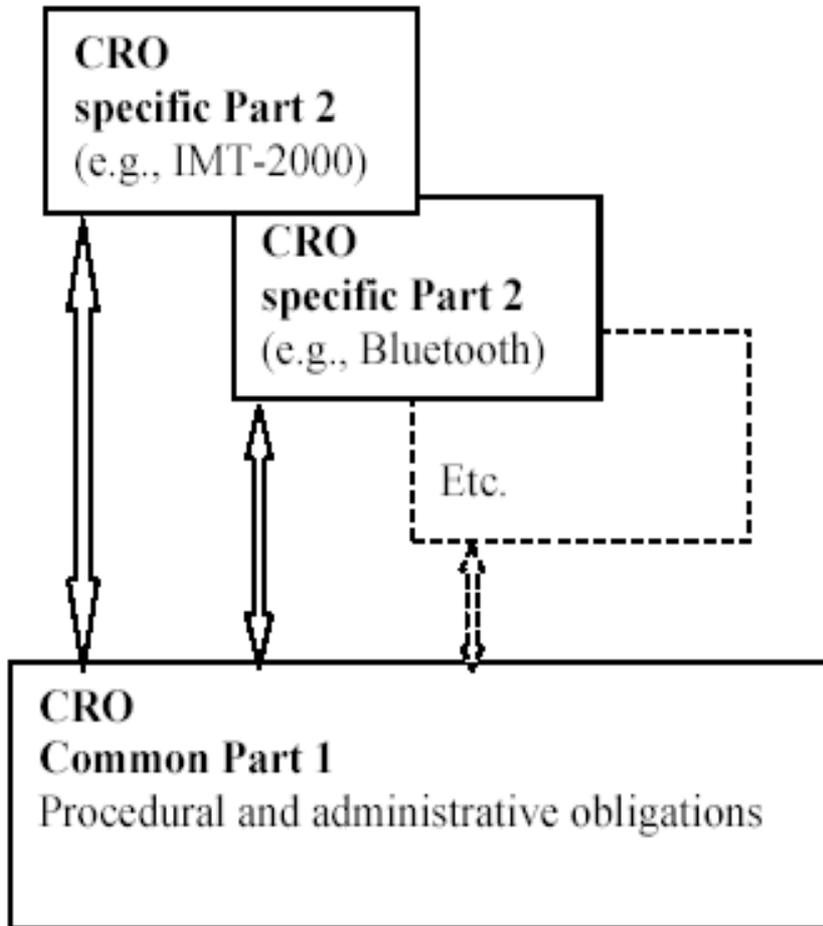
The “Telecom initiative” has elaborated CROs (incl. applicable international standards) for a number of product categories  
*[GSM, IMT-2000, Wireless LAN, Bluetooth, PC, Public Switched Telecommunications Network (PSTN) Modem]*



**Coordinator :  
Sweden**



# UNECE/WP.6 – “Telecom initiative”



- **GSM:** most common mobile telephone
- **IMT-2000:** next generation of mobile Telecom
- **Bluetooth:** home & business radio link (replace cable)
- **WLAN:** business & home radio Telecom networking
- **PSTN/POTS:** most common telephone/ modem
- **Personal Computer:** most common/clever human tool
- **Computer Peripherals:** most used PC connected devices

# UNECE/WP.6 – “Telecom initiative”

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Common Regulatory Objectives [CRO] specific part, examples:

## ➤ Bluetooth equipment

|   |   |
|---|---|
| <b>Safety:</b>                          | IEC 60950   |
| <b>Electromagnetic Fields:</b>          | ICNIRP,<br>IEEE C95.1,  |
| <b>Compliance Assessment:</b>           | CENELEC 50360/50361/50385/50383/50371;<br>FCC OET Bulletin 65   |
| <b>EMC:</b>                             | ETSI 301 489-1/-17,<br>FCC Part 15.207/Part 15.209              |
| <b>Effective use of radio spectrum:</b> | ETSI 300 328-1,<br>FCC Part 15:247/Part 15:205,<br>ARIB STD-T66 |

**(cont.)**

➤ **PC equipment**

**Safety:** IEC 60950

**EMC:** CISPR 22:1997+Am1:2000 Class B  
FCC Part 15.109 Class B,  
IEC 61000-3-2:1995+Amend  
IEC 61000-3-3:1995  
CENELEC 55024:1998 (Alt: CISPR 24:1997)

# UNECE International Model

**Coordinator :  
USA**

The “Earth Moving Machinery initiative” has elaborated CROs (including applicable international standards).

EMMs include machines for excavating, loading, transporting, spreading and compacting earth and other materials.



# UNECE International Model

**Coordinator :  
Germany**

Sector Initiative on Equipment for Explosive Environments (SIEEE)  
has elaborated CROs (including applicable standards and  
guidelines)



A sunset over a vast, icy landscape. The sun is low on the horizon, casting a warm glow over the scene. The sky is filled with soft, colorful clouds in shades of orange, pink, and purple. The foreground is a flat, icy expanse with two polar bears standing in the distance. The overall atmosphere is serene and cold.

**Coordinator :  
Russia**

**A Sectoral Initiative  
on Pipeline Safety  
is on its way....**

# The proposals for amendments



## To recall:

**There are certain limitations for the use of the same (international) standards if technical regulations are too different in various countries...**

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**Wording in WTO/TBT Agreement Article 2.4 on the use of international standards (“...except when such international standards....would be ineffective or inappropriate means for the fulfilment of the legitimate objectives pursued...”)**

**Hence, the use of identical (international) standards in different countries/regions is made difficult if there exist different requirements in technical regulations between countries/within regions**

**See e.g. The OECD study “The use of international standards in technical regulation”, July 2010 – a pilot study of three sectors (household appliances, natural gas, telephony) in five countries (Canada, EU, Korea, Mexico and the US), July 2010.**

**(“...there is no point in encouraging a country to use international standards as a basis of regulation of a given issue if that country does not regulate that issue in the first place...”)**

(cont.)

**...this is why there need to be a certain degree of coherence in the relevant requirements in technical regulations for a sector/regulatory area to make it possible for the countries concerned to use the same (international) standards**



**and also**



**in order to achieve a coherent interlinkage of technical regulations - standards between countries or within regions as advocated by the UNECE International Model**

# The proposals for amendments:

- **New name:** "International Model for Transnational Regulatory Cooperation Based on Good Regulatory Practice"
- **Recommendation:** That regulators use the process outlined in Annex A to develop cooperation based on good regulatory practice in regulatory fields and accompanying trade and industry sectors
- **Recommendation:** That countries wishing to go further and establish special operational transnational sectoral arrangements use the process outlined in Annex B.
- **Regulators:** define Common Regulatory Arrangement (CRA) documents in regulatory fields/industrial sectors
- **Countries:** Can go further and establish special operational transnational sectoral arrangements

# The future - Follow-up actions



## **UNECE-WP.6 should encourage:**

### **Private sector/stakeholders to:**

- **identify existing unnecessary/costly/trade hampering regulatory differences; or future priorities for regulatory alignment;**
- **indicate need for transnational regulatory cooperation (through existing or new bilateral/regional initiatives);**

### **Regulators to:**

- **Be willing and able to enter into regulatory cooperation dialogue(s) following from existing differences or their interest to facilitate future alignment according to the principles of the “International Model”;**

**Thank you very much  
for your attention !**