

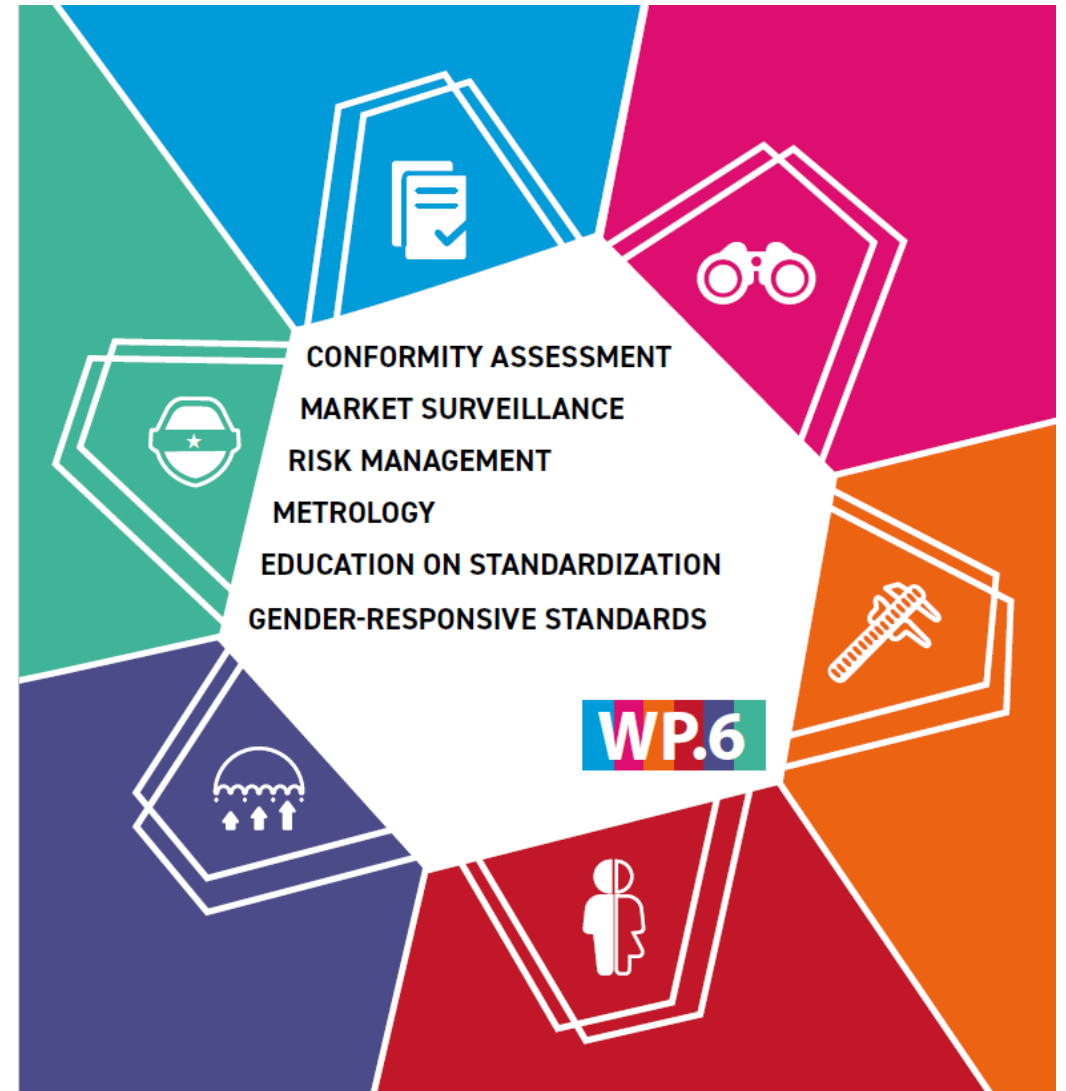
# Working Party on Regulatory Cooperation and Standardization Policies

## 13th Annual meeting of the Group of Experts on Risk Management in Regulatory Systems

25 May 2023

Administrative part 10:00 – 11:30 CEST

The webinar start at 12:00 CEST



# Webinar best practices



- It is recommended to use a headset and a LAN connection
- Please mute and turn off your camera when you are not requesting the floor
- Please use the chat function for short comments
- This is a public meeting of WP.6
  - Participants accept the WP.6 [IPR Policy](#)
- If you have technical problems during the meeting, please contact:
  - [regulatory.cooperation@un.org](mailto:regulatory.cooperation@un.org)

# WP.6 inclusive meetings guidelines



- Contributions
  - Strive for balanced contributions from both women and men participants
  - Keep individuals' speaking time balanced (avoid monopolizing)
- Interruptions
  - Avoid interrupting the speaker
  - Avoid talking over each other
- Coded language
  - Be mindful of coded language that may perpetuate gender stereotypes
    - Example: Are women described as aggressive for behavior that would lead to a man being considered confident?
- Recognize contributions

For more information, see *Guidelines on Developing Gender-Responsive Standards* (ECE/TRADE/472)

# 13th Annual Meeting of the Group of Experts on Risk Management in Regulatory Systems



## Agenda of the administrative meeting

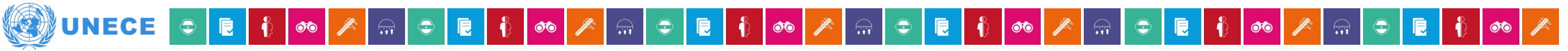
10:00 – 11:30

- Approval of the agenda
- Nomination of officers
- Review of progress on the PoW since July 2022
  - Presentations of GRM work in other bodies
  - Citation of GRM work by other bodies
- Update on project on Integrated Risk Management in Single Window Systems
- Competence matrix proposal
- Proposal of project on risk management in the context of SDG 14
- Proposal of project on risk management on digital green transitions
- Proposed future work

Webinar starts at 12:00 CET

# Nomination of the officers

## Candidatures



Candidate  
for  
Chair

Alexia Davison

Donald Macrae



Candidate  
for  
Vice-Chair

Jamila Mendoza



Valentin Nikonov



# Nomination of the officers Procedure



- There are three candidates for Vice-Chairs for two positions
  - (candidature procedure was announced on 4 April 2023 with a deadline of 25 April for nominations)
- Voting procedures (was published on the website on 15 May 2023)
  - Roll call / attendance – identification of members who can vote
    - Tauno will create a list of experts who have participated in at least one GRM meeting within the past 5 years
      - If we are unsure if a member can vote, you will be asked to please provide the date of the last GRM to which you attended
    - Roll call will be in the first five minutes of the meeting; anyone arriving after this will not be able to vote
    - Lance will read out the list of voting members
  - Dipty will send the ballot to each voting member by email from 10:15.
  - Voting members will select their preferred candidate(s)
    - Can choose a maximum of two candidates
      - If more than two are chosen, the ballot will be considered void
      - It is possible to return the ballot empty (not voting for anyone), or with only one choice or two choices
    - Must return the ballot to Dipty as a WORD or PDF attachment before 11:00
    - Dipty saves the attachments (without opening them) in a folder on our internal server and will delete the emails
    - If the voting member sends a ballot twice, only the first email will be counted – all subsequent will be ignored
  - Tauno will open the attachments (without knowing who submitted which one) and count the votes
  - Ariel will control the above steps and present the final results to the meeting

# Review of achievements on PoW since July 2022




- 14a – Develop training materials and guidance documents on the implementation of the suite of risk management recommendations
- 14b – Conduct a survey on the application of crisis management principles described in Recommendation P on Risk Management in Regulatory Systems during the COVID-19 crisis
- 14c – Develop best practice on applying integrated risk management within the Single Window (in cooperation with the United Nations Centre for Trade Facilitation and Electronic Business – UN/CEFACT)
- 14d – Enhance cooperation through the secretariat of WP.6 with customs agencies, national trade facilitation bodies, and international organizations working in the field, with an objective to improve risk management procedures and harmonization and to contribute to the risk management activities of other international organizations
- 14e – Establish and strengthen through the secretariat of WP.6 liaison with other risk management organizations



# 14a – Develop training materials and guidance documents on the implementation of the suite of risk management recommendations





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## Recommendations on regulatory cooperation and standardization policies

Working Party on Regulatory Cooperation and Standardization Policies

### R. Managing Risk in Regulatory Frameworks<sup>1</sup>

The Working Party on Regulatory Cooperation and Standardization policies,


**Recognizing** that mitigating risk that may affect society and hamper economic development is an important goal for policy-making,

**Underlining** that risk management is an important tool for promoting regulatory convergence at international and regional levels,

**Emphasizing** the role of risk management in achieving sustainable development goals, Stressing that risk-management tools are essential to enhancing the efficiency of regulatory action and of regulatory systems,

**Recognizing** assessment and accreditation operators, consumers, consistent, efficient, systems,

**Taking into account** such as ISO 31000:2018 including sector-specific and that absolute safety is undesirable to make it



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## Recommendations on regulatory cooperation and standardization policies

Working Party on Regulatory Cooperation and Standardization Policies

### P. Crisis Management within a Regulatory Framework

The Working Party on Regulatory Cooperation and Standardization Policies,

**Recognizing** the role of technical regulation, conformity assessment and market surveillance in preventing and addressing crises in various fields,

**Noting** that some risks are almost impossible to identify, and that all risks, even if identified, cannot be totally mitigated,

**Recognizing** the common interest of all regulatory stakeholders, including economic operators and consumers, in developing and applying tools that allow to effectively anticipate, and if necessary, resolve situations of crises,

**Stressing** that in many cases crises have led to imposing disproportionate regulations,

**Underlining** that risks that are identified and accepted within a regulatory system require developing or updating contingency plans that can be applied by regulators and other stakeholders,

**Stressing** that "crisis management" is an integral function of the risk management process of any regulatory framework, and that effective preparedness and/or response to crises requires systemic management of risks, and vice versa,

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## Recommendations on Regulatory Cooperation and Standardization Policies

Revised Edition

### S Applying predictive risk management tools for targeted market surveillance<sup>1</sup>

The Working Party on Regulatory Cooperation and Standardization Policies,

**Emphasizing** that achieving absolute safety cannot be the goal of a regulatory system,

**Noting** that excessively stringent controls can create unnecessary barriers to trade,

**Recognizing** the importance of ensuring that products on the market (including imported goods), physical infrastructure, commercial and industrial facilities are compliant and safe so as to protect consumers, citizens and the environment

**Emphasizing** the importance of applying predictive risk assessment tools for planning the activities of market surveillance/compliance authorities at the "before an accident"/"before the non-compliance reported" stage,

**Stressing** that risk-based surveillance frameworks should help avoiding:

- Excessive controls on low risk products and
- Omitted or insufficient controls on high risk products

**Recognizing** that as surveillance on products or to that end,

**Aiming** to provide efficiency of the existing risk-based surveillance frameworks,

**Aiming** to complement the risk-based surveillance frameworks,

**Recommends** that compliance risk of product should reflect:

- How dangerous
- What is the probability

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## Recommendations on Regulatory Cooperation and Standardization Policies

Revised Edition

### T Standards and Regulations for Sustainable Development<sup>1</sup>

The Working Party on Regulatory Cooperation and Standardization policies,

**Taking special note** of how the 2030 Agenda for Sustainable Development now represents a cornerstone for the United Nations in all sectors of its activity,

**Wishing** to enhance the contribution of voluntary standards to realization of the 2030 Agenda,

**Wishing** to further strengthen cooperation between regulatory authorities and agencies of the member States and standards development bodies and the United Nations in the implementation of the 2030 Agenda,

**Wishing** to further broaden the application of risk management tools by regulatory authorities (in building regulatory frameworks),

**Affirms** that:

- A systematic management of the risks inherent to the 2030 Agenda is a pre-requisite for achieving the Sustainable Development Goals;
- A standard-based approach constitutes a solid basis for regulating in view of the realization of the 2030 Agenda;

**Taking into account** that:

- The social, economic and environmental dimensions of the Sustainable Development Goals and targets are currently covered by a very broad range of legislative and regulatory systems and jurisdictions;
- In order to contribute to the achievement of the Sustainable Development Goals and targets, a broad range of risks shall be effectively and efficiently managed within regulatory frameworks, as described in Recommendation S;
- Many standards, UN agreements and conventions, as well as other regulatory frameworks that are already in use are relevant to achieving Sustainable Development Goals;
- Implementation of the Sustainable Development Goals requires developing regulatory processes and building risk-based regulatory systems that would be proportionate to risks that are relevant to the Sustainable Development Goals' targets in terms of regulatory requirements, conformity assessment and surveillance processes;

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## Recommendations on Regulatory Cooperation and Standardization Policies

Revised Edition

### V Addressing Product Non-Compliance Risks in International Trade

The Working Party on Regulatory Cooperation and Standardization Policies,

**Taking into account** the wide range of risks present within an international trade system,

**Noting** that efficient and proportionate management of customs risks as well as risks of product non-compliance with technical regulations and standards associated with incoming shipments is a prerequisite to optimizing border compliance time and costs for importers and for avoiding unnecessary trade disruptions,

**Stressing** the importance of import compliance as a key component of market surveillance and enforcement framework, and its higher efficiency compared to post-market control in providing safety of consumers, society and environment, as well as for achieving fair market competition,

**Noting** that import compliance inspections performed by regulators responsible for compliance with technical regulations and standards have a strong impact and often hamper trade facilitation,

**Highlighting** that management of product non-compliance risk is of particular importance for setting priorities in market surveillance and import compliance with the purpose of removing dangerous and non-compliant products from the market, as described in Recommendation S,

**Reminding** that market surveillance is a necessary component of any regulatory system and that building risk-based regulatory systems that would be proportionate to risks that are relevant to the Sustainable Development Goals (SDGs) and targets is essential for sustainable development, as described in Recommendation T,

**With the objective** of further assisting regulatory authorities in achieving the objectives of the World Trade Organization (WTO) Trade Facilitation Agreement (TFA), Technical Barriers to Trade (TBT) and sanitary and phytosanitary measures (SPS) Agreements, as well as in implementing the integration principles described in the World Customs Organization's Risk Management Compendium,

**Noting** that the efficiency of risk management application at the border depends on:

- (a) individual risk management capacity of each regulatory agency involved in border control in management of non-compliance risks, ensuring correct evaluation of consequences and of the probability of non-compliance associated with each incoming shipment;
- (b) integration of risk management systems of border control agencies, essential for ensuring involvement of all regulatory agencies in risk management in a cost-effective way,

## Managing Risk for Safe, Efficient Trade

GUIDE FOR BORDER REGULATORS



In collaboration with



<sup>1</sup> Recommendation adopted in 2018



# 14a – The Guide available online



## Managing Risk for Safe, Efficient T...

22 August 2022

<https://intracen.org/resources/publications/Managing-Risk>

### Overview

A comprehensive risk management strategy is vital to improve the efficiency of border control and import compliance to facilitate international trade. This publication offers a roadmap that shows regulatory agencies in developing countries in particular how to build modern, integrated risk management and compliance systems at the border.

The guide aims to help these agencies expedite trade flows in the post-pandemic world, while ensuring compliance with and the safety of cross-border trade procedures. It offers policy recommendations to create a national strategy based on five principles, such as removing redundant controls and integrating risk management processes.



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# 14a – Launch of the Guide




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## Launch of the joint ITC-UNECE publication “Managing Risk for Safe and Efficient Trade: Guide for Border Regulators”

 **31 August 2022, 11:00 - 12:00 Singapore Time** | [Open meeting](#)


 **Fairmont hotel, Singapore**


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OVERVIEWDOCUMENTSSPEAKERS





**Dr. Mohammad Saeed**  
Chief, Trade Facilitation and Policy for Business a. i.,  
International Trade Centre (ITC)

[Know More](#) 




**Dr. Yann Duval**  
Chief, Trade Policy and Facilitation, United Nations  
Economic and Social Commission for Asia and the Pacific  
(UNESCAP)


[Know More](#) 



**Ms. Elisabeth Tuerk**  
Director, Economic Cooperation and Trade, United Nations  
Economic Commission for Europe (UNECE)

[Know More](#) 

**Dr. Valentin Nikonov**  
Author and Co-coordinator of the UNECE Working Group of  
Experts on Risk Management (recorded in advance)

[Know More](#) 

# 14a – e-learning module on Learn QI platform



<https://learnqi.unece.org/>

# 14b – Survey on the application of crisis management principles during the COVID-19 crisis



## Survey on applying crisis management principles during the COVID-19 crisis

using the principles described in UNECE Recommendation P

\* Required

1. How applicable were your crisis management plans to the COVID-19 crisis?

- ☐ Applicable
- ☐ Partly applicable
- ☐ Not applicable at all
- ☐ We didn't have crisis management

2. Which of the following international standards did you use in preparing/managing the COVID-19 crisis?

- ☐ ISO 22301
- ☐ ISO 31000
- ☐ We didn't use international standards
- ☐ Other

3. To which extent, in your view, did the COVID-19 crisis lead to imposing disproportionate regulations within your regulatory framework?

- ☐ There were a lot of cases of overregulation
- ☐ There were some cases of overregulation
- ☐ Can't think of any cases of overregulation

4. What was the level of any non-regulatory bottlenecks (i.e. socio-political pressure, lack of resources, etc.) in the crisis response?

- ☐ Very high
- ☐ High
- ☐ Moderate
- ☐ Low

5. Were you involved in any international cooperation aimed at managing the COVID-19 crisis?

- ☐ Yes, formal international cooperation
- ☐ Yes, informal international cooperation
- ☐ No

# 14d – Develop best practice on applying integrated risk management within the Single Window



|               |  |                                    |
|---------------|--|------------------------------------|
| 10:05 – 10:20 | Nomination of officers   | WP.6 Secretary<br>Lance Thompson   |
| 10:20 – 10:35 | <b>Verification of progress on the PoW 2022-2023</b><br>(a) Develop training materials and guidance documents on the implementation of the suite of risk management recommendations<br>(b) Conduct a survey on the application of crisis management principles described in Recommendation P on Risk Management in Regulatory Systems during the COVID-19 crisis<br>(c) Develop best practice on applying integrated risk management within the Single Window (in cooperation with the United Nations Centre for Trade Facilitation and Electronic Business – UN/CEFACT)<br>(d) Enhance cooperation through the secretariat of WP.6 with customs agencies, national trade facilitation bodies, and international organizations working in the field, with an objective to improve risk management procedures and harmonization and to contribute to the risk management activities of other international organizations<br>(e) Establish and strengthen through the secretariat of WP.6 liaison with other risk management organizations | Acting Chair<br>Donald Macrae      |
| 10:35 – 10:45 | <b>Update on project on Integrated Risk Management in Single Window Systems</b>  | Project Leader<br>Valentin Nikonov |
| 10:45 – 10:55 | Competence matrix proposal   | Proposer<br>Paul Taylor            |
| 10:55 – 11:05 | Proposal of project on risk management in the context of SDG 14  | Proposer<br>Roland Cormier         |
| 11:05 – 11:15 | Proposal of project on risk management on digital green transitions  | Proposer<br>Jamila Mendoza         |
| 11:15 – 11:25 | Proposed future work   | Acting Chair<br>Donald Macrae      |
| 11:25 – 11:30 | Results of the voting on nomination of officers  | WP.6 Chief of MAS<br>Ariel Ivanier |

# 14e – Enhance cooperation



## **Risk management at the border: customs perspective and integration with product regulators**

Moderator: Valentin Nikonov, Co-coordinator of GRM [[Bio](#)

12:30 Irina Sigua, Georgia Customs [[Bio](#)

12:50 David Anikoh, Nigerian Customs

13:10 Joaquín González, Mexico Customs [[Bio](#)

## **Risk management in product compliance: regulator's perspective and integration with customs**

Moderator: Donald Macrae, Acting Chair of GRM

13:45 Lucy He, WorkSafe New Zealand [[Bio](#)

14:05 Dr. George Drossos, Hellenic Ministry of Development & Investments [[Bio](#)

14:25 Maribel Hurtado Sepúlveda, North American Plant Protection Organization (NAPPO) [[Bio](#)

# Some éléments on proposed future work



- Guidance on existing rec.
- Liaison through secretariat
- Integrated Risk Mgmt & SW system
- Competence matrix
  - Members to provide comments by 15 June (to scope what will be done)
  - Template of targets
  - Will be added to next webinar in July
- Risk Mgmt & SDG 14
  - Proposer to provide project proposal using the template (to add in the PoW)
- Digital green transition
  - Proposer to provide project proposal using the template (to add in the PoW)
- Application of risk mgmt on new technologies
  - Proposer to provide project proposal using the template (to add in the PoW)
- Next meeting: 6 July @11:00



# Congratulations to the nominated leadership



GRM Chair  
Alexia Davison



GRM Vice-Chair  
Donald Macrae



GRM Vice-Chair  
Valentin Nikonov

# Webinar "Risk management in regulatory systems"



- Opening and welcome
  - GRM, UNECE
- Introductory keynote
  - ITC
- Risk management at the border: customs perspective and integration with product regulators
  - Georgia customs, Nigeria customs, Mexico customs
- Risk management in product compliance: regulator's perspective and integration with customs
  - WorkSafe New Zealand, Hellenic Ministry Development/Invest, NAPPO
- Closing keynote
  - EU DG TAXUD

# Join us!



- 26 May from 11:00 – Annual meeting of MARS
  - 26 May from 14:00 – Annual meeting of START-Ed
  - More information on the [Forum webpage](#)
  - Or contact us at: [regulatory.cooperation@un.org](mailto:regulatory.cooperation@un.org)
- 
- Next GRM meeting: 6 July @11:00 CET  
14 September @11:00 CET
  - WP.6 Annual session: 23-24 November



Merci ありがとうございました Hvala Ačiū  
 شكرًا جزيلًا Mahalo Дякую Teşekkür ederim  
 Рахмат Dankon ඔබට ස්තූතියි Sagbol Ευχαριστώ  
 Tack Çox sağ ol Dziękuję Ci Obrigado  
 მადლობით הודת 감사합니다 धन्यवाद Dankon  
 Hatur nuhun Баярлалаа Хвала вам  
 Спасибо Tak skal du have Diolch Paldies  
 Go raibh maith agat Faleminderit Rahmat  
 Grazi Dank je Рахмат сага Faafetai Благодаря ти  
 Grazie Mulțumesc Ačiū Danke  
 Gracies 谢谢 សូមអរគុណ Takk skal du ha  
 Salamat Aitäh Dankie Pakka þér fyrir  
 Ви благодарам Dėkuji Köszönöm Дзякуй  
 धन्यवाद Gràcies Asante  
 Kiitos

# Thank you

Lance Thompson  
Secretary

**UNECE – Working Party 6**

22/05/2023, Geneva

## Working Party on Regulatory Cooperation and Standardization Policies

