



NATIONAL ADOPTION OF
CANADA

STANDARD FOR SAFETY

CAN/UL-10377:2017, Consumer Product Safety – Guidelines for Suppliers

(ISO 10377:2013, MOD)



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UL Standard for Safety for Consumer Product Safety – Guidelines for Suppliers, UL 10377

First Edition, Dated April 28, 2017

Summary of Topics

This is the first edition of CAN/UL 10377, the Standard for Consumer Product Safety – Guidelines for Suppliers

CAN/UL 10377 is an adoption with Canadian national deviations of ISO Standard for Consumer Product Safety – Guidelines for Suppliers, first edition of ISO 10377: 2013-04-15.

The new requirements are substantially in accordance with Proposal(s) on this subject dated November 11, 2016.

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1

UL 10377

Standard for Consumer Product Safety – Guidelines for Suppliers

First Edition

April 28, 2017

This CAN/UL 10377 consists of the First Edition.

This standard has been approved as a National Adoption of Canada (NAC) by the Standards Council of Canada.

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CONTENTS

Preface (UL)	6
NATIONAL DIFFERENCES	9
Foreword	10
Introduction	11
1 Scope	13
2 Terms and definitions	13
3 Basic principles for addressing consumer product safety	16
3.1 General	16
3.2 Promoting a product safety culture within the organization	17
3.3 Promoting a product safety culture outside the organization	17
3.4 Committing to providing safe products	17
3.5 Continual improvement	17
3.6 Precautionary approach	18
3.7 Sharing of information	18
4 General requirements	18
4.1 General	18
4.2 Commitment to providing safe consumer products	19
4.3 Continual improvement	22
4.4 Applicable laws, regulation and standards	25
4.5 Consumer product identification and traceability	25
4.6 Understanding the role of consumers	27
5 Safety in design	28
5.1 General	28
5.2 Design specification	29
5.3 Safety considerations in design	30
5.4 Documenting the design specification process	38
6 Safety in production	39
6.1 Basic principles during production	39
6.2 Production planning	41
6.3 Full production runs	43
6.4 Post production	44
6.5 Production support	44
7 Safety in the marketplace	45
7.1 General	45
7.2 Pre-purchase assessment	45
7.3 Proactive data collection and analysis	47
7.4 Ongoing assessment of consumer product conformance	47
7.5 Warranty and servicing	48
7.6 Product incident investigation	48

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Annex A (informative) Useful International Standards and Guides**Annex B (informative) Information and guidance for small businesses**

B.1 General	50
B.2 Questions for suppliers to consider when designing, producing or supplying consumer products	50
B.2.1 General	50
B.2.2 General questions	50
B.2.3 Questions related to design	51
B.2.4 Questions related to production	52
B.2.5 Questions related to the marketplace	52
B.3 Consumer product incident investigation	53
B.4 Planning and carrying out a focus group	53

Annex C (informative) Hazard and risk evaluation**Annex D (informative) Product safety management plans**

D.1 General	59
D.2 Product safety management plan based on a quality assurance manual	59
D.3 Checklist for development of a product safety management plan	61

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Preface (UL)

This is the First Edition of the CAN/UL 10377, Standard for Consumer Product Safety – Guidelines for Suppliers, which is a National Adoption of the first edition of ISO 10377: 2013-04-15.

This CAN/UL10377 Standard for Safety is under continuous maintenance, whereby each revision is SCC approved upon publication. If no revisions occur, the initiation of the review of this Standard will commence within 5 years of the date of publication.

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This Edition of the Standard has been formally approved by the UL 10377 Voting Body.

This list represents the voting body membership when the final text in this standard was balloted. Since that time, changes in the membership may have occurred.

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The intended primary application of this standard is stated in its scope. It is important to note that it remains the responsibility of the user of the standard to judge its suitability for this particular application.

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DR – These are National Differences based on the **national regulatory requirements**.

D1 – These are National Differences which are based on **basic safety principles and requirements**, elimination of which would compromise safety for consumers and users of products.

D2 – These are national differences from ISO requirements based on existing **safety practices**. These requirements reflect national safety practices, where empirical substantiation (for the ISO or national requirement) is not available or the text has not been included in the ISO standard.

DC – These are National Differences based on the **component standards** and will not be deleted until a particular component standard is harmonized with the ISO component standard.

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Each national difference contains a description of what the national difference entails. Typically one of the following words is used to explain how the text of the national difference is to be applied to the base ISO text:

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2. www.iso.org/directives

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The committee responsible for this document is Project Committee ISO/PC 243, *Consumer product safety*.

Introduction

A number of governments have established laws and requirements for suppliers to place only safe products on the market. In this way, they are trying to deal more broadly with dangers associated with consumer products, rather than developing standards or regulations for every single product.

However, many suppliers have limited experience and few available resources or practical reference documents to guide them through this process, which consists of the following:

- identifying the hazards;
- assessing the risks;
- identifying and implementing risk reduction measures;
- identifying and reducing risks in the production process;
- implementing processes to trace and identify products;
- communicating use and warning information to consumers;
- monitoring the product in the marketplace;
- identifying any safety risks and managing them.

This International Standard provides practical guidance for suppliers of all sizes to assist them in assessing and managing the safety of the consumer products they supply – from the design of the product, to the input of raw materials, to production, to distribution, to retail and to the final product end-user and disposal. This International Standard is intended to be particularly valuable to small and medium-sized enterprises, as well as to suppliers that do not design or produce products, but are still responsible for their safety in many jurisdictions. To assist them, useful information and examples are provided in Annex B.

The supply chain for consumer products is made up of a number of suppliers, often in different parts of the world, where products or product components are being designed, produced and sold in other countries. Therefore, it is important that the guidance provided is aligned with international best practice, easy to understand and applied consistently by suppliers. The overall objective of following internationally consistent guidance is to produce safer consumer products, and thereby:

- a) reduce the product safety risks to consumers;
- b) reduce the risks to suppliers of product recalls;
- c) provide consumers with the information they need in order to make informed choices with respect to the safe use and disposal of consumer products;
- d) assist governments by improving the safety of consumer products.

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This International Standard does not cover issues such as worker safety, protection of the environment, or social and ethical issues, which are covered extensively by other standards. Instead, this International Standard focuses on consumer products and providing guidance on reducing the risk of harm to consumers and users. It has been developed in parallel with ISO 10393, which focuses on product recall. The relationship between this International Standard and ISO 10393 is illustrated in Figure 1.

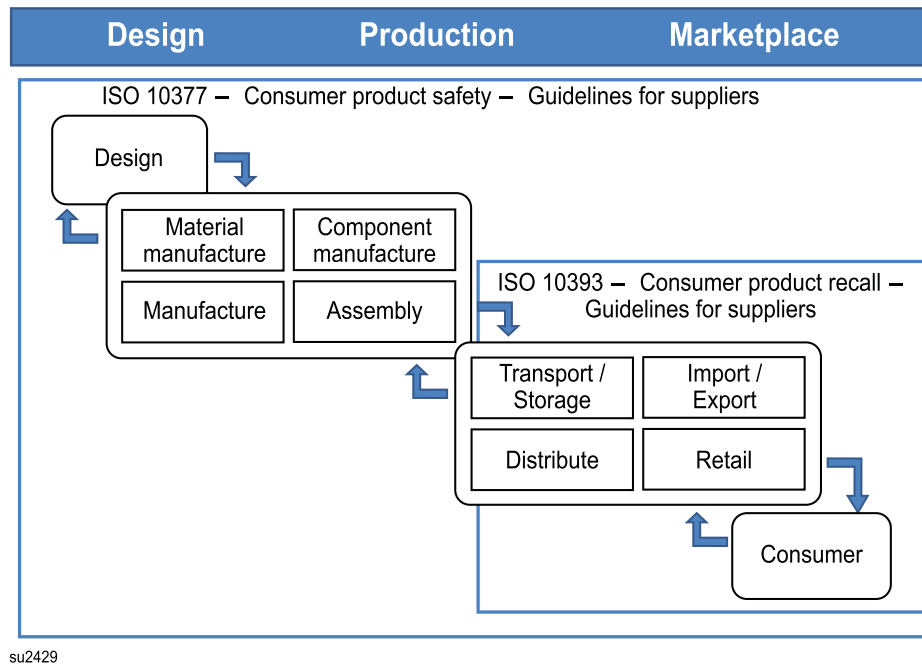


Figure 1 – Relationship between this International Standard and ISO 10393

It is important that suppliers maintain an awareness of and comply with the laws and regulations of the countries where the products are manufactured, imported, distributed or sold.

ISO/IEC Guide 51 and the revisions proposed to it were taken into account in the drafting of this International Standard.

This International Standard is presented in the form of practical guidance. Terms used in this International Standard are defined in Clause 2, although individual countries have established or might establish different specific definitions in law. Clauses 3 and 4 provide principles and general requirements that apply to all members of the supply chain. Clauses 5, 6 and 7 are targeted to specific sectors of the supply chain. Information on relevant International Standards and Guides, useful information for small business, examples related to hazard and risk evaluation, and product safety management plans are provided in Annexes A, B, C and D, respectively.

DV.1 DR Modification of the first paragraph under Figure 1:

Add “provinces and territories” after the word “countries”.

Consumer product safety – Guidelines for suppliers

1 Scope

This International Standard provides practical guidance to suppliers on assessing and managing the safety of consumer products, including effective documentation of risk assessment and risk management to meet applicable requirements.

This International Standard describes how to:

- identify, assess, reduce or eliminate hazards;
- manage risks by reducing them to tolerable levels;
- provide consumers with hazard warnings or instructions essential to the safe use or disposal of consumer products.

This International Standard is intended to apply to consumer products, but might also be applicable to decisions concerning safety in other product sectors.

2 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

2.1 consumer – individual member of the general public purchasing or using property, products or services for private purposes

[SOURCE: ISO 26000:2010, 2.2]

2.2 consumer product – product designed and produced primarily for, but not limited to, personal use, including its components, parts, accessories, instructions and packaging

2.2DV DR Modification of 2.2 to add the following note:

Note: The Canada Consumer Product Safety Act, Section 2 defines a “consumer product” as follows:

consumer product means a product, including its components, parts or accessories, that may reasonably be expected to be obtained by an individual to be used for non-commercial purposes, including for domestic, recreational and sports purposes, and includes its packaging. (produit de consommation)

2.3 competent – suitably trained or qualified by knowledge and practical experience to enable the required task or tasks to be carried out

[SOURCE: ISO 22846-1:2003, 2.6]

2.4 **corrective action** – action intended to remove potential for harm and to reduce risk

Note 1 to entry: For the purposes of this International Standard, corrective actions are referred to as “recalls” because the public and media more readily recognize and respond to that description.

[SOURCE: ISO 10393:2013, 2.4]

2.5 **foreseeable misuse** – improper or incorrect use of a product that is capable of being known or anticipated in advance, based on a supplier’s best knowledge about the product and human behaviour

EXAMPLE Improper use by children or the elderly.

2.6 **foreseeable use** – use of a product that is capable of being known or anticipated in advance based on a supplier’s best knowledge about the product

2.7 **harm** – physical injury or damage to the health of people, or damage to property

[SOURCE: ISO/IEC Guide 51:1999, 3.3, modified]

2.8 **harmful event** – occurrence in which a hazardous situation results in harm

[SOURCE: ISO/IEC Guide 51:1999, 3.4]

2.9 **hazard** – potential source of harm

Note 1 to entry: The term hazard can be qualified in order to define its origin or the nature of the expected harm (e.g. electric shock hazard, biological hazard, crushing hazard, cutting hazard, toxic hazard, fire hazard, drowning hazard).

[SOURCE: ISO/IEC Guide 51:1999, 3.5]

2.10 **hazardous situation** – circumstance in which people or property are exposed to one or more hazards

[SOURCE: ISO/IEC Guide 51:1999, 3.6, modified]

2.11 **intended use** – use of a product in accordance with information provided by the supplier

[SOURCE: ISO/IEC Guide 51:1999, 3.13, modified]

2.12 **organization** – entity or group of people and facilities with an arrangement of responsibilities, authorities and relationships and identifiable objectives

Note 1 to entry: For the purposes of this International Standard, organization does not include government acting in its sovereign role to create and enforce law, exercise judicial authority, carry out its duty to establish policy in the public interest or honour the international obligations of the state.

[SOURCE: ISO 26000:2010, 2.12, modified]

2.13 **product recall** – corrective action taken post production to address consumer health and safety issues associated with a product

[SOURCE: ISO 10393, 2.12]

2.14 **protective measure** – means used to reduce risk

Note 1 to entry: Protective measures include risk reduction by inherently safe design, protective devices, personal protective equipment, information for use and installation, and training.

[SOURCE: ISO/IEC Guide 51:1999, 3.8]

2.15 **residual risk** – risk remaining after protective measures have been taken

[SOURCE: ISO/IEC Guide 51:1999, 3.9]

2.16 **risk** – combination of the probability of occurrence of harm and the severity of that harm

[SOURCE: ISO/IEC Guide 51:1999, 3.2]

2.17 **risk analysis** – systematic use of available information to identify hazards and to estimate the risk

[SOURCE: ISO/IEC Guide 51:1999, 3.10]

2.18 **risk assessment** – overall process comprising a risk analysis and a risk evaluation

[SOURCE: ISO/IEC Guide 51:1999, 3.12]

2.19 **risk communication** – exchange or sharing of information about risk between the decision maker and other stakeholders

[SOURCE: ISO/IEC Guide 73:2002, 3.2.4, modified]

2.20 **risk evaluation** – procedure based on the risk analysis to determine whether the tolerable risk has been achieved

[SOURCE: ISO/IEC Guide 51:1999, 3.11]

2.21 **risk management** – coordinated activities to direct and control an organization with regard to risk

[SOURCE: ISO Guide 73:2009, 2.1]

2.22 **risk reduction** – actions or means to eliminate hazards or reduce risks

2.23 **safety** – freedom from unacceptable risk

[SOURCE: ISO/IEC Guide 51:1999, 3.1]

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2.24 **supplier** – organization or person that provides a product or service

EXAMPLE Designer, producer/manufacturer, importer, distributor, or retailer of a product.

Note 1 to entry: A supplier can be internal or external to the organization.

Note 2 to entry: In a contractual situation, a supplier is sometimes called “contractor”.

[SOURCE: ISO 9000:2005, 3.3.6, modified]

2.25 **supply chain** – network that designs, manufactures, imports, distributes and sells a product

2.26 **tolerable risk** – risk which is acceptable for a specific user group based on the current values of society

Note 1 to entry: For the purposes of this International Standard, the terms “acceptable risk” and “tolerable risk” are considered to be synonymous.

[SOURCE: ISO/IEC Guide 51:1999, 3.7, modified]

2.27 **traceability** – ability to track a product or component forward through specified stages of the supply chain to the user, and trace back the history, application or location of that product or component

[SOURCE: ISO 9000:2005, 3.5.4, modified]

2.28 **unforeseeable misuse** – use of a product in a manner that a supplier cannot reasonably know or anticipate

2.29 **user** – person who interacts with the product or service

2.30 **vulnerable consumer** – consumer who could be at greater risk of harm from products due to their age, level of literacy, physical condition or limitations, or inability to access product safety information

3 Basic principles for addressing consumer product safety

3.1 General

Adherence to the basic principles in 3.2 to 3.7 will assist members of the supply chain to develop and maintain a shared commitment to consumer product safety. This includes a commitment to the prompt implementation of corrective action when hazards are identified as a result of incorrect design, deficiencies in the production process and problems during distribution or storage.

3.2 Promoting a product safety culture within the organization

Consumer product safety should be a key consideration in the organization's governance structure. This can be accomplished by putting in place a product safety management plan that is implemented and endorsed by the governing body and/or top management. Examples of two different approaches to product safety management plans are presented in Annex D.

The organization should understand and comply with the laws, regulations and standards that cover the consumer product produced for the marketplace in which the product is manufactured or sold. Responsibility for compliance should be clearly stated and assigned with appropriate resources allocated to develop, maintain, monitor and continually improve the product safety compliance programme.

3.3 Promoting a product safety culture outside the organization

An organization should promote a consumer product safety culture throughout the supply chain. Such promotion may include setting contractual provisions or incentives, promoting good industry-wide practices, forming partnerships with sector organizations and others, sharing of information, and providing consumers with the information they need to assemble, use, maintain and dispose of a consumer product safely (see ISO 26000).

3.4 Committing to providing safe products

Product safety is best addressed at the design stage to reduce the risk from hazards. This will help to avoid the need to expend resources to fund the costs of the recall of unsafe products and the potential of redesign and retooling. Management is accountable for assigning responsibilities for implementing the principles and guidance set out in this International Standard, including providing appropriate resources for training, records management and product traceability.

3.5 Continual improvement

A structured approach for continual improvement that defines objectives for the improvement of consumer products and processes through the analysis of data should be applied to safety in product design, production and the marketplace. Continual improvement activities and their outcomes should be documented and regularly reviewed by management so that continual improvement objectives are being met.

3.6 Precautionary approach

The precautionary approach means that the lack of full scientific certainty should not be used as a reason for postponing risk reduction measures, especially where there are threats of serious or irreversible damage to human health. Due to the increased use of and reference to the precautionary approach, suppliers should consider it when assessing the safety of consumer products.

3.7 Sharing of information

The organization should share information on a continuous basis on the product's performance, compliance, and risks with other members of the supply chain.

4 General requirements

4.1 General

The key issues for all members in the supply chain (designers, manufacturers, importers, distributors and retailers) include the following:

- a) designing safety into the consumer product;
- b) identifying the potential hazards associated with their products;
- c) determining or estimating exposure to the potential hazard;
- d) assessing the risks to consumer health and safety;
- e) managing these risks by eliminating or reducing them to a tolerable level;
- f) providing consumers with hazard warnings and instructions essential to the safe use and disposal of the products;
- g) approving any change or substitution of design, materials, or production processes.

The functions carried out by members of the supply chain are outlined below and illustrated in Figure 2:

- design: the development of the requirements and specifications to make a consumer product, taking into consideration the product's intended use and foreseeable use and misuse;
- material manufacture: the production of materials to be used in the manufacturing process;
- component manufacture: the production and supply of component products to be used in the manufacture of another product;
- assembly: the production of a consumer product by assembling components that may be used to manufacture another product, or may be a final product;
- manufacture: the production of a product to be supplied to a purchaser;
- transport: the movement of products from one location to another;
- storage: the temporary storage of products, intended for distribution;