



# ISO/IEC Directives, Part 1

*Directives ISO/CEI, Partie 1*

## ***Consolidated JTC 1 Supplement 2019 — Procedures specific to JTC 1***

Procédures spécifiques à JTC 1

Based on ISO/IEC Directives Part 1 Fifteenth Edition- 2019

International Organization for  
Standardization (ISO)  
Chemin de Blandonnet 8  
CP-401 1214 Vernier Geneva  
Switzerland  
Telephone +41 22 749 01 11  
Fax +41 22 733 34 30  
Email: [central@iso.org](mailto:central@iso.org)

International Electrotechnical  
Commission (IEC)  
3, rue de Varembé  
P.O. Box 131  
CH - 1211 GENEVA 20  
Switzerland  
Phone: ++41 22 919 02 11  
Fax: +41 22 919 0300  
E-info@iec.ch

ISO/IEC Joint Technical Committee 1  
(JTC 1) Secretariat  
c/o ANSI  
25 West 43rd Street, 4th Floor  
New York, NY 10036  
USA  
Phone: +1 212 642 4932  
Fax: +1 212 840 2298  
Email: [rajchel@ansi.org](mailto:rajchel@ansi.org)

<b>Contents</b>	<b>Page</b>
<b>0</b>	<b>Introduction (<i>Consolidated JTC 1 Supplement</i>) ..... vii</b>
0.1	What is the <i>Consolidated JTC 1 Supplement</i> ? ..... vii
0.2	Relationship of the <i>Consolidated JTC 1 Supplement</i> to ISO/IEC Directives Part 1..... vii
0.3	The structure of the <i>Consolidated JTC 1 Supplement</i> ..... vii
0.4	Obtaining the <i>Consolidated JTC 1 Supplement</i> ..... vii
0.5	Contact information for the <i>Consolidated JTC 1 Supplement</i> ..... vii
<b>1</b>	<b>Organizational structure and responsibilities for the technical work ..... 12</b>
1.1	Role of the technical management board ..... 12
1.2	Advisory groups to the technical management board ..... 12
1.3	Joint technical work..... 13
1.4	Role of the Chief Executive Officer ..... 14
1.5	Establishment of technical committees..... 14
1.6	Establishment of subcommittees..... 16
1.7	Participation in the work of technical committees and subcommittees.. 17
1.8	Chairs of technical committees and subcommittees ..... 19
1.9	Secretariats of technical committees and subcommittees ..... 20
1.10	Project committees ..... 23
1.11	Editing committees ..... 23
1.12	Working groups ..... 24
1.13	Groups having advisory functions within a committee ..... 27
1.14	Ad hoc groups ..... 27
1.15	Liaison between technical committees ..... 28
1.16	Liaison between ISO and IEC ..... 28
1.17	Liaison with other organizations..... 28
<b>2</b>	<b>Development of International Standards..... 34</b>
2.1	The project approach..... 34
2.2	Preliminary stage ..... 38
2.3	Proposal stage..... 39
2.4	Preparatory Stage..... 42
2.5	Committee stage..... 42
2.6	Enquiry stage ..... 45
2.7	Approval stage..... 47
2.8	Publication stage ..... 48
2.9	Maintenance of Deliverables..... 49
2.10	Corrections and amendments..... 53
2.11	Maintenance agencies..... 55
2.12	Registration authorities..... 55
2.14	Reference to patented items (see also Annex I) ..... 56
<b>3</b>	<b>Development of other deliverables ..... 56</b>
3.1	Technical Specifications..... 56
3.2	Publicly Available Specifications (PAS)..... 57
3.3	Technical Reports..... 58
<b>4</b>	<b>Meetings ..... 58</b>
4.1	General ..... 58

4.2	Procedure for calling a meeting.....	59
4.3	Languages at meetings.....	61
4.4	Cancellation of meetings.....	61
5	Appeals.....	61
5.1	General .....	61
5.3	Appeal against a technical committee decision.....	62
5.4	Appeal against a technical management board decision.....	63
5.5	Progress of work during an appeal process .....	63
Annex A	(normative) Guides .....	64
A.1	Introduction .....	64
A.2	Proposal stage.....	64
A.3	Preparatory stage.....	64
A.4	Committee stage.....	64
A.5	Enquiry stage .....	64
A.6	Publication stage .....	65
A.7	Withdrawal of a Guide .....	65
Annex B	(normative) ISO/IEC procedures for liaison and work allocation .....	66
B.1	Introduction .....	66
B.2	General considerations .....	66
B.3	Establishing new technical committees .....	66
B.4	Coordinating and allocating work between ISO and IEC technical committees .....	67
Annex C	(normative) Justification of proposals for the establishment of standards ..	70
C.1	General .....	70
C.2	Terms and definitions.....	70
C.3	General principles.....	71
C.4	Elements to be clarified when proposing a new field of technical activity or a new work item .....	71
Annex D	(normative) Resources of secretariats and qualifications of secretaries .....	76
D.1	Terms and definitions.....	76
D.2	Resources of a secretariat .....	76
D.3	Requirements of a secretary .....	77
Annex E	(normative) General policy on the use of languages.....	78
E.1	Expressing and communicating ideas in an international environment. 78	78
E.2	The use of languages in the technical work .....	78
E.3	International Standards.....	78
E.4	Other publications developed by technical committees.....	79
E.5	Documents for technical committee and subcommittee meetings .....	79
E.6	Documents prepared in languages other than English or French .....	80
E.7	Technical meetings .....	80
Annex F	(normative) Options for development of a project.....	82
F.1	Simplified diagram of options.....	82
F.2	“Fast-track procedure” .....	84
F.3	Preparation and Adoption of International Standards - JTC 1 PAS Transposition Process .....	86

<b>F.4 Adoption of Submissions under the JTC 1 Fast-Track Procedure or JTC 1 PAS Transposition Process .....</b>	<b>90</b>
<b>Annex G (normative) Maintenance agencies.....</b>	<b>95</b>
<b>Annex H (normative) Registration authorities.....</b>	<b>96</b>
<b>Annex I (normative) Guideline for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC.....</b>	<b>97</b>
<b>Guidelines for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC .....</b>	<b>98</b>
<b>Summary .....</b>	<b>98</b>
<b>History.....</b>	<b>98</b>
<b>CONTENTS.....</b>	<b>99</b>
<b>Guidelines for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC .....</b>	<b>100</b>
<b>Part I – Common guidelines .....</b>	<b>100</b>
<b>1 Purpose .....</b>	<b>100</b>
<b>2 Explanation of terms .....</b>	<b>100</b>
<b>3 Patent disclosure .....</b>	<b>101</b>
<b>4 Patent Statement and Licensing Declaration Form.....</b>	<b>102</b>
<b>4.1 The purpose of the Declaration Form .....</b>	<b>102</b>
<b>4.2 Contact information.....</b>	<b>103</b>
<b>5 Conduct of meetings .....</b>	<b>103</b>
<b>6 Patent Information database .....</b>	<b>103</b>
<b>7 Assignment or Transfer of Patent Rights .....</b>	<b>104</b>
<b>Part II – Organization-specific provisions .....</b>	<b>105</b>
<b>II.1 Specific provisions for ITU .....</b>	<b>105</b>
<b>II.2 Specific provisions for ISO and IEC.....</b>	<b>106</b>
<b>ANNEX 1 .....</b>	<b>108</b>
<b>ANNEX 2.....</b>	<b>110</b>
<b>5.2 Patent Statement and Licensing Declaration .....</b>	<b>110</b>
<b>ANNEX 3.....</b>	<b>114</b>
<b><u>General Patent Statement and Licensing Declaration for ITU-T or ITU-R Recommendation .....</u></b>	<b>114</b>
<b>Annex J (normative) Formulating scopes of technical committees and subcommittees .....</b>	<b>117</b>
<b>J.1 Introduction .....</b>	<b>117</b>
<b>J.2 Formulation of scopes .....</b>	<b>117</b>
<b>J.3 Basic scope .....</b>	<b>117</b>
<b>J.4 Exclusions.....</b>	<b>118</b>
<b>J.5 Scopes of committees related to products .....</b>	<b>118</b>
<b>J.6 Scopes of committees not related to products.....</b>	<b>119</b>
<b>Annex K (normative) Project committees .....</b>	<b>120</b>
<b>K.1 Proposal stage.....</b>	<b>120</b>
<b>K.2 Establishment of a project committee .....</b>	<b>121</b>

K.3	First meeting of a project committee .....	121
K.4	Preparatory stage.....	122
K.5	Committee, enquiry, approval and publication stages .....	122
K.6	Disbanding of a project committee .....	122
K.7	Maintenance of standard(s) prepared by a project committee.....	122
<b>Annex L</b>	<b>(normative) Proposals for management system standards .....</b>	<b>123</b>
L.1	General .....	123
L.2	Terms and definitions.....	123
L.3	Obligation to submit a JS.....	124
L.4	Cases where no JS have been submitted .....	124
L.5	Applicability of this annex.....	125
L.6	General principles.....	125
L.7	Justification study process and criteria.....	126
L.8	Guidance on the development process and structure of an MSS.....	126
L.9	High level structure, identical core text and common terms and core definitions for use in management systems standards .....	130
<b>Annex M</b>	<b>(normative) Policy for the development of sector-specific management standards and sector-specific management system standards (MSS).....</b>	<b>151</b>
M.1	General .....	151
M.2	Terms and definitions.....	151
M.3	Sector-specific management standards and sector-specific management system standards.....	152
M.4	Drafting rules .....	152
M.5	Committee specific policies .....	152
<b>Annex JA</b>	<b>(normative) Voting .....</b>	<b>157</b>
JA.1	General .....	157
JA.2	Proposal stage – Votes on new work item proposals .....	158
JA.3	Preparatory Stage.....	160
JA.4	Committee Stage - Votes on CDs/CDAMs/DTSS/DTRs .....	160
JA.5	Votes on Draft Technical Corrigenda (DCORs) .....	160
JA.6	Overview of Ballot Periods in ISO/IEC JTC 1.....	161
<b>Annex JB</b>	<b>(normative) ITU-T and ISO/ JTC 1 Cooperation .....</b>	<b>163</b>
Annex JD	(normative).....	165
<b>JD.1</b>	<b>Introduction to the Harmonized Stage Code .....</b>	<b>165</b>
<b>JD.2</b>	<b>Design of the stage code matrix.....</b>	<b>165</b>
JD.3	Basic guidelines for using the system.....	165
<b>Annex JE</b>	<b>(normative) Procedures for the standardization of graphical symbols .....</b>	<b>168</b>
JE.1	Introduction .....	168
JE.2	All graphical symbols except those for use in technical product documentation .....	169
JE.3	Graphical symbols for use in technical product documentation (tpd) (ISO/TC 10).....	173
<b>Annex JF</b>	<b>(normative) Registration Authority (“RA”) Policy.....</b>	<b>174</b>
JF.1	Scope .....	174
JF.2	Definitions.....	174

ISO/IEC Directives, Part 1 – Consolidated JTC 1 Supplement 2019

<b>JF.3 Procedure</b> .....	<b>175</b>
<b>Reference documents</b> .....	<b>181</b>

## 0 Introduction (*Consolidated JTC 1 Supplement*)

### 0.1 What is the *Consolidated JTC 1 Supplement*?

The ISO/IEC Directives Part 1 define the basic procedures to be followed in the development of International Standards and other publications. This *Consolidated JTC 1 Supplement* contains the procedures specific to JTC 1.

Part 1 of the ISO/IEC Directives, together with this *Consolidated JTC 1 Supplement*, provides procedural rules to be followed by ISO/IEC JTC 1. There are, however, other documents which provide further guidance, such as JTC 1 Standing Documents (SD). Forms unique to JTC 1 are found in the JTC 1 Templates folder at

<http://isotc.iso.org/livelink/livelink?func=ll&objId=8913214&objAction=browse&sort=name>.

### 0.2 Relationship of the *Consolidated JTC 1 Supplement* to ISO/IEC Directives Part 1

This edition of the *Consolidated JTC 1 Supplement* incorporates the fifteenth edition of the ISO/IEC Directives Part 1, as published in 2019, along with procedures specific to JTC 1.

### 0.3 The structure of the *Consolidated JTC 1 Supplement*

The clause structure of the *Consolidated JTC 1 Supplement* follows that of Part 1 of the ISO/IEC Directives.

### 0.4 Obtaining the *Consolidated JTC 1 Supplement*

The ISO/IEC Directives Parts 1 and 2, the Consolidated ISO Supplement, the Consolidated JTC 1 Supplement, and other related documents, are available via <https://www.iso.org/directives-and-policies.html>. The JTC 1 Standing Documents are available via [www.jtc1.org](http://www.jtc1.org). The IEC Supplement is available via [http://www.iec.ch/members\\_experts/refdocs/iec/isoiecdir-iecsup%7Bed10.0%7Den.pdf](http://www.iec.ch/members_experts/refdocs/iec/isoiecdir-iecsup%7Bed10.0%7Den.pdf)

### 0.5 Contact information for the *Consolidated JTC 1 Supplement*

Comments or questions on the *Consolidated JTC 1 Supplement* should be referred to:

International Organization for Standardization (ISO) Chemin de Blandonnet 8 CP 401 - 1214 Vernier, Geneva, Switzerland Tel. : +41 22 749 01 11 Fax : +41 22 733 34 30 E-mail: <a href="mailto:central@iso.org">central@iso.org</a>	International Electrotechnical Commission (IEC) 3, rue de Varembé P.O. Box 131 CH - 1211 GENEVA 20 Switzerland Phone: ++41 22 919 02 11 Fax: +41 22 919 0300 E-info@iec.ch	ISO/IEC Joint Technical Committee 1 (JTC 1) Secretariat c/o ANSI 25 West 43rd Street, 4th Floor New York, NY 10036 USA Phone: +1 212 642 4932 Fax: +1 212 840 2298 Email: <a href="mailto:lrachel@ansi.org">lrachel@ansi.org</a>
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## Foreword

The ISO/IEC Directives are published in two parts:

- Part 1: Procedures for the technical work
- Part 2: Principles and rules for the structure and drafting of ISO and IEC documents

Furthermore, the International Organization for Standardization (ISO), the International Electrotechnical Committee (IEC) and ISO/IEC Joint Technical Committee (JTC) 1 have published independent supplements to Part 1, which include procedures that are not common.

This part sets out the procedures to be followed within ISO and the IEC in carrying out their technical work: primarily the development and maintenance of International Standards through the activities of technical committees and their subsidiary bodies.

ISO, IEC and ISO/IEC JTC 1 provide additional guidance and tools to all those concerned with the preparation of technical documents on their respective websites (<http://www.iso.org/directives>; [http://www.iec.ch/members\\_experts/refdocs/](http://www.iec.ch/members_experts/refdocs/) and <http://www.jtc1.org>).

This fifteenth edition of the ISO/IEC Directives Part 1, incorporates all the changes agreed by the respective technical management boards since publication of the fourteenth edition in 2018. Procedures which are not common to the ISO/IEC Directives are published separately in the ISO Supplement (also referred to as the Consolidated ISO Supplement), the IEC Supplement or the ISO/IEC JTC 1 Supplement (also referred to as the *Consolidated JTC 1 Supplement*), respectively. The Supplements are to be used in conjunction with this document.

The following clauses have been modified with respect to the previous edition: Foreword, 1.7.3, 1.12.2, 1.13.2, 1.13.6, 1.17.2, 3.2.1, 3.2.2, 3.2.4, Annex B, Annex D, Annex E, Annex F, Annex I, and Annex M. 1. The track changes version of this fifteenth edition should be consulted for the details of the changes made.

These procedures have been established by ISO and IEC in recognition of the need for International Standards to be cost-effective and timely, as well as widely recognized and generally applied. In order to attain these objectives, the procedures are based on the following concepts.

### a) Current technology and project management

Within the framework of these procedures, the work may be accelerated and the task of experts and secretariats facilitated both by current technology (e.g. I.T. tools) and project management methods.

### b) Consensus

Consensus, which requires the resolution of substantial objections, is an essential procedural principle and a necessary condition for the preparation of International Standards that will be accepted and widely used. Although it is necessary for the technical work to progress speedily, sufficient time is required before the approval stage for the discussion, negotiation and resolution of significant technical disagreements.



For further details on the principle of “consensus”, see 2.5.6.

**c) Discipline**

National Bodies need to ensure discipline with respect to deadlines and timetables in order to avoid long and uncertain periods of “dead time”. Similarly, to avoid re-discussion, National Bodies have the responsibility of ensuring that their technical standpoint is established taking account of all interests concerned at national level, and that this standpoint is made clear at an early stage of the work rather than, for example, at the final (approval) stage. Moreover, National Bodies need to recognize that substantial comments tabled at meetings are counter-productive, since no opportunity is available for other delegations to carry out the necessary consultations at home, without which rapid achievement of consensus will be difficult.

**d) Cost-effectiveness**

These procedures take account of the total cost of the operation. The concept of “total cost” includes direct expenditure by National Bodies, expenditure by the offices in Geneva (funded mainly by the dues of National Bodies), travel costs and the value of the time spent by experts in working groups and committees, at both national and international level.

**e) General principles for voting and decisions**

The committee secretariat shall ensure that all decisions taken by the committee, whether at plenary meeting or by correspondence, are recorded and in ISO, by committee resolutions.

In JTC 1, for votes by correspondence, or during a committee meeting, a simple majority of the P-members voting is required for approval unless otherwise specified in the ISO/IEC Directives Part 1. In JTC 1, the committee leadership shall ensure that votes submitted in writing, in advance of a committee meeting, are considered at the meeting.

In JTC 1, when a document is out for ballot (NP, CD or any later stage), formal discussion during meetings, or distribution of National Body positions via formal committee distribution channels are prohibited.

In JTC 1, all votes, abstentions are not counted.

In JTC 1, proxy voting is not permitted.

**f) Global relevance of ISO International Standards**

In JTC 1, the ISO procedures for twinning are supported. It is ISO's aim and expectation that each of its International Standards represents a worldwide consensus and responds to global market needs. In order to achieve this aim, it has been recognized that special measures are needed in particular to ensure that the needs of developing countries are taken into account in ISO's technical work. One such measure is the inclusion of specific provisions for “twinning”, i.e. partnerships between two National Bodies for the purpose of capacity

## ISO/IEC Directives, Part 1 – Consolidated JTC 1 Supplement 2019

building, in this JTC 1 Supplement to the ISO/IEC Directives Part 1. (See 1.7, 1.9.2, 1.9.3, 1.9.4 and Annex ST of the Consolidated ISO Supplement.)

Whilst these provisions are necessarily limited to the technical work, “twinning” may occur at multiple levels, in particular to assist the twinned partner in capacity building in developing countries of their standardization, conformity assessment and IT infrastructures, with the aim of the twinned partner ultimately being self-sufficient in carrying out their activities.

### g) Terminology used in this document

NOTE 1 Wherever appropriate in this document, for the sake of brevity the following terminology has been adopted to represent similar or identical concepts within ISO and IEC.

Term	ISO	IEC
National Body	Member Body (MB)	National Committee (NC)
technical management board (TMB)	Technical Management Board (ISO/TMB)	Standardization Management Board (SMB)
Chief Executive Officer (CEO)	Secretary-General	General Secretary
office of the CEO	Central Secretariat (CS)	Central Office (CO)
council board	Council	Council Board (CB)
advisory group	Technical Advisory Group (TAG)	Advisory Committee
Secretary (of a committee or subcommittee)	Committee manager	secretary
For other concepts, ISO/IEC Guide 2 applies.		

In JTC 1, JTC 1 National Bodies are National Bodies that are members of JTC 1, both P-members and O-members. In JTC 1, the “office of the CEO” is the Information Technology Task Force (ITTF). In this *Consolidated JTC 1 Supplement*, singular terms, such as “technical management board” refer to both the ISO and IEC entities. For example, the use of the term “Chief Executive Officer (CEO)” should be understood to include both the ISO Secretary-General and the IEC General Secretary.

In JTC 1, the term committee manager is used. The name change applies to the TC and SC levels only. Secretary still applies at the Working Group level.

For this 2019 *Consolidated JTC 1 Supplement*, the following clauses have been substantively modified with respect to the previous edition, in addition to those clauses referenced above: Reference to a JTC 1 specific procedure has been deleted from 1.13.2, 1.14, 2.1.3.3, 2.1.6, 2.1.9, 2.4, 2.5 and Annex JC. Text has been added for alignment to the Foreword, 2.5.3, 2.7.3, 2.9.2.1, 2.9.5, Annex L and Annex M.

The track changes version of this 2019 edition should be consulted for the details of the changes made.

## ISO/IEC Directives, Part 1 – Consolidated JTC 1 Supplement 2019

NOTE 2 In addition the following abbreviations are used in this document.

<b>JTAB</b>	Joint Technical Advisory Board
<b>JCG</b>	Joint Coordination Group
<b>JPC</b>	Joint Project Committee
<b>JTC</b>	Joint Technical Committee
<b>JWG</b>	joint working group
<b>TC</b>	technical committee
<b>SC</b>	Subcommittee
<b>PC</b>	project committee
<b>WG</b>	working group
<b>PWI</b>	preliminary work item
<b>NP</b>	new work item proposal
<b>WD</b>	working draft
<b>CD</b>	committee draft
<b>DIS</b>	draft International Standard (ISO)
<b>CDV</b>	committee draft for vote (IEC)
<b>FDIS</b>	final draft International Standard
<b>PAS</b>	Publicly Available Specification
<b>TS</b>	Technical Specification
<b>TR</b>	Technical Report
<b>AMD</b>	amendment
<b>COR</b>	corrigendum
<b>DCOR</b>	draft corrigendum
<b>DR</b>	defect report
<b>SD</b>	standing document
<b>HoD</b>	Head of Delegation
<b>NWI</b>	new work item

## 1 Organizational structure and responsibilities for the technical work

### 1.1 Role of the technical management board

The technical management board of the respective organization is responsible for the overall management of the technical work and in particular for:

- a) establishment of technical committees;
- b) appointment of chairs of technical committees;
- c) allocation or re-allocation of secretariats of technical committees and, in some cases, subcommittees; In JTC 1, JTC 1 shall decide on the allocation of the secretariat of a subcommittee in all cases;
- d) approval of titles, scopes and programmes of work of technical committees;
- e) ratification of the establishment and dissolution of subcommittees by technical committees;
- f) allocation of priorities, if necessary, to particular items of technical work;
- g) coordination of the technical work, including assignment of responsibility for the development of standards regarding subjects of interest to several technical committees, or needing coordinated development; to assist it in this task, the technical management board may establish advisory groups of experts in the relevant fields to advise it on matters of basic, sectoral and cross-sectoral coordination, coherent planning and the need for new work;
- h) monitoring the progress of the technical work with the assistance of the office of the CEO, and taking appropriate action;
- i) reviewing the need for, and planning of, work in new fields of technology;
- j) maintenance of the ISO/IEC Directives and other rules for the technical work;
- k) consideration of matters of principle raised by National Bodies, and of appeals concerning decisions on new work item proposals, on committee drafts, on enquiry drafts or on final draft International Standards.

NOTE 1 Explanations of the terms “new work item proposal”, “committee draft”, “enquiry draft” and “final draft International Standard” are given in Clause 2.

NOTE 2 For detailed information about the role and responsibilities of the ISO technical management board, see the Terms of reference of the TMB – [http://www.iso.org/iso/home/standards\\_development/list\\_of\\_iso\\_technical\\_committees/iso\\_technical\\_committee.htm?commid=4882545](http://www.iso.org/iso/home/standards_development/list_of_iso_technical_committees/iso_technical_committee.htm?commid=4882545) and for the IEC see [http://www.iec.ch/dyn/www/f?p=103:47:0::::FSP\\_ORG\\_ID,FSP\\_LANG\\_ID:3228,25](http://www.iec.ch/dyn/www/f?p=103:47:0::::FSP_ORG_ID,FSP_LANG_ID:3228,25).

### 1.2 Advisory groups to the technical management board

1.2.1 A group having advisory functions in the sense of 1.1 g) may be established

- a) by one of the technical management boards;
- b) jointly by the two technical management boards.

NOTE In IEC certain such groups are designated as Advisory Committees.

**1.2.2** A proposal to establish such a group shall include recommendations regarding its terms of reference and constitution, bearing in mind the requirement for sufficient representation of affected interests while at the same time limiting its size as far as possible in order to ensure its efficient operation. For example, it may be decided that its members be only the chairs and secretaries of the technical committees concerned. In every case, the TMB(s) shall decide the criteria to be applied and shall appoint the members.

Any changes proposed by the group to its terms of reference, composition or, where appropriate, working methods shall be submitted to the technical management boards for approval.

**1.2.3** The tasks allocated to such a group may include the making of proposals relating to the drafting or harmonization of publications (in particular International Standards, Technical Specifications, Publicly Available Specifications and Technical Reports), but shall not include the preparation of such documents unless specifically authorized by the TMB(s).

**1.2.4** Any document being prepared with a view to publication shall be developed in accordance with the procedural principles given in Annex A.

**1.2.5** The results of such a group shall be presented in the form of recommendations to the TMB(s). The recommendations may include proposals for the establishment of a working group (see 1.12) or a joint working group (see 1.12.6) for the preparation of publications. Such working groups shall operate within the relevant technical committee, if any.

**1.2.6** The internal documents of a group having advisory functions shall be distributed to its members only, with a copy to the office(s) of the CEO(s).

**1.2.7** Such a group shall be disbanded once its specified tasks have been completed, or if it is subsequently decided that its work can be accomplished by normal liaison mechanisms (see 1.16).

### **1.3 Joint technical work**

#### **1.3.1 Joint Technical Advisory Board (JTAB)**

The JTAB has the task of avoiding or eliminating possible or actual overlapping in the technical work of ISO and IEC and acts when one of the two organizations feels a need for joint planning. The JTAB deals only with those cases that it has not been possible to resolve at lower levels by existing procedures. (See Annex B.) Such cases may cover questions of planning and procedures as well as technical work.

Decisions of the JTAB are communicated to both organizations for immediate implementation. They shall not be subject to appeal for at least 3 years.

#### **1.3.2 Joint Technical Committees (JTC) and Joint Project Committees (JPC)**

**1.3.2.1** JTC and JPC may be established by a common decision of the ISO/TMB and IEC/SMB, or by a decision of the JTAB.

**1.3.2.2** For JPC, one organization has the administrative responsibility. This shall be decided by mutual agreement between the two organizations.

Participation is based on the one member/country, one vote principle.

Where two National Bodies in the same country elect to participate in a JPC then one shall be identified as having the administrative responsibility. The National Body with the administrative responsibility has the responsibility of coordinating activities in their country, including the circulation of documents, commenting and voting.

Otherwise the normal procedures for project committees are followed (see 1.10).

#### 1.4 Role of the Chief Executive Officer

The Chief Executive Officer of the respective organization is responsible, *inter alia*, for implementing the ISO/IEC Directives and other rules for the technical work. For this purpose, the office of the CEO arranges all contacts between the technical committees, the council board and the technical management board.

Deviations from the procedures set out in the present document shall not be made without the authorization of the Chief Executive Officers of ISO or IEC, or of the ISO/IEC Joint Technical Advisory Board (JTAB), or the technical management boards for deviations in the respective organizations

In JTC 1, the CEOs are represented by the Information Technology Task Force (ITTF).

#### 1.5 Establishment of technical committees

1.5.1 Technical committees are established and dissolved by the technical management board.

1.5.2 The technical management board may transform an existing subcommittee into a new technical committee, following consultation with the technical committee concerned.

1.5.3 A proposal for work in a new field of technical activity which appears to require the establishment of a new technical committee may be made in the respective organization by

- a National Body;
- a technical committee or subcommittee;
- a project committee;
- a policy level committee;
- the technical management board;
- the Chief Executive Officer;
- a body responsible for managing a certification system operating under the auspices of the organization;
- another international organization with National Body membership.

1.5.4 The proposal shall be made using the appropriate form and these are available in electronic format, (typically MS Word), for download from [www.iso.org/forms](http://www.iso.org/forms) and [http://www.iec.ch/standardsdev/resources/docpreparation/forms\\_templates/](http://www.iec.ch/standardsdev/resources/docpreparation/forms_templates/), which covers:

- a) the proposer;
- b) the subject proposed;

- c) the scope of the work envisaged and the proposed initial programme of work;
- d) a justification for the proposal;
- e) if applicable, a survey of similar work undertaken in other bodies;
- f) any liaisons deemed necessary with other bodies.

For additional informational details to be included in the proposals for new work, see Annex C.

The form shall be submitted to the office of the CEO.

**1.5.5** The office of the CEO shall ensure that the proposal is properly developed in accordance with ISO and IEC requirements (see Annex C), and provides sufficient information to support informed decision making by National Bodies. The office of the CEO shall also assess the relationship of the proposal to existing work, and may consult interested parties, including the technical management board or committees conducting related existing work. If necessary, an ad hoc group may be established to examine the proposal.

Following its review, the office of the CEO may decide to return the proposal to the proposer for further development before circulation for voting. In this case, the proposer shall make the changes suggested or provide justification for not making the changes. If the proposer does not make the changes and requests that its proposal be circulated for voting as originally presented, the technical management board will decide on appropriate action. This could include blocking the proposal until the changes are made or accepting that it be balloted as received.

In all cases, the office of the CEO may also include comments and recommendations to the proposal form.

For details relating to justification of the proposal, see Annex C.

Proposers are strongly encouraged to conduct informal consultations with other National Bodies in the preparation of proposals.

**1.5.6** The proposal shall be circulated by the office of the CEO to all National Bodies of the respective organization (ISO or IEC), asking whether or not they

- a) support the establishment of a new technical committee providing a statement justifying their decision (“justification statement”), and
- b) intend to participate actively (see 1.7.1) in the work of the new technical committee.

The proposal shall also be submitted to the other organization (IEC or ISO) for comment and for agreement (see Annex B).

The replies to the proposal shall be made using the appropriate form within 12 weeks after circulation. Regarding 1.5.6 a) above, if no such statement is provided, the positive or negative vote of a National Body will not be registered and considered.

In JTC 1, the form for replies to the proposals has been replaced by an electronic balloting system. Replies not using the electronic balloting system will not be counted.

**1.5.7** The technical management board evaluates the replies and either

- decides the establishment of a new technical committee, provided that
  - 1) a 2/3 majority of the National Bodies voting are in favour of the proposal, and
  - 2) at least 5 National Bodies who voted in favour expressed their intention to participate actively,and allocates the secretariat (see 1.9.1), or
- assigns the work to an existing technical committee, subject to the same criteria of acceptance.

**1.5.8** Technical committees shall be numbered in sequence in the order in which they are established. If a technical committee is dissolved, its number shall not be allocated to another technical committee.

**1.5.9** As soon as possible after the decision to establish a new technical committee, the necessary liaisons shall be arranged (see 1.15 to 1.17).

**1.5.10** A new technical committee shall agree on its title and scope as soon as possible after its establishment, preferably by correspondence.

The scope is a statement precisely defining the limits of the work of a technical committee.

The definition of the scope of a technical committee shall begin with the words "Standardization of ..." or "Standardization in the field of ..." and shall be drafted as concisely as possible.

For recommendations on scopes, see Annex J.

The agreed title and scope shall be submitted by the Chief Executive Officer to the technical management board for approval.

**1.5.11** The technical management board or a technical committee may propose a modification of the latter's title and/or scope. The modified wording shall be established by the technical committee for approval by the technical management board.

## **1.6 Establishment of subcommittees**

**1.6.1** Subcommittees are established and dissolved by a 2/3 majority decision of the P-members of the parent committee voting, subject to ratification by the technical management board. A subcommittee may be established only on condition that a National Body has expressed its readiness to undertake the secretariat.

**1.6.2** At the time of its establishment, a subcommittee shall comprise at least 5 members of the parent technical committee having expressed their intention to participate actively (see 1.7.1) in the work of the subcommittee.

**1.6.3** Subcommittees of a technical committee shall be designated in sequence in the order in which they are established. If a subcommittee is dissolved, its designation shall not be allocated to another subcommittee, unless the dissolution is part of a complete restructuring of the technical committee.

**1.6.4** The title and scope of a subcommittee shall be defined by the parent technical committee and shall be within the defined scope of the parent technical committee.



**1.6.5** The secretariat of the parent technical committee shall inform the office of the CEO of the decision to establish a subcommittee, using the appropriate form. The office of the CEO shall submit the form to the technical management board for ratification of the decision.

**1.6.6** As soon as possible after ratification of the decision to establish a new subcommittee, any liaisons deemed necessary with other bodies shall be arranged (see 1.15 to 1.17).

## **1.7 Participation in the work of technical committees and subcommittees**

In JTC 1, the ISO procedures for twinning are supported. It is recognized that National Bodies in developing countries often lack the resources to participate in all committees which may be carrying out work which is important for their national economy. Developing country member bodies are therefore invited to establish P-member twinning arrangements with more experienced P-members from developed countries. Under such arrangements, the lead P-member will ensure that the views of the twinned P-member are communicated to and taken into consideration by the responsible ISO committee. The twinned P-member shall consequently also have the status of P-member (see note) and be registered as a twinned P-member by the Central Secretariat.

**NOTE** It is left to the National Bodies concerned to determine the most effective way of implementing twinning. This may include for example the P-member sponsoring an expert from the twinned National Body to participate in committee meetings or to act as an expert in a working group, or it may involve the P-member seeking the views of the twinned National Body on particular agenda items/documents and ensuring that the twinned National Body provides its positions in writing to the committee secretariat.

The details of all twinning arrangements shall be notified to the secretariat and chair of the committee concerned, with the committee members and the office of the CEO being informed accordingly to ensure the greatest possible transparency.

A lead P-member shall twin with only one other P-member in any particular committee.

The twinned P-member shall cast its own vote on all issues referred to the committee for vote by correspondence.

For more information on twinings, see Annex ST of the Consolidated ISO Supplement for the Twinning Policy.

Consistent with the ISO Statutes and Rules of Procedure, correspondent and subscriber members are not eligible for P-memberships. Correspondent members of ISO may register as observers of committees but do not have the right to submit comments.

**1.7.1** All National Bodies have the right to participate in the work of technical committees and subcommittees.

In JTC 1, no more than one National Body per country (either member body of ISO or National Committee of IEC) is permitted to be a member of JTC 1 and similarly only one National Body per country is permitted to be a member of a JTC 1 subcommittee.

In order to achieve maximum efficiency and the necessary discipline in the work, each National Body shall clearly indicate to the office of the CEO, with regard to each technical committee or subcommittee, if it intends

- to participate actively in the work, with an obligation to vote on all questions formally submitted for voting within the technical committee or subcommittee, on new work item proposals, enquiry drafts and final draft International Standards, and to contribute to meetings (**P-members**), or
- to follow the work as an observer, and therefore to receive committee documents and to have the right to submit comments and to attend meetings (**O-members**).

In JTC 1, National Bodies that choose to be P-members of a JTC 1 committee have the additional obligation to vote on all systematic review ballots under the responsibility of that committee.

A National Body may choose to be neither P-member nor O-member of a given committee, in which case it will have neither the rights nor the obligations indicated above with regard to the work of that committee. Nevertheless, all National Bodies irrespective of their status within a technical committee or subcommittee have the right to vote on enquiry drafts (see 2.6) and on final draft International Standards (see 2.7).

In JTC 1, there is only one vote per country.

National Bodies have the responsibility to organize their national input in an efficient and timely manner, taking account of all relevant interests at their national level.

**1.7.2** Membership of a subcommittee is open to any National Body, regardless of their membership status in the parent technical committee.

Members of a technical committee shall be given the opportunity to notify their intention to become a P- or O-member of a subcommittee at the time of its establishment.

Membership of a technical committee does not imply automatic membership of a subcommittee; National Bodies shall notify their intended status in each subcommittee

**1.7.3** A National Body may, at any time, begin or end membership or change its membership status in any technical committee or subcommittee in IEC by informing the office of the CEO and the secretariat of the committee concerned and in ISO by direct input via the Global Directory, subject to the requirements of clauses 1.7.4 and 1.7.5

**1.7.4** A technical committee or subcommittee secretariat shall notify the Chief Executive Officer if a P-member of that technical committee or subcommittee

- has been persistently inactive and has failed to contribute to 2 successive technical committee/subcommittee meetings, either by direct participation or by correspondence and has failed to appoint any experts to the technical work, or
- In IEC:
  - has failed to vote on questions formally submitted for voting within the technical committee or subcommittee (see 1.7.1).
- In ISO:
  - has failed to vote on over 20% (and at least 2) of the questions formally submitted for voting on the committee internal balloting (CIB) within the technical committee or subcommittee over one calendar year (see 1.7.1).

In JTC 1, the ISO policy is followed.

Upon receipt of such a notification, the Chief Executive Officer shall remind the National Body of its obligation to take an active part in the work of the technical committee or subcommittee. In the absence of a satisfactory response to this reminder, and upon persistent continuation of the above articulated shortcomings in required P-member behaviour, the National Body shall without exception automatically have its status changed to that of O-member. A National Body having its status so changed may, after a period of 12 months, indicate to the Chief Executive Officer that it wishes to regain P-membership of the committee, in which case this shall be granted.

NOTE this clause does not apply to the development of Guides.

**1.7.5** If a P-member of a technical committee or subcommittee fails to vote on an enquiry draft or final draft International Standard prepared by the respective committee, or in ISO on a systematic review ballot for a deliverable under the responsibility of the committee, the Chief Executive Officer shall remind the National Body of its obligation to vote. In the absence of a satisfactory response to this reminder, the National Body shall automatically have its status changed to that of O-member. A National Body having its status so changed may, after a period of 12 months, indicate to the Chief Executive Officer that it wishes to regain P-membership of the committee, in which case this shall be granted.

NOTE this clause does not apply to the development of Guides.

In JTC 1, the ISO policy for systematic review is followed.

## **1.8 Chairs of technical committees and subcommittees**

### **1.8.1 Appointment**

Chairs of technical committees shall be nominated by the secretariat of the technical committee and approved by the technical management board, for a maximum period of 6 years, or for such shorter period as may be appropriate. Extensions are allowed, up to a cumulative maximum of 9 years.

Chairs of subcommittees shall be nominated by the secretariat of the subcommittee and approved by the technical committee for a maximum period of 6 years, or for such shorter period as may be appropriate. Extensions are allowed, up to a cumulative maximum of 9 years. Approval criterion for both appointment and extension is a 2/3 majority vote of the P-members of the technical committee.

Secretariats of technical committees or subcommittees may submit nominations for new chairs up to one year before the end of the term of existing chairs. Chairs appointed one year before shall be designated as the “chair elect” of the committee in question. This is intended to provide the chair elect an opportunity to learn before taking over as chair of a committee.

### **1.8.2 Responsibilities**

The chair of a technical committee is responsible for the overall management of that technical committee, including any subcommittees and working groups.

The chair of a technical committee or subcommittee shall

- a) act in a purely international capacity, divesting him- or herself of a national position; thus s/he cannot serve concurrently as the delegate of a National Body in his or her own committee;
- b) guide the secretary of that technical committee or subcommittee in carrying out his or her duty;

- c) conduct meetings with a view to reaching agreement on committee drafts (see 2.5);
- d) ensure at meetings that all points of view expressed are adequately summed up so that they are understood by all present;
- e) ensure at meetings that all decisions are clearly formulated and made available in written form by the secretary for confirmation during the meeting;
- f) take appropriate decisions at the enquiry stage (see 2.6);
- g) advise the technical management board on important matters relating to that technical committee via the technical committee secretariat. For this purpose, s/he shall receive reports from the chairs of any subcommittees via the subcommittee secretariats;
- h) ensure that the policy and strategic decisions of the technical management board are implemented in the committee;
- i) ensure the establishment and ongoing maintenance of a strategic business plan covering the activities of the technical committee and all groups reporting to the technical committee, including all subcommittees.
- j) ensure the appropriate and consistent implementation and application of the committee's strategic business plan to the activities of the technical committee's or subcommittee's work programme.
- k) assist in the case of an appeal against a committee decision.

In case of unforeseen unavailability of the chair at a meeting, a session chair may be elected by the participants.

SC chairs shall attend meetings of the parent committee as required and may participate in the discussion, but do not have the right to vote. In exceptional circumstances, if a chair is prevented from attending, he or she shall delegate to the secretary (or in ISO and IEC another representative) to represent the subcommittee. In the case where no representative from the SC can attend, a written report shall be provided.

## 1.9 Secretariats of technical committees and subcommittees

### 1.9.1 Allocation

The secretariat of a technical committee shall be allocated to a National Body by the technical management board.

The secretariat of a subcommittee shall be allocated to a National Body by the parent technical committee. However, if two or more National Bodies offer to undertake the secretariat of the same subcommittee, the technical management board shall decide on the allocation of the subcommittee secretariat.

JTC 1 shall decide on the allocation of the secretariat of a subcommittee in all cases.

For both technical committees and subcommittees, the secretariat shall be allocated to a National Body only if that National Body

- a) has indicated its intention to participate actively in the work of that technical committee or subcommittee, and

- b) has accepted that it will fulfil its responsibilities as secretariat and is in a position to ensure that adequate resources are available for secretariat work (see D.2).

Once the secretariat of a technical committee or subcommittee has been allocated to a National Body, the latter shall appoint a qualified individual as secretary (see D.1 and D.3).

### 1.9.2 Responsibilities

The National Body to which the secretariat has been allocated shall ensure the provision of technical and administrative services to its respective technical committee or subcommittee.

The secretariat is responsible for monitoring, reporting, and ensuring active progress of the work, and shall use its utmost endeavour to bring this work to an early and satisfactory conclusion. These tasks shall be carried out as far as possible by correspondence.

The secretariat is responsible for ensuring that the ISO/IEC Directives and the decisions of the technical management board are followed.

A secretariat shall act in a purely international capacity, divesting itself of a national point of view.

The secretariat is responsible for the following to be executed in a timely manner:

- a) Working documents:
- 1) Preparation of committee drafts, arranging for their distribution and the treatment of the comments received;
  - 2) Preparation of enquiry drafts and text for the circulation of the final draft International Standards or publication of International Standards;
  - 3) Ensuring the equivalence of the English and French texts, if necessary with the assistance of other National Bodies that are able and willing to take responsibility for the language versions concerned. (See also 1.11 and the respective Supplements to the ISO/IEC Directives).

In JTC 1, texts are only required to be prepared in English, except in exceptional instances.

- b) Project management
- 1) Assisting in the establishment of priorities and target dates for each project;
  - 2) Notifying the names, etc. of all working group and maintenance team convenors and project leaders to the office of the CEO;
  - 3) Proposing proactively the publication of alternative deliverables or cancellation of projects that are running significantly overtime, and/or which appear to lack sufficient support;
- c) Meetings (see also Clause 4), including:
- 1) Establishment of the agenda and arranging for its distribution;
  - 2) Arranging for the distribution of all documents on the agenda, including reports of working groups, and indicating all other documents which are necessary for discussion during the meeting (see E.5);

- 3) Regarding the decisions (also referred to as resolutions) taken in a meeting ensuring that the decisions endorsing working groups recommendations contain the specific elements being endorsed;
  - making the decisions available in writing for confirmation during the meeting (see E.5); and
  - posting the decisions within 48 hours after the meeting in the committee's electronic folder.
- 4) Preparation of the minutes of meetings to be circulated within 4 weeks after the meeting;
- 5) Preparation of reports to the technical management board (TC secretariat), in the IEC within 4 weeks after the meeting, or to the parent committee (SC secretariat);

In JTC 1, see also Standing Document 19 on “Meetings”.

d) Advising

Providing advice to the chair, project leaders, and convenors on procedures associated with the progression of projects.

In all circumstances, each secretariat shall work in close liaison with the chair of its technical committee or subcommittee.

The secretariat of a technical committee shall maintain close contact with the office of the CEO and with the members of the technical committee regarding its activities, including those of its subcommittees and working groups.

The secretariat of a subcommittee shall maintain close contact with the secretariat of the parent technical committee and as necessary with the office of the CEO. It shall also maintain contact with the members of the subcommittee regarding its activities, including those of its working groups.

The secretariat of a technical committee or subcommittee shall update in conjunction with the office of the CEO the record of the status of the membership of the committee.

### 1.9.3 Change of secretariat of a technical committee

If a National Body wishes to relinquish the secretariat of a technical committee, the National Body concerned shall immediately inform the Chief Executive Officer, giving a minimum of 12 months' notice. The technical management board decides on the transfer of the secretariat to another National Body.

If the secretariat of a technical committee persistently fails to fulfil its responsibilities as set out in these procedures, the Chief Executive Officer or a National Body may have the matter placed before the technical management board, which may review the allocation of the secretariat with a view to its possible transfer to another National Body.

### 1.9.4 Change of secretariat of a subcommittee

If a National Body wishes to relinquish the secretariat of a subcommittee, the National Body concerned shall immediately inform the secretariat of the parent technical committee, giving a minimum of 12 months' notice.

If the secretariat of a subcommittee persistently fails to fulfil its responsibilities as set out in these procedures, the Chief Executive Officer or a National Body may have the matter placed before the parent

technical committee, which may decide, by majority vote of the P-members, that the secretariat of the subcommittee should be re-allocated.

In either of the above cases an enquiry shall be made by the secretariat of the technical committee to obtain offers from other P-members of the subcommittee for undertaking the secretariat.

If two or more National Bodies offer to undertake the secretariat of the same subcommittee or if, because of the structure of the technical committee, the re-allocation of the secretariat is linked with the re-allocation of the technical committee secretariat, the technical management board decides on the re-allocation of the subcommittee secretariat. If only one offer is received, the parent technical committee itself proceeds with the appointment.

JTC 1 shall decide on the reallocation of the secretariat of a subcommittee in all cases.

### 1.10 Project committees

Project committees are established by the technical management board to prepare individual standards not falling within the scope of an existing technical committee.

NOTE Such standards carry one reference number but may be subdivided into parts.

Procedures for project committees are given in Annex K.

Project committees wishing to be transformed into a technical committee shall follow the process for the establishment of a new technical committee (see 1.5).

### 1.11 Editing committees

It is recommended that committees establish one or more editing committees for the purpose of updating and editing committee drafts, enquiry drafts and final draft International Standards and for ensuring their conformity to the ISO/IEC Directives, Part 2 (see also 2.6.6).

Such committees should comprise at least

- one technical expert of English mother tongue and having an adequate knowledge of French;
- one technical expert of French mother tongue and having an adequate knowledge of English;
- the project leader (see 2.1.8).

The project leader and/or secretary may take direct responsibility for one of the language versions concerned.

In JTC 1, the working language is English, though a working knowledge of French may be required for certain documents. Technical expertise in French is not required unless a text in French is being developed.

Editing committees shall meet when required by the respective technical committee or subcommittee secretariat for the purpose of updating and editing drafts which have been accepted by correspondence for further processing.

Editing committees shall be equipped with means of processing and providing texts electronically (see also 2.6.6).

In JTC 1, an alternative process is used.

A project editor is assigned responsibility for the editing and updating of working drafts, committee drafts, enquiry drafts, final draft International Standards and TR and TS track documents, and for ensuring their conformity to the ISO/IEC Directives, Part 2 (see also 2.6.6).

A project editor should be identified as early as possible for each standard or other document under development. The project editor is appointed by the subcommittee and shall follow the editing instructions given by the entity responsible for the project.

It is the responsibility of the project editor to maintain the document throughout the stages of technical work, i.e. until publication. The Foreword of the final text of the deliverable shall indicate the JTC 1 subcommittee responsible for the deliverable.

After publication, the project editor should maintain an updated document incorporating all approved corrigenda (COR) and amendments (AMD) so that a revision may be published with minimum delay when appropriate. The Foreword of the revision shall list all amendments and corrigenda incorporated therein.

JTC 1 or its subgroups may establish editing groups to assist the project editor in ensuring the best possible editorial presentation of drafts in conformity with the ISO/IEC Directives, Part 2. An editing group works under the responsibility of the secretariat of JTC 1 or the subgroup that established it.

A project editor shall act in a purely international capacity, divesting him or herself of a national point of view.

Responsibility for any changes of project editors rests with the committee and not with the JTC 1 National Body (or liaison organization).

## 1.12 Working groups

**1.12.1** Technical committees or subcommittees may establish, by decision of the committee, working groups for specific tasks (see 2.4). A working group shall report to its parent technical committee or subcommittee through a convenor appointed by the parent committee.

Working group Convenors shall be appointed by the committee for up to three-year terms ending at the next plenary session of the parent committee following the term. Such appointments shall be confirmed by the National Body (or liaison organization). The convenor may be reappointed for additional terms of up to three-years. There is no limit to the number of terms.

Responsibility for any changes of convenors rests with the committee and not with the National Body (or liaison organization).

The convenor may be supported by a secretariat, as needed. In JTC 1, the nomination of the working group secretary shall be confirmed by his/her National Body.

A working group comprises a restricted number of experts individually appointed by the P-members, A-liaisons of the parent committee and C-liaison organizations, brought together to deal with the specific task allocated to the working group. The experts act in a personal capacity and not as the official representative of the P-member or A-liaison organization (see 1.17) by which they have been appointed with the exception of those appointed by C-liaison organizations (see 1.17). However, it is recommended that they keep close contact with that P-member or organization in order to inform them about the progress of the work and of the various opinions in the working group at the earliest possible stage.



It is recommended that working groups be reasonably limited in size. The technical committee or subcommittee may therefore decide upon the maximum number of experts appointed by each P-member and liaison organization.

Once the decision to set up a working group has been taken, P-members and A- and C-liaison organizations shall be officially informed in order to appoint expert(s). Working groups shall be numbered in sequence in the order in which they are established.

When a committee has decided to set up a working group, the convenor or acting convenor shall immediately be appointed and shall arrange for the first meeting of the working group to be held within 12 weeks. This information shall be communicated immediately after the committee's decision to the P-members of the committee and A- and C-liaison organizations, with an invitation to appoint experts within 6 weeks. Additional projects may be assigned, where appropriate, to existing working groups.

In JTC 1, the parent body shall assign responsibility for the administration of a working group to a convenor, if necessary supported by a secretariat. Any secretariat shall be provided by either a P-member of the parent committee or an organization endorsed by the P-member of the parent committee. The P-member of the parent committee shall confirm in writing its consent to the arrangement before it can be effected. Convenorships of all WG's shall be for a nominal three-year term ending at the next plenary session of the parent body following the three-year term. The Convenor may be reappointed for additional three-year terms.

**1.12.2** The composition of the working group is defined in the ISO Global Directory (GD) or in the IEC Expert Management System (EMS) as appropriate. Experts not registered to a working group in the ISO GD or the IEC EMS respectively, shall not participate in its work. Convenors may invite a specific guest to participate in a single meeting.

**1.12.3** Persistently inactive experts, meaning absence of contributions through attendance to working group meetings or by correspondence shall be removed, by the office of the CEO at the request of the technical committee or sub-committee secretary, from working groups after consultation with the P-member.

**1.12.4** On completion of its task(s) — normally at the end of the enquiry stage (see 2.6) of its last project — the working group shall be disbanded by decision of the committee the project leader remaining with consultant status until completion of the publication stage (see 2.8).

**1.12.5** Distribution of the internal documents of a working group and of its reports shall be carried out in accordance with procedures described in the respective Supplements of the ISO/IEC Directives.

**1.12.6** In special cases a joint working group (JWG) may be established to undertake a specific task in which more than one ISO and/or IEC technical committee or subcommittee is interested. Committees who receive requests to establish JWG shall reply to such requests in a timely manner.

NOTE For specific rules concerning JWGs between ISO committees and IEC committees, see Annex B in addition to the following.

The decision to establish a joint working group shall be accompanied by mutual agreement between the committees on:

- the committee/ organization having the administrative responsibility for the project;

- the convenor of the joint working group, who shall be nominated by a P-member from one of the committees, with the option to appoint a co-convenor from the other committee;
- the membership of the joint working group (membership may be open to all P-members and Category A, and C-liaisons that wish to participate which may be limited to an equal number of representatives from each committee, if agreed).

The committee/organization with the administrative responsibility for the project shall:

- record the project in their programme of work;
- In JTC 1, conduct the call for experts in all committees that are part of the JWG;
- be responsible for addressing comments (usually referred back to the JWG) and ensure that the comments and votes at all stages of the project are compiled and handled appropriately (see 2.5, 2.6 and 2.7) – all comments are made available to the leadership of the committees;
- prepare drafts for the committee, enquiry and approval stages according to procedures given in 2.5, 2.6 and 2.7;
- In JTC 1, send all relevant documents (minutes, working drafts, drafts for the committee, enquiry and approval stages) to the secretariat of the other committee(s) for circulation in their respective committee and/or action;
- be responsible for maintenance of the publication.

Approval criteria are based on the Directives used by the committee with the administrative lead. If the lead committee is a JTC 1 committee, the Consolidated JTC 1 Supplement also applies.

For proposal stage (NP):

- For ISO/ISO JWGs, only one NP ballot is needed – if a NP has already been launched or approved in one committee, it cannot be balloted again in another TC, but two (2) NP are launched for ISO/IEC JWG [one (1) in each organization].
- it is possible to establish a JWG at a later stage, in which case its administrative lead will be confirmed by the TCs concerned.
- once the joint work is agreed, the committee with the administrative lead informs ISO/CS or IEC/CO respectively, of its lead and of the committees participating in the work.
- the other TCs launch a call for experts for participation in the JWG.

For preparatory stage (WD)

- The JWG functions like any other WG: consensus is required to advance to CD.

For committee stage (CD)

- The CD is circulated for review and comment by each committee.
- The final CD requires consensus by all committees, as defined in the ISO/IEC Directives, Part 1

For DIS and FDIS ballots

- National Bodies are requested to consult all national mirror committees involved to define one position. A statement is included on the cover page to draw attention of NSBs.
- For an ISO/IEC JWG, two DIS/FDIS votes are launched, i.e. one in each organization. For an ISO and ISO/IEC JTC 1 JWG, one DIS/FDIS vote is launched

The Foreword identifies all committees involved in the development of the deliverable.

### 1.13 Groups having advisory functions within a committee

**1.13.1** A group having advisory functions may be established by a technical committee or subcommittee to assist the chair and secretariat in tasks concerning coordination, planning and steering of the committee's work or other specific tasks of an advisory nature.

**1.13.2** A proposal to establish such a group shall include recommendations regarding its constitution and terms of reference, including criteria for membership, bearing in mind the requirement for sufficient representation of affected interests while at the same time limiting its size as far as possible in order to ensure its efficient operation. Members of advisory groups shall be committee officers, individuals nominated by National Bodies and/or, as relevant, by A-liaison organizations. The parent committee shall approve the final constitution and the terms of reference prior to the establishment of and nominations to the advisory group.

For chair's advisory groups, consideration shall be given to the provisions of equitable participation.

**1.13.3** The tasks allocated to such a group may include the making of proposals relating to the drafting or harmonization of publications (in particular International Standards, Technical Specifications, Publicly Available Specifications and Technical Reports), but shall not include the preparation of such documents.

**1.13.4** The results of such a group shall be presented in the form of recommendations to the body that established the group. The recommendations may include proposals for the establishment of a working group (see 1.12) or a joint working group (see 1.12.6) for the preparation of publications.

**1.13.5** The internal documents of a group having advisory functions shall be distributed to its members only, with a copy to the secretariat of the committee concerned and to the office of the CEO.

**1.13.6** Such a group shall be disbanded once its specified tasks have been completed and agreed by the parent committee.

### 1.14 Ad hoc groups

Technical committees or subcommittees may establish ad hoc groups, the purpose of which is to study a precisely defined problem on which the group reports to its parent committee at the same meeting, or at the latest at the next meeting.

In JTC 1, working groups may also create ad hoc groups. However, as O-members cannot participate in working groups, they also cannot participate in ad hoc groups of working groups.

The membership of an ad hoc group shall be chosen from the delegates present at the meeting of the parent committee, supplemented, if necessary, by experts appointed by the committee. The parent committee shall also appoint a convenor.

An ad hoc group shall be automatically disbanded at the meeting to which it has presented its report.

## 1.15 Liaison between technical committees

In JTC 1, see Standing Document 15 on “Liaisons” for additional requirements.

**1.15.1** Within each organization, technical committees and/or subcommittees working in related fields shall establish and maintain liaison. Liaisons shall also be established, where appropriate, with technical committees responsible for basic aspects of standardization (e.g. terminology, graphical symbols). Liaison shall include the exchange of basic documents, including new work item proposals and working drafts.

In JTC 1, committees may pass a resolution to decide on the establishment of an internal liaison. Committees receiving requests for internal liaisons cannot refuse such requests and there is no need for the committee receiving the request to pass a resolution confirming its acceptance.

**1.15.2** The maintenance of such liaison is the responsibility of the respective technical committee secretariats, which may delegate the task to the secretariats of the subcommittees.

**1.15.3** A technical committee or subcommittee may designate a Liaison Representative or Liaison Representatives to follow the work of another technical committee with which a liaison has been established, or one or several of its subcommittees. The designation of such Liaison Representatives shall be notified to the secretariat of the committee concerned, which shall communicate all relevant documents to the Liaison Representative(s) and to the secretariat of that technical committee or subcommittee. The appointed Liaison Representative shall make progress reports to the secretariat by which s/he has been appointed.

**1.15.4** Such Liaison Representatives shall have the right to participate in the meetings of the technical committee or subcommittee whose work they have been designated to follow but shall not have the right to vote. They may contribute to the discussion in meetings, including the submission of written comments, on matters within the competence of their own technical committee and based on feedback that they have collected from their own committee. They may also attend meetings of working groups of the technical committee or subcommittee, but only to contribute the viewpoint of their own technical committee on matters within its competence, and not to otherwise participate in working group activities.

## 1.16 Liaison between ISO and IEC

**1.16.1** Arrangements for adequate liaison between ISO and IEC technical committees and subcommittees are essential. The channel of correspondence for the establishment of liaison between ISO and IEC technical committees and subcommittees is through the offices of the CEOs. As far as the study of new subjects by either organization is concerned, the CEOs seek agreement between the two organizations whenever a new or revised programme of work is contemplated in the one organization which may be of interest to the other, so that the work will go forward without overlap or duplication of effort. (See also Annex B.)

**1.16.2** Liaison Representatives designated by ISO or IEC shall have the right to participate in the discussions of the other organization's technical committee or subcommittee whose work they have been designated to follow, and may submit written comments; they shall not have the right to vote.

## 1.17 Liaison with other organizations

### 1.17.1 General requirements applicable to all categories of liaisons

In order to be effective, liaison shall operate in both directions, with suitable reciprocal arrangements.

The desirability of liaison shall be taken into account at an early stage of the work.

The liaison organization shall accept the policy based on the ISO/IEC Directives concerning copyright (see 0), whether owned by the liaison organization or by other parties. The statement on copyright policy will be provided to the liaison organization with an invitation to make an explicit statement as to its acceptability. The liaison organization is not entitled to charge a fee for documents submitted.

A liaison organization shall be willing to make a contribution to the technical work of ISO or IEC as appropriate. A liaison organization shall have a sufficient degree of representativity within its defined area of competence within a sector or subsector of the relevant technical or industrial field.

A liaison organization shall agree to ISO/IEC procedures, including IPR (see 0).

Liaison organizations shall accept the requirements of 2.14 on patent rights.

Technical committees and subcommittees shall review all their liaison arrangements on a regular basis, at least every 2 years, or at every committee meeting.

In JTC 1, and its subgroups, liaison relationships shall be reviewed annually.

### 1.17.2 Different categories of liaisons

In JTC 1, see also Standing Document 15 on “Liaisons”.

#### 1.17.2.1 At the technical committee/subcommittee level (Category A and B liaisons)

The categories of liaisons at the technical committee/subcommittee levels are:

**Category A:** Organizations that make an effective contribution to the work of the technical committee or subcommittee for questions dealt with by this technical committee or subcommittee. Such organizations are given access to all relevant documentation and are invited to meetings. They may nominate experts to participate in a WG (see 1.12.1).

**Category B:** Organizations that have indicated a wish to be kept informed of the work of the technical committee or subcommittee. Such organizations are given access to reports on the work of a technical committee or subcommittee.

NOTE Category B is reserved for inter-governmental organizations.

The procedure for the establishment of Category A and B liaisons is:

- The organization wishing to create a Category A or B liaison shall send an application to the office of the CEO with copies to the technical committee or subcommittee officers and the IEC CO Technical Officer and the ISO CS Technical Program Manager giving the following information:
  - Organization is not-for-profit;
  - Organization is open to members worldwide or over a broad region;
  - Its activities and membership demonstrate that it has the competence and expertise to contribute to the development of International Standards or the authority to promote their implementation in the area of the technical committee or subcommittee concerned (Only relevant for category A liaisons);
  - The name of the main contact person.

Note: Invariably the organization will have been in contact with the technical committee or subcommittee officers prior to submitting its application and in these cases the technical committee or subcommittee officers should ensure that the organization is aware of their obligations as given in clause 1.17.1 i.e., copyright, agreeing to the ISO/IEC procedures including IPR, and patent rights.

- The Office of the COE will confirm that the eligibility criteria have been fulfilled and then consult with the National Body where the organization making the application has its headquarters;
- In case of objections from the National Body where the organization making the application has its headquarters, the matter will be referred to the technical management board for decision;
- If there is no objection from the National Body where the organization making the application has its headquarters, the application will be sent to the technical committee or subcommittee secretary with a request to circulate it for vote;
- Approval criterion for category A or B liaisons is a 2/3rds majority of P-members voting to approve.

### 1.17.2.2 At the working group level (Category C liaisons)

The category of liaisons at the working group level (and in JTC 1 also the project level) is:

**Category C:** Organizations that make a technical contribution to and participate actively in the work of a working group. This can include manufacturer associations, commercial associations, industrial consortia, user groups and professional and scientific societies. Liaison organizations shall be multinational (in their objectives and standards development activities) with individual, company or country membership and may be permanent or transient in nature.

### 1.17.3 Eligibility

#### 1.17.3.1 At the technical committee/subcommittee level (Category A and B liaisons)

When an organization applies for a liaison with an ISO technical committee / subcommittee, the office of the CEO will check with the member body in the country in which the organization is located. If the member body does not agree that the eligibility criteria have been met, the matter will be referred to the TMB to define the eligibility.

The office of the CEO will also ensure that the organization meets the following eligibility criteria:

- it is not-for-profit;
- is a legal entity – the office of the CEO will request a copy of its statutes;
- it is membership-based and open to members worldwide or over a broad region;
- through its activities and membership demonstrates that it has the competence and expertise to contribute to the development of International Standards or the authority to promote their implementation; and
- has a process for stakeholder engagement and consensus decision-making to develop the input it provides (in ISO, see Guidance for ISO liaison organizations - Engaging stakeholders and building consensus [http://www.iso.org/iso/guidance\\_liaison-organizations.pdf](http://www.iso.org/iso/guidance_liaison-organizations.pdf)).

#### 1.17.3.2 At the working group level (Category C liaisons)

When an organization applies for a liaison with a working group, the office of the CEO will check with the member body in the country in which the organization is located and will ensure that the organization meets the following eligibility criteria:

- it is not-for-profit;
- through its activities and membership demonstrates that it has the competence and expertise to contribute to the development of International Standards or the authority to promote their implementation; and
- has a process for stakeholder engagement and consensus decision-making to develop the input it provides (in ISO, see Guidance for ISO liaison organizations - Engaging stakeholders and building consensus [http://www.iso.org/iso/guidance\\_liaison-organizations.pdf](http://www.iso.org/iso/guidance_liaison-organizations.pdf)).

#### **1.17.4 Acceptance (Category A, B and C liaisons)**

Agreement to establish Category A, B and C liaisons requires approval of the application by two-thirds of the P-members voting.

Committees are urged to seek out the participation of all parties at the beginning of the development of a work item. Where a request for category C liaison is submitted late in the development stage of a particular work item, the P-members will consider the value that can be added by the organization in question despite its late involvement in the working group.

In JTC 1, Category C liaisons are proposed by JTC 1 to the ITTF, after receiving a recommendation from the appropriate JTC 1 subsidiary body, i.e., an SC (or a WG reporting directly to JTC 1). Each request for liaison status forwarded to JTC 1, from an appropriate JTC 1 subsidiary body shall contain a statement of expected benefits and responsibilities accepted by both the JTC 1 organization and the organization requesting liaison status.

In JTC 1, the ITTF shall reaffirm the liaison status of the organization if there is continued evidence of active participation in the work of the WG or project and appropriate National Body participation exists. If a request for liaison is considered by JTC 1 in the first instance, and Category C liaison is thought to be applicable, JTC 1 may request the appropriate JTC 1 subsidiary body or bodies to consider the request and apply the above procedure.

#### **1.17.5 Rights and obligations**

##### **1.17.5.1 At the technical committee/subcommittee level (Category A and B liaisons)**

Technical committees and subcommittees shall seek the full and, if possible, formal backing of the organizations having liaison status for each document in which the latter is interested. Any comments from liaison organizations should be given the same treatment as comments from member bodies. It should not be assumed that refusal by a liaison organization to provide its full backing is a sustained opposition. Where such objections are considered sustained oppositions, committees are invited to refer to clause 2.5.6 for further guidance.

##### **1.17.5.2 At the working group level (Category C liaisons)**

Category C liaison organizations have the right to participate as full members in a working group, maintenance team or project team (see 1.12.1) but not as project leaders or convenors. Category C liaison experts act as the official representative of the organization by which they are appointed. They may only

attend committee plenary meetings if expressly invited by the committee to attend. If they are invited by the committee to attend, they may only attend as observers.

In JTC 1, representatives shall have the right to participate in the meetings of the subcommittee or working group whose work they have been designated to follow but shall not have the right to vote. They may contribute to the discussion in meetings, including the submission of written contributions, on matters within the competence of their organization.

In JTC 1, JTC 1 will work towards eliminating barriers to accessing or participating in JTC 1 activities and its body of work, especially for people with disabilities and older users.

### 1.17.6 Carrying over liaisons when a project committee is converted into a technical committee or a subcommittee

When a project committee is converted to a technical committee or a subcommittee, the new technical committee or subcommittee shall pass a resolution confirming which category A and B liaisons are carried over. Approval of the resolution requires a 2/3 majority of P-members voting.

**Table 1 – Liaison categories**

Category	A	B	C
<b>Purpose</b>	To make an effective contribution to the work of the committee.	To be kept informed of the work of the committee.	To make a technical contribution to drafting standards in a Working Group.
<b>Eligibility</b>	<ul style="list-style-type: none"> <li>• Not for profit</li> <li>• Legal entity</li> <li>• Membership based (worldwide or over a broad region)</li> <li>• Relevant competence and expertise</li> <li>• Process for stakeholder engagement and consensus decision-making</li> </ul> (See clause 1.17.3.1 for full details)	<u>Intergovernmental Organizations only</u> <ul style="list-style-type: none"> <li>• Not for profit</li> <li>• Legal entity</li> <li>• Membership based (worldwide or over a broad region)</li> <li>• Relevant competence and expertise</li> <li>• Process for stakeholder engagement and consensus decision-making</li> </ul> (See clause 1.17.3.1 for full details)	<ul style="list-style-type: none"> <li>• Not for profit</li> <li>• Relevant competence and expertise</li> <li>• Process for stakeholder engagement and consensus decision-making</li> </ul> (See clause 1.17.3.2 for full details)
<b>Level</b>	TC/SC	TC/SC	Working Group
<b>Participation</b>	Participate in TC/SC meetings, access to documents, may appoint experts to WGs and these experts may serve as convenors or Project Leaders.	To be kept informed of the work only (access to documents).	Full participation as a member of the WG (but cannot be convenor or Project Leader).
<b>Rights and obligations</b>	No voting rights, but can comment (comments are given the same treatment)	No voting rights, but can comment (comments are given the same treatment)	Experts can attend committee meetings if expressly invited by



	as comments from member bodies). Can propose new work items (see clause 2.3.2).	as comments from member bodies). Cannot propose new work items.	the committee, but only as observers. Cannot propose new work items.
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### 1.17.7 Category A Liaison with ITU-T

In JTC 1, a unique Category A liaison with the ITU-T is maintained. See Annex JB and the JTC 1 Standing Document 3 on “Guide for ITU-T and ISO/IEC JTC 1 Cooperation”.

#### 1.17.7.1 Liaison with ITU-T

All contributions to ITU-T should be subject to ITU-T Recommendations A.1 and A.2, and other ITU-T requirements as may be imposed. Specifically,

- each contribution should identify which, if any, prior contributions it supersedes;
- each contribution should be addressed to only one study group. However, other study groups which may be interested in the contribution may also be identified.

#### 1.17.7.2 Collaborative Relationship with ITU-T

Two modes of collaboration with ITU-T are defined in Standing Document 3 “Guide for ITU-T and ISO/IEC JTC 1 Cooperation” collaborative interchange and collaborative team. A JTC 1 SC, in agreement with the corresponding ITU-T study group, may establish either of these two modes of collaboration as appropriate. JTC 1 shall make considered decisions when it comes to collaboration with ITU-T, evaluating each proposed project on a case-by-case basis.

JTC 1 shall consider at least the following criteria for each proposal:

1. Taking account of scarce technical resources;
2. Taking account of the JTC 1 scope;
3. Maximizing the efficiency of the standards development process;
4. Enhancing time to market of standards implementations;
5. Considering the impact of possible duplicative standards, and
6. Recognizing collaborative work with ITU-T in the specific area of technology related to the proposal.

When collaboration is planned from the onset of a new work item (NWI), the rationale (such as recognition that expertise missing in the JTC 1 SC is present in an ITU-T study group with applicable scope of work) and terms of reference for the collaborative project shall be included in the NP documentation, ensuring wide visibility of this proposed collaboration within JTC 1.

When collaboration is considered after the start of a JTC 1 project, any addition of a collaborative project can be considered a modification of the SC’s Program of Work and treated as prescribed by the JTC 1

Consolidated Supplement by a default ballot (see 2.1.5.7 and JA 1.4). The rational and proposed terms of reference for the collaborative project shall accompany the default ballot.

Procedures for the operation of the two modes of collaboration are defined in Standing Document 3 “Guide for ITU-T and ISO/IEC JTC 1 Cooperation”. These procedures deal primarily with the synchronisation of approval actions by JTC 1 and ITU-T and are intended to supplement, not modify JTC 1 approval requirements.

## 2 Development of International Standards

### 2.1 The project approach

#### 2.1.1 General

The primary duty of a technical committee or subcommittee is the development and maintenance of International Standards. However, committees are also strongly encouraged to consider publication of intermediate deliverables as described in Clause 3.

International Standards shall be developed on the basis of a project approach as described below.

#### 2.1.2 Strategic business plan

Each technical committee shall prepare a strategic business plan for its own specific field of activity,

- a) taking into account the business environment in which it is developing its work programme;
- b) indicating those areas of the work programme which are expanding, those which have been completed, and those nearing completion or in steady progress, and those which have not progressed and should be cancelled (see also 2.1.9);
- c) evaluating revision work needed (see also the respective Supplements to the ISO/IEC Directives);
- d) giving a prospective view on emerging needs.

The strategic business plan shall be formally agreed upon by the technical committee and be included in its report for review and approval by the technical management board on a regular basis.

#### 2.1.3 Project stages

2.1.3.1 Table 2 shows the sequence of project stages through which the technical work is developed, and gives the name of the document associated with each project stage. The development of Technical Specifications, Technical Reports and Publicly Available Specifications is described in Clause 3. In JTC 1, the JTC 1 PAS (Publicly Available Specification) Transposition process is a different process from the one that results in PAS deliverables in ISO and IEC (see Annex F).

**Table 2 — Project stages and associated documents**

Project stage	Associated document	
	Name	Abbreviation
Preliminary stage	Preliminary work item	PWI
Proposal stage	New work item proposal <sup>a</sup>	NP

<b>Preparatory stage</b>	Working draft(s) <sup>a</sup>	WD
<b>Committee stage</b>	Committee draft(s) <sup>a</sup>	CD
<b>Enquiry stage</b>	Enquiry draft <sup>b</sup>	ISO/DIS IEC/CDV
<b>Approval stage</b>	final draft International Standard <sup>c</sup>	FDIS
<b>Publication stage</b>	International Standard	ISO, IEC or ISO/IEC
<p>a These stages may be omitted as described in Annex F.</p> <p>b Draft International Standard in ISO, committee draft for vote in IEC. In JTC 1, the enquiry draft is the DIS.</p> <p>c May be omitted (see 2.6.4).</p>		

**2.1.3.2** F.1 illustrates the steps leading to publication of an International Standard.

**2.1.3.3** The ISO and IEC Supplements to the ISO/IEC Directives give a matrix presentation of the project stages, with a numerical designation of associated sub-stages. In JTC 1, Annex JD is used.

#### 2.1.4 Project description and acceptance

A project is any work intended to lead to the issue of a new, amended or revised International Standard. A project may subsequently be subdivided (see also 2.1.5.4).

A project shall be undertaken only if a proposal has been accepted in accordance with the relevant procedures (see 2.3 for proposals for new work items, and the respective Supplements to the ISO/IEC Directives for review and maintenance of existing International Standards).

#### 2.1.5 Programme of work

**2.1.5.1** The programme of work of a technical committee or subcommittee comprises all projects allocated to that technical committee or subcommittee, including maintenance of published standards.

**2.1.5.2** In establishing its programme of work, each technical committee or subcommittee shall consider sectoral planning requirements as well as requests for International Standards initiated by sources outside the technical committee, i.e. other technical committees, advisory groups of the technical management board, policy level committees and organizations outside ISO and IEC. (See also 2.1.2.)

**2.1.5.3** Projects shall be within the agreed scope of the technical committee. Their selection shall be subject to close scrutiny in accordance with the policy objectives and resources of ISO and IEC. (See also Annex C.)

**2.1.5.4** Each project in the programme of work shall be given a number (see IEC Supplements to the ISO/IEC Directives for document numbering at the IEC) and shall be retained in the programme of work under that number until the work on that project is completed or its cancellation has been agreed upon. The technical committee or subcommittee may subdivide a number if it is subsequently found necessary to subdivide the project itself. The subdivisions of the work shall lie fully within the scope of the original project; otherwise, a new work item proposal shall be made.

In JTC 1, to avoid undue delays in authorizing subdivisions of projects or minor enhancements of existing work, where the changes are not outside the scope of the original item, the subcommittee may proceed

with such work if approved by a vote of its P-members. The change(s), however, shall be submitted to JTC 1 for endorsement and, if JTC 1 does not approve, the work shall cease.

**2.1.5.5** The programme of work shall indicate, if appropriate, the subcommittee and/or working group to which each project is allocated.

**2.1.5.6** The agreed programme of work of a new technical committee shall be submitted to the technical management board for approval.

**2.1.5.7** In JTC 1, following its plenary meeting, a subcommittee shall submit to the JTC 1 secretariat as a single document the subcommittee's modified programme of work, including all proposed subdivisions of projects and minor enhancements of existing work, exclusive of proposals for new work. This document shall be considered using the Default Ballot process (see 1.4 of Annex JA on Voting).

### **2.1.6 Target dates**

The technical committee or subcommittee shall establish, for each project on its programme of work, target dates for the completion of each of the following steps:

- completion of the first working draft (in the event that only an outline of a working document has been provided by the proposer of the new work item proposal – see 2.3);
- circulation of the first committee draft;
- circulation of the enquiry draft;
- circulation of the final draft International Standard (in agreement with the office of the CEO);
- publication of the International Standard (in agreement with the office of the CEO).

**Note:** In JTC 1, the Final Draft International Standard (FDIS) shall be skipped if no technical changes are to be included.

These target dates shall correspond to the shortest possible development times, to produce International Standards rapidly and shall be reported to the office of the CEO, which distributes the information to all National Bodies. For establishment of target dates, see the respective Supplements to the ISO/IEC Directives.

In establishing target dates, the relationships between projects shall be taken into account. Priority shall be given to those projects intended to lead to International Standards upon which other International Standards will depend for their implementation. The highest priority shall be given to those projects having a significant effect on international trade and recognized as such by the technical management board.

The technical management board may also instruct the secretariat of the technical committee or subcommittee concerned to submit the latest available draft to the office of the CEO for publication as a Technical Specification (see 3.1).

All target dates shall be kept under continuous review and amended as necessary, and shall be clearly indicated in the programme of work. Revised target dates shall be notified to the technical management board. The technical management board will cancel all work items which have been on the work programme for more than 5 years and have not reached the approval stage (see 2.7).

### 2.1.6.1 General

In JTC 1, when a proposed new project is approved (whether for a new deliverable or for the revision of an existing deliverable), when submitting the results to the ISO Central Secretariat the committee secretariat shall also indicate the selected standards development track, as follows (all target dates are calculated from the date of adoption as an approved project, AWI (approved work item), stage 10.99):

NOTE The deadlines for the various stages within the development tracks shall be established on a case-by-case basis.

**SDT 18 standards development track — 18 months to publication**

**SDT 24 standards development track — 24 months to publication**

**SDT 36 standards development track — 36 months to publication**

**SDT 48 standards development track — 48 months to publication**

NOTE Projects using the 18-month development track shall be eligible for the 'Direct publication process' offered by ISO/CS if they successfully complete the DIS ballot within 13 months of the project's registration. This process reduces publication processing time by approximately one third.

Committee secretariats are reminded to perform risk assessments during project planning in order to identify potential problems in advance and set the target dates accordingly. The target dates shall be kept under continuous review by committee secretariats which shall ensure that they are reviewed and either confirmed or revised at each committee meeting. Such reviews shall also seek to confirm that projects are still market relevant and in cases in which they are found to be no longer required, or if the likely completion date is going to be too late, thus causing market players to adopt an alternative solution, the projects shall be cancelled or transformed into another deliverable (see 2.1.6.2).

NOTE Time spent on round-robin testing during the development of a standard shall not be counted in the overall development time. The standards development track is paused on request from the secretariat to ISO/CS during round-robin testing in accordance with 2.6.4..

### 2.1.6.2 Automatic cancellation of projects (and their reinstatement)

In JTC 1, if the target date for DIS (stage 40.00) or publication (stage 60.60) is exceeded, the committee shall decide within 6 months on one of the following actions:

- a) projects at the preparatory or committee stages: submission of a DIS - if the technical content is acceptable and mature;
- b) projects at the enquiry stage: submission of a second DIS or FDIS - if the technical content is acceptable and mature;
- c) publication of a TS - if the technical content is acceptable but unlikely sufficiently mature for a future International Standard;
- d) publication of a TR - if the technical content is not considered to be acceptable for publication as a TS or for a future International Standard but is nevertheless considered to be of interest to the public;

- e) submission of a request for extension to JTC 1 and ISO/TMB and IEC/SMB - if no consensus can be reached but there is strong interest from stakeholders to continue - a committee may be granted one extension of up to 9 months for the total project duration but the publication of intermediary deliverables (such as TS) is recommended;
- f) cancellation of the work item - if the committee is unable to find a solution.

If, at the end of the six-month period, none of the above actions has been taken, the project shall be automatically cancelled by the ITTF. Such projects may only be reinstated with the approval of the ISO Technical Management Board and the IEC Standardization Management Board.

### 2.1.7 Project management

The secretariat of the technical committee or subcommittee is responsible for the management of all projects in the programme of work of that technical committee or subcommittee, including monitoring of their progress against the agreed target dates.

If target dates (see 2.1.6) are not met and there is insufficient support for the work (that is, the acceptance requirements for new work given in 2.3.5 are no longer met), the committee responsible shall cancel the work item.

### 2.1.8 Project leader

For the development of each project, a project leader (the WG convenor, a designated expert or, if appropriate, the secretary) shall be appointed by the technical committee or subcommittee, taking into account the project leader nomination made by the proposer of the new work item proposal (see 2.3.4). It shall be ascertained that the project leader will have access to appropriate resources for carrying out the development work. The project leader shall act in a purely international capacity, divesting him- or herself of a national point of view. The project leader should be prepared to act as consultant, when required, regarding technical matters arising at the proposal stage through to the publication stage (see 2.5 to 2.8).

The secretariat shall communicate the name and address of the project leader, with identification of the project concerned, to the office of the CEO.

In JTC 1, there are no project leaders. Working groups are led by a convenor, and projects shall be assigned project editors.

### 2.1.9 Progress control

Periodical progress reports to the technical committee shall be made by its subcommittees and working groups (see also ISO and IEC Supplements to the ISO/IEC Directives). Meetings between their secretariats will assist in controlling the progress.

The office of the CEO shall monitor the progress of all work and shall report periodically to the technical management board. For this purpose, the office of the CEO shall receive copies of documents as indicated in the ISO and IEC Supplements to the ISO/IEC Directives.

## 2.2 Preliminary stage

**2.2.1** Technical committees or subcommittees may introduce into their work programmes, by a simple majority vote of their P-members, preliminary work items (for example, corresponding to subjects dealing with emerging technologies), which are not yet sufficiently mature for processing to further stages and for which no target dates can be established.

Such items may include, for example, those listed in the strategic business plan, particularly as given under 2.1.2 d) giving a prospective view on emerging needs.

**2.2.2** All preliminary work items shall be registered into the programme of work.

**2.2.3** All preliminary work items shall be subject to regular review by the committee. The committee shall evaluate the market relevance and resources required for all such items.

All preliminary work items that have not progressed to the proposal stage in the IEC by the expiration date given by the TC/SC, and in ISO within 3 years will be automatically cancelled.

**2.2.4** This stage can be used for the elaboration of a new work item proposal (see 2.3) and the development of an initial draft.

**2.2.5** Before progressing to the preparatory stage, all such items shall be subject to approval in accordance with the procedures described in 2.3.

## 2.3 Proposal stage

In the case of proposals to prepare management system deliverables, see Annex L.

**2.3.1** A new work item proposal (NP) is a proposal for:

- a new standard;
- a new part of an existing standard
- a Technical Specification (see 3.1)
- 

In JTC 1, the NP stage (clause 2.3) is not required for:

- the revision or amendment of an existing standard or Technical Specification,

- the conversion of a TS to an IS

However, the committee shall pass a resolution containing the following elements:

- 1) target dates;
- 2) confirmation that the scope will not be expanded; and
- 3) project editor(s) if already assigned.

The committee shall also launch a call for experts

For the conversion of a TS to an IS, a two-thirds majority resolution is required.

If the revision or amendment results in an expanded scope, an NP ballot shall be initiated.

**2.3.2** A new work item proposal within the scope of an existing technical committee or subcommittee may be made in the respective organization by

- a National Body;
- the secretariat of that technical committee or subcommittee;
- another technical committee or subcommittee;

- an organization in category A liaison;

Note: in JTC 1, only JTC 1 Category A Liaisons;

- the technical management board or one of its advisory groups;
- the Chief Executive Officer.

**2.3.3** Where both an ISO and an IEC technical committee are concerned, the Chief Executive Officers shall arrange for the necessary coordination. (See also Annex B.)

**2.3.4** Each new work item proposal shall be presented using the appropriate form, and shall be fully justified and properly documented (see Annex C).

The proposers of the new work item proposal shall

- make every effort to provide a first working draft for discussion, or shall at least provide an outline of such a working draft;
- nominate a project leader. In JTC 1, there are no project leaders. In JTC1 the proposer should nominate a "project editor" if the New Work Item Proposal (NP) is to be allocated to an existing WG.
- In JTC 1, provide relevant details regarding any accessibility issues in the "supplemental information related to the proposal" field under "other" on the Form 4: New Work Item Proposal

The form shall be submitted to the office of the CEO or to the secretariat of the relevant committee for proposals within the scope of an existing committee.

The office of the CEO or the relevant committee chair and secretariat shall ensure that the proposal is properly developed in accordance with ISO and IEC requirements (see Annex C) and provides sufficient information to support informed decision making by National Bodies.

The office of the CEO or the relevant committee chair and secretariat shall also assess the relationship of the proposal to existing work, and may consult interested parties, including the technical management board or committees conducting related existing work. If necessary, an ad hoc group may be established to examine the proposal. Any review of proposals should not exceed 2 weeks.

In all cases, the office of the CEO or the relevant committee chair and secretariat may also add comments and recommendations to the proposal form. See Annex K for new work item proposals for project committees.

Copies of the completed form shall be circulated to the members of the technical committee or subcommittee for P-member ballot and to the O-members and liaison members for information.

The proposed date of availability of the publication shall be indicated on the form.

A decision upon a new work item proposal shall be taken by correspondence.

Votes shall be returned within 12 weeks. The committee may decide on a case-by-case basis by way of a resolution to shorten the voting period for new work item proposals to 8 weeks.



When completing the ballot form, National Bodies shall provide a statement justifying their decision for negative votes (“justification statement”). If no such statement is provided, the negative vote of a National Body will not be registered and considered.

### 2.3.5 Acceptance requires

- a) approval of the work item by a 2/3 majority of the P-members of the technical committees or subcommittees voting – abstentions are excluded when the votes are counted; and
- b) a commitment to participate actively in the development of the project, i.e. to make an effective contribution at the preparatory stage, by nominating technical experts and by commenting on working drafts, by at least 4 P-members in committees with 16 or less P-members, and at least 5 P-members in committees with 17 or more P-members;

Only P-members having also approved the inclusion of the work item in the programme of work [see a)] will be taken into account when making this tally. If experts are not nominated on the form accompanying an approval vote, then the National Body's commitment to active participation will not be registered and considered when determining if the approval criteria have been met on this ballot;

In JTC 1, if in the context of an NP, a P-member does not provide a clear justification statement for why it voted "no", the committee secretariat should go back to the P-member and give it two (2) weeks to provide an explanation.

If the P-member does not provide a response within that 2-week period, the vote will not be counted in the result.

Secretariats shall not make value judgments about the justification and shall ask the P-member in case of doubt.

If P-members do not name an expert in the Form, they have two (2) weeks following the result of the vote to name their expert. If this delay is not respected, the P-member's participation will not be counted, thereby affecting the approval requirement for (b) above.

Individual committees may increase this minimum requirement of nominated experts.

In cases, where it can be documented that the industry and/or technical knowledge exists only with a very small number of P-members, then the committee may request permission from the technical management board to proceed with fewer than 4 or 5 nominated technical experts.

In JTC 1, additional voting rules apply; see Annex JA.1 and JA.2.

**2.3.6** Once a new work item proposal is accepted, it shall be registered in the programme of work of the relevant technical committee or subcommittee as a new project with the appropriate priority. The agreed target dates (see 2.1.6) shall be indicated on the appropriate form.

The voting results will be reported to the ISO Central Secretariat (using Form 6) or the IEC Central Office (using Form RVN) within 4 weeks after the close of the ballot.

**2.3.7** The inclusion of the project in the programme of work concludes the proposal stage.

## 2.4 Preparatory Stage

**2.4.1** The preparatory stage covers the preparation of a working draft (WD) conforming to the ISO/IEC Directives, Part 2.

**2.4.2** When a new project is accepted the project leader shall work with the experts nominated by the P-members during the approval (see 2.3.5a). **In JTC 1, there are no project leaders.**

**2.4.3** The secretariat may propose to the technical committee or subcommittee, either at a meeting or by correspondence, to create a working group the convener of which will normally be the project leader.

Such a working group shall be set up by the technical committee or subcommittee, which shall define the task(s) and set the target date(s) for submission of draft(s) to the technical committee or subcommittee (see also 1.12). The working group convener shall ensure that the work undertaken remains within the scope of the balloted work item.

**2.4.4** In responding to the proposal to set up a working group those P-members having agreed to participate actively (see 2.3.5a)) shall each confirm their technical expert(s). Other P-members or A- or C-liaison organizations may also nominate expert(s).

**2.4.5** The project leader is responsible for the development of the project and will normally convene and chair any meetings of the working group. S/he may invite a member of the working group to act as its secretary.

**In JTC 1, a project editor should be identified as there are no project leaders (see 2.1.8). The working group develops one or more working drafts of the standard. Usually, a working draft undergoes several revisions before the working group recommends that it will be progressed to the Committee Stage. As decisions are made regarding the content of the working draft, the convener should take care to assure consensus.**

**2.4.6** Every possible effort shall be made to prepare both a French and an English version of the text in order to avoid delays in the later stages of the development of the project.

If a trilingual (English — French — Russian) standard is to be prepared, this provision should include the Russian version.

**In JTC 1, texts are only required to be prepared in English, except in exceptional instances.**

**2.4.7** For time limits relating to this stage, see 2.1.6.

**2.4.8** The preparatory stage ends when a working draft is available for circulation to the members of the technical committee or subcommittee as a first committee draft (CD) and is registered by the office of the CEO. The committee may also decide to publish the final working draft as a PAS (see 3.2) to respond particular market needs.

## 2.5 Committee stage

**2.5.1** The committee stage is the principal stage at which comments from National Bodies are taken into consideration, with a view to reaching consensus on the technical content. National Bodies shall therefore carefully study the texts of committee drafts and submit all pertinent comments at this stage.

**In JTC 1, any graphical symbol shall be submitted to the relevant ISO committee and/or IEC committee (as applicable) responsible for the registration of graphical symbols (see Annex JE).**

**2.5.2** As soon as it is available, a committee draft shall be circulated to all P-members and O-members of the technical committee or subcommittee for consideration, with a clear indication of the latest date for submission of replies. In JTC 1, organizations in liaison are asked to submit their comments.

A period of 8, 12 or 16 weeks as agreed by the technical committee or subcommittee shall be available for National Bodies to comment.

In JTC 1, the default for CD/CDAM/DTS/DTR circulation is 8 weeks.

Comments shall be sent for preparation of the compilation of comments, in accordance with the instructions given.

National bodies shall fully brief their delegates on the national position before meetings.

**2.5.3** No more than 4 weeks after the closing date for submission of replies, the secretariat shall prepare the compilation of comments and arrange for its circulation to all P-members and O-members of the technical committee or subcommittee. When preparing this compilation, the secretariat shall indicate its proposal, made in consultation with the chair of the technical committee or subcommittee and, if necessary, the project leader, for proceeding with the project, either

- a) to discuss the committee draft and comments at the next meeting, or
- b) to circulate a revised committee draft for consideration, or
- c) to register the committee draft for the enquiry stage (see 2.6).

In the case of b) and c), the secretariat shall indicate in the compilation of comments the action taken on each of the comments received. This shall be made available to all P-members, if necessary by the circulation of a revised compilation of comments, no later than in parallel with the submission of a revised CD for consideration by the committee (case b) or simultaneously with the submission of the finalized version of the draft to the office of the CEO for registration for the enquiry stage (case c).

Committees are required to respond to all comments received. If, within 8 weeks from the date of dispatch, 2 or more P-members disagree with proposal b) or c) of the secretariat, the committee draft shall be discussed at a meeting (see 4.2.1.3).

In JTC 1, responsibility for the preparation of a revised CD text, disposition of comments report, and a recommendation on further processing may be delegated to a WG, ad hoc group, or Project Editor who reports back to the parent committee.

**2.5.4** If a committee draft is considered at a meeting but agreement on it is not reached on that occasion, a further committee draft incorporating decisions taken at the meeting shall be distributed within 12 weeks for consideration. A period of 8, 12 or 16 weeks as agreed by the technical committee or subcommittee shall be available to National Bodies to comment on the draft and on any subsequent versions.

In JTC 1, the default for CD/CDAM/DTS/DTR circulation is 8 weeks.

**2.5.5** Consideration of successive drafts shall continue until consensus of the P-members of the technical committee or subcommittee has been obtained or a decision to abandon or defer the project has been made.

**2.5.6** The decision to circulate an enquiry draft (see 2.6.1) shall be taken on the basis of the consensus principle.

It is the responsibility of the chair of the technical committee or subcommittee, in consultation with the secretary of his/her committee and, if necessary, the project leader, to judge whether there is sufficient support bearing in mind the definition of consensus given in ISO/IEC Guide 2:2004.

**"consensus:** General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments.

NOTE Consensus need not imply unanimity."

The following applies to the definition of consensus:

In the process of reaching consensus, many different points of views will be expressed and addressed as the document evolves. However, "sustained oppositions" are views expressed at minuted meetings of committee, working group (WG) or other groups (e.g. task forces, advisory groups, etc.) and which are maintained by an important part of the concerned interest and which are incompatible with the committee consensus. The notion of "concerned interest(s)" will vary depending on the dynamics of the committee and shall therefore be determined by the committee leadership on a case by case basis. The concept of sustained opposition is not applicable in the context of member body votes on CD, DIS or FDIS since these are subject to the applicable voting rules.

Those expressing sustained oppositions have a right to be heard and the following approach is recommended when a sustained opposition is declared:

- The leadership shall first assess whether the opposition can be considered a "sustained opposition", i.e. whether it has been sustained by an important part of the concerned interest. If this is not the case, the leadership will register the opposition (i.e. in the minutes, records, etc.) and continue to lead the work on the document.
- If the leadership determines that there is a sustained opposition, it is required to try and resolve it in good faith. However, a sustained opposition is not akin to a right to veto. The obligation to address the sustained oppositions does not imply an obligation to successfully resolve them.

The responsibility for assessing whether or not consensus has been reached rests entirely with the leadership. This includes assessing whether there is sustained opposition or whether any sustained opposition can be resolved without compromising the existing level of consensus on the rest of the document. In such cases, the leadership will register the opposition and continue the work.

Those parties with sustained oppositions may avail themselves of appeals mechanisms as detailed in Clause 5.

In case of doubt concerning consensus, approval by a two-thirds majority of the P-members of the technical committee or subcommittee voting may be deemed to be sufficient for the committee draft to be accepted for registration as an enquiry draft; however, every attempt shall be made to resolve negative votes.

In JTC 1, abstentions are excluded when the votes are counted, as well as negative votes not accompanied to technical reasons.

The secretariat of the technical committee or subcommittee responsible for the committee draft shall ensure that the enquiry draft fully embodies decisions taken either at meetings or by correspondence.

**2.5.7** When consensus has been reached in a technical committee or subcommittee, its secretariat shall submit the finalized version of the draft in electronic form suitable for distribution to the national members for enquiry (2.6.1), to the office of the CEO (with a copy to the technical committee secretariat in the case of a subcommittee) within a maximum of 16 weeks.

**2.5.8** For time limits relating to this stage, see 2.1.6.

**2.5.9** The committee stage ends when all technical issues have been resolved and a committee draft is accepted for circulation as an enquiry draft and is registered by the office of the CEO. Texts that do not conform to the ISO/IEC Directives, Part 2 shall be returned to the secretariat with a request for correction before they are registered.

**2.5.10** If the technical issues cannot all be resolved within the appropriate time limits, technical committees and subcommittees may wish to consider publishing an intermediate deliverable in the form of a Technical Specification (see 3.1) pending agreement on an International Standard.

## 2.6 Enquiry stage

**2.6.1** At the enquiry stage, the enquiry draft (DIS in ISO, CDV in IEC) shall be circulated by the office of the CEO to all National Bodies for a 12-week vote. In JTC 1, the enquiry draft is a DIS or DAM. In JTC 1, the DIS or DAM shall be circulated for a 12-week vote, following a translation period of 8 weeks.

For policy on the use of languages, see Annex E. In JTC 1, texts are only required to be prepared in English, except in exceptional instances.

National bodies shall be advised of the date by which completed ballots are to be received by the office of the CEO.

At the end of the voting period, the Chief Executive Officer shall send within 4 weeks to the chair and secretariat of the technical committee or subcommittee the results of the voting together with any comments received, for further speedy action.

**2.6.2** Votes submitted by National Bodies shall be explicit: positive, negative, or abstention.

A positive vote may be accompanied by editorial or technical comments, on the understanding that the secretary, in consultation with the chair of the technical committee or subcommittee and project leader, will decide how to deal with them.

If a National Body finds an enquiry draft unacceptable, it shall vote negatively and state the technical reasons. It may indicate that the acceptance of specified technical modifications will change its negative vote to one of approval, but it shall not cast an affirmative vote which is conditional on the acceptance of modifications.

In JTC 1, in the case where a National Body has voted negatively without submitting a justification, the vote will not be counted.

In JTC 1, in the case where a National Body has voted negatively and has submitted comments that are not clearly of a technical nature, the committee manager shall contact the Technical Programme Manager within 2 weeks of the ballot closure.

In JTC 1, there are no constraints on the types of comments (technical, editorial, or general) National Bodies can submit with their votes; however, in the case of negative votes on enquiry drafts, National Bodies are required to describe their technical reasons.

**2.6.3** An enquiry draft is approved if

- a) a two-thirds majority of the votes cast by the P-members of the technical committee or subcommittee are in favour, and
- b) not more than one-quarter of the total number of votes cast are negative.

Abstentions are excluded when the votes are counted, as well as negative votes not accompanied by technical reasons.

Comments received after the normal voting period are submitted to the technical committee or subcommittee secretariat for consideration at the time of the next review of the International Standard.

In JTC 1, additional voting rules apply; see Annex JA.1

**2.6.4** On receipt of the results of the voting and any comments, the chair of the technical committee or subcommittee, in cooperation with its secretariat and the project leader, and in consultation with the office of the CEO, shall take one of the following courses of action:

- a) when the approval criteria of 2.6.3 are met, and no technical changes are to be included to proceed to publication (see 2.8).
- b) When the approval criteria of 2.6.3 are met, but technical changes are to be included, to register the enquiry draft, as modified, as a final draft international standard.
- c) when the approval criteria of 2.6.3 are not met;
  - 1) to circulate a revised enquiry draft for voting (see 2.6.1), or

NOTE A revised enquiry draft will be circulated for a voting period of 8 weeks, which may be extended up to 12 weeks at the request of one or more P-members of the committee concerned. In JTC 1, a revised enquiry draft circulation period may be extended up to 12 weeks.

2) to circulate a revised committee draft for comments, or

3) to discuss the enquiry draft and comments at the next meeting. In JTC 1, a comment resolution meeting may be held by teleconference or using electronic means.

**2.6.5** Not later than 12 weeks after the end of the voting period, a full report shall be prepared by the secretariat of the technical committee or subcommittee and circulated by the office of the CEO to the National Bodies. The report shall

- a) show the result of the voting;
- b) state the decision of the chair of the technical committee or subcommittee;
- c) reproduce the text of the comments received; and

- d) include the observations of the secretariat of the technical committee or subcommittee on each of the comments submitted.

Every attempt shall be made to resolve negative votes.

If, within 8 weeks from the date of dispatch, two or more P-members disagree with decision 2.6.4 c)1) or 2.6.4 c)2) of the chair, the draft shall be discussed at a meeting (see 4.2.1.3).

Committees are required to respond to all comments received.

**2.6.6** When the chair has taken the decision to proceed to the approval stage (see 2.7) or publication stage (see 2.8), the secretariat of the technical committee or subcommittee shall prepare, within a maximum of 16 weeks after the end of the voting period and with the assistance of its editing committee, a final text and send it to the office of the CEO for preparation and circulation of the final draft International Standard.

The secretariat shall provide the office of the CEO with the text in a revisable electronic text and also in a format which permits validation of the revisable form.

Texts that do not conform to the ISO/IEC Directives, Part 2 shall be returned to the secretariat with a request for correction before they are registered.

**2.6.7** For time limits relating to this stage, see 2.1.6.

**2.6.8** The enquiry stage ends with the registration, by the office of the CEO, of the text for circulation as a final draft International Standard or publication as an International Standard, in the case of 2.6.4 a) and b).

## **2.7 Approval stage**

**2.7.1** At the approval stage, the final draft International Standard (FDIS) shall be distributed by the office of the CEO within 12 weeks to all National Bodies for an 8-week vote (6 weeks in IEC).

National Bodies shall be advised of the date by which ballots are to be received by the office of the CEO.

**2.7.2** Votes submitted by National Bodies shall be explicit: positive, negative, or abstention.

A National Body may submit comments on any FDIS vote.

If a National Body finds a final draft International Standard unacceptable, it shall vote negatively and state the technical reasons. It shall not cast an affirmative vote that is conditional on the acceptance of modifications.

In JTC 1, in the case where a National Body has voted negatively without submitting a justification, the vote will not be counted.

In JTC 1, in the case where a National Body has voted negatively and has submitted comments that are not clearly of a technical nature, the secretariat shall contact the Technical Programme Manager within 2 weeks of the ballot closure.

**2.7.3** A final draft International Standard having been circulated for voting is approved if

- a) a two-thirds majority of the votes cast by the P-members of the technical committee or subcommittee are in favour, and
- b) not more than one-quarter of the total number of votes cast are negative.

Abstentions are excluded when the votes are counted, as well as negative votes not accompanied by technical reasons.

In JTC 1, additional voting rules apply; see Annex JA.1.

**2.7.4** The secretariat of the technical committee or subcommittee has the responsibility of bringing any errors that may have been introduced in the preparation of the draft to the attention of the office of the CEO by the end of the voting period; further editorial or technical amendments are not acceptable at this stage.

**2.7.5** All comments received will be retained for the next review and will be recorded on the voting form as “noted for future consideration”. However, the Secretary along with the office of the CEO may seek to resolve obvious editorial errors. Technical changes to an approved FDIS are not allowed.

Within 2 weeks after the end of the voting period, the office of the CEO shall circulate to all National Bodies a report showing the result of voting and indicating either the formal approval by National Bodies to issue the International Standard or formal rejection of the final draft International Standard.

**2.7.6** If the final draft International Standard has been approved in accordance with the conditions of 2.7.3, it shall proceed to the publication stage (see 2.8).

**2.7.7** If the final draft International Standard is not approved in accordance with the conditions in 2.7.3, the document shall be referred back to the technical committee or subcommittee concerned for reconsideration in the light of the technical reasons submitted in support of the negative votes.

The committee may decide to:

- resubmit a modified draft as a committee draft, enquiry draft or, in ISO and JTC 1, final draft International Standard;
- publish a Technical Specification (see 3.1);
- cancel the project.

**2.7.8** The approval stage ends with the circulation of the voting report (see 2.7.5) stating that the FDIS has been approved for publication as an International Standard, with the publication of a Technical Specification (see 3.1.1.2), or with the document being referred back to the committee.

## 2.8 Publication stage

**2.8.1** Within 6 weeks, the office of the CEO shall correct any errors indicated by the secretariat of the technical committee or subcommittee, and print and distribute the International Standard.

In JTC 1, the ITTF shall correct any errors indicated by the secretariat of the technical committee or subcommittee and print and distribute the International Standard within 8 weeks.

**2.8.2** The publication stage ends with the publication of the International Standard.



## 2.9 Maintenance of Deliverables

### 2.9.1 Overview

The procedures for the maintenance of deliverables are given in the respective Supplements to the ISO/IEC Directives.

In JTC 1, the following procedures apply.

Additional procedures for defect correction of International Standards are found in the JTC 1 Standing Document 21 on “Defect Correction of International Standards”.

See Standing Document 9 on “PAS Transposition Process” for additional requirements on the maintenance of documents approved through the PAS transposition process, maintained by the PAS submitter and administered by JTC 1.

See Standing Document 6 on “Technical Specifications and Technical Reports” for additional requirements on the maintenance of technical specifications and technical reports.

### 2.9.2 Systematic and Committee Reviews

#### 2.9.2.1 General Principle

In JTC 1, every International Standard and International Technical Specification published jointly by ISO and IEC for JTC 1 shall be subject to systematic review in order to determine whether it should be confirmed, revised/amended, stabilized, or withdrawn, according to Table S1.

A committee may at any time between systematic reviews pass a resolution initiating a revision or amendment of a standard.

See clause 2.3.1 for the process for initiating a revision or amendment of an existing standard.

For minor changes, e.g., updating and editorial changes that do not impact technical content, a shortened procedure called “minor revision” may be applied. This is comprised only of the proposal for a minor revision by the committee (through a resolution), approval and publication stages (see 2.7 and 2.8). Subsequent to the resolution of the responsible technical committee and consultation with the responsible Technical Programme Manager, a final draft of the revised deliverable shall be circulated for an 8 week FDIS vote, and 12 weeks in the case of Vienna Agreement documents. The Foreword of the next edition of the deliverable shall indicate that it is a minor revision and list the updates and editorial changes made.

**Table S1 — Timing of systematic reviews**

Deliverable	Max. elapsed time before systematic review	Max. number of times deliverable may be confirmed	Max. life
International Standard	5 years	Not limited	Not limited

Technical Specification (see 3.1.3)	3 years	Once recommended	6 years recommended
Technical Report (see 3.3.3)	Not specified	Not specified	Not limited

While Technical Reports are not subject to systematic review (see Table S1), the responsible committee is still required to perform a review at intervals that should not exceed 5 years.

A systematic review will typically be initiated in the following circumstances:

- on the initiative and as a responsibility of the secretariat of the responsible committee, typically as the result of the elapse of the specified period since publication or the last confirmation of the document, or
- a default action by the ITTF, or
- at the request of one or more National Bodies or
- upon request of the committee manager to ITTF.

The timing of a systematic review is normally based either on the year of publication or, where a document has already been confirmed, on the year in which it was last confirmed. However, it is not necessary to wait for the maximum period to elapse before a document is reviewed.

Where the relevant SC no longer exists, responsibility for the maintenance of such a standard may be given to a JTC 1 National Body or a JTC 1 Category A Liaison.

See clause 2.10.3 and 2.3.1 for the process for initiating a revision or amendment of an existing standard.

### 2.9.2.2 Systematic Review Requirements

In JTC 1, the systematic review ballot period is 20 weeks.

Before the systematic review ballot of National Bodies is initiated, the committee, by vote of the P-members of the responsible committee, either at plenary or by letter ballot, develops a recommendation for the disposition of standards and technical specifications to be included along with the systematic review ballot. ITTF submits the ballot for National Body approval using the systematic review ballot process.

After the closing of the systematic review ballot, the secretariat's proposal reflecting the voting results shall be circulated to the members of the technical committee or subcommittee. No more than 6 months after the closing of the systematic review ballot the committee shall take a final decision as to whether to revise, confirm, stabilize or withdraw the standard, following which the secretariat shall submit the committee's decision to ITTF.

NOTE Systematic review ballots are administered electronically by the ITTF. P-members of a given committee have an obligation to vote on all systematic renew ballots for deliverables under the responsibilities of that committee. All P-members of ISO and IEC are invited to respond to such reviews. The purpose of the reviews has been extended to include obtaining information when National Bodies have needed to make modifications in order to make the deliverable suitable for national adoption. Such modifications need to be considered by committees in order to determine whether they need to be taken into account to improve the global relevance of a standard.

### 2.9.2.3 Interpretation of systematic review ballot results

In JTC 1, typically, a decision as to the appropriate action to take following a systematic review shall be based on a simple majority of ISO and IEC P-members voting for a specific action. However, in some cases a more detailed analysis of the results may indicate that another interpretation may be more appropriate. The committee decides upon a course of action and informs ITTF of the course of action.

**NOTE** It is not feasible to provide concrete rules for all cases when interpreting the ballot results due to the variety of possible responses, degrees of implementation, and the relative importance of comments

In proposing future action, due account shall be taken of the maximum possible number of confirmations and specified maximum life of the deliverable concerned (see Table S1).

Where it has been verified that a standard or a technical specification is used, that it should continue to be made available, and that no technical changes are needed, the deliverable may be confirmed. The criteria are as follows:

- the standard or technical specification has been adopted with or without change or is used in at least five countries (when this criteria is not met, the deliverable should be withdrawn); and
- a simple majority of the P-members responding vote for confirmation.

If voting results on systematic review are not definitive for conformation, revision or withdrawal, and/or a decision is based on a determination of responses, the Secretariat shall invite approval of a proposed course of action within a specified time delay for example within eight weeks.

### 2.9.3 Revision or Amendment

In JTC 1, a committee may at any time pass a resolution initiating a revision or amendment of a deliverable.

Where it has been verified that a document is used, that it should continue to be made available, but that technical changes are needed, a deliverable may be proposed for amendment or revision. The criteria are as follows:

- the standard or technical specification has been adopted with or without change or is used in at least five countries (when this criteria is not met, the standard should be withdrawn); and
- a simple majority of the P-members of ISO and IEC voting considers there is a need for amendment or revision.

In that case, an item may be registered as an approved work item (stage 10.99).

A call for experts shall be launched. However, there is no minimum number of active P-members of the committee required.

Where an amendment or revision is not immediately started following approval by the committee, it is recommended that the project is first registered as a preliminary work item and that the standard is registered as confirmed. When it is eventually proposed for registration at stage 10.99, reference shall be made to the results of the preceding systematic review and the committee shall pass a resolution (see clause 2.3.1 for the process for initiating a revision or amendment of an existing standard).

Where it is decided that the International Standard or Technical Specification needs to be revised or amended, it becomes a new project and shall be added to the programme of work of the committee. The steps for revision or amendment are the same as those for preparation of a new deliverable (see the Consolidated JTC 1 Supplement, clauses 2.3 to 2.8), and include the establishment of target dates for the completion of the relevant stages.

For minor changes, e.g. updating and editorial changes, which do not impact the technical content, a shortened procedure called “minor revision” may be applied. This is comprised only of the proposal for a minor revision by the committee (through a resolution), approval and publication stages (see 2.7 and 2.8). Subsequent to the resolution of the committee and consultation with the ITTF, a final draft of the revised deliverable shall be circulated for a 8-week committee vote. The foreword of the next edition of the deliverable shall indicate that it is a minor revision and list the updates and editorial changes made.

### **2.9.3.1 Conversion to an International Standard (Technical Specifications only)**

In addition to the three basic option of confirmation, amendment or revision, or withdrawal, in the cases of the systematic review of Technical Specifications a fourth option is its conversion to an International Standard.

To initiate conversion to an International Standard, a text, up-dated as appropriate, is submitted to the normal development procedures as specified for an International Standard (see clause 2.3.1).

The conversion procedure will typically start with a DIS vote. Where changes considered to be required are judged as being significant as to require a full review in the committee prior to DIS ballot, a revised version of the document shall be submitted for review and ballot as a CD.

### **2.9.4 Withdrawal**

In JTC 1, in the case of the proposed withdrawal of an International Standard or a Technical Specification, the National Bodies shall be informed by the ITTF of the recommendation of the committee. ITTF shall hold a systematic review ballot so that National Bodies can vote on the recommendation.

### **2.9.5 Stabilization**

In JTC 1, a standard may be a stabilized standard. A stabilized standard has on-going validity and effectiveness; is mature; and insofar as can be determined will not require further maintenance of any sort. A standard is in stabilized status that will no longer be subject to systematic review but is retained to provide for the continued viability of existing products or servicing of equipment that is expected to have a long working life.

To be designated a stabilized standard, at least one five-year review cycle shall pass after the last modification to the standard before it can be recommended for stabilization by the responsible committee.

A committee may recommend that a standard for which it is responsible be put in stabilized status at the time of systematic review of that standard. In each case, the recommendation shall be accompanied by a statement of rationale and will result in a default systematic review ballot, as is done in the case of a reaffirmation recommendation.

Once a standard is given “stabilized” status, it will be recorded by ITTF on a master list of stabilized standards. This record will include the date of first addition to the list and the rationale provided as above. A stabilized standard is indicated as stabilized in the ISO Catalogue listing for that standard.

While stabilized standards are not subject to systematic review, the responsible committee should periodically (intervals that should not exceed 10 years) request its P-members to review the committee's stabilized standards to determine if stabilization of the standard is still relevant.

Where a committee or a P-member of JTC 1 or a P-member of a SC becomes aware that a standard in the stabilized state is

- no longer in use; or
- its use has been superseded; or
- it is now unsafe to continue to use the standard;

A default ballot concerning revision or withdrawal of the standard is to be initiated (see JA.1.3).

Note that Technical Specifications and Technical Reports cannot be stabilized.

### 2.9.6 Reinstatement of Withdrawn Standards

In JTC 1, if, following withdrawal of an International Standard, a committee determines that it is still needed, it may propose that the standard be reinstated. A ballot for reinstatement of the withdrawn standard shall be issued either as a draft International Standard, or an FDIS as initiated by the committee for voting by the ISO and IEC P-members. The balloting procedures of 2.6 and 2.7 shall apply. If approved, the standard shall be published as a new edition with a new date of publication. The foreword shall explain that the standard results from the reinstatement of the previous edition.

## 2.10 Corrections and amendments

### 2.10.1 General

A published International Standard may subsequently be modified by the publication of

- a technical corrigendum (in IEC only);

In JTC 1, the option to publish a technical corrigendum also applies.

- a corrected version
- an amendment; or
- a revision (as part of the maintenance procedure in 2.9).

In JTC 1, at the publication stage, the ITTF shall decide, in consultation with the Secretariat of JTC 1 or SC, and bearing in mind both the financial consequences to the organization and the interests of users of the IS, whether to publish an amendment or a new edition of the IS, incorporating the amendment.

[NOTE Where it is foreseen that there will be frequent additions to the provisions of an IS, the possibility should be borne in mind at the outset of developing these additions as a series of parts (see 5.5.1 of ISO/IEC Directives, Part 2)]

NOTE In case of revision a new edition of the International Standard will be issued.

### 2.10.2 Corrections

In JTC 1, the term ‘corrections’ is a generic word referring to both technical corrigenda (COR) and corrected versions. In JTC 1, there remains the option to publish either a technical corrigendum or a corrected version.

A correction is only issued to correct an error or ambiguity inadvertently introduced either in drafting or in publishing and which could lead to incorrect or unsafe application of the publication.

Corrections are not issued to update information that has become outdated since publication.

Suspected errors shall be brought to the attention of the secretariat of the technical committee or subcommittee concerned. After confirmation by the secretariat and chair, if necessary in consultation with the project leader and P-members of the technical committee or subcommittee, the secretariat shall submit to the office of the CEO a proposal for correction, with an explanation of the need to do so.

The Chief Executive Officer shall decide, in consultation with the secretariat of the technical committee or subcommittee, and bearing in mind both the financial consequences to the organization and the interests of users of the publication, whether to publish a technical corrigendum (in IEC only) and / or a corrected version of the existing edition of the publication (see also 2.10.4). The secretariat of the committee will then inform the members of the committee of the outcome.

In JTC 1, the option to publish a technical corrigendum also applies.

In general, a correction will not be issued for a publication that is older than 3 years.

In JTC 1, ITTF shall decide, in consultation with the secretariat of the technical committee or subcommittee, and bearing in mind both the financial consequences to the organization and the interests of users of the publication, whether to publish a technical corrigendum or a corrected or updated reprint of the existing edition of the publication (see also 2.10.4). In general, a technical corrigendum will not be issued for an International Standard that is older than 3 years. In JTC 1 the procedures for developing and publishing Technical Corrigenda are given in JTC 1 Standing Document 21 on “Defect Correction of International Standards”.

### 2.10.3 Amendments

An amendment alters and/or adds to previously agreed technical provisions in an existing International Standard. An amendment is considered as a partial revision: the rest of the International Standard is not open for comments.

An amendment is normally published as a separate document, the edition of the International Standard affected remaining in use.

The procedure for developing and publishing an amendment shall be as described in 2.3 (ISO and JTC 1), or the review and maintenance procedures (see IEC Supplement) and 2.4, 2.5, 2.6 (draft amendment, DAM), 2.7 (final draft amendment, FDAM), and 2.8. JTC 1 uses the same procedures as ISO.

In JTC 1, the default for CD/CDAM/DTS/DTR circulation is 8 weeks.

At the approval stage (2.7), the Chief Executive Officer shall decide, in consultation with the secretariat of the technical committee or subcommittee, and bearing in mind both the financial consequences to the organization and the interests of users of the International Standard, whether to publish an amendment or a new edition of the International Standard, incorporating the amendment. (See also 2.10.4.)

NOTE Where it is foreseen that there will be frequent *additions* to the provisions of an International Standard, the possibility should be borne in mind at the outset of developing these additions as a series of parts (see ISO/IEC Directives, Part 2).

#### 2.10.4 Avoidance of proliferation of modifications

No more than 2 separate documents in the form of technical corrigenda (in IEC only) or amendments shall be published modifying a current International Standard. The development of a third such document shall result in publication of a new edition of the International Standard.

In JTC 1, the option to publish a technical corrigendum also applies.

#### 2.11 Maintenance agencies

When a technical committee or subcommittee has developed a standard that will require frequent modification, it may decide that a maintenance agency is required. Rules concerning the designation of maintenance agencies are given in Annex G.

#### 2.12 Registration authorities

When a technical committee or subcommittee has developed a standard that includes registration provisions, a registration authority is required. Rules concerning the designation of registration authorities are given in Annex H.

In JTC 1, see also Annex JF, Registration Authority Policy

#### 2.13 Copyright

The copyright for all drafts and International Standards and other publications belongs to ISO, IEC or ISO and IEC, respectively as represented by the office of the CEO.

The content of, for example, an International Standard may originate from a number of sources, including existing national standards, articles published in scientific or trade journals, original research and development work, descriptions of commercialized products, etc. These sources may be subject to one or more rights.

In ISO and IEC, there is an understanding that original material contributed to become a part of an ISO, IEC or ISO/IEC publication can be copied and distributed within the ISO and/or IEC systems (as relevant) as part of the consensus building process, this being without prejudice to the rights of the original copyright owner to exploit the original text elsewhere. Where material is already subject to copyright, the right should be granted to ISO and/or IEC to reproduce and circulate the material. This is frequently done without recourse to a written agreement, or at most to a simple written statement of acceptance. Where contributors wish a formal signed agreement concerning copyright of any submissions they make to ISO and/or IEC, such requests shall be addressed to ISO Central Secretariat or the IEC Central Office, respectively.

Attention is drawn to the fact that the respective members of ISO and IEC have the right to adopt and re-publish any respective ISO and/or IEC standard as their national standard. Similar forms of endorsement do or may exist (for example, with regional standardization organizations).

In JTC 1, the copyright for DISs/FDISs, International Standards, DAMs/FDAMs, amendments, technical corrigenda, technical specifications, and technical reports belongs to ISO and IEC.

For those standards requiring it, a register shall be published. The copyright for the register belongs to ISO and IEC which may license the copyright to the JTC 1 Registration Authority for as long as it functions in this capacity.

## **2.14 Reference to patented items (see also Annex I)**

**2.14.1** If, in exceptional situations, technical reasons justify such a step, there is no objection in principle to preparing an International Standard in terms which include the use of items covered by patent rights – defined as patents, utility models and other statutory rights based on inventions, including any published applications for any of the foregoing – even if the terms of the standard are such that there are no alternative means of compliance.

The rules given below shall be applied.

**2.14.2** If technical reasons justify the preparation of a document in terms which include the use of items covered by patent rights, the following procedures shall be complied with:

- a) The proposer of a proposal for a document shall draw the attention of the committee to any patent rights of which the proposer is aware and considers to cover any item of the proposal. Any party involved in the preparation of a document shall draw the attention of the committee to any patent rights of which it becomes aware during the development of the document.
- b) If the proposal is accepted on technical grounds, the proposer shall ask any holder of such identified patent rights for a statement that the holder would be willing to negotiate worldwide licences 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 ISO and/or IEC. A record of the right holder's statement shall be placed in the registry of the ISO Central Secretariat or IEC Central Office as appropriate, and shall be referred to in the introduction to the relevant document. If the right holder does not provide such a statement, the committee concerned shall not proceed with inclusion of an item covered by a patent right in the document without authorization from ISO Council or IEC Council Board as appropriate.
- c) A document shall not be published until the statements of the holders of all identified patent rights have been received, unless the council board concerned gives authorization.

**2.14.3.3** Should it be revealed after publication of a document that licences under patent rights, which appear to cover items included in the document, cannot be obtained under reasonable and non-discriminatory terms and conditions, the document shall be referred back to the relevant committee for further consideration.

## **3 Development of other deliverables**

### **3.1 Technical Specifications**

In JTC 1, See Standing Document 6 on “Technical Specifications and Technical Reports” for the JTC 1 specific requirements on this topic.

Technical Specifications may be prepared and published under the following circumstances and conditions.

**3.1.1** When the subject in question is still under development or where for any other reason there is the future but not immediate possibility of an agreement to publish an International Standard, the technical



committee or subcommittee may decide, by following the procedure set out in 2.3, that the publication of a Technical Specification would be appropriate. The procedure for preparation of such a Technical Specification shall be as set out in 2.4 and 2.5. The decision to publish the resulting document as a Technical Specification shall require a two-thirds majority vote of the P-members voting of the technical committee or subcommittee. A Technical Specification is a normative document.

When the required support cannot be obtained for a final draft International Standard to pass the approval stage (see 2.7), or in case of doubt concerning consensus, the technical committee or subcommittee may decide, by a two-thirds majority vote of P-members voting, that the document should be published in the form of a Technical Specification.

**3.1.2** When the P-members of a technical committee or subcommittee have agreed upon the publication of a Technical Specification, the draft specification shall be submitted electronically by the secretariat of the technical committee or subcommittee to the office of the CEO within 16 weeks for publication. Competing technical specifications offering different technical solutions are possible provided that they do not conflict with existing International Standards.

**3.1.3** Technical Specifications shall be subject to review by the technical committee or subcommittee not later than 3 years after their publication. The aim of such review shall be to re-examine the situation which resulted in the publication of a Technical Specification and if possible to achieve the agreement necessary for the publication of an International Standard to replace the Technical Specification. In IEC, the date for this review is based on the stability date which shall be agreed in advance of the publication of the Technical Specification (review date). In JTC 1, the IEC-specific procedures do not apply.

## 3.2 Publicly Available Specifications (PAS)

This section does not apply to JTC 1.

In JTC 1, the JTC 1 PAS (Publicly Available Specification) Transposition process is a different process from the one that results in PAS deliverables in ISO and IEC (see Annex F).

**3.2.1** A PAS may be an intermediate specification, published prior to the development of a full International Standard, or, in IEC may be a “dual logo” publication published in collaboration with an external organization. It is a document not fulfilling the requirements for a standard.

A PAS is a normative document.

**3.2.2** A proposal for submission of a PAS may be made by the Secretariat, an A-liaison or by any P-member of the committee. In IEC, a C-liaison may also submit a PAS (see 1.17).

**3.2.3** The PAS is published after verification of the presentation and checking that there is no conflict with existing International Standards by the committee concerned and following simple majority approval of the P-members voting of the committee concerned. Competing PAS offering different technical solutions are possible provided that they do not conflict with existing International Standards.

**3.2.4** A PAS shall remain valid for an initial maximum period of 3 years in ISO and 2 years in IEC. The validity may be extended for a single period up to a maximum of 3 years in ISO and 2 years in IEC, at the end of which it shall be transformed with or without change into another type of normative document, or shall be withdrawn.

### 3.3 Technical Reports

In JTC 1, See Standing Document 6 on “Technical Specifications and Technical Reports” for the JTC 1 specific requirements on this topic.

**3.3.1** When a technical committee or subcommittee has collected data of a different kind from that which is normally published as an International Standard (this may include, for example, data obtained from a survey carried out among the National Bodies, data on work in other international organizations or data on the "state of the art" in relation to standards of National Bodies on a particular subject), the technical committee or subcommittee may decide, by a simple majority vote of P-members voting, to request the Chief Executive Officer to publish such data in the form of a Technical Report. The document shall be entirely informative in nature and shall not contain matter implying that it is normative. It shall clearly explain its relationship to normative aspects of the subject which are, or will be, dealt with in International Standards related to the subject. The Chief Executive Officer, if necessary in consultation with the technical management board, shall decide whether to publish the document as a Technical Report.

**3.3.2** When the P-members of a technical committee or subcommittee have agreed upon the publication of a Technical Report, the draft report shall be submitted electronically by the secretariat of the technical committee or subcommittee to the Chief Executive Officer within 16 weeks for publication.

**3.3.3** It is recommended that Technical Reports are regularly reviewed by the committee responsible, to ensure that they remain valid. Withdrawal of a Technical Report is decided by the technical committee or subcommittee responsible.

Technical Reports are not subject to systematic review.

## 4 Meetings

### 4.1 General

National Bodies are reminded that they are not permitted to charge delegates/experts any sort of participation fee, nor require accommodations at specific hotels or hotel rates for any meetings of technical committees, subcommittees, working groups, maintenance and project teams. The basic meeting facilities shall be funded entirely by resources from a National Body and/or voluntary sponsors. For more information in IEC, see Meeting Guide ([http://www.iec.ch/members\\_experts/refdocs/iec/IEC\\_Meeting\\_Guide\\_2012.pdf](http://www.iec.ch/members_experts/refdocs/iec/IEC_Meeting_Guide_2012.pdf)) and for ISO, see Annex SF for further details. For JTC 1, see also JTC 1 Standing Document 19, “Meetings”.

**4.1.1** Technical committees and subcommittees shall use current electronic means to carry out their work (for example, e-mail, groupware and teleconferencing) wherever possible. A meeting of a technical committee or subcommittee should be convened only when it is necessary to discuss committee drafts (CD) or other matters of substance which cannot be settled by other means. In JTC 1, see also Standing Document 19 on “Meetings”.

**4.1.2** The technical committee secretariat should look ahead with a view to drawing up, in consultation with the office of the CEO, a planned minimum 2-year programme of meetings of the technical committee and its subcommittees and, if possible, its working groups, taking account of the programme of work.

In JTC 1, meetings of JTC 1 shall be convened by the JTC 1 secretariat at nominal six-month intervals and shall be of adequate duration to resolve all agenda items.

**4.1.3** In planning meetings, account should be taken of the possible advantage of grouping meetings of technical committees and subcommittees dealing with related subjects, in order to improve communication and to limit the burden of attendance at meetings by delegates who participate in several technical committees or subcommittees.

In JTC 1, the possible advantage of grouping meetings applies also to working groups.

**4.1.4** In planning meetings, account should also be taken of the advantages for the speedy preparation of drafts of holding a meeting of the editing committee immediately after the meeting of the technical committee or subcommittee and at the same place.

## **4.2 Procedure for calling a meeting**

### **4.2.1 Technical committee and subcommittee meetings**

In JTC 1, see also Standing Document 19 on “Meetings” for planning physical or electronic meetings.

**4.2.1.1** The date and place of a meeting shall be subject to an agreement between the chair and the secretariat of the technical committee or subcommittee concerned, the Chief Executive Officer and the National Body acting as host. In the case of a subcommittee meeting, the subcommittee secretariat shall first consult with the secretariat of the parent technical committee in order to ensure coordination of meetings (see also 4.1.3).

**4.2.1.2** A National Body wishing to act as host for a particular meeting shall contact the Chief Executive Officer and the technical committee or subcommittee secretariat concerned.

The National Body shall first ascertain that there are no restrictions imposed by its country to the entry of representatives of any P-member of the technical committee or subcommittee for the purpose of attending the meeting.

In JTC 1, in accrediting delegates to attend meetings, P- and O-members shall register them in the ISO Meetings application or the IEC Meeting Registration System (MRS), as appropriate.

The hosting National Body can access the list of delegates through the ISO Meetings application or the IEC Meeting Registration System (MRS) so that it can make appropriate arrangements for the meeting. It is the responsibility of the P-members and O-members with participants who need invitation letters to send the names of these participants directly to the hosting National Body.

The hosting organizations are advised to verify and provide information on access means to meeting facilities.

As per clause 4.2.1.3, a document describing logistics for the meeting shall be circulated. As well as location and transport information, it should provide details of the accessibility of meeting facilities.

During the planning process, there should be a request for notification of specific accessibility requirements. The hosting body should make its best efforts to satisfy these requirements.

In JTC 1, the hosting National Body is responsible for providing secretariat support and services for meetings unless alternative arrangements have been agreed with the responsible committee secretariat.

In JTC 1, the committee secretariat shall inform the hosting National Body of all accredited meeting attendees so that the latter can make appropriate arrangements for the meeting.

**4.2.1.3** The secretariat shall ensure that arrangements are made for the agenda and logistical information to be circulated by the office of the CEO (in the IEC) or by the secretariat with a copy to the office of the CEO (in ISO) at the latest 16 weeks before the date of the meeting. In JTC 1 and its subcommittees, any comments on the agenda or proposals for the addition of new work item proposals should be sent to the committee secretariat by the members not later than 8 weeks before the meeting. The secretariat shall distribute such comments or proposals immediately in order to permit adequate preparation by delegates.

NOTE All new work item proposals must be approved by correspondence (committee internal ballot – CIB) see 2.3.4.

Only those committee drafts for which the compilation of comments will be available at least 6 weeks before the meeting shall be included on the agenda and be eligible for discussion at the meeting.

Any other working documents, including compilations of comments on drafts to be discussed at the meeting, shall be distributed not less than 6 weeks in advance of the meeting.

The agenda shall clearly state the starting and estimated finishing times.

In the event of meetings over running the estimated finishing time, the Chair shall ensure that the P-members are willing to take voting decisions. However, if P-members leave, they may request the Chair not to take any further voting decisions.

In JTC 1, any decisions made after the estimated finishing time of the meeting and after any P-members have left shall be confirmed by correspondence after the meeting.

NOTE Attendees should take the estimated meeting time into consideration when booking their travel.

**4.2.2** In JTC 1 and its subcommittees, only those committee drafts for which the compilation of comments will be available at least four weeks before the meeting shall be included on the agenda and be eligible for discussion at the Working group meetings

In JTC 1, see Standing Document 19 on “Meetings” for the JTC 1 specific requirements on WG meetings.

**4.2.2.1** Working groups shall use current electronic means to carry out their work (for example, e-mail, groupware and teleconferencing) wherever possible. When a meeting needs to be held, notification by the convener of the meetings of a working group shall be sent to its members and to the secretariat of the parent committee, at least 6 weeks in advance of the meeting.

In JTC 1, see also Standing Document 19 on “Meetings” for requirement for planning Working Group physical or electronic meetings, in particular the requirements for posting a notice of the meeting and documents to be discussed.

Arrangements for meetings shall be made between the convener and the member of the working group in whose country the meeting is to be held. The latter member shall be responsible for all practical working arrangements.

In JTC 1, as working groups may include a large number of participants, the meeting date and venue shall be agreed by the secretariat of the parent committee and the parent committee's National Body of the country in which the meeting is held.

**4.2.2.2** If a working group meeting is to be held in conjunction with a meeting of the parent committee, the convener shall coordinate arrangements with the secretariat of the parent committee. In

particular, it shall be ensured that the working group members receive all general information for the meeting, which is sent to delegates to the meeting of the parent committee.

**4.2.2.3** Either the WG (or PT/MT/AC in IEC) leader or the Secretary of the relevant committee shall notify National Body Secretariats of any WG (or PT/MT/AC in IEC) meeting held in their country.

### **4.3 Languages at meetings**

While the official languages at meetings are English, French and Russian, meetings are conducted in English by default.

The National Body for the Russian Federation provides all interpretation and translation into or from the Russian language.

The chair and secretariat are responsible for dealing with the question of language at a meeting in a manner acceptable to the participants following the general rules of ISO or IEC, as appropriate. (See also Annex E.)

When at a meeting of JTC 1 or one of its subsidiary bodies a participant wishes, in view of exceptional circumstances, to speak in any other language, the chair or convenor of the session shall be entitled to authorize this, for the session only, provided that a means of interpretation has been secured.

### **4.4 Cancellation of meetings**

Every possible effort shall be made to avoid cancellation or postponement of a meeting once it has been convened. Nevertheless, if the agenda and basic documents are not available within the time required by 4.2.1.3, then the Chief Executive Officer has the right to cancel the meeting.

## **5 Appeals**

### **5.1 General**

#### **5.1.1 National bodies have the right of appeal**

- a) to the parent technical committee on a decision of a subcommittee;
- b) to the technical management board on a decision of a technical committee;
- c) to the council board on a decision of the technical management board,

within 12 weeks in ISO and 8 weeks in IEC of the decision in question.

The decision of the council board on any case of appeal is final.

**5.1.2** A P-member of a technical committee or subcommittee may appeal against any action, or inaction, on the part of the technical committee or subcommittee, when the P-member considers that such action or inaction is

- a) not in accordance with
  - the Statutes and Rules of Procedure;
  - the ISO/IEC Directives; or

- b) not in the best interests of international trade and commerce, or such public factors as safety, health or environment.

**5.1.3** Matters under appeal may be either technical or administrative in nature.

Appeals on decisions concerning new work item proposals, committee drafts, enquiry drafts and final draft International Standards are only eligible for consideration if

- questions of principle are involved, or
- the contents of a draft may be detrimental to the reputation of ISO or IEC.

**5.1.4** All appeals shall be fully documented to support the P-member's concern.

## **5.2 Appeal against a subcommittee decision**

**5.2.1** The documented appeal shall be submitted by the P-member to the secretariat of the parent technical committee, with a copy to the Chief Executive Officer.

**5.2.2** Upon receipt, the secretariat of the parent technical committee shall advise all its P-members of the appeal and take immediate action, by correspondence or at a meeting, to consider and decide on the appeal, consulting the Chief Executive Officer in the process.

**5.2.3** If the technical committee supports its subcommittee, then the P-member which initiated the appeal may either

- accept the technical committee decision, or
- appeal against it.

## **5.3 Appeal against a technical committee decision**

**5.3.1** Appeals against a technical committee decision may be of 2 kinds:

- an appeal arising out of 5.2.3 above, or
- an appeal against an original decision of a technical committee.

**5.3.2** The documented appeal shall, in all cases, be submitted to the Chief Executive Officer, with a copy to the chair and secretariat of the technical committee.

**5.3.3** The Chief Executive Officer shall, following whatever consultations s/he deems appropriate, refer the appeal together with his/her comments to the technical management board within 4 weeks after receipt of the appeal.

**5.3.4** The technical management board shall decide whether an appeal shall be further processed or not. If the decision is in favour of proceeding, the chair of the technical management board shall form a conciliation panel.

The conciliation panel shall hear the appeal within 12 weeks and attempt to resolve the difference of opinion as soon as practicable. The conciliation panel shall give a final report within 12 weeks. If the conciliation panel is unsuccessful in resolving the difference of opinion, this shall be reported to the Chief Executive Officer, together with recommendations on how the matter should be settled.

**5.3.5** The Chief Executive Officer, on receipt of the report of the conciliation panel, shall inform the technical management board, which will make its decision.

#### **5.4 Appeal against a technical management board decision**

An appeal against a decision of the technical management board shall be submitted to the Chief Executive Officer with full documentation on all stages of the case.

The Chief Executive Officer shall refer the appeal together with his/her comments to the members of the council board within 4 weeks after receipt of the appeal.

The council board shall make its decision within 12 weeks.

#### **5.5 Progress of work during an appeal process**

When an appeal is against a decision respecting work in progress, the work shall be continued, up to and including the approval stage (see 2.7).

## **Annex A (normative)**

### **Guides**

#### **A.1 Introduction**

In addition to International Standards, Technical Specifications, Publicly Available Specifications and Technical Reports prepared by technical committees, ISO and IEC publish Guides on matters related to international standardization. Guides shall be drafted in accordance with the ISO/IEC Directives, Part 2.

Guides shall not be prepared by technical committees and subcommittees. They may be prepared by an ISO Policy Development Committee, an IEC Advisory Committee or Strategic Group, an ISO group reporting to the ISO technical management board, or an ISO/IEC Joint Coordination Group. These bodies are referred to below as the "Committee or Group responsible for the project".

The procedure for preparation and publication of a Guide is as described below.

#### **A.2 Proposal stage**

The ISO and/or IEC technical management board will approve proposals for new Guides or revisions of Guides and decide on the secretariat and composition of the Committee or Group responsible for the project.

Once a project is approved by the ISO and/or IEC technical management board, the secretariat of the Committee or Group responsible for the project shall ensure that the appropriate interests in ISO and IEC are informed.

#### **A.3 Preparatory stage**

The Committee or Group responsible for the project shall ensure that the appropriate interests in ISO and IEC have the opportunity to be represented during the preparation of the working draft.

#### **A.4 Committee stage**

Once a working draft is available for circulation as a committee draft, the secretariat of the Committee or Group responsible for the project shall send it to the parent committee or ISO and/or IEC technical management board for vote, comments and to approve its advancement to the Enquiry stage.

#### **A.5 Enquiry stage**

**A.5.1** The office of the CEOs shall circulate both the English and French texts of the revised draft Guide to all National Bodies for a 16-week vote.

**A.5.2** The draft Guide is approved for publication as a Guide if not more than one-quarter of the votes cast are negative, abstentions being excluded when the votes are counted.



In the case of ISO/IEC Guides, the draft shall be submitted for approval to the National Bodies of both ISO and IEC. The National Bodies of both organizations need to approve the document if it is to be published as an ISO/IEC Guide.

If this condition is satisfied for only one of the organizations, ISO or IEC, the Guide may be published under the name of the approving organization only, unless the Committee or Group responsible for the project decides to apply the procedure set out in A.5.3.

**A.5.3** If a draft Guide is not approved, or if it is approved with comments the acceptance of which would improve consensus, the chair of the Committee or Group responsible for the project may decide to submit an amended draft for an 8-week vote. The conditions for acceptance of the amended draft are the same as in A.5.2.

## **A.6 Publication stage**

The publication stage shall be the responsibility of the office of the CEO of the organization to which the Committee or Group responsible for the project belongs.

In the case of a Joint ISO/IEC Group, the responsibility shall be decided by agreement between the Chief Executive Officers.

## **A.7 Withdrawal of a Guide**

The Committee or Group responsible for the Guide shall be responsible for deciding if the Guide shall be withdrawn. The formal withdrawal shall be ratified by the technical management board (TMB) in accordance with its normal procedures.

## Annex B (normative)

### ISO/IEC procedures for liaison and work allocation

#### B.1 Introduction

By the ISO/IEC Agreement of 1976<sup>1</sup>, ISO and IEC together form a system for international standardization as a whole. For this system to operate efficiently, the following procedures are agreed for coordination and allocation of work between the technical committees and subcommittees of both organizations.

#### B.2 General considerations

The allocation of work between ISO and IEC is based on the agreed principle that all questions relating to international standardization in the electrical and electronic engineering fields are reserved to IEC, the other fields being reserved to ISO and that allocation of responsibility for matters of international standardization where the relative contribution of electrical and non-electrical technologies is not immediately evident will be settled by mutual agreement between the organizations.

Questions of coordination and work allocation may arise when establishing a new ISO or IEC technical committee, or as a result of the activities of an existing technical committee.

The following levels of coordination and work allocation agreement are available. Matters should be raised at the next higher level only after all attempts to resolve them at the lower levels have failed.

- a) **Formal liaisons** between ISO and IEC committees for normal inter-committee cooperation.
- b) **Organizational consultations**, including technical experts and representatives of the Chief Executive Officers, for cases where technical coordination may have an effect on the future activities of the organizations in a larger sense than the point under consideration.
- c) Decisions on work allocation
  - by the technical management boards or, if necessary,
  - the ISO/IEC Joint Technical Advisory Board (JTAB).

Questions affecting both ISO and IEC, on which it has not proved possible to obtain a common decision by the ISO Technical Management Board and the IEC Standardization Management Board, are referred to the ISO/IEC Joint Technical Advisory Board (JTAB) for decision (see 1.3.1).

#### B.3 Establishing new technical committees

Whenever a proposal to establish a new technical committee is made to the National Bodies of ISO or of IEC respectively, the proposal shall also be submitted to the other organization requesting comment and/or agreement. As a result of these consultations, two cases may arise:

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<sup>1</sup> ISO Council resolutions 49/1976 and 50/1976 and IEC Administrative Circular No. 13/1977.

- a) the opinion is unanimous that the work should be carried out in one of the organizations;
- b) opinions are divided.

In case a), formal action may then be taken to establish the new technical committee according to the unanimous opinion.

In case b), a meeting of experts in the field concerned shall be arranged with representatives of the Chief Executive Officers with a view to reaching a satisfactory agreement for allocation of the work (i.e., organizational level). If agreement is reached at this level, formal action may be taken by the appropriate organization to implement the agreement.

In the case of disagreement after these consultations, the matter may be referred by either organization to the ISO/IEC Joint Technical Advisory Board (JTAB).

## **B.4 Coordinating and allocating work between ISO and IEC technical committees**

### **B.4.1 Formal liaison at TC level**

Most coordination needs arising between individual ISO and IEC committees are successfully dealt with through formal technical liaison arrangements. These arrangements, when requested by either organization, shall be honoured by the other organization. Requests for formal liaison arrangements are controlled by the offices of the CEOs. The requesting organization shall specify the type of liaison required, such as:

- a) full or selective exchange of committee documents;
- b) regular or selective attendance of liaison representatives at meetings;
- c) participation in a standing coordination (or steering) committee for selected ISO and IEC technical committees;
- d) setting up of a Joint Working Group (JWG).

### **B.4.2 Details of agreement**

**B.4.2.1** Continual efforts shall be made to minimize the overlap areas between IEC and ISO by entrusting areas of work to one of the two organizations.

For areas of work so entrusted, IEC and ISO shall agree through the JTAB on how the views and interests of the other organization are to be fully taken into account.

**B.4.2.2** Five working modes of cooperation have been established, as follows:

#### **Mode 1 – Informative relation**

One organization is fully entrusted with a specific work area and keeps the other fully informed of all progress.

### **Mode 2 – Contributive relation**

One organization should take the lead of the work and the other should make written contributions where considered appropriate during the progress of this work. This relation also includes the exchange of full information.

### **Mode 3 – Subcontracting relation**

One organization is fully entrusted with the realization of the work on an identified item, but due to specialization of the other, a part of the work is subcontracted and that part is prepared under the responsibility of the second organization. Necessary arrangements shall be made to guarantee the correct integration of the resulting subcontracted work into the main part of the programme. To this end, the enquiry and approval stages are handled by the organization being the main contractor for the standardization task.

### **Mode 4 – Collaborative relation**

One organization takes the lead in the activities, but the work sessions and meetings receive liaison representatives from the other. Such liaison representatives should have the right to intervene in the debate but have no right to vote. The full flow of information is oriented through this liaison.

### **Mode 5 – Integrated liaison**

Joint Working Groups and Joint Technical Committees ensure integrated meetings for handling together the realization of standards under a principle of total equality of participation.

Joint Working Groups between technical committees of the two organizations shall operate in accordance with 1.12.6.

**B.4.2.3** The allocation of work between IEC and ISO for potentially overlapping areas will be set out as required in schedules or programmes which, when agreed by the relevant parties, will form addenda to this agreement.

A consequence of this agreement is that the parties agree to cross-refer to the relevant standards of the other in the respective competent fields of interest.

When the standard being referred to is updated, it is the responsibility of the body making the reference to take care of the updating of the reference where appropriate.

**B.4.2.4** For work for which one organization has assumed responsibility and for which there will be subcontracting of work to the other, the fullest account shall be taken of the interests participating in the subcontracted work in defining the objectives of that work.

**B.4.2.5** The necessary procedures for enquiry and approval shall be realized by the organization entrusted with a particular standardization task, except as otherwise agreed by the two technical management boards.

**B.4.2.6** For standards developed under the Mode 5 – Integrated liaison, the committee, enquiry and approval stages shall be carried out in parallel in both ISO and IEC in accordance with the rules of the organization with the administrative lead. The committee/ organization with the administrative responsibility for the project shall submit drafts for the committee, enquiry and approval stages to the other organization two weeks prior to the circulation date.

**B.4.2.7** When the enquiry draft has not fulfilled the approval criteria (see 2.6.3) in one of the organizations, then:

- the officers of the committees involved in the joint working group may select one of options given in 2.6.4 c) or
- in exceptional circumstances, if agreed between the officers of the ISO and IEC committees involved in the joint working group and the offices of the CEO, the project may proceed as a single logo standard of the organization in which the enquiry draft was approved. The joint working group is automatically disbanded.

**B.4.2.8** If the final draft International Standard is not approved in accordance of the conditions in 2.7.3 then:

- the committees involved in the joint working group may select one of the options given in 2.7.7, noting that in IEC the circulation of a second final draft International Standard is not allowed and will require a derogation of the TMB or
- in exceptional circumstances, if agreed between the officers of the ISO and IEC committees involved in the joint working group and the offices of the CEO, the standard may be published as a single logo standard of the organization in which the final draft International Standard was approved. The joint working group is automatically disbanded.

**B.4.2.9** Standards developed under the Mode 5 – Integrated liaison via a joint working group between ISO and IEC are published by the organization of the committee having administrative responsibility. That organization assigns the reference number of the standard and owns the copyright of the standard. The standard carries the logo of the other organization and may be sold by both organizations. The foreword of the International Standard will identify all the committees responsible for the development. For those standards where the committee with the administrative responsibility is in the IEC, then the foreword will also give the ISO voting results. ISO-lead documents are assigned numbers from 1 to 59999, IEC-lead documents are assigned numbers from 60000 to 79999. In the case of multi-part standards, some parts being under ISO responsibility and some being under IEC responsibility, a number in the 80000 series is assigned (e.g. ISO 80000-1, IEC 80000-6).

**B.4.2.10** The maintenance procedures to be used for standards developed under the Mode 5 – Integrated liaison will be those currently applied in the organization which has the committee with the administrative responsibility.

**B.4.2.11** If there is a reason, during the development of the project, to change from one mode of operation to another, a recommendation shall be made by both technical committees concerned and submitted to the two technical management boards for information.

### **B.4.3 Cooperation of secretariats**

The secretariats of the technical committees/subcommittees from the two organizations concerned shall cooperate on the implementation of this agreement. There shall be a complete information flow on on-going work and availability on demand to each other of working documents, in accordance with normal procedures.

## Annex C (normative)

### Justification of proposals for the establishment of standards

#### C.1 General

**C.1.1** Because of the large financial resources and manpower involved and the necessity to allocate these according to the needs, it is important that any standardization activity begin by identifying the needs, determining the aims of the standard(s) to be prepared and the interests that may be affected. This will, moreover, help to ensure that the standards produced will cover appropriately the aspects required and be market relevant for the affected sectors. Any new activity shall therefore be reasonably justified before it is begun.

**C.1.2** It is understood that, whatever conclusions may be drawn on the basis of the annex, a prerequisite of any new work to be commenced would be a clear indication of the readiness of a sufficient number of relevant interested parties to allocate necessary manpower, funds and to take an active part in the work.

**C.1.3** This annex sets out rules for proposing and justifying new work, so that proposals will offer to others the clearest possible idea of the purposes and extent of the work, in order to ensure that standardization resources are really allocated by the parties concerned and are used to the best effect.

**C.1.4** This annex does not contain rules of procedure for implementing and monitoring the guidelines contained in it, nor does it deal with the administrative mechanism which should be established to this effect.

**C.1.5** This annex is addressed primarily to the proposer of any kind of new work to be started but may serve as a tool for those who will analyse such a proposal or comment on it, as well as for the body responsible for taking a decision on the proposal.

#### C.2 Terms and definitions

##### C.2.1

##### **proposal for new work**

proposal for a new field of technical activity or for a new work item

##### C.2.2

##### **proposal for a new field of technical activity**

proposal for the preparation of (a) standard(s) in a field that is not covered by an existing committee (such as a technical committee, subcommittee or project committee) of the organization to which the proposal is made

##### C.2.3

##### **proposal for a new work item**

proposal for the preparation of a standard or a series of related standards in the field covered by an existing committee (such as a technical committee) of the organization to which the proposal is made

### C.3 General principles

**C.3.1** Any proposal for new work shall lie within the scope of the organization to which it is submitted.

NOTE For example, the objects of ISO are laid down in its Statutes and of IEC in Article 2 of its Statutes.

**C.3.2** The documentation justifying new work in ISO and IEC shall make a substantial case for the market relevance of the proposal.

**C.3.3** The documentation justifying new work in ISO and IEC shall provide solid information as a foundation for informed ISO or IEC National Body voting.

**C.3.4** Within the ISO and IEC systems, the onus is considered to be placed on the proposer to provide the proper documentation to support principles C.3.2 and C.3.3 stated above.

### C.4 Elements to be clarified when proposing a new field of technical activity or a new work item

**C.4.1** Proposals for new fields of technical activity and new work items shall include the following fields of information (C.4.2 to C.4.13)

#### C.4.2 Title

The title shall indicate clearly yet concisely the new field of technical activity or the new work item which the proposal is intended to cover.

EXAMPLE 1 (proposal for a new technical activity) "Machine tools".

EXAMPLE 2 (proposal for a new work item) "Electrotechnical products – Basic environmental testing procedures".

#### C.4.3 Scope

In JTC 1, additional factors such as cultural and linguistic adaptability and accessibility are to be considered.

##### C.4.3.1 For new fields of technical activity

The scope shall precisely define the limits of the field of activity. Scopes shall not repeat general aims and principles governing the work of the organization but shall indicate the specific area concerned.

EXAMPLE "Standardization of all machine tools for the working of metal, wood and plastics, operating by removal of material or by pressure".

##### C.4.3.2 For new work items

The scope shall give a clear indication of the coverage of the proposed new work item and, if necessary for clarity, exclusions shall be stated.

EXAMPLE 1

This standard lists a series of environmental test procedures, and their severities, designed to assess the ability of electrotechnical products to perform under expected conditions of service.

Although primarily intended for such applications, this standard may be used in other fields where desired.

Other environmental tests, specific to the individual types of specimen, may be included in the relevant specifications.

EXAMPLE 2

Standardization in the field of fisheries and aquaculture, including, but not limited to, terminology, technical specifications for equipment and for their operation, characterization of aquaculture sites and maintenance of appropriate physical, chemical and biological conditions, environmental monitoring, data reporting, traceability and waste disposal.

Excluded:

- methods of analysis of food products (covered by ISO/TC 34);
- personal protective clothing (covered by ISO/TC 94);
- environmental monitoring (covered by ISO/TC 207).

#### **C.4.4 Programme of work (for proposals for new fields of technical activity only)**

In JTC 1, a programme of work is established and maintained within the overall business plan.

**C.4.4.1** The proposed programme of work shall correspond to and clearly reflect the aims of the standardization activities and shall, therefore, show the relationship between the subjects proposed.

**C.4.4.2** Each item on the programme of work shall be defined by both the subject and aspect(s) to be standardized (for products, for example, the items would be the types of products, characteristics, other requirements, data to be supplied, test methods, etc.).

**C.4.4.3** Supplementary justification may be combined with particular items in the programme of work.

**C.4.4.4** The proposed programme of work shall also suggest priorities and target dates for new work items (when a series of standards is proposed, priorities shall be suggested).

#### **C.4.5 Indication(s) of the preferred type or types of deliverable(s) to be produced**

In the case of proposals for new fields of technical activity, this may be provided under C.4.4.

#### **C.4.6 A listing of relevant existing documents at the international, regional and national levels**

Any known relevant documents (such as standards and regulations) shall be listed, regardless of their source and should be accompanied by an indication of their significance.

#### **C.4.7 Relation to and impact on existing work**

**C.4.7.1** A statement shall be provided regarding any relation or impact the proposed work may have on existing work, especially existing ISO and IEC deliverables. The proposer should explain how the work differs from apparently similar work, or explain how duplication and conflict will be minimized.



**C.4.7.2** If seemingly similar or related work is already in the scope of other committees of the organization or in other organizations, the proposed scope shall distinguish between the proposed work and the other work.

**C.4.7.3** The proposer shall indicate whether his or her proposal could be dealt with by widening the scope of an existing committee or by establishing a new committee.

#### **C.4.8 Relevant country participation**

**C.4.8.1** For proposals for new fields of technical activity, a listing of relevant countries should be provided where the subject of the proposal is important to their national commercial interests.

**C.4.8.2** For proposals for new work item within existing committees, a listing of relevant countries should be provided which are not already P-members of the committee, but for whom the subject of the proposal is important to their national commercial interests.

#### **C.4.9 Cooperation and liaison**

**C.4.9.1** A list of relevant external international organizations or internal parties (other than ISO and/or IEC committees) to be engaged as liaisons in the development of the deliverable(s) shall be provided.

**C.4.9.2** In order to avoid conflict with, or duplication of efforts of, other bodies, it is important to indicate all points of possible conflict or overlap.

**C.4.9.3** The result of any communication with other interested bodies shall also be included.

#### **C.4.10 Affected stakeholders**

A simple and concise statement shall be provided identifying and describing relevant affected stakeholder categories (including small and medium sized enterprises) and how they will each benefit from or be impacted by the proposed deliverable(s).

#### **C.4.11 Base document (for proposals for new work items only)**

**C.4.11.1** When the proposer considers that an existing well-established document may be acceptable as a standard (with or without amendments) this shall be indicated with appropriate justification and a copy attached to the proposal.

**C.4.11.2** All proposals for new work items shall include an attached existing document to serve as an initial basis for the ISO or IEC deliverable or a proposed outline or table of contents.

**C.4.11.3** If an existing document is attached that is copyrighted or includes copyrighted content, the proposer shall ensure that appropriate permissions have been granted in writing for ISO or IEC to use that copyrighted content.

#### **C.4.12 Leadership commitment**

**C.4.12.1** In the case of a proposal for a new field of technical activity, the proposer shall indicate whether his/her organization is prepared to undertake the secretariat work required.

**C.4.12.2** In the case of a proposal for new work item, the proposer shall also nominate a project leader.

### C.4.13 Purpose and justification

**C.4.13.1** The purpose and justification of the standard to be prepared shall be made clear and the need for standardization of each aspect (such as characteristics) to be included in the standard shall be justified.

**C.4.13.2** If a series of new work items is proposed the purpose and the justification of which is common, a common proposal may be drafted including all elements to be clarified and enumerating the titles and scopes of each individual item.

**C.4.13.3** Please note that the items listed in the bullet points below represent a menu of suggestions or ideas for possible documentation to support the purpose and justification of proposals. Proposers should consider these suggestions, but they are not limited to them, nor are they required to comply strictly with them. What is most important is that proposers develop and provide purpose and justification information that is most relevant to their proposals and that makes a substantial business case for the market relevance and need of their proposals. Thorough, well-developed and robust purpose and justification documentation will lead to more informed consideration of proposals and ultimately their possible success in the ISO and IEC systems.

- A simple and concise statement describing the business, technological, societal or environmental issue that the proposal seeks to address, preferably linked to the Strategic Business Plan of the concerned ISO or IEC committee.
- Documentation on relevant global metrics that demonstrate the extent or magnitude of the economic, technological, societal or environmental issue, or the new market. This may include an estimate of the potential sales of the resulting standard(s) as an indicator of potential usage and global relevance.
- Technological benefit – a simple and concise statement describing the technological impact of the proposal to support coherence in systems and emerging technologies, convergence of merging technologies, interoperability, resolution of competing technologies, future innovation, etc.
- Economic benefit – a simple and concise statement describing the potential of the proposal to remove barriers to trade, improve international market access, support public procurement, improve business efficiency for a broad range of enterprises including small and medium sized ones, and/or result in a flexible, cost-effective means of complying with international and regional rules/conventions, etc. A simple cost/benefit analysis relating the cost of producing the deliverable(s) to the expected economic benefit to businesses worldwide may also be helpful.
- Societal benefit(s) – a simple and concise statement describing any societal benefits expected from the proposed deliverable(s).
- Environmental benefit(s) – a simple and concise statement describing any environmental or wider sustainability benefits expected from the proposed deliverable(s).
- A simple and concise statement clearly describing the intended use(s) of the proposed deliverable(s), for example, whether the deliverable is intended as requirements to support conformity assessment or only as guidance or recommended best practices; whether the deliverable is a management system standard; whether the deliverable is intended for use or reference in technical regulation; whether the deliverable is intended to be used to support legal cases in relation to international treaties and agreements.

- A simple and concise statement of metrics for the committee to track in order to assess the impact of the published standard over time to achieve the benefits to stakeholders documented under C.4.10 above.
- A statement assessing the prospect of the resulting deliverable(s) being compliant with, for the IEC, the IEC Global Relevance Policy: [http://www.iec.ch/members\\_experts/refdocs/ac cl/AC 200817e AC.pdf](http://www.iec.ch/members_experts/refdocs/ac cl/AC 200817e AC.pdf) and for ISO, with ISO's Global Relevance Policy [http://www.iso.org/iso/standards\\_development/governance\\_of\\_technical\\_work/global\\_relevance\\_policy.htm](http://www.iso.org/iso/standards_development/governance_of_technical_work/global_relevance_policy.htm) and the ISO/TMB recommendations (see NOTE below) regarding sustainable development and sustainability, where relevant.

NOTE For ISO, the ISO/TMB confirmed the following recommendations: 1) When a committee (in any sector) develops a standard dealing with sustainability/sustainable development the standard must remain within the context of the committee's scope of work; 2) The committee should also notify the TMB with the title and scope as early as possible; 3) The committee undertaking such work should clarify its intentions in the Introduction of the specific standard(s); 4) The most widely used definition of sustainable development is the one from the UN Brundtland committee on sustainable development: development that meets the needs of the present without compromising the ability of future generations to meet their own needs.

- A statement assessing the proposal's compliance with the Principles for developing ISO and IEC Standards related to or supporting public policy initiatives (for ISO see Annex SO in the Consolidated ISO Supplement and for IEC and ISO see [Using and referencing ISO and IEC standards for technical regulations: http://www.iso.org/iso/standards\\_for\\_technical\\_regulations.pdf](http://www.iso.org/iso/standards_for_technical_regulations.pdf)) and the possible relation of the resulting deliverable(s) to public policy, including a statement regarding the potential for easier market access due to conformity with appropriate legislation.

## **Annex D (normative)**

### **Resources of secretariats and qualifications of secretaries**

#### **D.1 Terms and definitions**

##### **D.1.1**

##### **secretariat**

National Body to which has been assigned, by mutual agreement, the responsibility for providing technical and administrative services to a technical committee or subcommittee

##### **D.1.2**

##### **secretary**

individual appointed by the secretariat to manage the technical and administrative services provided

#### **D.2 Resources of a secretariat**

A National Body to which a secretariat has been assigned shall recognize that, no matter what arrangements it makes in its country to provide the required services, it is the National Body itself that is ultimately responsible for the proper functioning of the secretariat. National bodies undertaking secretariat functions shall become party to the ISO Service Agreement or IEC Basic Agreement, as appropriate.

The secretariat shall therefore have adequate administrative and financial means or backing to ensure:

- a) facilities for word-processing in English and/or French, for providing texts electronically, and for any necessary reproduction of documents; In JTC 1, facilities for word-processing in English, for providing texts in machine-readable-form, and for any necessary reproduction of documents;
- b) preparation of adequate technical illustrations;
- c) identification and use, with translation where necessary, of documents received in the official languages;
- d) updating and continuous supervision of the structure of the committee and its subsidiary bodies, if any;
- e) reception and prompt dispatch of correspondence and documents;
- f) adequate communication facilities by telephone, telefax and electronic mail;
- g) access to the Internet;
- h) arrangements and facilities for translation, interpretation and services during meetings, in collaboration with the host National Body, as required; In JTC 1, arrangements and facilities for translation, interpretation, and services are not required except as specified in 4.3;

- i) attendance of the secretary at any meetings requiring his/her presence, including technical committee and/or subcommittee meetings, editing committee meetings, working group meetings, and consultations with the chair when necessary;
- j) access by the secretary to basic International Standards (see the ISO/IEC Directives, Part 2, on Referencing Documents and sources for drafting) and to International Standards, national standards and/or related documents in the field under consideration;
- k) access by the secretary, when necessary, to experts capable of advising on technical issues in the field of the committee;
- l) In JTC 1, the ability to fulfil the secretariat's electronic document distribution responsibilities as defined in the JTC 1 Standing Document 23, Access Control to JTC 1 Documents: open and restricted access.

Whilst the Chief Executive Officer endeavours to send his/her representative to the first meeting of a technical committee, to meetings of technical committees with new secretariats, and to any technical committee or subcommittee meeting where such presence is desirable for solving problems, the office of the CEO cannot undertake to carry out the work for a secretariat, on a permanent or temporary basis.

### D.3 Requirements of a secretary

The individual appointed as secretary shall

- a) have sufficient knowledge of English and/or French; In JTC 1, have sufficient knowledge of English;
- b) be familiar with the *Statutes and rules of procedure*, as appropriate, and with the ISO/IEC Directives (see the respective Supplements to the ISO/IEC Directives); In JTC 1, also be familiar with the *Consolidated JTC 1 Supplement* and the JTC 1 Standing Documents and JTC 1 resolutions;
- c) be in a position to advise the committee and any subsidiary bodies on any point of procedure or drafting, after consultation with the office of the CEO if necessary;
- d) be aware of any council board or technical management board decision regarding the activities of the technical committees in general and of the committee for which s/he is responsible in particular;
- e) be a good organizer and have training in and ability for technical and administrative work, in order to organize and conduct the work of the committee and to promote active participation on the part of committee members and subsidiary bodies, if any;
- f) be familiar with the documentation supplied by the offices of CEO, in particular the use of electronic tools and services.

It is recommended that newly appointed secretaries of technical committees should make an early visit to the office of the CEO in Geneva in order to discuss procedures and working methods with the staff concerned.

## **Annex E (normative)**

### **General policy on the use of languages**

#### **E.1 Expressing and communicating ideas in an international environment**

At the international level, it is common practice to publish deliverables in at least two languages. There are a number of reasons why it is advantageous to use two languages, for example:

- greater clarity and accuracy of meaning can be achieved by expressing a given concept in two languages which have different grammar and syntax;
- if consensus is reached on the basis of a text drafted in only one language, difficulties may arise when it comes to putting that text into another language. Some questions may have to be rediscussed, and this can cause delay if the text originally agreed upon has to be altered. Subsequent drafting into a second language of a text already approved in the first language often brings to light difficulties of expression that could have been avoided if both versions had been prepared at the same time and then amended together;
- to ensure that international meetings will be as productive as possible, it is important for the agreements reached to be utterly devoid of ambiguity, and there has to be no risk that these agreements can be called back into question because of misunderstandings of a linguistic nature;
- the use of two languages chosen from two linguistic groups widens the number of prospective delegates who might be appointed to attend the meetings;
- it becomes easier to express a concept properly in other languages if there are already two perfectly harmonized versions.

#### **E.2 The use of languages in the technical work**

The official languages are English, French and Russian.

The work of the technical committees and the correspondence are in English by default.

For the purposes of the above, the National Body for the Russian Federation provides all interpretation and translation into and from the Russian language.

In IEC, a definitive language of development for each deliverable shall be designated in the Foreword. Specific exceptions apply to the IEC and/or database standards.

#### **E.3 International Standards**

International Standards are published by the ISO and IEC in English and in French (and sometimes in multilingual editions also including Russian and other languages, especially in cases of terminology). These versions of a given International Standard are equivalent, and each is regarded as being an original-language version.

It is advantageous for the technical content of a standard to be expressed in both English and French from the outset of the drafting procedure, so that these two versions will be studied, amended and adopted at the same time and their linguistic equivalence will be ensured at all times. (See also the ISO/IEC Directives, Part 2, clause on “Language versions”)

This may be done

- by the secretariat or, under the latter's responsibility, with outside assistance, or
- by the editing committee of the responsible technical committee or subcommittee, or
- by National Bodies whose national language is English or French and under an agreement concluded between those National Bodies and the secretariat concerned.

When it is decided to publish a multilingual International Standard (a vocabulary, for example), the National Body for the Russian Federation takes charge of the Russian portion of the text; similarly, when it is decided to publish an International Standard containing terms or material in languages other than the official languages, the National Bodies whose national languages are involved are responsible for selecting the terms or for drafting the portions of text which are to be in those languages.

#### **E.4 Other publications developed by technical committees**

Other publications may be issued in one official language only.

#### **E.5 Documents for technical committee and subcommittee meetings**

##### **E.5.1 Drafts and documents referred to the agenda**

The documents prepared and circulated prior to a meeting are the following.

###### **a) Draft agendas**

Draft agendas are prepared and distributed in the language(s) of the meeting (English by default) by the responsible secretariats b) Committee drafts referred to in the agenda

It is desirable that versions of committee drafts referred to in the agenda will be available for the meeting in the language(s) of the meeting (English by default).

Enquiry drafts shall be available in English and French. The ISO Council or IEC Standardization Management Board guidelines shall be applied where one of the language versions is not available in due time.

Other documents (sundry proposals, comments, etc.) relating to agenda items may be prepared in only one language (English or French).

##### **E.5.2 Documents prepared and circulated during a meeting**

The documents prepared and circulated during a meeting are the following.

**a) Resolutions adopted during the meeting**

An ad hoc drafting committee, formed at the beginning of each meeting and comprising the secretary and, whenever possible, one or more delegates of English and/or French mother tongue, edits each of the proposed resolutions.

**b) Brief minutes, if any, prepared after each session**

If such minutes are prepared, they shall be drafted in English or French and preferably in both with, if necessary, the assistance of the ad hoc drafting committee.

**E.5.3 Documents prepared and circulated after a meeting**

After each technical committee or subcommittee meeting, the secretariat concerned shall draft a report of the meeting, which may be in only one language (English or French) and which includes, as annex, the full text of the resolutions adopted, preferably in both English and French.

**E.6 Documents prepared in languages other than English or French**

National bodies whose national language is neither English nor French may translate any documents circulated by secretariats into their own national language in order to facilitate the study of those documents by the experts of their country or to assist the delegates they have appointed to attend the meetings of the technical committees and subcommittees.

If one language is common to two or more National Bodies, one of them may at any time take the initiative of translating technical documents into that language and of providing copies to other National Bodies in the same linguistic group.

The terms of the above two paragraphs may be applied by the secretariats for their own needs.

**E.7 Technical meetings**

**E.7.1 Purpose**

The purpose of technical meetings is to achieve as full agreement as possible on the various agenda items and every effort shall be made to ensure that all delegates understand one another.

**E.7.2 Interpretation of debates into English and French**

Although the basic documents may be available in both English and French, it has to be determined according to the case whether interpretation of statements expressed in one language should be given in the other language

- by a volunteer delegate,
- by a staff member from the secretariat or host National Body, or
- by an adequately qualified interpreter. In JTC 1, the interpretation of debates into English and French is not applicable, except as specified in 4.3.

Care should also be taken that delegates who have neither English nor French as mother tongue can follow the meeting to a sufficient extent.



It is impractical to specify rules concerning the necessity of interpreting the debates at technical meetings. It is essential, of course that all delegates should be able to follow the discussions, but it may not be altogether essential to have a word-for-word interpretation of each statement made.

In view of the foregoing, and except in special cases where interpretation may not be necessary, the following practice is considered appropriate:

- a) for meetings where procedural decisions are expected to be taken, brief interpretation may be provided by a member of the secretariat or a volunteer delegate;
- b) at working group meetings, the members should, whenever possible, arrange between themselves for any necessary interpretation on the initiative and under the authority of the convenor of the working group.

To enable the secretariat responsible for a meeting to make any necessary arrangements for interpretation, the secretariat should be informed, at the same time as it is notified of attendance at the meeting, of the languages in which the delegates are able to express themselves and of any aid which delegates might be able to provide in the matter of interpretation.

In those cases where a meeting is conducted mainly in one language, the following practice should be adopted as far as is practicable in order to assist delegates having the other language:

- a) the decision taken on one subject should be announced in both languages before passing to the next subject;
- b) whenever a change to an existing text is approved in one language, time should be allowed for delegates to consider the effect of this change on the other language version;
- c) a summary of what has been said should be provided in the other language if a delegate so requests.

### **E.7.3 Interpretation into English and French of statements made in other languages**

When at a meeting of a technical committee or a subcommittee a participant wishes, in view of exceptional circumstances, to speak in any language other than English or French, the chair of the session shall be entitled to authorize this, for the session in question, provided that a means of interpretation has been secured.

In order to give all experts an equal opportunity to express their views at meetings of technical committees and subcommittees, a very flexible application of this provision is recommended.

## Annex F(normative)

### Options for development of a project

#### F.1 Simplified diagram of options

Project stage	Normal procedure	Draft submitted with proposal	“Fast-track procedure” <sup>1)</sup>	Technical Specification <sup>2)</sup>	Technical Report <sup>3)</sup>	Publicly Available Specification <sup>4)</sup>
Proposal stage (see 2.3)	Acceptance of proposal	Acceptance of proposal	Acceptance of proposal <sup>1)</sup>	Acceptance of proposal		Acceptance of proposal <sup>7)</sup>
Preparatory stage (see 2.4)	Preparation of working draft	<i>Study by working group<sup>5)</sup></i>		Preparation of draft		Approval of draft PAS
Committee stage (see 2.5)	Development and acceptance of committee draft	<i>Development and acceptance of committee draft<sup>5)</sup></i>		Acceptance of draft	Acceptance of draft	
Enquiry stage (see 2.6)	Development and acceptance of enquiry draft	Development and acceptance of enquiry draft	Acceptance of enquiry draft			
Approval stage (see 2.7)	<i>Approval of FDIS<sup>6)</sup></i>	<i>Approval of FDIS<sup>6)</sup></i>	<i>Approval of FDIS<sup>6)</sup></i>			
Publication stage (see 2.8)	Publication of International Standard	Publication of International Standard	Publication of International Standard	Publication of Technical Specification	Publication of Technical Report	Publication of PAS
<p>Stages in <i>italics</i>, enclosed by dotted circles may be omitted.</p> <p>1) See F.2.                  2) See 3.1.                  3) See 3.3.                  4) See 3.2.                  5) According to the result of the vote on the new work item proposal, both the preparatory stage and the committee stage may be omitted.                  6) May be omitted if the enquiry draft was approved without negative votes.                  7) See ISO and IEC Supplements for details on proposals for PAS.</p>						

In JTC 1, the following table is used

## ISO/IEC Directives, Part 1 – Consolidated JTC 1 Supplement 2019

Stage Name	Stage Description	Standard (see 2)	Fast Track IS (see F.2)	JTC 1 Publicly Available Specification (See F.3)	Technical Specification (see 3.1)	Technical Report (see 3.3)	Amendments (see 2.10.3)	Technical Corrigendum (see 2.10.2)
00 Preliminary stage (see 2.2)	Preparation of proposal	Preparation of NP			Preparation of NP		Preparation of NP	
10 Proposal Stage (see 2.3)	Acceptance of proposal	Acceptance of NP			Acceptance of NP		Acceptance of NP	
20 Preparatory stage (see 2.4)	Preparation of working draft	Preparation of WD			Preparation of WD		Preparation of WD	Preparation of Defect Report (DR)
30 Committee Stage (see 2.5)	Development and acceptance of committee draft	Development and acceptance of CD			Development and acceptance of DTS	Development and acceptance of DTR	Development and acceptance of CDAM	Development and acceptance of DCOR
40 Enquiry Stage (see 2.6 and in IEC, see IEC Supplement E.3.1)	Development and acceptance of enquiry draft	Development and acceptance of DIS	Submission and acceptance of DIS	Submission and acceptance of DIS			Development and acceptance of DAM	
50 Approval Stage (see 2.7)	Approval of final draft	Approval of FDIS	Approval of FDIS	Approval of FDIS			Approval of FDAM	
60 Publication Stage	Publication of document	Publication of IS	Publication of IS	Publication of IS	Publication of Technical Specification	Publication of Technical Report	Publication of Amendment	Publication of Technical Corrigendum

## F.2 “Fast-track procedure”

**F.2.1** Proposals to apply the fast-track procedure may be made as follows.

**F.2.1.1** In JTC 1, only JTC 1 P-members and JTC 1 Category A Liaison organizations may propose Fast-Track submissions.

Any P-member or Category A liaison organization of a concerned technical committee or subcommittee may propose that an **existing standard from any source** be submitted for vote as an enquiry draft. The proposer shall obtain the agreement of the originating organization before making a proposal. The criteria for proposing an existing standard for the fast-track procedure are a matter for each proposer to decide. In JTC 1, all fast-tracks are submitted to JTC 1, and the JTC1 secretariat submits them to the ITTF in accordance with F.4.1. The proposer of a fast-track document is encouraged to make a recommendation concerning the assignment of the document to a given subcommittee. The proposer of a fast-track document shall submit the name of an individual who has agreed to serve as project editor for the fast-track document. The proposer shall also submit an explanatory report similar to the PAS explanatory report (see F.3 below).

For its initial publication, the document is not required to be in ISO/IEC format, but can be published in its original format. The form of publication (e.g. reprint of original document or distribution of ISO/IEC cover page with reference) is to be determined by ITTF and the proposer as part of any publication agreements. However, subsequent revisions shall be in the format prescribed by the ISO/IEC Directives, Part 2.

In JTC 1, amendments to existing International Standards shall not be submitted via the fast-track procedure.

**F.2.1.2** An international standardizing body recognized by the ISO or IEC council board may propose that a **standard developed by that body** be submitted for vote as a final draft International Standard.

**F.2.1.3** An organization having entered into a formal technical agreement with ISO or IEC may propose, in agreement with the appropriate technical committee or subcommittee, that a **draft standard developed by that organization** be submitted for vote as an enquiry draft within that technical committee or subcommittee.

**F.2.2** The proposal shall be received by the Chief Executive Officer, who shall take the following actions:

- a) settle the copyright and/or trademark situation with the organization having originated the proposed document, so that it can be freely copied and distributed to National Bodies without restriction, and advise the organization that the ISO/IEC intellectual property policies shall apply to the proposed document, see in particular 2.13 and 2.14;
- b) for cases F.2.1.1 and F.2.1.3, assess in consultation with the relevant secretariats which technical committee/subcommittee is competent for the subject covered by the proposed document; where no technical committee exists competent to deal with the subject of the document in question, the Chief Executive Officer shall refer the proposal to the technical management board, which may request the Chief Executive Officer to submit the document to the enquiry stage and to establish an ad hoc group to deal with matters subsequently arising;
- c) ascertain that there is no evident contradiction with other International Standards;
- d) distribute the proposed document as an enquiry draft (F.2.1.1 and F.2.1.3) in accordance with 2.6.1, or as a final draft International Standard (case F.2.1.2) in accordance with 2.7.1, indicating (in cases

F.2.1.1 and F.2.1.3) the technical committee/subcommittee to the domain of which the proposed document belongs. In JTC 1, the subcommittee assignment recommendation and the name of the proposed project editor will also be distributed.

**F.2.3** The period for voting and the conditions for approval shall be as specified in 2.6 for an enquiry draft and 2.7 for a final draft International Standard. In the case where no technical committee is involved, the condition for approval of a final draft International Standard is that not more than one-quarter of the total number of votes cast are negative.

In JTC 1, separately from their votes on the technical content of a standard, JTC 1 National Bodies shall be given the opportunity to comment on the specific subcommittee assignment of the project. However, comments on subcommittee assignments shall not influence the vote on technical content. In cases where subcommittee assignment is in question or where the fast-track document does not appear appropriate for any existing subcommittee, the JTC 1 secretariat may perform the duties normally assigned to the subcommittee secretariat until the final subcommittee assignment is determined.

In JTC 1, the proposer of the fast-track document has the right to withdraw the fast-track document from the fast-track process at any point prior to publication.

**F.2.3.1** In JTC 1, a Ballot Resolution Meeting (see F.5 below) may be used to review the comments received on an enquiry draft (DIS) for fast-track ballots.

**F.2.4** If, for an enquiry draft, the conditions of approval are met, the draft standard shall progress to the approval stage (2.7). If not, the proposal has failed and any further action shall be decided upon by the technical committee/subcommittee to which the document was attributed in accordance with F.2.2 b). If, for a final draft International Standard, the conditions of approval are met, the document shall progress to the publication stage (2.8). If not, the proposal has failed and any further action shall be decided upon by the technical committee/subcommittee to which the FDIS was attributed in accordance with F.2.2 b), or by discussion between the originating organization and the office of the CEO if no technical committee was involved.

In JTC 1, the committee leadership can decide whether or not to skip the FDIS vote, and go straight to publication — see 2.6.4.

In JTC 1, on receipt of the results of the voting and any comments, the chair of the technical committee or subcommittee, in cooperation with its secretariat and the project editor, and in consultation with the office of the CEO, shall take one of the following courses of action:

- a) when the approval criteria of 2.6.3 are met, and no technical changes are to be included to proceed to publication (see 2.8).
- b) When the approval criteria of 2.6.3 are met, but technical changes are to be included, to register the enquiry draft, as modified, as a final draft international standard.
- c) when the approval criteria of 2.6.3 are not met;
  - 1) to circulate a revised enquiry draft for voting (see 2.6.1), or

**NOTE 2** A revised enquiry draft will be circulated for a voting period of 8 weeks, which may be extended up to 12 weeks at the request of one or more P-members of the committee concerned. In JTC 1, a revised enquiry draft circulation period may be extended up to 12 weeks.

- 2) to circulate a revised committee draft for comments, or

3) to discuss the enquiry draft and comments at the next meeting. A comment resolution meeting may be held by teleconference or using electronic means.

If the standard is published, its maintenance shall be handled by the technical committee/subcommittee to which the document was attributed in accordance with F.2.2 b), or, if no technical committee was involved, the approval procedure set out above shall be repeated if the originating organization decides that changes to the standard are required.

In JTC 1, the transposition and adoption process for a Fast-Track submission is described in F.4.

If the standard is published, its maintenance shall be handled by the technical committee/subcommittee to which the document was attributed in accordance with F.2.2 b), or, if no technical committee was involved, the approval procedure set out above shall be repeated if the originating organization decides that changes to the standard are required.

### **F.3 Preparation and Adoption of International Standards – JTC 1 PAS Transposition Process**

JTC 1 provides Standing Document 9 on “Guide to the Transposition of Publicly Available Specifications into International Standards”, for potential PAS candidates.

#### **F.3.1 Concepts**

The JTC 1 PAS transposition process is based on the following key concepts:

##### **Publicly Available Specification (PAS)**

A technical specification is called a Publicly Available Specification (PAS) if it meets certain criteria making it suitable for possible processing as an International Standard. These criteria (see F.3.3 below) have been established in order to ensure a high level of quality, consensus, and proper treatment of Intellectual Property Rights (IPR) related matters.

##### **PAS Mentor**

An individual appointed by JTC 1 to assist a PAS Originator and/or Recognized PAS Submitter in creating and processing their submission(s), and to provide on-going advice.

##### **PAS Originator**

Any organization that has developed and hence owns a PAS which it considers proposing for transposition into an International Standard is called the PAS originator. There are no fundamental restrictions as to what form the organization should have, but constitutional characteristics of the organization are supposed to reflect the openness of the organization and the PAS development process. See Standing Document 9 on “Guide to the Transposition of Publicly Available Specifications into International Standards”, for the appropriate template.

##### **Recognized PAS Submitter**

A PAS originator shall apply to JTC 1 for recognition as a submitter of PAS(s) for transposition. Once approved, the status of a Recognized PAS submitter will remain valid for an initial period of two years, with the possibility of further extension (see F.3.4.1 below).

##### **Explanatory Report**

The submission of the PAS shall be accompanied by an explanatory report generated by the PAS originator. This report provides all information necessary to support the submission. In particular, it shall contain statements as to the extent that the PAS criteria are met by the specification. It should also clearly define the technical concepts used in the PAS. JTC 1 has developed a list of criteria to include in the explanatory report.

### **PAS Transposition Ballot**

The PAS together with the corresponding explanatory report is submitted for ballot.

### **F.3.2 Applicability**

These procedures apply to the transposition of a PAS into an International Standard. It is expected that these procedures will be used to process a broader class of documents from a more diverse set of sources than is currently served by the fast-track procedure (see F.2 above).

### **F.3.3 PAS Criteria**

JTC 1 has established criteria that serve as a basis for the judgment as to whether a particular organization can be recognized and whether its specification can be accepted as a candidate for transposition into an International Standard. Such criteria may also be used by potential submitters to determine the level of suitability of their specification for the standardization process. The PAS criteria are broadly classified into two categories and address the following topics:

- Organization related criteria including:
  - Co-operative stance;
  - Characteristics of the organization;
  - Intellectual property rights.
  
- Document related criteria including:
  - Quality;
  - Consensus;
  - Alignment;
  - Maintenance.

Details can be found in the JTC 1 Standing Document 9 on “Guide to the Transposition of Publicly Available Specifications into International Standards”.

### **F.3.4 Procedures**

Based on the concepts provided in F.3.1 above, the PAS transposition process is described below. It is JTC 1’s firm intention to provide full process transparency and the current status of any proposal from its web site ([www.jtc1.org](http://www.jtc1.org)). Open dialogue (via the web site or any other available means) between the PAS Submitter and JTC 1 and JTC 1 National Bodies is strongly encouraged.

#### F.3.4.1 Recognition of PAS Submitter

A PAS originator interested in submitting an existing or forthcoming specification into the transposition process shall apply to the JTC 1 secretariat for recognition as a PAS submitter. Such application shall be accompanied by an identification of the initial PAS(s) which are planned to be submitted and by statements of the PAS originator regarding the organization related criteria (see below). The completed documentation shall be submitted to JTC 1 P-members 1 for a 12-week ballot. Approval as a Recognized PAS Submitter gives a PAS originator the right to submit specifications into the transposition process for a period of two years with the possibility of further extension of five year periods (see below). The recognition as a PAS submitter will terminate:

- In the absence of a successful ballot of JTC 1 P-members to confirm the status of the PAS submitter; or
- If the PAS originator fails to submit a specification to JTC 1 for transposition within the expected period (see F.3.4.2 below).

The initiative to submit an application for recognition shall come from a PAS Originator. Any JTC 1 National Body, a JTC 1 subcommittee, a JTC 1 Category A liaison, or a PAS Mentor may assist the PAS Originator in its interactions with JTC 1.

Since the ballot among JTC 1 P-members will take 12 weeks, the application for recognition should be submitted in time before the planned first submission of a PAS. While there are no particular requirements as to the format of the application, it should:

- Define the overall scope of the application;
- Identify the initial PAS(s) which are planned to be submitted, together with their scope;
- Address all mandatory elements of the organization acceptance criteria contained in the JTC 1 Standing Document 9 on “Guide to the Transposition of Publicly Available Specifications into International Standards”.

The PAS submitter’s expectation for maintenance of transposed PAS submissions is also stated in the application. JTC 1’s intention for maintenance is to avoid any divergence between the current JTC 1 revision of a transposed PAS and the current revision of the original specification published by the PAS submitter. Therefore, the application should contain a description of how the submitting organization will work cooperatively with JTC 1 on maintenance of the standard. While JTC 1 is responsible for maintenance of the standard, this does not mean that JTC 1 itself shall perform the maintenance function. JTC 1 may approve the option of maintenance handled by the submitter as long as there is provision for participation of appropriate JTC 1 representatives, i.e. the submitters’ group responsible for maintenance is designated as the JTC 1 maintenance group.

Six months prior to the expiration of an organization’s status as an approved JTC 1 PAS submitter, the JTC 1 secretariat shall invite the submitter to review its future intentions as a PAS submitter and consider the following options with regard to its initial application for recognition as a JTC 1 PAS submitter:

- Revise (significant changes to the initial application, e.g. changes in scope, procedures);
- Withdraw (termination); or



- Reaffirm (extend current status with no significant changes).

If the PAS submitter chooses to revise, it shall submit a document to the JTC 1 secretariat stating the changes to the answers to the questions in the JTC 1 Standing Document 9 “Guide for the Transposition of Publicly Available Specifications” from its previous application. If the PAS submitter chooses to reaffirm, it shall identify subsequent PAS(s) intended for submission. In order to allow JTC 1 a timely reaction to the revision or affirmation, the necessary documentation should be submitted not later than 12 weeks prior to the expiration of its status as a PAS submitter. The JTC 1 secretariat shall issue a 12-week letter ballot on the request for either a revision or reaffirmation. Failure to respond to the secretariat’s invitation for review of PAS submitter status will automatically result in termination of a PAS submitter’s status at the conclusion of this term.

#### **F.3.4.2 PAS Submission**

Once a PAS originator has been recognized, a PAS submission to the JTC 1 secretariat may occur within the scope as identified on the application. When submitting a PAS to the JTC 1 secretariat, a Recognized PAS Submitter shall include an explanatory report and a statement that the conditions for recognition have not changed or an indication of the nature of changes that have occurred. The explanatory report shall address all mandatory elements of the document related criteria contained in the JTC 1 Standing Document 9 “Guide to the Transposition of Publicly Available Specifications” into International Standards.

If the recognized PAS submitter has received approval to perform maintenance functions, the PAS submitter should reconfirm their commitment to perform the duties of the JTC1 maintenance group in the explanatory report.

All submissions including the explanatory report shall occur in electronic form.

The first submission shall occur not later than six months after the initial recognition. On request by the PAS originator not later than six weeks before the end of this six-month period, the period may be extended for another six months, subject to approval by the JTC 1 chair and secretariat. Failure by the PAS originator to submit a specification within the expected period will result in the termination of its recognition status.

The format of the specification submitted is not regulated by JTC 1. Recognized PAS submitters are encouraged to apply, if flexibility still exists, a documentation style close to the ISO/IEC style in order to ease the later alignment process at the time of any revision.

The JTC 1 secretariat, after checking the recognition status of the submitter and the completeness of the application, shall forward the specification to the ITTF in accordance with F.4.1.

In view of the importance of the explanatory report for a successful transposition, the Recognized PAS submitter may request counsel and advice from a JTC 1 PAS Mentor, JTC 1 National Bodies, subcommittees or Category A liaison organizations during the generation of this report and throughout the transposition process. The counselling process could include a review of the submissions.

If the Recognized PAS submitter will not perform maintenance functions on the final International Standard, the Recognized PAS submitter is encouraged to make a recommendation concerning the assignment of the document to a given subcommittee. This recommendation (or in its absence, the JTC 1 secretariat’s recommendation) shall be circulated to JTC 1 P-members together with the ballot, but the recommendation shall not influence the vote. In cases where the subcommittee assignment is in question or where the document does not appear appropriate for any existing subcommittee, the JTC 1 secretariat

should perform the duties normally assigned to the subcommittee secretariat until the final subcommittee assignment is determined.

In cases where the Recognized PAS submitter has received approval to perform maintenance functions, on the final International Standard, the ballot is assigned to the JTC 1 Secretariat and the JTC 1 Secretariat shall perform all duties indicated in F.4.

#### **F.4 Adoption of Submissions under the JTC 1 Fast-Track Procedure or JTC 1 PAS Transposition Process**

**F.4.1** The JTC 1 secretariat forwards the Fast-Track or PAS submission, together with the explanatory report and related documentation to ITTF.

**F.4.2** The ITTF shall take the following actions:

- Settle the copyright or trademark situation, or both, with the PAS or Fast-Track submitter, so that the proposed text can be copied and distributed within ISO/IEC without restriction;
- Assess in consultation with the JTC 1 secretariat that JTC 1 is the competent committee for the subject covered in the proposed standard and ascertain that there is no evident contradiction with other ISO/IEC standards.
- Distribute the text of the proposed standard as a Draft International Standard (DIS), together with the explanatory report and related documentation, indicating that the standard falls within the scope of JTC 1.

**F.4.3** The period for DIS voting shall be a 12-week ballot with a translation period of 8 weeks (see JA.6). In order to be accepted the DIS shall meet the conditions for approval as specified in 2.6.3. For JTC 1 Fast-Track and JTC 1 PAS, the “technical committee or subcommittee” of 2.6.3 a) is understood to be JTC 1.

**F.4.4** Upon receipt of notification from the ITTF that a DIS has been registered, the JTC 1 secretariat shall inform the secretariat of the subcommittee recommended for assignment of the project of the DIS number, title, and ballot period dates, and shall send the subcommittee secretariat a copy of the DIS and its attached explanatory report. The JTC 1 secretariat shall also inform the ITTF of the subcommittee that will deal with the DIS ballot results, in order that the table of replies and any comments accompanying the votes may be sent by ITTF directly to the SC secretariat as well as to the JTC 1 secretariat.

**F.4.5** Reflecting the importance of the Fast-Track process and the JTC 1 PAS Transposition Procedure, the JTC 1 secretariat shall also inform JTC 1 National Bodies and Liaison Organizations, and those organizations authorized to be Recognized PAS submitters, of the initiation of any Fast-Track or PAS ballot, the results of the ballot, and the identity of the JTC 1 subcommittee which will be responsible for any future work.

**F.4.6** The Fast-Track or PAS submitter shall receive a copy of the ballot documentation.

**F.4.7** Upon receipt of the notification from the JTC 1 secretariat that its subcommittee has been assigned the responsibility for dealing with the DIS, the subcommittee secretariat shall so inform the JTC 1 National Bodies that are members of the subcommittee, and shall make plans for a possible Ballot Resolution Meeting (see F.5 below).

**F.4.8** Upon receipt of the DIS ballot results, and any comments, the SC secretariat shall distribute this material to the subcommittee, JTC 1 National Bodies and the PAS or Fast-Track Submitter.

The committee leadership can decide whether or not to skip the FDIS vote, and go straight to publication — see 2.6.4.

On receipt of the results of the voting and any comments, the chair of the technical committee or subcommittee, in cooperation with its secretariat and the project editor, and in consultation with the office of the CEO, shall take one of the following courses of action:

- a) when the approval criteria of 2.6.3 are met, and no technical changes are to be included to proceed to publication (see 2.8).
- b) When the approval criteria of 2.6.3 are met, but technical changes are to be included, to register the enquiry draft, as modified, as a final draft international standard.
- c) when the approval criteria of 2.6.3 are not met;

1) to circulate a revised enquiry draft for voting (see 2.6.1), or

NOTE 2 A revised enquiry draft will be circulated for a voting period of 8 weeks, which may be extended up to 12 weeks at the request of one or more P-members of the committee concerned. In JTC 1, a revised enquiry draft circulation period may be extended up to 12 weeks.

2) to circulate a revised committee draft for comments, or

3) to discuss the enquiry draft and comments at the next meeting. A comment resolution meeting may be held by teleconference or using electronic means.

If comments others than editorial corrections and comments that cannot be accommodated by a textual change to the balloted document have been received, a Ballot Resolution Meeting (BRM) is conducted (see F.5).

**F.4.9** After the deliberations of a Ballot Resolution Meeting (if held following a successful DIS vote), the following cases may occur:

- a) No changes other than editorial corrections have been made to the original DIS text, proceed to publication;
- b) Changes other than editorial corrections have been agreed during the Ballot Resolution Meeting: in this case, the project editor shall prepare the amended DIS and send it to the committee secretariat who shall forward it to the ITTF for FDIS balloting. The ballot period for FDIS is 8 weeks.

**F.4.10** Upon receipt of notification from the ITTF that a FDIS has been registered, the JTC 1 secretariat shall inform the secretariat of the SC recommended for assignment of the project of the FDIS number, title, and ballot period dates, and shall send the subcommittee secretariat a copy of the FDIS and the disposition of comments received on the DIS ballot, if any are received. The table of replies and any comments accompanying the votes will be sent by ITTF directly to the subcommittee secretariat as well as to the JTC 1 secretariat.

**F.4.11** If the requirements of 2.7.3 are met, the text will be published by ITTF as an International Standard. For its initial publication, the document is not required to be in ISO/IEC format, but can be published in its original format. The form of publication (e.g. reprint of original document or distribution of ISO/IEC cover page with reference) is to be determined by ITTF and the PAS or Fast-Track submitter as part of any publication agreements. However, subsequent revisions shall be in the format prescribed by the ISO/IEC Directives, Part 2.

**F.4.12** If it is impossible to agree to text meeting the FDIS approval requirements (see 2.7.3), the proposal has failed. In this case, JTC 1 shall make known to the submitter the reasons which have led to the negative result. Based on this information, the submitter may choose to re-submit a modified specification as a new Fast-Track or PAS submission.

**F.4.13** The time period for post ballot activities by the respective responsible parties shall be as follows:

- immediately after the DIS and FDIS votes, the ITTF shall send the results of the vote to the JTC 1 secretariat and to the subcommittee secretariat, and the latter shall distribute the results without delay to JTC 1 National Bodies that are members of the subcommittee, to any National Bodies having voted that are not members of the subcommittee and to the proposer;
- as soon as possible after the distribution of the results of the vote to JTC 1 National Bodies that are members of the subcommittee, but in not less than two and one-half months the subcommittee secretariat shall convene a Ballot Resolution Meeting (BRM), if required;
- in not more than 4 weeks after the Ballot Resolution Meeting the subcommittee secretariat shall distribute the final report of the meeting and the amended DIS text.

**F.4.14** If the proposed standard is accepted, it will be published following ISO and IEC standing copyright and other IPR policy. Its maintenance will be handled either by JTC 1 or by a JTC 1 designated maintenance group of the PAS submitter in accordance with JTC 1 rules.

It is at the discretion of the PAS or Fast-Track submitter to withdraw the document from the transposition process at any point prior to publication. It is also the right of the PAS or Fast-Track submitter to request that the document remain unchanged throughout the transposition process. Such a request should be clearly stated in the explanatory report.

## **F.5 JTC 1 PAS and Fast-Track Ballot Resolution Meetings**

### **F.5.1 Ballot Resolution Meeting Purpose and Scope**

In JTC 1, the purpose of a Ballot Resolution Meeting (BRM) is to review the comments received on an enquiry draft (DIS) for JTC 1 PAS or Fast-Track ballots (see F.4); further it shall formulate dispositions to those comments to receive the widest possible consensus. In some cases, the subcommittee secretariat may decide that a Ballot Resolution Meeting is unnecessary and assign the resolution of comments directly to the project editor.

### **F.5.2 Responsibilities of the assigned subcommittee for the Ballot Resolution Meeting**

JTC 1 usually assigns an enquiry draft (DIS) to one of its subcommittees. Where the DIS is not assigned to a specific subcommittee, the JTC 1 secretariat will carry out the tasks assigned.

The assigned secretariat shall:

- schedule a Ballot Resolution Meeting, to be held not earlier than two and a half months after the distribution of the comments, to consider any comments on the DIS;
- appoint a convenor for the Ballot Resolution Meeting;
- notify the eligible attendees of the Ballot Resolution Meeting date(s), location, and convenor.

No later than 8 weeks before the start of the Ballot Resolution Meeting, the assigned secretariat shall send the logistical information and agenda together with the notification of the convenor to the JTC 1 secretariat for circulation to the recipients listed in F.5.4 below

### **F.5.3 Proposed dispositions of comments**

The project editor assigned to the DIS shall prepare the Proposed Disposition of Comments (DoC) on the ISO template (final column).

No later than 4 weeks before the start of the Ballot Resolution Meeting, the assigned secretariat shall circulate the proposed Disposition of Comments document to the listed recipients in F.5.4 below.

### **F.5.4 Recipients and eligible attendance**

The assigned secretariat shall make available the Proposed Disposition of Comments (DoC) via ITTF to the following who are eligible to attend or to nominate representatives to the Ballot Resolution Meeting:

- representatives of the National Bodies;
- representatives of the ISO and IEC Central Offices;
- the subcommittee chair;
- the subcommittee committee manager;
- the assigned project editor(s);
- the Ballot Resolution Meeting convenor;
- the Draft International Standard submitter; and
- JTC 1 Category A liaisons.

### **F.5.5 Meeting Procedures**

The Ballot Resolution Meeting shall be convened as a separate meeting even if held in conjunction with other meetings of JTC 1 or the relevant subcommittee. The BRM may be held by teleconference or using electronic means or face-to-face (see Standing Document 19 on “Meetings”).

The appointed convenor shall hold a roll-call.

The Ballot Resolution Meeting record shall list the Heads of Delegation (HoD), who represent their National Body positions, if needed in a vote, as well as all the other attendees and their roles.

The Ballot Resolution Meeting shall address and attempt as far as possible to resolve all comments raised during the Draft International Standard ballot to increase consensus on the resulting document.

For each of the comments, the project editor shall record the disposition on which the Ballot Resolution Meeting achieves consensus, or if that fails, the proposition that gets the majority support of those National Bodies that were present at the BRM and eligible to vote on the Draft International Standard ballot, in the final Disposition of Comments report.

When all DIS ballot comments have been addressed and the disposition of comments has been approved by the meeting, the Ballot Resolution Meeting goals have been met.

No longer than 4 weeks after the close of the meeting, or as permitted by ITTF, the subcommittee secretariat shall distribute

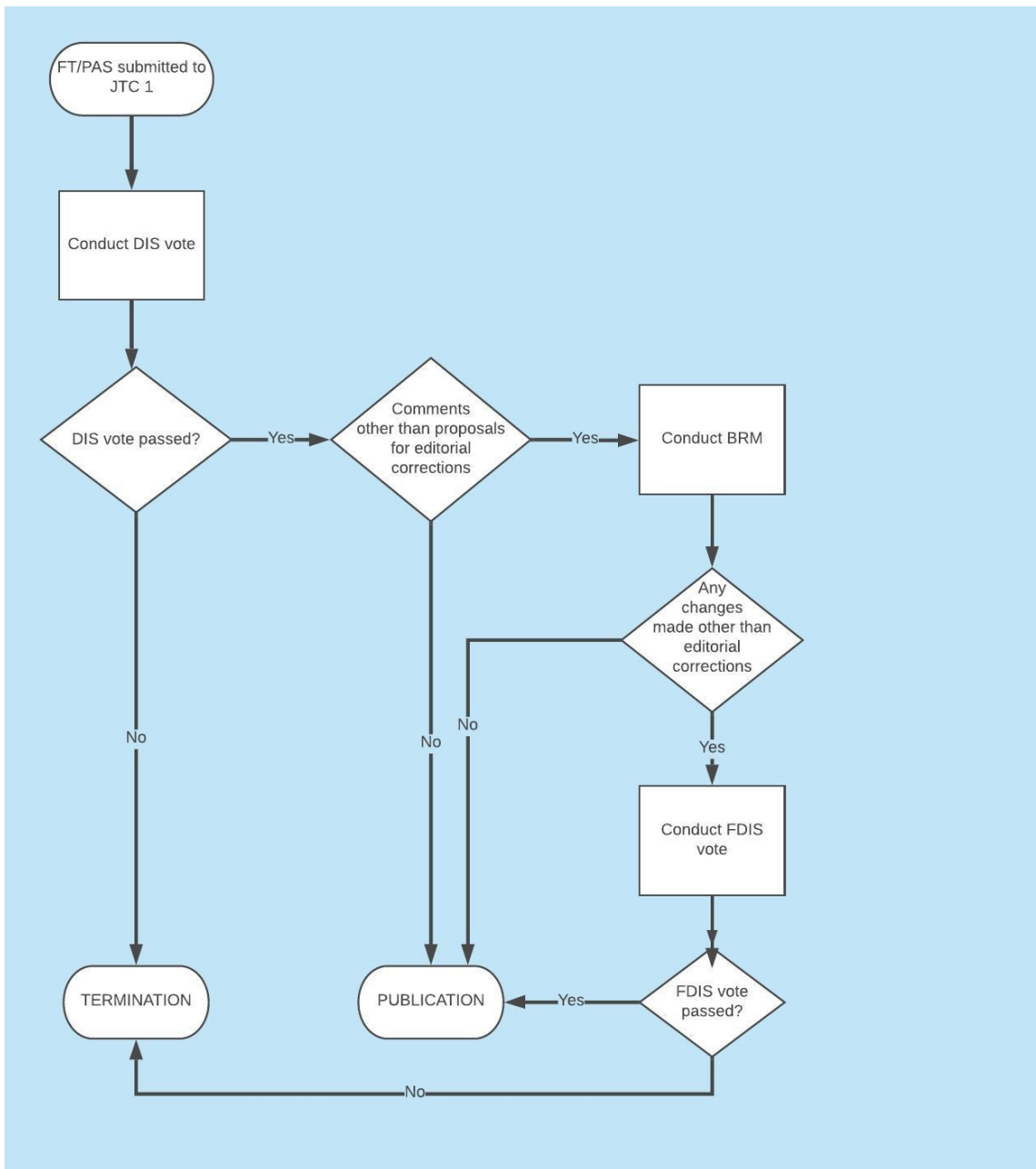
- a revision of the Draft International Standard balloted document that includes all changes agreed to at the Ballot Resolution Meeting;
- the disposition of comments report approved at the Ballot Resolution Meeting; and
- a Ballot Resolution Meeting report containing a list of attendees and their roles, referencing the final disposition of comments report and a recommendation for further processing of the draft

International Standard.

These documents shall also be forwarded to ITTF for further circulation to the above listed recipients.

**F.6 Progression of Fast-Track and PAS Submissions in JTC 1**

In JTC 1, the following flow chart specifies the progression of Fast-Track and PAS Submissions as referenced in F.2, F.3, F.4, and F.5.



**Figure F.1: Flowchart of Fast-Track and PAS Submissions for International Standards**

## **Annex G (normative)**

### **Maintenance agencies**

- G.1** A technical committee or subcommittee developing an International Standard that will require a maintenance agency shall inform the Chief Executive Officer at an early stage in order that an ISO/TMB or IEC Council Board decision may be taken in advance of the publication of the International Standard.
- G.2** The ISO/TMB or IEC Council Board designates maintenance agencies in connection with International Standards, including appointment of their members, on the proposal of the technical committee concerned.
- G.3** The secretariat of a maintenance agency should be attributed wherever possible to the secretariat of the technical committee or subcommittee that has prepared the International Standard.
- G.4** The Chief Executive Officer shall be responsible for contacts with external organizations associated with the work of a maintenance agency.
- G.5** The rules of procedure of maintenance agencies shall be subject to ISO/TMB or IEC Council Board approval and any requested delegation of authority in connection with the updating of the International Standard or the issuing of amendments shall be specifically authorized by the ISO/TMB or IEC Council Board.
- G.6** Any charges for services provided by a maintenance agency shall be authorized by the council board.

## **Annex H (normative)**

### **Registration authorities**

**H.1** A technical committee or subcommittee developing an International Standard that will require a registration authority shall inform the Chief Executive Officer at an early stage, in order to permit any necessary negotiations and to allow the technical management board to take a decision in advance of the publication of the International Standard.

**H.2** The technical management board designates registration authorities in connection with International Standards on the proposal of the technical committee concerned.

**H.3** Registration authorities should be qualified and internationally acceptable bodies; if there is no such organization available, such tasks may be conferred upon the office of the CEO by decision of the technical management board.

**H.4** Registration authorities should be required to indicate clearly in their operations that they have been designated by ISO or IEC (for example, by including appropriate wording in the letterhead of the designated body).

**H.5** Registration functions undertaken by the registration authority under the provisions of the relevant International Standard shall require no financial contribution from ISO or IEC or their members. This would not preclude, however, the charging for services provided by the registration authority if duly authorized by the council board.



**Annex I  
(normative)**

**Guideline for Implementation of the Common Patent Policy for  
ITU-T/ITU-R/ISO/IEC**

The latest edition of the Guidelines for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC are available on the ISO website through the following link (including the forms in Word or Excel formats):

[http://www.iso.org/iso/home/standards\\_development/governance\\_of\\_technical\\_work/patents.htm](http://www.iso.org/iso/home/standards_development/governance_of_technical_work/patents.htm)

They are also available on the IEC website through the following link:

[http://www.iec.ch/members\\_experts/tools/patents/patent\\_policy.htm](http://www.iec.ch/members_experts/tools/patents/patent_policy.htm)

## Guidelines for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC

### Summary

The Guidelines for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC are intended to clarify and facilitate implementation of the Patent Policy, a copy of which can be found in Annex 1 and also on the web site of each Organization.

The Patent Policy encourages the early disclosure and identification of Patents that may relate to Recommendations | Deliverables under development. In doing so, greater efficiency in standards development is possible and potential patent rights problems can be avoided.

### History

#### Edition

1.0	Published initial version	1 March 2007
2.0	Published first revision	23 April 2012
3.0	Published second revision	26 June 2015
4.0	Published third revision	2 November 2018

CONTENTS

<b>Part I – Common guidelines</b> .....	<b>1</b>
1 <b>Purpose</b> .....	<b>1</b>
2 <b>Explanation of terms</b> .....	<b>1</b>
3 <b>Patent disclosure</b> .....	<b>2</b>
4 <b>Patent Statement and Licensing Declaration Form</b> .....	<b>3</b>
4.1 <b>The purpose of the Declaration Form</b> .....	<b>3</b>
4.2 <b>Contact information</b> .....	<b>4</b>
5 <b>Conduct of meetings</b> .....	<b>4</b>
6 <b>Patent Information database</b> .....	<b>4</b>
7 <b>Assignment or Transfer of Patent Rights</b> .....	<b>5</b>
<b>Part II – Organization-specific provisions</b> .....	<b>6</b>
II.1 <b>Specific provisions for ITU</b> .....	<b>6</b>
II.2 <b>Specific provisions for ISO and IEC</b> .....	<b>7</b>
<b>ANNEX 1: COMMON PATENT POLICY FOR ITU-T/ITU-R/ISO/IEC</b> .....	<b>9</b>
<b>ANNEX 2: PATENT STATEMENT AND LICENSING DECLARATION FORM FOR ITU-T OR ITU-R RECOMMENDATION   ISO OR IEC DELIVERABLE</b> .....	<b>11</b>
<b>ANNEX 3: GENERAL PATENT STATEMENT AND LICENSING DECLARATION FORM FOR ITU- T OR ITU-R RECOMMENDATION</b> .....	<b>15</b>

## Guidelines for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC

Revision 3, effective 2 November 2018

### Part I – Common guidelines

#### 1 Purpose

ITU, in its Telecommunication Standardization Sector (ITU-T) and its Radiocommunication Sector (ITU-R), ISO and IEC have had patent policies for many years, the purpose being to provide in simple words practical guidance to the participants in their Technical Bodies in case patent rights matters arise.

Considering that the technical experts are normally not familiar with the complex issue of patent law, the Common Patent Policy for ITU-T/ITU-R/ISO/IEC (hereafter referred to as the "Patent Policy") was drafted in its operative part as a checklist, covering the three different cases which may arise if a Recommendation | Deliverable requires licences for Patents to be practiced or implemented, fully or partly.

The Guidelines for Implementation of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC (hereafter referred to as the "Guidelines") are intended to clarify and facilitate implementation of the Patent Policy, a copy of which can be found in Annex 1 and also on the web site of each Organization.

The Patent Policy encourages the early disclosure and identification of Patents that may relate to Recommendations | Deliverables under development. In doing so, greater efficiency in standards development is possible and potential patent rights problems can be avoided.

The Organizations should not be involved in evaluating patent relevance or essentiality with regards to Recommendations | Deliverables, interfere with licensing negotiations, or engage in settling disputes on Patents; this should be left - as in the past - to the parties concerned.

Organization-specific provisions are contained in Part II of this document. However, it is understood that those Organization-specific provisions shall contradict neither the Patent Policy nor the Guidelines.

#### 2 Explanation of terms

**Contribution:** Any document submitted for consideration by a Technical Body.

**Free of Charge:** The words "Free of Charge" do not mean that the Patent Holder is waiving all of its rights with respect to the Patent. Rather, "Free of Charge" refers to the issue of monetary

compensation; i.e., that the Patent Holder will not seek any monetary compensation as part of the licensing arrangement (whether such compensation is called a royalty, a one-time licensing fee, etc.). However, while the Patent Holder in this situation is committing to not charging any monetary amount, the Patent Holder is still entitled to require that the implementer of the relevant Recommendation | Deliverable sign a license agreement that contains other reasonable terms and conditions such as those relating to governing law, field of use, warranties, etc.

**Organizations:** ITU, ISO and IEC.

**Patent:** The word "Patent" means those claims contained in and identified by patents, utility models and other similar statutory rights based on inventions (including applications for any of these) solely to the extent that any such claims are essential to the implementation of a Recommendation | Deliverable. Essential patents are patents that would be required to implement a specific Recommendation | Deliverable.

**Patent Holder:** Person or entity that owns, controls and/or has the ability to license Patents.

**Reciprocity:** The word "Reciprocity" means that the Patent Holder shall only be required to license any prospective licensee if such prospective licensee will commit to license its Patent(s) for implementation of the same relevant Recommendation | Deliverable Free of Charge or under reasonable terms and conditions.

**Recommendations | Deliverables:** ITU-T and ITU-R Recommendations are referred to as "Recommendations", ISO deliverables and IEC deliverables are referred to as "Deliverables". The various types of Recommendation(s) | Deliverable(s) are referred to as "Document types" in the Patent Statement and Licensing Declaration Form (hereafter referred to as "Declaration Form") attached as Annex 2.

**Technical Bodies:** Study Groups, any subordinate groups and other groups of ITU-T and ITU-R and technical committees, subcommittees and working groups in ISO and IEC.

### 3 Patent disclosure

As mandated by the Patent Policy in its paragraph 1, any party participating<sup>1</sup> in the work of the Organizations should, from the outset, draw their attention to any known Patent or to any known pending Patent application, either its own or that of other organizations.

In this context, the words "from the outset" imply that such information should be disclosed as early as possible during the development of the Recommendation | Deliverable. This might not be possible when the first draft text appears since at this time, the text might be still too vague or subject to subsequent major modifications. Moreover, that information should be provided in good faith and on a best effort basis, but there is no requirement for patent searches.

In addition to the above, any party not participating in Technical Bodies may draw the attention of the Organizations to any known Patent, either their own and/or of any third-party.

When disclosing their own Patents, Patent Holders have to use the Patent Statement and Licensing Declaration Form (referred to as the "Declaration Form") as stated in Section 4 of these Guidelines.

<sup>1</sup> In the case of ISO and IEC, this includes any recipient of a draft standard at any stage in the standards development process.

Any communication drawing the attention to any third-party Patent should be addressed to the concerned Organization(s) in writing. The potential Patent Holder will then be requested by the Director/CEO of the relevant Organization(s) to submit a Declaration Form, if applicable.

The Patent Policy and these Guidelines also apply to any Patent disclosed or drawn to the attention of the Organizations subsequent to the approval of a Recommendation | Deliverable.

Whether the identification of the Patent took place before or after the approval of the Recommendation | Deliverable, if the Patent Holder is unwilling to license under paragraph 2.1 or

2.2 of the Patent Policy, the Organizations will promptly advise the Technical Bodies responsible for the affected Recommendation | Deliverable so that appropriate action can be taken. Such action will include, but may not be limited to, a review of the Recommendation | Deliverable or its draft in order to remove the potential conflict or to further examine and clarify the technical considerations causing the conflict.

## **4 Patent Statement and Licensing Declaration Form**

### **4.1 The purpose of the Declaration Form**

To provide clear information in the Patent Information databases of each Organization, Patent Holders have to use the Declaration Form, which is available on the web site of each Organization (the Declaration Form is included in Annex 2 for information purposes). They must be sent to the Organizations for the attention, for ITU, of the Directors of the TSB or the BR or, for ISO or IEC, of the CEOs. The purpose of the Declaration Form is to ensure a standardized submission to the respective Organizations of the declarations being made by Patent Holders.

The Declaration Form gives Patent Holders the means of making a licensing declaration relative to rights in Patents required for implementation of a specific Recommendation | Deliverable. Specifically, by submitting this Declaration Form the submitting party declares its willingness to license (by selecting option 1 or 2 on the Form) /or its unwillingness to license (by selecting option 3 on the Form), according to the Patent Policy, Patents held by it and whose licence would be required to practice or implement part(s) or all of a specific Recommendation | Deliverable.

If a Patent Holder has selected the licensing option 3 on the Declaration Form, then, for the referenced relevant ITU Recommendation and ISO or IEC Deliverable, the ITU, ISO and IEC require the Patent Holder to provide certain additional information permitting patent identification.

Multiple Declaration Forms are appropriate if the Patent Holder wishes to identify several Patents and classifies them in different options of the Declaration Form for the same Recommendation | Deliverable or if the Patent Holder classifies different claims of a complex patent in different options of the Declaration Form.

Information contained in a Declaration Form may be corrected in case of obvious errors, such as a typographical mistake in a standard or patent reference number. The licensing declaration contained in the Declaration Form remains in force unless it is superseded by another Declaration Form containing more favourable licensing terms and conditions from a licensee's perspective reflecting

(a) a change in commitment from option 3 to either option 1 or option 2, (b) a change in commitment from option 2 to option 1 or (c) un-checking one or more sub-options contained within option 1 or 2.

## 4.2 Contact information

In completing Declaration Forms, attention should be given to supplying contact information that will remain valid over time. Where possible, the "Name and Department" and e-mail address should be generic. Also it is preferable, where possible, that parties, particularly multinational organizations, indicate the same contact point on all Declaration Forms submitted.

With a view to maintaining up-to-date information in the Patent Information database of each Organization, it is requested that the Organizations be informed of any change or corrections to the Declaration Form submitted in the past, especially with regard to the contact person.

## 5 Conduct of meetings

Early disclosure of Patents contributes to the efficiency of the process by which Recommendations | Deliverables are established. Therefore, each Technical Body, in the course of the development of a proposed Recommendation | Deliverable, will request the disclosure of any known Patents essential to the proposed Recommendation | Deliverable.

Chairmen of Technical Bodies will, if appropriate, ask, at an appropriate time in each meeting, whether anyone has knowledge of patents, the use of which may be required to practice or implement the Recommendation | Deliverable being considered. The fact that the question was asked shall be recorded in the meeting report, along with any affirmative responses.

As long as the Organization concerned has received no indication of a Patent Holder selecting paragraph 2.3 of the Patent Policy, the Recommendation | Deliverable may be approved using the appropriate and respective rules of the Organization concerned. It is expected that discussions in Technical Bodies will include consideration of including patented material in a Recommendation | Deliverable, however the Technical Bodies may not take position regarding the essentiality, scope, validity or specific licensing terms of any claimed Patents.

## 6 Patent Information database

In order to facilitate both the standards-making process and the application of Recommendations | Deliverables, each Organization makes available to the public a Patent Information database composed of information that was communicated to the Organizations by the means of Declaration Forms. The Patent Information database may contain information on specific patents, or may contain no such information but rather a statement about compliance with the Patent Policy for a particular Recommendation | Deliverable.

The Patent Information databases are not certified to be either accurate or complete, but only reflect the information that has been communicated to the Organizations. As such, the Patent Information databases may be viewed as simply raising a flag to alert users that they may wish to contact the entities who have communicated Declaration Forms to the Organizations in order to determine if patent licenses must be obtained for use or implementation of a particular Recommendation | Deliverable.

## **7 Assignment or Transfer of Patent Rights**

The rules governing the assignment or transfer of Patent rights are contained in the patent statement and licensing declaration forms (see Annexes 2 and 3). By complying with these rules, the Patent Holder has discharged in full all of its obligations and liability with regards to the licensing commitments after the transfer or assignment. These rules are not intended to place any duty on the Patent Holder to compel compliance with the licensing commitment by the assignee or transferee after the transfer occurs.



## Part II – Organization-specific provisions

### II.1 Specific provisions for ITU

#### ITU-1 General Patent Statement and Licensing Declaration Form

Anyone may submit a General Patent Statement and Licensing Declaration Form which is available on the web sites of ITU-T and ITU-R (the form in Annex 3 is included for information purposes). The purpose of this form is to give Patent Holders the voluntary option of making a general licensing declaration relative to material protected by Patents contained in any of their Contributions. Specifically, by submitting its form, the Patent Holder declares its willingness to license its Patents owned by it in case part(s) or all of any proposals contained in its Contributions submitted to the Organization are included in Recommendation(s) and the included part(s) contain items for which Patents have been filed and whose licence would be required to practice or implement Recommendation(s).

The General Patent Statement and Licensing Declaration Form is not a replacement for the "individual" (see clause 4 of Part I) Declaration Form, which is made per Recommendation, but is expected to improve responsiveness and early disclosure of the Patent Holder's compliance with the Patent Policy. Therefore, in addition to its existing General Patent Statement and Licensing Declaration in respect of its Contributions, the Patent Holder should, when appropriate (e.g. if it becomes aware that it has a Patent for a specific Recommendation), also submit an "individual" Patent Statement and Licensing Declaration Form:

- for the Patents contained in any of its Contributions submitted to the Organization which are included in a Recommendation, any such "individual" Patent Statement and Licensing Declarations may contain either the same licensing terms and conditions as in the General Patent Statement and Licensing Declaration Form, or more favourable licensing terms and conditions from a licensee's perspective as defined in the "individual" (see clause 4.1 of Part I) Declaration Form; and
- for the Patents that the Patent Holder did not contribute to the Organization which are included in a Recommendation, any such "individual" Patent Statement and Licensing Declarations may contain any of the three options available on the Form (see clause 4.1 of Part I), regardless of the commitment in its existing General Patent Statement and Licensing Declaration.

The General Patent Statement and Licensing Declaration remains in force unless it is superseded by another General Patent Statement and Licensing Declaration form containing more favourable licensing terms and conditions from a licensee's perspective reflecting (a) a change in commitment from option 2 to option 1 or (b) un-checking one or more sub- options contained within option 1 or 2.

The ITU Patent Information database also contains a record of General Patent Statement and Licensing Declarations.

## ITU-2 Notification

Text shall be added to the cover sheets of all new and revised ITU-T and ITU-R Recommendations, where appropriate, urging users to consult the ITU Patent Information database. The wording is:

"ITU draws attention to the possibility that the practice or implementation of this Recommendation may involve the use of a claimed Intellectual Property Right. ITU takes no position concerning the evidence, validity or applicability of claimed Intellectual Property Rights, whether asserted by ITU members or others outside of the Recommendation development process.

As of the date of approval of this Recommendation, ITU [had/had not] received notice of intellectual property, protected by patents, which may be required to implement this Recommendation. However, implementers are cautioned that this may not represent the latest information and are therefore strongly urged to consult the ITU Patent Information database."

## II.2 Specific provisions for ISO and IEC

### ISO/IEC-1 Consultations on draft Deliverables

All drafts submitted for comment shall include on the cover page the following text:

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

### ISO/IEC-2 Notification

A published document for which no patent rights are identified during the preparation thereof shall contain the following notice in the foreword:

"Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO [and/or] IEC shall not be held responsible for identifying any or all such patent rights."

A published document for which patent rights have been identified during the preparation thereof shall include the following notice in the introduction:

"The International Organization for Standardization (ISO) [and/or] International Electrotechnical Commission (IEC) draws attention to the fact that it is claimed that compliance with this document may involve the use of a patent concerning (... subject matter ...) given in (... subclause ...).

ISO [and/or] IEC take[s] no position concerning the evidence, validity and scope of this patent right.

The holder of this patent right has assured the ISO [and/or] IEC that he/she is willing to negotiate licences 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 ISO [and/or] IEC. 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 document may be the subject of patent rights other than those identified above. ISO [and/or] IEC shall not be held responsible for identifying any or all such patent rights.

### ISO/IEC - 3 National Adoptions

Patent Declarations in ISO, IEC and ISO/IEC Deliverables apply only to the ISO and/or IEC documents indicated in the Declaration Forms. Declarations do not apply to documents that are altered (such as through national or regional adoption). However, implementations that conform to identical national and regional adoptions and the respective ISO and/or IEC Deliverables, may rely on Declarations submitted to ISO and/or IEC for such Deliverables.

## ANNEX 1

### COMMON PATENT POLICY FOR ITU-T/ITU-R/ISO/IEC

The following is a "code of practice" regarding patents covering, in varying degrees, the subject matters of ITU-T Recommendations, ITU-R Recommendations, ISO deliverables and IEC deliverables (for the purpose of this document, ITU-T and ITU-R Recommendations are referred to as "Recommendations", ISO deliverables and IEC deliverables are referred to as "Deliverables"). The rules of the "code of practice" are simple and straightforward. Recommendations | Deliverables are drawn up by technical and not patent experts; thus, they may not necessarily be very familiar with the complex international legal situation of intellectual property rights such as patents, etc.

Recommendations | Deliverables are non-binding; their objective is to ensure compatibility of technologies and systems on a worldwide basis. To meet this objective, which is in the common interests of all those participating, it must be ensured that Recommendations | Deliverables, their applications, use, etc. are accessible to everybody.

It follows, therefore, that a patent embodied fully or partly in a Recommendation | Deliverable must be accessible to everybody without undue constraints. To meet this requirement in general is the sole objective of the code of practice. The detailed arrangements arising from patents (licensing, royalties, etc.) are left to the parties concerned, as these arrangements might differ from case to case.

This code of practice may be summarized as follows:

- 1 The ITU Telecommunication Standardization Bureau (TSB), the ITU Radio-communication Bureau (BR) and the offices of the CEOs of ISO and IEC are not in a position to give authoritative or comprehensive information about evidence, validity or scope of patents or similar rights, but it is desirable that the fullest available information should be disclosed. Therefore, any party participating in the work of ITU, ISO or IEC should, from the outset, draw the attention of the Director of ITU-TSB, the Director of ITU-BR, or the offices of the CEOs of ISO or IEC, respectively, to any known patent or to any known pending patent application, either their own or of other organizations, although ITU, ISO or IEC are unable to verify the validity of any such information.
- 2 If a Recommendation | Deliverable is developed and such information as referred to in paragraph 1 has been disclosed, three different situations may arise:
  - 2.1 The patent holder is willing to negotiate licences free of charge with other parties on a non-discriminatory basis on reasonable terms and conditions. Such negotiations are left to the parties concerned and are performed outside ITU-T/ITU-R/ISO/IEC.
  - 2.2 The patent holder is willing to negotiate licences with other parties on a non-discriminatory basis on reasonable terms and conditions. Such negotiations are left to the parties concerned and are performed outside ITU-T/ITU-R/ISO/IEC.
  - 2.3 The patent holder is not willing to comply with the provisions of either paragraph 2.1 or paragraph 2.2; in such case, the Recommendation | Deliverable shall not include provisions depending on the patent.

- 3 Whatever case applies (2.1, 2.2 or 2.3), the patent holder has to provide a written statement to be filed at ITU-TSB, ITU-BR or the offices of the CEOs of ISO or IEC, respectively, using the appropriate "Patent Statement and Licensing Declaration" Form. This statement must not include additional provisions, conditions, or any other exclusion clauses in excess of what is provided for each case in the corresponding boxes of the form.

**ANNEX 2**

**PATENT STATEMENT AND LICENSING DECLARATION FORM FOR ITU-T OR  
ITU-R RECOMMENDATION | ISO OR IEC DELIVERABLE**



**5.2 Patent Statement and Licensing Declaration**

**for ITU-T or ITU-R Recommendation | ISO or IEC Deliverable**

*This declaration does not represent an actual grant of a license*

Please return to the relevant organization(s) as instructed below per document type:

Director  
Telecommunication  
Standardization Bureau  
International Telecommunication  
Union  
Place des Nations  
CH-1211 Geneva 20,  
Switzerland  
Fax: +41 22 730 5853  
Email: [tsbdir@itu.int](mailto:tsbdir@itu.int)

Director  
Radiocommunication Bureau  
International Telecommunication  
Union  
Place des Nations  
CH-1211 Geneva 20,  
Switzerland  
Fax: +41 22 730 5785  
Email: [brmail@itu.int](mailto:brmail@itu.int)

Secretary-General  
International Organization for  
Standardization  
8 Chemin de Blandonnet  
CP 401  
1214 Vernier, Geneva  
Switzerland  
Fax: +41 22 733 3430  
Email:  
[patent.statements@iso.org](mailto:patent.statements@iso.org)

General Secretary  
International Electrotechnical  
Commission  
3 rue de Varembe  
CH-1211 Geneva 20  
Switzerland  
Fax: +41 22 919 0300  
Email:  
[inmail@iec.ch](mailto:inmail@iec.ch)

<b>Patent Holder</b>			
Legal Name			
<b>Contact for license application:</b>			
Name &			
Department			
Address			
Tel:			
Fax:			
E-mail:			
URL (Optional)			
<b>Document type:</b>			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ITU-T Rec. (*)	ITU-R Rec. (*)	ISO Deliverable (*)	IEC Deliverable (*)
(please return the form to the relevant Organization)			
<b>Common text or twin text (ITU-T Rec.   ISO/IEC Deliverable (**))</b> (for common text or twin text, please return the form to each of the three Organizations: ITU-T, ISO, IEC)			
<b>ISO/IEC Deliverable (*)</b> (for ISO/IEC Deliverables, please return the form to both ISO and IEC)			
(*)Number			
(*)Title			

<b>Licensing declaration:</b>	
The Patent Holder believes that it holds granted and/or pending applications for Patents, the use of which would be required to implement the above document and hereby declares, in accordance with the Common Patent Policy for ITU-T/ITU-R/ISO/IEC, that (check <u>one</u> box only):	
<input type="checkbox"/>	<p>1. The Patent Holder is prepared to grant a <u>Free of Charge</u> license to an unrestricted number of applicants on a worldwide, non-discriminatory basis and under other reasonable terms and conditions to make, use, and sell implementations of the above document.</p> <p>Negotiations are left to the parties concerned and are performed outside the ITU-T, ITU-R, ISO or IEC.</p> <p><i>Also mark here _____ if the Patent Holder's willingness to license is conditioned on <u>Reciprocity</u> for the above document.</i></p> <p><i>Also mark here if the Patent Holder reserves the right to license on reasonable terms and conditions (but not <u>Free of Charge</u>) to applicants who are only willing to license their Patent, whose use would be required to implement the above document, on reasonable terms and conditions (but not <u>Free of Charge</u>).</i></p>
<input type="checkbox"/>	<p>2. The Patent Holder is prepared to grant a license to an unrestricted number of applicants on a worldwide, non-discriminatory basis and on reasonable terms and conditions to make, use and sell implementations of the above document.</p> <p>Negotiations are left to the parties concerned and are performed outside the ITU-T, ITU-R, ISO, or IEC.</p> <p><i>Also mark here if the Patent Holder's willingness to license is conditioned on <u>Reciprocity</u> for the above document.</i></p>
<input type="checkbox"/>	<p>3. The Patent Holder is unwilling to grant licenses in accordance with provisions of either 1 or 2 above.</p> <p>In this case, the following information must be provided to ITU, ISO and/or IEC as part of this declaration:</p> <ul style="list-style-type: none"> <li>- granted patent number or patent application number (if pending);</li> <li>- an indication of which portions of the above document are affected;</li> </ul> <p>a description of the Patents covering the above document.</p>

**Free of Charge:** The words "Free of Charge" do not mean that the Patent Holder is waiving all of its rights with respect to the Patent. Rather, "Free of Charge" refers to the issue of monetary compensation; *i.e.*, that the Patent Holder will not seek any monetary compensation as part of the licensing arrangement (whether such compensation is called a royalty, a one-time licensing fee, etc.). However, while the Patent Holder in this situation is committing to not charging any monetary amount, the Patent Holder is still entitled to require that the implementer of the same above document sign a license agreement that contains other reasonable terms and conditions such as those relating to governing law, field of use, warranties, etc.

**Reciprocity:** The word "Reciprocity" means that the Patent Holder shall only be required to license any prospective licensee if such prospective licensee will commit to license its Patent(s) for implementation of the same above document Free of Charge or under reasonable terms and conditions.

**Patent:** The word "Patent" means those claims contained in and identified by patents, utility models and other similar statutory rights based on inventions (including applications for any of these) solely to the extent that any such claims are essential to the implementation of the same above document. Essential patents are patents that would be required to implement a specific Recommendation | Deliverable.

**Assignment/transfer of Patent rights:** Licensing declarations made pursuant to Clause 2.1 or 2.2 of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC shall be interpreted as encumbrances that bind all successors-in-interest as to the transferred Patents. Recognizing that this interpretation may not apply in all jurisdictions, any Patent Holder who has submitted a licensing declaration according to the Common Patent Policy - be it selected as option 1 or 2 on the Patent Declaration form - who transfers ownership of a Patent that is subject to such licensing declaration shall include appropriate provisions in the relevant transfer documents to ensure that, as to such transferred Patent, the licensing declaration is binding on the transferee and that the transferee will similarly include appropriate provisions in the event of future transfers with the goal of binding all successors-in-interest.

<b>Patent Information</b> (desired but not required for options 1 and 2; required in ITU, ISO and IEC for option 3 (NOTE))				
No.	Status [granted/ pending]	Country	Granted Patent Number or Application Number (if pending)	Title
1				
2				
3				
4				
5				
6				
7				
8				



9				
10				
Check here if additional patent information is provided on additional pages.				

NOTE: For option 3, the additional minimum information that shall also be provided is listed in the option 3 box above.

<b>Signature (include on final page only):</b>	
Patent Holder	_____
Name of authorized person	_____
Title of authorized person	_____
Signature	_____
Place, Date	_____

FORM: 2 November 2018

**ANNEX 3**

GENERAL PATENT STATEMENT AND LICENSING DECLARATION FORM FOR  
ITU-T OR ITU-R RECOMMENDATION



**General Patent Statement and  
Licensing Declaration for ITU-T or  
ITU-R Recommendation**

*This declaration does not represent an actual grant of a license*

Please return to the relevant bureau:

Director  
Telecommunication Standardization Bureau  
International Telecommunication Union Place  
des Nations  
CH-1211 Geneva 20,  
Switzerland  
Fax: +41 22 730 5853  
Email: [tsbdir@itu.int](mailto:tsbdir@itu.int)

Director  
Radiocommunication  
Bureau  
International Telecommunication  
Union Place des Nations  
CH-1211 Geneva  
20, Switzerland  
Fax: +41 22 730 5785  
Email: [brmail@itu.int](mailto:brmail@itu.int)

<b>Patent Holder:</b>	
Legal Name	
<b>Contact for license application:</b>	
Name & Department	_____
Address	
Tel.	
Fax	
E-mail	
URL (optional)	
<b>Licensing declaration:</b>	
In case part(s) or all of any proposals contained in Contributions submitted by the Patent Holder above are included in ITU-T/ITU-R Recommendation(s) and the included part(s) contain items for which Patents have been filed and whose use would be required to implement ITU-T/ITU-R Recommendation(s), the above Patent Holder hereby declares, in accordance with the Common Patent Policy for ITU-T/ITU-R/ISO/IEC (check <u>one</u> box only):	



1. The Patent Holder is prepared to grant a Free of Charge license to an unrestricted number of applicants on a worldwide, non-discriminatory basis and under other reasonable terms and conditions to make, use, and sell implementations of the relevant ITU-T/ITU-R Recommendation.

Negotiations are left to the parties concerned and are performed outside the ITU-T/ITU-R.

*Also mark here \_\_\_ if the Patent Holder's willingness to license is conditioned on Reciprocity for the above ITU-T/ITU-R Recommendation.*

*Also mark here if the Patent Holder reserves the right to license on reasonable terms and conditions (but not Free of Charge) to applicants who are only willing to license their patent claims, whose use would be required to implement the above ITU-T/ITU-R Recommendation, on reasonable terms and conditions (but not Free of Charge).*



2. The Patent Holder is prepared to grant a license to an unrestricted number of applicants on a worldwide, non-discriminatory basis and on reasonable terms and conditions to make, use and sell implementations of the relevant ITU-T/ITU-R Recommendation.

Negotiations are left to the parties concerned and are performed outside the ITU-T/ITU-R.

*Also mark here if the Patent Holder's willingness to license is conditioned on Reciprocity for the above ITU-T/ITU-R Recommendation.*

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**Reciprocity:** The word "Reciprocity" means that the Patent Holder shall only be required to license any prospective licensee if such prospective licensee will commit to license its Patent(s) for implementation of the relevant ITU-T/ITU-R Recommendation Free of Charge or under reasonable terms and conditions.

**Patent:** The word "Patent" means those claims contained in and identified by patents, utility models and other similar statutory rights based on inventions (including applications for any of these) solely to the extent that any such claims are essential to the implementation of the relevant Recommendation | Deliverable. Essential patents are patents that would be required to implement a specific Recommendation | Deliverable.

**Assignment/transfer of Patent rights:** Licensing declarations made pursuant to Clause 2.1 or 2.2 of the Common Patent Policy for ITU-T/ITU-R/ISO/IEC shall be interpreted as encumbrances that bind all successors-in-interest as to the transferred Patents. Recognizing that this interpretation may not apply in all jurisdictions, any Patent Holder who has submitted a licensing declaration according to the Common Patent Policy - be it selected as option 1 or 2 on the Patent Declaration form - who transfers ownership of a Patent that is subject to such licensing declaration shall include appropriate provisions in the relevant transfer documents to ensure that, as to such transferred Patent, the licensing declaration is binding on the transferee and that the transferee will similarly include appropriate provisions in the event of future

transfers with the goal of binding all successors-in-interest.

**Signature:**

Patent Holder

Name of authorized person

Title of authorized person

Signature

Place, Date

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

FORM: 26 June 2015

## **Annex J (normative)**

### **Formulating scopes of technical committees and subcommittees**

#### **J.1 Introduction**

The scope of a technical committee or subcommittee is a statement precisely defining the limits of the work of that committee. As such it has a number of functions:

- it assists those with queries and proposals relating to a field of work to locate the appropriate committee;
- it prevents overlapping the work programmes of two or more ISO and/or IEC committees.
- it can also help guard against moving outside the field of activities authorized by the parent committee.

#### **J.2 Formulation of scopes**

Basic rules for the formulation of scopes of technical committees and subcommittees are given in 1.5.10.

The order of the elements of a scope shall be:

- basic scope;
- in the ISO, horizontal functions, where applicable;
- in the IEC, horizontal and/or group safety functions where applicable;
- in JTC 1, horizontal functions where applicable;
- exclusions (if any);
- notes (if any).

#### **J.3 Basic scope**

Scopes of technical committees shall not refer to the general aims of international standardization or repeat the principles that govern the work of all technical committees.

In exceptional cases, explanatory material may be included if considered important to the understanding of the scope of the committee. Such material shall be in the form of “Notes”.

## J.4 Exclusions

Should it be necessary to specify that certain topics are outside the scope of the technical committee, these shall be listed and be introduced by the words “Excluded ...”

Exclusions shall be clearly specified.

Where the exclusions are within the scope of one or more other existing ISO or IEC technical committees, these committees shall also be identified.

EXAMPLE 1 “Excluded: Those ... covered by ISO/TC ...”.

EXAMPLE 2 “Excluded: Standardization for specific items in the field of ... (ISO/TC ...), ... (IEC/TC ...), etc.”.

It is *not* necessary to mention self-evident exclusions.

EXAMPLE 3 “Excluded: Products covered by other ISO or IEC technical committees”.

EXAMPLE 4 “Excluded: ... Specifications for electrical equipment and apparatus, which fall within the scope of IEC committees”.

## J.5 Scopes of committees related to products

Scopes of committees related to products shall clearly *indicate the field, application area or market sector* which they intend to cover, in order to easily ascertain whether a particular product is, or is not, within that field, application area or market sector.

EXAMPLE 1 “Standardization of ... and ... used in ...”.

EXAMPLE 2 “Standardization of materials, components and equipment for construction and operation of ... and ... as well as equipment used in the servicing and maintenance of ...”.

The limits of the scope can be defined by *indicating the purpose* of the products, or by *characterizing* the products.

The scope *should not enumerate the types* of product covered by the committee since to do so might suggest that other types can be, or are, standardized by other committees. However, if this is the intention, then it is preferable to list those items which are excluded from the scope.

The *enumeration of aspects* such as terminology, technical requirements, methods of sampling, test methods, designation, marking, packaging, dimensions, etc. suggests a restriction in the scope to those particular aspects, and that other aspects may be standardized by other committees. The aspects of the products to be standardized should therefore not be included in the scope unless it is intended that the scope is limited to those particular aspects.

If the scope makes no mention of any aspect, this means that the subject *in its entirety* is covered by the committee.

NOTE The coverage does not necessarily mean the need for preparing a standard. It only means that standards on any aspect, if needed, will be prepared by that committee and no other.

An example of unnecessary enumeration of aspects is as follows:

EXAMPLE 3 “Standardization of classification, terminology, sampling, physical, chemical or other test methods, specifications, etc.”.

Mention of priorities, whether referring to type of product or aspect, shall not appear in the scope since these will be indicated in the programme of work.

## **J.6 Scopes of committees not related to products**

If the scope of a committee is intended to be limited to *certain aspects* which are unrelated, or only indirectly related to products, the scope shall only indicate the aspect to be covered (e.g. safety colours and signs, non-destructive testing, water quality).

The term *terminology* as a possible aspect of standardization should not be mentioned unless this aspect is the only task to be dealt with by the committee. If this is not the case, the mention of terminology is superfluous since this aspect is a logical part of any standardization activity.

## **Annex K (normative)**

### **Project committees**

#### **K.1 Proposal stage**

A new work item proposal not falling within the scope of an existing technical committee shall be presented using the appropriate form and fully justified (see 2.3.4) by one of the bodies authorized to make new work item proposals (see 2.3.2).

The office of the CEO may decide to return the proposal to the proposer for further development before circulation for voting. In this case, the proposer shall make the changes suggested or provide justification for not making the changes. If the proposer does not make the changes and requests that its proposal be circulated for voting as originally presented, the technical management board will decide on appropriate action. This could include blocking the proposal until the changes are made or accepting that it be balloted as received.

In all cases, the office of the CEO may also include comments and recommendations to the proposal form.

For details relating to justification of the proposal, see Annex C.

In the case of a proposal to establish a project committee to prepare management systems standards, see Annex L.

It shall be submitted to the secretariat of the technical management board which shall arrange for it to be submitted to all National Bodies for voting.

Proposers are also encouraged to indicate the date of the first meeting of the project committee (see K.3).

If the proposal was not submitted by a National Body, the submission to the National Bodies shall include a call for offers to assume the secretariat of a project committee.

Votes shall be returned within 12 weeks.

Acceptance requires:

- approval by a 2/3 majority of the National Bodies voting;
- a commitment to participate actively by at least five National Bodies that approved the new work item proposal and nominated technical experts.



## **K.2 Establishment of a project committee**

The technical management board shall review the results of voting on the new work item proposal and if the approval criteria are met, shall establish a project committee (the reference number shall be the next available number in the technical committee/ project committee sequence).

The secretariat of the project committee shall be allocated to the National Body that submitted the proposal, or the technical management board shall decide on the allocation amongst the offers received if the proposal did not originate from a National Body.

National Bodies that approved the new work item proposal and nominated (a) technical expert(s) shall be registered as P-members of the project committee. National Bodies that approved the new work item proposal but did not make a commitment to participate actively shall be registered as O-members. National bodies that voted negatively, but nevertheless indicated that they would participate actively if the new work item was approved, shall be registered as P-members. National Bodies voting negatively without indicating a wish to participate shall be registered as O-members.

The office of the CEO shall announce to the National Bodies the establishment of the project committee and its membership.

National Bodies will be invited to confirm/change their membership status by informing the office of the CEO.

The secretariat will contact any potential liaison organizations identified in the new work item proposal or in National Body comments thereon and will invite them to indicate whether they have an interest in the work and, if so, which category of liaison they would be interested in. Requests for liaison will be processed according to the existing procedures.

## **K.3 First meeting of a project committee**

The procedure for calling a project committee meeting shall be carried out in accordance with Clause 4, with the exception that a six weeks' notice period may be used if the date of the first meeting was communicated at the time of submission of the proposal.

The chair of the project committee shall be the project leader nominated in the new work item proposal or shall be nominated by the secretariat if no project leader was nominated in the new work item proposal.

The first meeting shall confirm the scope of the new work item. In case revision is necessary (for purposes of clarification but not extension of the scope), the revised scope shall be submitted to the technical management board for approval. It shall also confirm the project plan and in ISO the development track and decide on any substructures needed to carry out the work.

If it is determined that the project needs to be subdivided to produce two or more publications, this is possible provided that the subdivisions of the work lie fully within the scope of the original new work item proposal. If not, a new work item will need to be prepared for consideration by the technical management board.

NOTE Project committees are exempted from the requirement to establish a strategic business plan.

#### **K.4 Preparatory stage**

The preparatory stage shall be carried out in accordance with 2.4.

#### **K.5 Committee, enquiry, approval and publication stages**

The committee, enquiry, approval and publication stages shall be carried out in accordance with 2.5 to 2.8.

#### **K.6 Disbanding of a project committee**

Once the standard(s) is/are published, the project committee shall be disbanded.

#### **K.7 Maintenance of standard(s) prepared by a project committee**

The National Body which held the secretariat shall assume responsibility for the maintenance of the standard(s) according to the procedures given in 2.9 unless the project committee has been transformed into a technical committee (see 1.10) in which case the technical committee shall be given the responsibility for the maintenance of the standard.

## **Annex L** (normative)

### **Proposals for management system standards**

#### **L.1 General**

Whenever a proposal is made to prepare a new management system standard (MSS), including sector-specific MSS, a justification study (JS) shall be carried out in accordance with Appendix 1 to this annex.

**NOTE** No JS is needed for the revision of an existing MSS whose development has already been approved and provided the scope is confirmed (unless it was not provided during its first development).

To the extent possible, the proposer shall endeavour to identify the full range of deliverables which will constitute the new or revised MSS family, and a JS shall be prepared for each of the deliverables.

#### **L.2 Terms and definitions**

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

##### **L.2.1 management system**

See definition contained in Appendix 2 (clause 3.4) of this annex.

##### **L.2.2 management system standard MSS**

standard for *management systems* (L.5.1)

Note 1 to entry: For the purposes of this document, this definition also applies to other ISO and IEC deliverables (e.g. TS, PAS).

##### **L.2.3 generic MSS**

MSS designed to be widely applicable across economic sectors, various types and sizes of organizations and diverse geographical, cultural and social conditions

##### **L.2.4 sector-specific MSS**

MSS that provides additional requirements or guidance for the application of a generic MSS to a specific economic or business sector

### **L.2.5**

#### **Type A MSS**

MSS providing requirements

#### EXAMPLES

- Management system requirements standards (specifications).
- Management system sector-specific requirements standards.

### **L.2.6**

#### **Type B MSS**

MSS providing guidelines

#### EXAMPLES

- Guidance on the use of management system requirements standards.
- Guidance on the establishment of a management system.
- Guidance on the improvement/enhancement of a management system.

### **L.2.7**

#### **high level structure**

#### **HLS**

outcome of the work of the ISO/TMB/JTCG “Joint technical Coordination Group on MSS” which refers to high level structure (HLS), identical subclause titles, identical text and common terms and core definitions. See Appendix 2 to this annex.

## **L.3 Obligation to submit a JS**

All MSS [including sector-specific MSS (L.2.4), see Annex M] proposals and their JS shall be identified by the relevant TC/SC/PC (or SyC, in IEC) leadership and the JS shall be sent to the TMB (or its MSS task force) for evaluation and approval before the NP ballot takes place. It is the responsibility of the relevant TC/SC/PC secretariat to identify all MSS proposals, without exception, so that there will be no MSS proposals which fail (with knowledge or without knowledge) to carry out the JS or which fail to be sent to the ISO/TMB for evaluation.

No JS is required for a Type B MSS providing guidance on a specific Type A MSS for which a JS has already been submitted and approved.

**EXAMPLE** ISO/IEC 27003:2010 (*Information technology — Security techniques — Information security management system implementation guidance*) does not need to have JS submitted as ISO/IEC 27001:2013 (*Information technology — Security techniques — Information security management systems — Requirements*) has already had a JS submitted and approved.

## **L.4 Cases where no JS have been submitted**

MSS proposals which have not been submitted for TMB evaluation before the NP ballot will be sent to the TMB for evaluation and no new ballot should take place before the TMB decision (project on

hold). It is considered good practice that the TC/SC/PC (and/or SyC, in IEC) members endorse the JS prior it being sent to the TMB.

NOTE Already published MSS which did not have a JS submitted will be treated as new MSS at the time of revision, i.e. a JS is to be presented and approved before any work can begin.

## L.5 Applicability of this annex

The above procedures apply to all ISO and IEC deliverables, including IWAs.

## L.6 General principles

All projects for new MSS (or for MSS which are already published but for which no JS was completed) shall undergo a JS (see L.1 and Note to L.3). The following general principles provide guidance to assess the market relevance of proposed MSS and for the preparation of a JS. The justification criteria questions in Appendix 1 to this annex are based on these principles. The answers to the questions will form part of the JS. An MSS should be initiated, developed and maintained only when all of the following principles are observed.

- 1) **Market relevance** – ny MSS should meet the needs of, and add value for, the primary users and other affected parties.
- 2) **Compatibility** – ompatibility between various MSS and within an MSS family should be maintained.
- 3) **Topic coverage** – . generic MSS (L.5.3) should have sufficient application coverage to eliminate or minimize the need for sector-specific variances.
- 4) **Flexibility** – n MSS should be applicable to organizations in all relevant sectors and cultures and of every size. An MSS should not prevent organizations from competitively adding to or differentiating from others, or enhancing their management systems beyond the standard.
- 5) **Free trade** – n MSS should permit the free trade of goods and services in line with the principles included in the WTO Agreement on Technical Barriers to Trade.
- 6) **Applicability of conformity assessment** – he market need for first-, second- or third-party conformity assessment, or any combination thereof, should be assessed. The resulting MSS should clearly address the suitability of use for conformity assessment in its scope. An MSS should facilitate joint audits.
- 7) **Exclusions** – n MSS should not include directly related product (including services) specifications, test methods, performance levels (i.e. setting of limits) or other forms of standardization for products produced by the implementing organization.

- 8) Ease of use** – : should be ensured that the user can easily implement one or more MSS. An MSS should be easily understood, unambiguous, free from cultural bias, easily translatable, and applicable to businesses in general.

## **L.7 Justification study process and criteria**

### **L.7.1 General**

This clause describes the justification study (JS) process for justifying and evaluating the market relevance of proposals for an MSS. Appendix 1 to this annex provides a set of questions to be addressed in the justification study.

### **L.7.2 Justification study process**

The JS process applies to any MSS project and consists of the following:

- a) the development of the JS by (or on behalf of) the proposer of an MSS project;
- b) an approval of the JS by the TMB (or in ISO, the ISO/TMB MSS task force).

The JS process is followed by the normal ISO or IEC balloting procedure for new work item approval as appropriate.

### **L.7.3 Justification study criteria**

Based on Annex C and the general principles stated above, a set of questions (see Appendix 1 to this annex) shall be used as criteria for justifying and assessing a proposed MSS project and shall be answered by the proposer. This list of questions is not exhaustive and any additional information that is relevant to the case should be provided. The JS should demonstrate that all questions have been considered. If it is decided that they are not relevant or appropriate to a particular situation, then the reasons for this decision should be clearly stated. The unique aspect of a particular MSS may require consideration of additional questions in order to assess objectively its market relevance.

## **L.8 Guidance on the development process and structure of an MSS**

### **L.8.1 General**

The development of an MSS will have effects in relation to

- the far-reaching impact of these standards on business practice,
- the importance of worldwide support for the standards,
- the practical possibility for involvement by many, if not all, National Bodies, and
- the market need for compatible and aligned MSS.

This clause provides guidance in addition to the procedures laid down in other clauses of the ISO/IEC Directives, in order to take these effects into account.

All MSS (whether they are Type A or Type B MSS, generic or sector-specific) shall, in principle, use consistent structure, common text and terminology so that they are easy to use and compatible with each other. The guidance and structure given in Appendix 2 to this annex shall, in principle, also be followed.

A Type B MSS which provides guidance on another MSS of the same MSS family should follow the same structure (i.e. clause numbering). Where MSS providing guidance (Type B MSS) are involved, it is important that their functions be clearly defined together with their relationship with the MSS providing requirements (Type A MSS), for example:

- guidance on the use of the requirements standard;
- guidance on the establishment/implementation of the management system;
- guidance on improvement/enhancement of the management system.

Where the proposed MSS is sector-specific:

- it should be compatible and aligned with the generic MSS;
- rules and principles specified in Annex M shall be followed;
- the relevant committee responsible for the generic MSS may have additional requirements to be met or procedures to be followed (see Annex M);
- other committees may need to be consulted, as well as ISO CASCO and IEC CAB on conformity assessment issues.

In the case of sector specific documents, their function and relationship with the generic MSS should be clearly defined (e.g. additional sector-specific requirements; elucidation; or both as appropriate).

Sector-specific documents should always show clearly (e.g. by using different typographical styles) the kind of sector-specific information being provided.

NOTE 1 Where the identical text or any of the requirements cannot be applied in a specific MSS, due to special circumstances, this should be reported to the TMB through the TMB Secretary at [tmb@iso.org](mailto:tmb@iso.org) (see L.9.3) or the IEC/SMB Secretary.

## **L.8.2 MSS development process**

### **L.8.2.1 General**

In addition to the JS, the development of an MSS should follow the same requirements as other ISO and IEC deliverables (see Clause 2).

### L.8.2.2 Design specification

To ensure that the intention of the standard, as demonstrated by the justification study, will be maintained, a design specification may be developed before a working draft is prepared.

The responsible committee will decide whether the design specification is needed and in case it is felt necessary, it will decide upon its format and content that is appropriate for the MSS and should set up the necessary organization to carry out the task.

The design specification should typically address the following.

<b>User needs</b>	The identification of the users of the standard and their associated needs, together with the costs and benefits for these users.
<b>Scope</b>	The scope and purpose of the standard, the title and the field of application.
<b>Compatibility</b>	How compatibility within this and with other MSS families will be achieved, including identification of the common elements with similar standards, and how these will be included in the recommended structure (see Appendix 2 to this annex).
<b>Consistency</b>	Consistency with other documents (to be) developed within the MSS family.

NOTE Most, if not all of the information on user needs and scope will be available from the justification study.

The design specification should ensure that

- a) the outputs of the justification study are translated correctly into requirements for the MSS,
- b) the issues of compatibility and alignment with other MSS are identified and addressed,
- c) a basis for verification of the final MSS exists at appropriate stages during the development process,
- d) the approval of the design specification provides a basis for ownership throughout the project by the members of the TC/SC(s), and/or SyC in IEC,
- e) account is taken of comments received through the NP ballot phase, and
- f) any constraints are taken into account.

The Committee developing the MSS should monitor the development of the MSS against the design specification in order to ensure that no deviations happen in the course of the project.



### **L.8.2.3 Producing the deliverables**

#### **L.8.2.3.1 Monitoring output**

In the drafting process, the output should be monitored for compatibility and ease of use with other MSS, by covering issues such as

- the high level structure (HLS), identical subclause titles, identical text and common terms and core definitions,
- the need for clarity (both in language and presentation), and
- avoiding overlap and contradiction.

#### **L.8.2.4 Transparency of the MSS development process**

MSS have a broader scope than most other types of standard. They cover a large field of human endeavour and have an impact on a wide range of user interests.

Committees preparing MSS should accordingly adopt a highly transparent approach to the development of the standards, ensuring that

- possibilities for participation in the process of developing standards are clearly identified, and
- the development processes being used are understood by all parties.

Committees should provide information on progress throughout the life cycle of the project, including

- the status of the project to date (including items under discussion),
- contact points for further information,
- communiqués and press releases on plenary meetings, and
- regular listings of frequently asked questions and answers.

In doing this, account needs to be taken of the distribution facilities available in the participating countries.

Where it may be expected that users of a Type A MSS are likely to demonstrate conformity to it, the MSS shall be so written that conformity can be assessed by a manufacturer or supplier (first party, or self-declaration), a user or purchaser (second party) or an independent body (third party, also known as certification or registration).

Maximum use should be made of the resources of the ISO Central Secretariat or IEC Central Office to facilitate the transparency of the project and the committee should, in addition, consider the establishment of a dedicated open-access website.

Committees should involve the national member bodies to build up a national awareness of the MSS project, providing drafts as appropriate for different interested and affected parties, including accreditation bodies, certification bodies, enterprises and the user community, together with additional specific information as needed.

The committee should ensure that technical information on the content of the MSS under development is readily available to participating members, especially those in developing countries.

#### **L.8.2.5 Process for interpretation of a standard**

The committee may establish a process to handle interpretation questions related to its standards from the users, and may make the resulting interpretations available to others in an expedient manner. Such a mechanism can effectively address possible misconceptions at an early stage and identify issues that may require improved wording of the standard during the next revision cycle. Such processes are considered, in ISO, to be “committee specific procedures” [see Foreword f)]. In IEC, the committee shall use the Interpretation Sheet process (see IEC Supplement).

### **L.9 High level structure, identical core text and common terms and core definitions for use in management systems standards**

#### **L.9.1 Introduction**

The aim of this document is to enhance the consistency and alignment of MSS by providing a unifying and agreed upon high level structure, identical core text and common terms and core definitions. The aim is that all Type A MSS (and B where appropriate) are aligned and the compatibility of these standards is enhanced. It is envisaged that individual MSS will add additional “discipline-specific” requirements as required.

NOTE In L.9.1 and L.9.4, “discipline-specific” is used to indicate specific subject(s) to which a management system standard refers, e.g. energy, quality, records, environment etc.

The intended audience for this document is Technical Committees (TC), Subcommittees (SC) and Project Committees (PC) (and in IEC, SyCs) and others that are involved in the development of MSS.

This common approach to new MSS and future revisions of existing standards will increase the value of such standards to users. It will be particularly useful for those organizations that choose to operate a single (sometimes called “integrated”) management system that can meet the requirements of two or more MSS simultaneously.

Appendix 2 to this annex sets out the high level structure, identical core text and common terms and core definitions that form the nucleus of future and revised Type A MSS and Type B MSS when possible.

Appendix 3 to this annex sets out guidance to the use of Appendix 2 to this annex.

## L.9.2 Use

MSS include the high level structure and identical core text as presented in Appendix 2 to this annex. The common terms and core definitions are either included or normatively referenced an international standard where they are included.

NOTE The high level structure includes the main clauses (1 to 10) and their titles, in a fixed sequence. The identical core text includes numbered subclauses (and their titles) as well as text within the subclauses.

## L.9.3 Non applicability

If due to exceptional circumstances the high level structure or any of the identical core text, common terms and core definitions cannot be applied in the management system standard, then the TC/PC/SC needs to explain its rationale for review by:

- a) providing an initial deviation report to ISO/CS or IEC/CO with the DIS submission;
- b) providing a final deviation report to TMB (through the ISO/TMB Secretary at [tmb@iso.org](mailto:tmb@iso.org)) or IEC/SMB Secretary upon submission of the final text of the standard for publication.

The TC/PC/SC (or in IEC, SyC) shall use the ISO or IEC commenting template to provide its deviation reports.

NOTE 1 The final deviation report can be an updated version of the initial deviation report.

NOTE 2 The TC/PC/SC (or in IEC, SyC) strives to avoid any non-applicability of the high level structure or any of the identical core text, common terms and core definitions.

## L.9.4 Using Appendix 2 to this annex

Discipline-specific text additions to Appendix 2 to this annex are managed as follows.

1. Discipline-specific additions are made by the individual TC, PC, SC (or in IEC, SyC) or other group that is developing the specific management system standard.
2. Discipline-specific text does not affect harmonization or contradict or undermine the intent of the high level structure, identical core text, common terms and core definitions.
3. Insert additional subclauses, or sub-subclauses (etc.) either ahead of an identical text subclause (or sub-subclause etc.), or after such a subclause (etc.) and renumbered accordingly.

NOTE 1 Hanging paragraphs are not permitted (see ISO/IEC Directives, Part 2).

NOTE 2 Attention is drawn to the need to check cross referencing.

4. Add or insert discipline-specific text within Appendix 2 to this annex. Examples of additions include:
  - 1) a) new bullet points;
  - 2) b) discipline-specific explanatory text (e.g. Notes or Examples), in order to clarify requirements;
  - 3) c) discipline-specific new paragraphs to subclauses (etc.) within the identical text;
  - 4) d) adding text that enhances the existing requirements in Appendix 2 to this annex.
5. Avoid repeating requirements between identical core text and discipline-specific text by adding text to the identical core text, taking account of point 2 above.
6. Distinguish between discipline-specific text and identical core text from the start of the drafting process. This aids identification of the different types of text during the development and balloting stages.

NOTE 1 Distinguishing options include by colour, font, font size, italics, or by being boxed separately, etc.

NOTE 2 Identification of distinguishing text is not necessarily carried into the published version.

7. Understanding of the concept of “risk” may be more specific than that given in the definition under 3.9 of Appendix 2 to this annex. In this case, a discipline-specific definition may be needed. The discipline-specific terms and definitions are differentiated from the core definitions, e.g. (XXX) risk.

NOTE The above can also apply to a number of other definitions.

8. Common terms and core definitions will be integrated into the listing of terms and definitions in the discipline-specific management system standard, consistent with the concept system of that standard.

### **L.9.5 Implementation**

Follow the sequence, high level structure, identical core text, common terms and core definitions for any new management system standard and for any revisions to existing management system standards.

### **L.9.6 Guidance**

Find supporting guidance in Appendix 3 to this annex.

## Appendix 1

(normative)

### Justification criteria questions

#### 1. General

The list of questions to be addressed in the justification study are in line with the principles listed in L.6. This list is not exhaustive. Additional information not covered by the questions should be provided if it is relevant to the case.

Each general principle should be given due consideration and, ideally, when preparing the JS, the proposer should provide a general rationale for each principle, prior to answering the questions associated with the principle.

The principles to which the proposer of the MSS should pay due attention when preparing the justification study are:

1. Market relevance
2. Compatibility
3. Topic coverage
4. Flexibility
5. Free trade
6. Applicability of conformity assessment
7. Exclusions

NOTE No questions directly refer to the principle 8 (“Ease of use”), but it should guide the development of the deliverable.

#### Basic information on the MSS proposal

1	What is the proposed purpose and scope of the MSS? Is the document supposed to be a guidance document or a document with requirements?
2	Does the proposed purpose or scope include product (including service) specifications, product test methods, product performance levels, or other forms of guidance or requirements directly related to products produced or provided by the implementing organization?
3	Is there one or more existing committee or non-ISO and non-IEC organization that could logically have responsibility for the proposed MSS? If so, identify.
4	Have relevant reference materials been identified, such as existing guidelines or established practices?

**ISO/IEC Directives, Part 1 – Consolidated JTC 1 Supplement 2019**

5	Are there technical experts available to support the standardization work? Are the technical experts direct representatives of the affected parties from the different geographical regions?
6	What efforts are anticipated as being necessary to develop the document in terms of experts needed and number/duration of meetings?
7	Is the MSS intended to be a guidance document, contractual specification or regulatory specification for an organization?

**Principle 1: Market relevance**

8	<p>Have all the affected parties been identified? For example:</p> <ul style="list-style-type: none"> <li>a) organizations (of various types and sizes): the decision-makers within an organization who approve work to implement and achieve conformance to the MSS;</li> <li>b) customers/end-users, i.e. individuals or parties that pay for or use a product (including service) from an organization;</li> <li>c) supplier organizations, e.g. producer, distributor, retailer or vendor of a product, or a provider of a service or information;</li> <li>d) MSS service provider, e.g. MSS certification bodies, accreditation bodies or consultants;</li> <li>e) regulatory bodies;</li> <li>f) non-governmental organizations.</li> </ul>
9	What is the need for this MSS? Does the need exist at a local, national, regional or global level? Does the need apply to developing countries? Does it apply to developed countries? What is the added value of having an ISO or IEC document (e.g. facilitating communication between organizations in different countries)?
10	Does the need exist for a number of sectors and is thus generic? If so, which ones? Does the need exist for small, medium or large organizations?
11	Is the need important? Will the need continue? If yes, will the target date of completion for the proposed MSS satisfy this need? Are viable alternatives identified?
12	Describe how the need and importance were determined. List the affected parties consulted and the major geographical or economical regions in which they are located.
13	Is there known or expected support for the proposed MSS? List those bodies that have indicated support. Is there known or expected opposition to the proposed MSS? List those bodies that have indicated opposition.
14	<p>What are the expected benefits and costs to organizations, differentiated for small, medium and large organizations if applicable?</p> <p>Describe how the benefits and the costs were determined. Provide available information on geographic or economic focus, industry sector and size of the organization. Provide information on the sources consulted and their basis (e.g. proven practices), premises, assumptions and conditions (e.g. speculative or theoretical), and other pertinent information.</p>

## ISO/IEC Directives, Part 1 – Consolidated JTC 1 Supplement 2019

15	<p>What are the expected benefits and costs to other affected parties (including developing countries)?</p> <p>Describe how the benefits and the costs were determined. Provide any information regarding the affected parties indicated.</p>
16	What will be the expected value to society?
17	Have any other risks been identified (e.g. timeliness or unintended consequences to a specific business)?

### Principle 2: Compatibility

18	Is there potential overlap or conflict with (or what is the added value in relation to) other existing or planned ISO, IEC, non-ISO or non-IEC international standards, or those at the national or regional level? Are there other public or private actions, guidance, requirements and regulations that seek to address the identified need, such as technical papers, proven practices, academic or professional studies, or any other body of knowledge?
19	Is the MSS or the related conformity assessment activities (e.g. audits, certifications) likely to add to, replace all or parts of, harmonize and simplify, duplicate or repeat, conflict with, or detract from the existing activities identified above? What steps are being considered to ensure compatibility, resolve conflict or avoid duplication?
20	Is the proposed MSS likely to promote or stem proliferation of MSS at the national or regional level, or by industry sectors?

### Principle 3: Topic coverage

21	Is the MSS for a single specific sector?
22	Will the MSS reference or incorporate an existing, non-industry-specific MSS (e.g. from the ISO 9000 series of quality management standards)? If yes, will the development of the MSS conform to the ISO/IEC Sector Policy (see ISO/IEC Directives, Part 2), and any other relevant policy and guidance procedures (e.g. those that may be made available by a relevant committee)?
23	What steps have been taken to remove or minimize the need for particular sector-specific deviations from a generic MSS?

### Principle 4: Flexibility

24	Will the MSS allow an organization competitively to add to, differentiate or encourage innovation of its management system beyond the standard?
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### Principle 5: Free trade

25	How would the MSS facilitate or impact global trade? Could the MSS create or prevent a technical barrier to trade?
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## ISO/IEC Directives, Part 1 – Consolidated JTC 1 Supplement 2019

26	Could the MSS create or prevent a technical barrier to trade for small, medium or large organizations?
27	Could the MSS create or prevent a technical barrier to trade for developing or developed countries?
28	If the proposed MSS is intended to be used in government regulations, is it likely to add to, duplicate, replace, enhance or support existing governmental regulations?

### **Principle 6: Applicability of conformity**

29	If the intended use is for contractual or regulatory purposes, what are the potential methods to demonstrate conformance (e.g. first party, second party or third party)? Does the MSS enable organizations to be flexible in choosing the method of demonstrating conformance, and to accommodate for changes in its operations, management, physical locations and equipment?
30	If third-party registration/certification is a potential option, what are the anticipated benefits and costs to the organization? Will the MSS facilitate joint audits with other MSS or promote parallel assessments?

### **Principle 7: Exclusions**

31	Does the proposed purpose or scope include product (including service) specifications, product test methods, product performance levels, or other forms of guidance or requirements directly related to products produced or provided by the implementing organization?
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## Appendix 2

(normative)

### High level structure, identical core text, common terms and core definitions

**NOTE** In the identical text proposals, XXX = an MSS discipline specific qualifier (e.g. energy, road traffic safety, IT security, food safety, societal security, environment, quality) that needs to be inserted. Blue italicized text is given as advisory notes to standards drafters.

#### Introduction

*DRAFTING INSTRUCTION Specific to the discipline.*

*This text has been prepared using the “high-level structure” (i.e. clause sequence, identical core text and common terms and core definitions) provided in Annex L, Appendix 2 of the ISO/IEC Directives, Part 1. This is intended to enhance alignment among ISO and IEC management system standards, and to facilitate their implementation for organizations that need to meet the requirements of two or more such standards.*

*HLS is highlighted in the text (clauses 1 to 10) by the use of blue font. Black represents the ISO or IEC specific discipline text. Strikeout is used to show agreed deletions within the HLS text. The use of blue text and strikeout is only to facilitate analysis and will not be incorporated after the Draft International Standard stage of development for this document.*

#### 1. Scope

*DRAFTING INSTRUCTION Specific to the discipline.*

#### 2. Normative references

*DRAFTING INSTRUCTION Clause Title shall be used. Specific to the discipline.*

#### 3. Terms and definitions

*DRAFTING INSTRUCTION 1 Clause Title shall be used. Terms and definitions may either be within the standard or in a separate document.*

*Common terms and core definitions shall be stated as well as others that are discipline specific.*

*The arrangement of terms and definitions should preferably be listed according to the hierarchy of the concepts (i.e. systematic order). Alphabetical order is the least preferred order.*

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

*DRAFTING INSTRUCTION 2 The following terms and definitions constitute an integral part of the “common text” for management systems standards. Additional terms and definitions may be added as needed. Notes may be added or modified to serve the purpose of each standard.*

*DRAFTING INSTRUCTION 3* *Italics type in a definition indicates a cross-reference to another term defined in this clause, and the number reference for the term is given in parentheses.*

*DRAFTING INSTRUCTION 4* *Where the text “XXX” appears throughout this clause, the appropriate reference should be inserted depending on the context in which these terms and definitions are being applied. For example: “an XXX objective” could be substituted as “an information security objective”.*

### 3.1

#### **organization**

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its *objectives* (3.8)

Note 1 to entry: The concept of organization includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

### 3.2

**interested party** (preferred term)

**stakeholder** (admitted term)

person or *organization* (3.1) that can affect, be affected by, or perceive itself to be affected by a decision or activity

### 3.3

#### **requirement**

need or expectation that is stated, generally implied or obligatory

Note 1 to entry: “Generally implied” means that it is custom or common practice for the organization and interested parties that the need or expectation under consideration is implied.

Note 2 to entry: A specified requirement is one that is stated, e.g. in documented information.

### 3.4

#### **management system**

set of interrelated or interacting elements of an *organization* (3.1) to establish *policies* (3.7) and *objectives* (3.8) and *processes* (3.12) to achieve those objectives

Note 1 to entry: A management system can address a single discipline or several disciplines.

Note 2 to entry: The system elements include the organization’s structure, roles and responsibilities, planning and operation.

Note 3 to entry: The scope of a management system can include the whole of the organization, specific and identified functions of the organization, specific and identified sections of the organization, or one or more functions across a group of organizations.

### 3.5

#### **top management**

person or group of people who directs and controls an *organization* (3.1) at the highest level

Note 1 to entry: Top management has the power to delegate authority and provide resources within the organization.

Note 2 to entry: If the scope of the *management system* (3.4) covers only part of an organization, then top management refers to those who direct and control that part of the organization.

### 3.6

#### **effectiveness**

extent to which planned activities are realized and planned results achieved

### 3.7

#### **policy**

intentions and direction of an *organization* (3.1), as formally expressed by its *top management* (3.5)

### 3.8

#### **objective**

result to be achieved

Note 1 to entry: An objective can be strategic, tactical, or operational.

Note 2 to entry: Objectives can relate to different disciplines (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organization-wide, project, product and *process* (3.12)).

Note 3 to entry: An objective can be expressed in other ways, e.g. as an intended outcome, a purpose, an operational criterion, as an XXX objective, or by the use of other words with similar meaning (e.g. aim, goal, or target).

Note 4 to entry: In the context of XXX management systems, XXX objectives are set by the organization, consistent with the XXX policy, to achieve specific results.

### 3.9

#### **risk**

effect of uncertainty

Note 1 to entry: An effect is a deviation from the expected — positive or negative.

Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.

Note 3 to entry: Risk is often characterized by reference to potential “events” (as defined in ISO Guide 73) and “consequences” (as defined in ISO Guide 73), or a combination of these.

Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated “likelihood” (as defined in ISO Guide 73) of occurrence.

### 3.10

#### **competence**

ability to apply knowledge and skills to achieve intended results

### 3.11

#### **documented information**

information required to be controlled and maintained by an *organization* (3.1) and the medium on which it is contained

Note 1 to entry: Documented information can be in any format and media, and from any source.

Note 2 to entry: Documented information can refer to:

- the *management system* (3.4), including related *processes* (3.12);
- information created in order for the organization to operate (documentation);
- evidence of results achieved (records).

### 3.12

#### **process**

set of interrelated or interacting activities which transforms inputs into outputs

### 3.13

#### **performance**

measurable result

Note 1 to entry: Performance can relate either to quantitative or qualitative findings.

Note 2 to entry: Performance can relate to managing activities, *processes* (3.12), products (including services), systems or *organizations* (3.1).

### 3.14

#### **outsource** (verb)

make an arrangement where an external *organization* (3.1) performs part of an organization's function or *process* (3.12)

Note 1 to entry: An external organization is outside the scope of the *management system* (3.4), although the outsourced function or process is within the scope.

### 3.15

#### **monitoring**

determining the status of a system, a *process* (3.12) or an activity

Note 1 to entry: To determine the status, there can be a need to check, supervise or critically observe.

**3.16**

**measurement**

*process* (3.12) to determine a value

**3.17**

**audit**

systematic, independent and documented *process* (3.12) for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

Note 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it can be a combined audit (combining two or more disciplines).

Note 2 to entry: An internal audit is conducted by the organization itself, or by an external party on its behalf.

Note 3 to entry: “Audit evidence” and “audit criteria” are defined in ISO 19011.

**3.18**

**conformity**

fulfilment of a *requirement* (3.3)

**3.19**

**nonconformity**

non-fulfilment of a *requirement* (3.3)

**3.20**

**corrective action**

action to eliminate the cause(s) of a *nonconformity* (3.19) and to prevent recurrence

**3.21**

**continual improvement**

recurring activity to enhance *performance* (3.13)

**4. Context of the organization**

**4.1 Understanding the organization and its context**

The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its XXX management system.

**4.2 Understanding the needs and expectations of interested parties**

The organization shall determine:

- the interested parties that are relevant to the XXX management system;
- the relevant requirements of these interested parties.

### **4.3 Determining the scope of the XXX management system**

The organization shall determine the boundaries and applicability of the XXX management system to establish its scope.

When determining this scope, the organization shall consider:

- the external and internal issues referred to in 4.1;
- the requirements referred to in 4.2.

The scope shall be available as documented information.

### **4.4 XXX management system**

The organization shall establish, implement, maintain and continually improve an XXX management system, including the processes needed and their interactions, in accordance with the requirements of this document.

## **5. Leadership**

### **5.1 Leadership and commitment**

Top management shall demonstrate leadership and commitment with respect to the XXX management system by:

- ensuring that the XXX policy and XXX objectives are established and are compatible with the strategic direction of the organization;
- ensuring the integration of the XXX management system requirements into the organization's business processes;
- ensuring that the resources needed for the XXX management system are available;
- communicating the importance of effective XXX management and of conforming to the XXX management system requirements;
- ensuring that the XXX management system achieves its intended outcome(s);
- directing and supporting persons to contribute to the effectiveness of the XXX management system;
- promoting continual improvement;
- supporting other relevant managerial roles to demonstrate their leadership as it applies to their areas of responsibility.

NOTE Reference to "business" in this document can be interpreted broadly to mean those activities that are core to the purposes of the organization's existence.

## 5.2 Policy

Top management shall establish a XXX policy that:

- a) is appropriate to the purpose of the organization;
- b) provides a framework for setting XXX objectives;
- c) includes a commitment to satisfy applicable requirements;
- d) includes a commitment to continual improvement of the XXX management system.

The XXX policy shall:

- be available as documented information;
- be communicated within the organization;
- be available to interested parties, as appropriate.

## 5.3 Roles, responsibilities and authorities

Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization.

Top management shall assign the responsibility and authority for:

- a) ensuring that the XXX management system conforms to the requirements of this document;
- b) reporting on the performance of the XXX management system to top management.

## 6. Planning

### 6.1 Actions to address risks and opportunities

When planning for the XXX management system, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to:

- give assurance that the XXX management system can achieve its intended outcome(s);
- prevent, or reduce, undesired effects;
- achieve continual improvement.

The organization shall plan:

- a) actions to address these risks and opportunities;
- b) how to:

- — integrate and implement the actions into its XXX management system processes;
- — evaluate the effectiveness of these actions.

## 6.2 XXX objectives and planning to achieve them

The organization shall establish XXX objectives at relevant functions and levels.

The XXX objectives shall:

- a) be consistent with the XXX policy;
- b) be measurable (if practicable);
- c) take into account applicable requirements;
- d) be monitored;
- e) be communicated;
- f) be updated as appropriate.

The organization shall retain documented information on the XXX objectives.

When planning how to achieve its XXX objectives, the organization shall determine:

- what will be done;
- what resources will be required;
- who will be responsible;
- when it will be completed;
- how the results will be evaluated.

## 7. Support

### 7.1 Resources

The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the XXX management system.

### 7.2 Competence

The organization shall:

- determine the necessary competence of person(s) doing work under its control that affects its XXX performance;



- ensure that these persons are competent on the basis of appropriate education, training, or experience;
- where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken;
- retain appropriate documented information as evidence of competence.

NOTE Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.

### 7.3 Awareness

Persons doing work under the organization's control shall be aware of:

- the XXX policy;
- their contribution to the effectiveness of the XXX management system, including the benefits of improved XXX performance;
- the implications of not conforming with the XXX management system requirements.

### 7.4 Communication

The organization shall determine the internal and external communications relevant to the XXX management system, including:

- on what it will communicate;
- when to communicate;
- with whom to communicate;
- how to communicate.

### 7.5 Documented information

#### 7.5.1 General

The organization's XXX management system shall include:

- a) documented information required by this document;
- b) documented information determined by the organization as being necessary for the effectiveness of the XXX management system.

NOTE The extent of documented information for a XXX management system can differ from one organization to another due to:

- the size of organization and its type of activities, processes, products and services;
- the complexity of processes and their interactions;

- the competence of persons.

### 7.5.2 Creating and updating

When creating and updating documented information the organization shall ensure appropriate:

- identification and description (e.g. a title, date, author, or reference number);
- format (e.g. language, software version, graphics) and media (e.g. paper, electronic);
- review and approval for suitability and adequacy.

### 7.5.3 Control of documented information

Documented information required by the XXX management system and by this document shall be controlled to ensure:

- a) it is available and suitable for use, where and when it is needed;
- b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

For the control of documented information, the organization shall address the following activities, as applicable:

- distribution, access, retrieval and use;
- storage and preservation, including preservation of legibility;
- control of changes (e.g. version control);
- retention and disposition.

Documented information of external origin determined by the organization to be necessary for the planning and operation of the XXX management system shall be identified, as appropriate, and controlled.

NOTE Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

## 8. Operation

### 8.1 Operational planning and control

*DRAFTING INSTRUCTION This subclause heading will be deleted if no additional subclauses are added to Clause 8.*

The organization shall plan, implement and control the processes needed to meet requirements, and to implement the actions determined in 6.1, by:

- establishing criteria for the processes;

- implementing control of the processes in accordance with the criteria;
- keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.

The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

The organization shall ensure that outsourced processes are controlled.

## **9. Performance evaluation**

### **9.1 Monitoring, measurement, analysis and evaluation**

The organization shall determine:

- what needs to be monitored and measured;
- the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;
- when the monitoring and measuring shall be performed;
- when the results from monitoring and measurement shall be analysed and evaluated.

The organization shall retain appropriate documented information as evidence of the results.

The organization shall evaluate the XXX performance and the effectiveness of the XXX management system.

### **9.2 Internal audit**

**9.2.1** The organization shall conduct internal audits at planned intervals to provide information on whether the XXX management system:

- a) conforms to:
  - — the organization's own requirements for its XXX management system;
  - — the requirements of this document;
- b) is effectively implemented and maintained.

**9.2.2** The organization shall:

- a) plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits;
- b) define the audit criteria and scope for each audit;

- c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
- d) ensure that the results of the audits are reported to relevant managers;
- e) retain documented information as evidence of the implementation of the audit programme(s) and the audit results.

### 9.3 Management review

Top management shall review the organization's XXX management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.

The management review shall include consideration of:

- a) the status of actions from previous management reviews;
- b) changes in external and internal issues that are relevant to the XXX management system;
- c) information on the XXX performance, including trends in:
  - — nonconformities and corrective actions;
  - — monitoring and measurement results;
  - — audit results;
- d) opportunities for continual improvement.

The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the XXX management system.

The organization shall retain documented information as evidence of the results of management reviews.

## 10. Improvement

### 10.1 Nonconformity and corrective action

When a nonconformity occurs, the organization shall:

- a) react to the nonconformity and, as applicable:
  - — take action to control and correct it;
  - — deal with the consequences;
- b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:
  - — reviewing the nonconformity;

- — determining the causes of the nonconformity;
  - — determining if similar nonconformities exist, or can potentially occur;
- c) implement any action needed;
- d) review the effectiveness of any corrective action taken;
- e) make changes to the XXX management system, if necessary.

Corrective actions shall be appropriate to the effects of the nonconformities encountered.

The organization shall retain documented information as evidence of:

- the nature of the nonconformities and any subsequent actions taken;
- the results of any corrective action.

## **10.2 Continual improvement**

The organization shall continually improve the suitability, adequacy and effectiveness of the XXX management system.

**Appendix 3**

(informative)

**Guidance on high level structure, identical core text, common terms and core definitions**

Guidance on the high level structure, identical core text, common terms and core definitions is provided at the following URL:

Annex L Guidance documents

(<http://isotc.iso.org/livelink/livelink?func=ll&objId=16347818&objAction=browse&viewType=1>)

**Annex M**  
(normative)

**Policy for the development of sector-specific management standards  
and sector-specific management system standards (MSS)**

**M.1 General**

Any technical committee or subcommittee, project committee (SyC in IEC) or International Workshop that proposes development of a sector-specific management standard (M.2.2) or a sector-specific management system standard (MSS) (M.2.4) shall follow the directions specified in this annex. It includes, as applicable, committee specific policies (M.5) which may not be limited to sector-specific management standards or sector-specific management system standards.

**M.2 Terms and definitions**

**M.2.1**

**generic management standard**

management standard designed to be widely applicable across economic sectors, various types and sizes of organizations and diverse geographical, cultural and social conditions

**M.2.2**

**sector-specific management standard**

management standard that provides additional requirements or guidance for the application of a *generic management standard* (M.2.1) to a specific economic or business sector

**M.2.3**

**generic management system standard**

**generic MSS**

MSS designed to be widely applicable across economic sectors, various types and sizes of organizations and diverse geographical, cultural and social conditions

**M.2.4**

**sector-specific management system standard (MSS)**

**sector-specific MSS**

MSS that provides additional requirements or guidance for the application of a *generic MSS* (M.2.3) to a specific economic or business sector

### **M.3 Sector-specific management standards and sector-specific management system standards**

Any new proposal for a sector-specific management standard (M.2.2) or sector-specific MSS (M.2.4) shall:

- clearly demonstrate its market relevance and alignment through the completion of appropriate ISO or IEC project approval procedures by means of ISO Form 4, *New Work Item Proposal*, or IEC Form NP,
- [in the case of the development of a sector-specific MSS (M.2.4)] clearly demonstrate that all the rules and principles in Annex L have been followed, including the approval of the justification study (see Annex L), and
- clearly demonstrate that the liaison with the committee responsible for the generic management standard or generic MSS concerned is effective,
- if applicable, conform with the committee specific policies set out below.

### **M.4 Drafting rules**

Sector-specific management standards (M.2.2) and sector-specific MSS (M.2.4) shall respect the following rules:

- a) Normative reference shall be made to the generic management standard (M.2.1) or generic MSS (M.2.3). Alternatively, the clauses and subclauses may be reproduced verbatim.
- b) If text from the generic management standard (M.2.1) or generic MSS (M.2.3) is reproduced in the sector-specific standard, it shall be distinguished from the other elements of the sector-specific standard.
- c) Terms and definitions specified in the generic management standard (M.2.1) or generic MSS (M.2.3) shall be referred to in a normative manner or reproduced verbatim.

### **M.5 Committee specific policies**

#### **M.5.1 General**

Sector-specific management standards (M.2.2) and sector-specific MSS (M.2.4) shall not interpret, change, or subtract from the requirements of the generic management standard or generic MSS.



## M.5.2 Environment

### M.5.2.1 Terms and definitions

The following terms and definitions are applicable to environmental policy:

#### M.5.2.1.1

##### **sector-specific environmental management standard**

standard that provides additional requirements or guidance for the application of a generic environmental management standard to a specific economic or business sector

**EXAMPLE** The application of an environmental management system (ISO 14001) or life-cycle assessment (ISO 14044) to agri-food or energy sectors.

#### M.5.2.1.2

##### **aspect-specific environmental management standard**

standard that provides additional requirements or guidance for the application of a generic environmental management standard for a specific environmental aspect or aspects within its scope

**EXAMPLE** The application of an environmental management system (ISO 14001) for greenhouse gas (aspect) management or life-cycle assessment (ISO 14044) for the water (aspect) footprint of products.

#### M.5.2.1.3

##### **element-specific environmental management standard**

standard that provides additional requirements or guidance for the application of a generic environmental management standard for a specific element or elements within its scope

**EXAMPLE** Communications or emergency management (elements) within an environmental management system (ISO 14001) or data collection or critical review (elements) within a life-cycle assessment (ISO 14044).

### M.5.2.2 General

Any technical committee, subcommittee, project committee (SyC in IEC) or International Workshop that proposes development of a sector-, aspect- or element-specific environmental management standard shall clearly demonstrate its market relevance and alignment through the completion of appropriate project approval procedures, including:

- ISO Form 4, *New Work Item Proposal* for sector-, aspect- or element-specific specific application of generic environmental management system standards, environmental labeling, life-cycle assessment and greenhouse gas management standards, and
- Annex L *Proposals for management system standards (MSS)* for sector-, aspect- or element-specific specific application of generic environmental MSS.

Approval documentation should include specific justification as to why the relevant generic ISO 14000 series standard(s) insufficiently address sector-, aspect- or element-specific needs and how the proposed new standard would effectively resolve identified issues. Proposers should critically assess whether additional sector-, aspect- or element-specific requirements are needed as opposed to the provision of additional guidance to the generic environmental management standard(s).

**M.5.2.3** Any technical committee, subcommittee, project committee (SyC in IEC) or International Workshop that proposes development of a sector-, aspect- or element-specific environmental management standard should consider and reflect the needs of developing countries, economies in transition, small- and medium- enterprises and organizations operating across a variety of sectors.

**M.5.2.4** ISO/TC 207 will cooperate in or, where appropriate and as decided by the Technical Management Board, lead joint projects with technical committee, subcommittee, project committee (SyC in IEC) or International Workshop developing sector-, aspect- or element-specific environmental management standards to avoid duplication of effort and promote consistency and alignment. There is no intention to restrict the development of market relevant standards in committees outside of ISO/TC 207.

**M.5.2.5** Technical committee, subcommittee, project committee (SyC in IEC) or International Workshop developing sector-, aspect- or element-specific environmental management standards shall:

- include the normative reference of the appropriate generic ISO 14000 series environmental management systems, environmental auditing, environmental labeling, life-cycle assessment and greenhouse gas management standards;
- include the normative reference of the appropriate generic ISO 14050 terms and definitions;
- distinguish ISO 14000 series text if it is reproduced; and
- not interpret, change, or subtract from the requirements of the generic ISO 14000 series environmental management systems, environmental auditing, environmental labeling, life-cycle assessment and greenhouse gas management standards.

**M.5.2.6** Any requests for guidance on this sector-, aspect- or element-specific policy or for interpretation of generic ISO 14000 series standards or ISO 14050 terms and definitions or for guidance on a sector-, aspect- or element-specific document shall be submitted to the ISO Central Secretariat as well as the relevant TC 207 subcommittee.

### **M.5.3 Quality**

When an technical committee, subcommittee, project committee (SyC in IEC) or International Workshop wishes to develop quality management system requirements or guidance for a particular product or industry/economic sector it shall respect the following rules.

- a) Normative reference shall be made to ISO 9001 in its entirety. Alternatively, the clauses and subclauses may be reproduced verbatim.
- b) If text from ISO 9001 is reproduced in the sector document, it shall be distinguished from the other elements of the sector document [see d)].
- c) Terms and definitions specified in ISO 9000 shall be referred to in a normative manner or reproduced verbatim.
- d) The guidance and criteria provided in Quality management systems – Guidance and criteria for the development of documents to meet needs of specific product and industry/economic

sectors, approved by ISO/TC 176, shall be considered not only when determining the need for a sector-specific requirements or guidance document but also in the document development process.

Any requests for guidance on this sector policy or for interpretation of ISO 9000 terms and definitions, ISO 9001 or ISO 9004 shall be submitted to the secretariat of ISO/TC 176.

#### **M.5.4 Asset management**

When a technical committee, subcommittee, project committee (SyC in IEC) or International Workshop wishes to develop asset management system requirements or guidance for a particular product or industry/economic sector it shall respect the following rules:

- a) Normative reference shall be made to ISO 55001 in its entirety. Alternatively, the clauses and subclauses may be reproduced verbatim.
- b) If text from ISO 55001 is reproduced in the sector document, it shall be distinguished from the other elements of the sector document.
- c) Terms and definitions specified in ISO 55000 shall be referred to in a normative manner or reproduced verbatim.

Any requests for guidance on a sector-specific document or for interpretation of ISO 55000 terms and definitions or ISO 55001 shall be submitted to the secretariat of ISO/TC 251.

#### **M.5.5 Risk**

When a technical committee, subcommittee, project committee (SyC in IEC) or International Workshop wishes to develop risk management requirements or guidance for a particular product or industry/economic sector it shall respect the following rules:

- a) Reference shall be made to ISO 31000 in its entirety. Alternatively, the clauses and subclauses may be reproduced verbatim.
- b) If text from ISO 31000 is reproduced in the sector document, it shall be distinguished from the other elements of the sector document.
- c) Terms and definitions specified in ISO 31000 shall be referred to in a normative manner or reproduced verbatim.

Any requests for guidance on a sector-specific document or for interpretation of ISO 31000 terms and definitions shall be submitted to the secretariat of ISO/TC 262.

### **M.5.6 Social responsibility**

When a technical committee, subcommittee, project committee (SyC in IEC) or International Workshop wishes to develop social responsibility requirements or guidance for a particular product or industry/economic sector it shall respect the following rules:

- a) Reference shall be made to ISO 26000 in its entirety. Alternatively, the clauses and subclauses may be reproduced verbatim.
- b) If text from ISO 26000 is reproduced in the sector document, it shall be distinguished from the other elements of the sector document.
- c) Terms and definitions specified in ISO 26000 shall be referred to in a normative manner or reproduced verbatim.

## **Annex JA** **(normative)** **Voting**

### **JA.1 General**

#### **JA.1.1 Meetings**

Votes by P-members in attendance may be cast only by the head of that delegation or an individual designated by the Head of Delegation (HoD).

The chairman has no vote and questions on which the vote is equally divided shall be subject to further discussion.

In a meeting, except as otherwise specified in this *Consolidated JTC 1 Supplement* or in JTC 1 Standing Documents, questions are decided by a majority of the votes cast at the meeting by P-members which are present expressing either approval, disapproval, or declared abstention.

If the meeting is to be conducted by teleconference or using electronic means, see Standing Document 19 on “Meetings” clauses 3 and 4 for additional requirements.

#### **JA.1.2 Letter Ballots**

For votes by correspondence (letter ballots) in JTC 1 and its subcommittees, except as specified elsewhere in this *Consolidated JTC 1 Supplement* or in JTC 1 Standing Documents, questions are decided by a majority of the votes cast by P-members expressing either approval or disapproval. Letter ballots are cast by web based balloting.

JTC 1 instructs its secretariats to close all letter ballots on the declared closure date. Late votes and comments shall not be accepted. JTC 1 allows actions to be taken between JTC 1 plenary meetings by 8 week letter ballots within JTC 1; such actions for approval may be proposed by the JTC 1 chairman, JTC 1 subcommittees, or JTC 1 advisory groups. Otherwise, no letter ballot period shall close in less than 12 weeks from the date of notification of issue.

#### **JA.1.3 Default Ballots**

In certain cases, consensus may be confirmed for questions which are expected to contain no controversial issues and for which agreement of the committee is foreseen in advance. Such questions will be distributed for a period of 4 weeks. If no objection is received during this period, the question is considered to be approved. If any JTC 1 P-member objects to the question during this period, the JTC 1 committee manager shall withdraw the ballot immediately and resolve the question by vote, either at a meeting or by letter ballot. JTC 1 P-members wishing to raise an objection to a Default Ballot are requested to notify the responsible Secretariat as soon as possible to prevent undue delays.

Questions for which this may be used are:

- appointment/change of a registration authority;

- establishment or cancellation of a Category C liaison;
- proposal for stabilization/withdrawal of a standard;
- request for availability free of charge of an ISO/IEC publication which meets the established criteria;
- modification of a subcommittee's program of work, including the establishment of a collaborative interchange or collaborative team with ITU-T, as defined in SD 3 (see 1.17.7.2 for details);
- others as approved by JTC 1.

## JA.2 Proposal stage – Votes on new work item proposals

A JTC 1 P-member, the committee secretariat, another technical committee or subcommittee, an organization in liaison, the technical management board or one of its advisory groups and the Chief Executive Officer may submit a new work item proposal either to a subcommittee or to JTC 1. Each new work item proposal shall be voted on by letter ballot even if it has appeared on the agenda of a meeting. If the proposal includes the establishment of a collaborative interchange or collaborative team with ITU-T, see 1.17.7.2 for a list of considerations which shall be evaluated to determine the rationale, as well as what is needed in the NP documentation. The acceptance criteria are as specified in 2.3.5. The normal ballot period for a new work item proposal shall be 12 weeks from the date of notification of issue (see 2.3.4).

### JA.2.1 Votes on NPs at the SC level

A new work item proposal should be balloted only once within a subcommittee.

It should be noted that if a new work item proposal is submitted for ballot without prior consultation of the subcommittee, there is a risk that the ballot may fail because the necessary consensus and support are absent. A subcommittee chair or secretariat may schedule a newly submitted new work item proposal for discussion at a plenary or working group meeting before issuing a ballot, as long as unreasonable delay is not introduced.

For new work item proposals voted at the subcommittee level, a copy of the subcommittee-level ballot shall be forwarded by the subcommittee secretariat to the JTC 1 secretariat for information in parallel with circulation of the new work item proposal ballot (see Figure JA.1). The JTC 1 secretariat shall circulate this copy of the subcommittee-level ballot to JTC 1 P-members and JTC 1 subcommittee Chairs and Secretariats for concurrent review.

Within 4 weeks of the issuance of the subcommittee-level NP ballot for JTC 1 concurrent review, a JTC 1 P-member may request the JTC 1 Secretariat to initiate a parallel JTC 1-level ballot. The JTC 1 P-member shall provide a rationale for the request and such rationale shall focus on the appropriate placement of the new work item, if approved. Rationale that focuses solely on technical aspects of the new work item proposal is not acceptable. If two or more JTC 1 P-members request such a parallel JTC 1-level ballot, the JTC 1 secretariat shall issue a ballot. The JTC 1-level ballot shall be identical to and with the same closing date as the subcommittee-level ballot. The rationales submitted with the requests shall accompany the JTC 1-level ballot and shall also be sent to the relevant subcommittee. The approval criteria for the JTC 1-level ballot shall be identical to the subcommittee-level NP ballot but the participation commitment requirement shall not apply (see 2.3.5(a)).

## ISO/IEC Directives, Part 1 – Consolidated JTC 1 Supplement 2019

Upon completion of the JTC 1-level ballot, the NP is approved only when both the subcommittee-level ballot and the JTC 1 ballot pass.

When approved, the JTC 1 secretariat shall inform all JTC 1 National Bodies and the subcommittee committee manager of the result (together with the project number assigned).

If the subcommittee-level ballot failed and no JTC 1 ballot had been issued, no further action is taken.

If the subcommittee-level ballot passed and no JTC 1 ballot had been issued, then the new work item proposal is approved.

NOTE If, during the JTC 1 concurrent review, any JTC 1 P-member not participating in the SC has a comment on the NP but does not request a JTC 1 ballot, the JTC 1 P-member may submit such a comment to the SC secretariat conducting the subcommittee-level ballot.

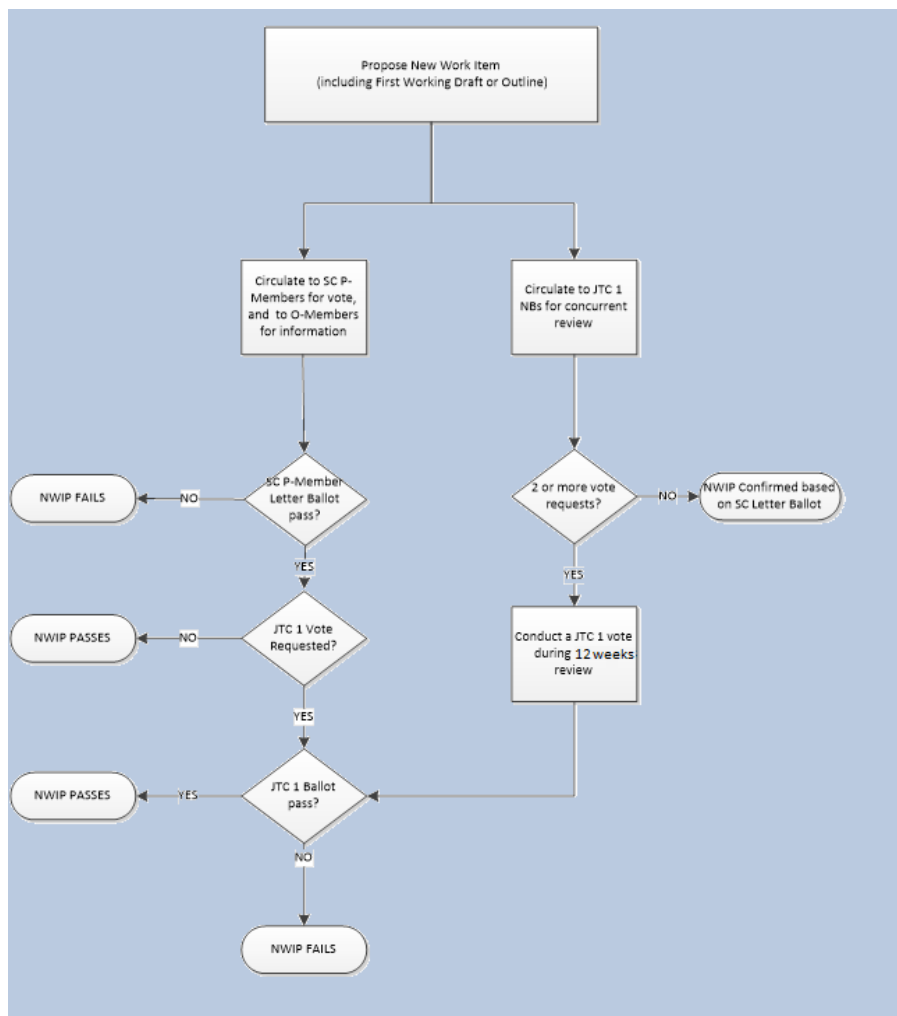


Figure JA.1: Flowchart of NP Ballot Process at SC level

### **JA.2.2 Votes on new work item proposals at the JTC 1 level**

JTC 1 should consider a new work item proposal:

- for a work item originating from a working group which reports directly to JTC 1; or
- in exceptional circumstances, such as a new work item proposal which is not within the scope of an existing subcommittee.

In all other cases, the appropriate subcommittee should ballot the new work item proposal. Each new work item proposal shall be voted on by letter ballot (, even if it has appeared on the agenda of a meeting. The acceptance criteria are as specified in 2.3.5.

### **JA.3 Preparatory Stage**

No votes are foreseen at this stage.

### **JA.4 Committee Stage - Votes on CDs/CDAMs/DTSs/DTRs**

If the consideration of committee drafts/committee draft amendments/draft technical specifications/draft technical reports (CDs/CDAMs/DTSs/DTRs) is dealt with by correspondence, P-members and technical committees and organizations in liaison are asked to submit their comments (and P-members their votes) by a specified date

In the case of committee drafts/committee draft amendments / draft technical specifications/ draft technical reports, this date should be 8, 12, or 16 weeks from the date of notification of issue.

The default for CD/CDAM/DTS/DTR circulation is 8 weeks.

Abstention by a P-member on committee drafts/committee draft amendments/ draft technical specifications/ draft technical reports ballots does not bar the P-member from voting on subsequent versions of the document at the same or later stages.

Consideration of successive committee drafts/committee draft amendments/draft technical specifications/draft technical reports shall continue until the substantial support of the P-members of the committee has been obtained or a decision to abandon or defer the project has been reached.

Committee drafts/committee draft amendments/draft technical specifications/ draft technical reports produced by a joint working group should be balloted by all P-members of all subcommittees formally involved in the joint work. Each P-member shall have only one vote.

### **JA.5 Votes on Draft Technical Corrigenda (DCORs)**

Consideration of a draft technical corrigendum (DCOR) is dealt with by correspondence. SC P-members and organizations in liaison are asked to submit their comments (and SC P-members their votes) by a specified date that should be no less than 12 weeks from the date of notification of issue.



**JA.6 Overview of Ballot Periods in ISO/IEC JTC 1**

The following table gives an overview of ballot periods that apply in ISO/IEC JTC 1.

<b>TYPE OF VOTE</b>	<b>DURATION</b>	<b>CROSS REFERENCE</b>
New work item proposal – JTC 1 or SC ballot	12 weeks normally	JA.2
New work item proposal from a subcommittee: JTC 1 confirmation	8 weeks	JA.2.1
Committee Draft	8, 12 or 16 weeks (the default is 8 weeks)	2.5.4, JA.4
Draft Technical Specification / Draft Technical Report	8, 12 or 16 weeks (the default is 8 weeks)	JA.4; 2.5.4
Committee Draft Amendment	8, 12 or 16 weeks (the default is 8 weeks)	JA.4; 2.5.4; 2.10.3
Draft International Standard	12 weeks (with 8 weeks translation period)	2.6.1
Fast-Track Draft International Standard	12 weeks (with 8 weeks translation period)	2.6.1; F.4.3
JTC 1 Publicly Available Specification Draft International Standard	12 weeks (with 8 weeks translation period)	2.6.1; F.4.3
Draft Amendment	12 weeks (with 8 weeks translation period)	2.6.1
Final Draft International Standard	8 weeks	2.7.1
Fast-Track Final Draft International Standard	8 weeks	2.7.1, F.4.8
JTC 1 Publicly Available Specification Final Draft International Standard	8 weeks	F.4.9(b)
Final Draft Amendment	8 weeks	2.10.3

**ISO/IEC Directives, Part 1 – Consolidated JTC 1 Supplement 2019**

Draft Technical Corrigendum	Minimum 12 weeks	JA.6
Withdrawal proposal of Stabilized Standard	4 weeks	JA 1.3
Reinstatement of withdrawn standard	12 weeks (with 8 week translation period), or 8 weeks.	2.9.6
JTC 1 Publicly Available Specification Submitter recognition	12 weeks	F.3.4.1
JTC 1 Publicly Available Specification Submitter reaffirmation	12 weeks	F.3.4.1
JTC 1 - other letter ballot periods	Minimum 12 weeks	JA.1.3
JTC 1 - default letter ballot	4 weeks	JA 1.3
JTC 1 - action between plenary meetings	8 weeks	JA.1.2
Subcommittee Programme of Work Change	4 weeks	JA.1.3
2 <sup>nd</sup> and further Draft International Standard	8 weeks Maximum 12 weeks	2.6.4
2 <sup>nd</sup> and further Draft Amendment	8 weeks Maximum 12 weeks	2.6.4
Withdrawal of standard	4 weeks	2.9.4; JA.1.3
Stabilization of standard	20 weeks (normal systematic review ballot)	2.9.5
Systematic Review	20 weeks	2.9.2

**Annex JB**  
**(normative)**  
**ITU-T and ISO/ JTC 1 Cooperation**

1. The Guide for ITU-T and ISO/IEC JTC 1 cooperation has been drafted by ISO/IEC JTC 1 and ITU-T and approved by ISO/TMB, IEC/SMB and ITU-T. The text in Standing Document 3: Guide for ITU-T and ISO/IEC JTC 1 cooperation, is identical to the text in Annex A of ITU-T Recommendation A.23.
2. It continues a long-standing agreement among the same organizations concerning collaboration methods by which ITU-T Recommendations and ISO/IEC International Standards developed in ISO/IEC JTC 1 have common texts or identical technical contents.
3. In addition to the normal liaison arrangements already in use by the three organizations and when desirable to reach common text or identical technical content in a particular area of work, ITU-T and ISO/IEC JTC 1 shall use one of two modes of closer cooperation: *collaborative interchange or a collaborative team*.
4. Collaborative interchange involves progressing the technical work on a single text in successive meetings of both the organizations involved, with synchronization of the respective commenting and approval procedures. It shall be used where the work is relatively straightforward and non-controversial, and where common participation in the meetings of the two organizations is sufficient for the interchange to be highly effective. Terms of reference for the work to be accomplished shall be agreed.
5. A single collaborative team shall be set up to progress any work requiring extended dialogue to develop solutions and reach consensus. Terms of reference for the team shall be agreed, and shall include the scope of the effort and the parent body in each organization to which the team reports. Once consensus is achieved, synchronized use is made of the approval procedures in ITU-T, IEC and ISO to achieve publication. The procedures to be followed by collaborative teams may be found in clause 8 of the JTC 1 Standing Document 3: ITU-T and ISO/IEC JTC 1 Cooperation.
6. In either collaboration mode, the approved deliverables may be published as common text (an ITU-T Recommendation and an International Standard using the presentation style specified in Appendix II of the Guide), or as twin text (an ITU-T Recommendation and an International Standard whose texts are technically aligned but not identical), in which case the approval processes do not require exact timing synchronization.
7. The ITU-T Study Group and the ISO/IEC JTC 1 Subcommittee shall agree whether no contact is needed, or liaison, collaborative interchange or a collaborative team will be used in each area of work. The mode may change during a project, again by agreement.
8. In the unusual event that either organization feels that collaboration for a given area of work should be terminated, this situation shall be immediately discussed with the other organization. If satisfactory resolution cannot be obtained, either ITU-T or ISO/IEC JTC 1 may unilaterally terminate collaboration on a project, or decide that no common text should

be published. If termination should occur, both organizations can make use of the prior collaborative work. Any work accomplished up to that point may be used by each organization.

**Annex JD**  
**(normative)**

**Matrix Presentation of Stage Codes**

**JD.1 Introduction to the Harmonized Stage Code**

The standardization process has a number of definite steps or stages which can be used both to describe the process and to indicate where in the process any one item has reached. In general terms the methods used to develop and publish standards via the formal standardization process operated by international, regional and national standards bodies are very similar no matter which body is overseeing the process. Thus, at a high level, it is possible to have a common view of the standardization process and with it a common set of stages. There are differences between the processes of individual bodies, however, and this has led to the development of different stage systems for each body.

This Harmonized Stage Code (HSC) system is used in ISO's databases for tracking standards development projects. Its purpose is to provide a common framework for the transfer of core data. The system allows tracking of the development of a given project in the same way in databases being used at international, regional and national levels and the matrix is so constructed that it can easily be adapted to new requirements.

**JD.2 Design of the stage code matrix**

A series of "stages" representing procedural sequences common to different organizations has been established. These represent the main stages of standards development.

A series of "sub-stages" has been established within each stage, using a consistent logical system of concepts. The terms "stage" and "sub-stage" are hence used to designate the respective axes of the resulting matrix.

Principal stages and sub-stages are each coded by a two-digit number from 00 to 90, in increments of 10. Individual cells within the generic matrix are coded by a four-digit number made up of its stage and sub-stage coordinates. For visual presentation (although not necessarily for the purposes of database operations), the pair of coordinates are separated by a point (e.g. 10.20 for stage 10, sub-stage 20).

All unused stage codes are reserved for future use, to allow for interpolation of additional phases that might be identified, e.g. stage codes 10, 30, 40, 50 and 80.

**JD.3 Basic guidelines for using the system**

- Other information concerning, for example, document source or document type, should be recorded in separate database fields and should not be reflected in stage codes.
- There is no sub-code to indicate that a project is dormant at any particular stage. It is recommended to use another database field to address this issue.

## ISO/IEC Directives, Part 1 – Consolidated JTC 1 Supplement 2019

- The HSC system allows for the cyclical nature of the standards process and for the repeating of either the current phase or an earlier phase. Events that may be repeated in the life of a project are recordable by repetition of the same stage codes.
- Freezing a project at any point is possible by using the code the project has reached. Projects that have been suspended should have this information recorded in a separate database field.
- The HSC system is not concerned with recording either target or actual dates for achieving stages.

ISO/IEC Directives, Part 1 – Consolidated JTC 1 Supplement 2019

Matrix presentation of project stages

STAGE	SUB-STAGE						
	00	20	60	90 Decision			
	Registration	Start of main action	Completion of main action	92 Repeat an earlier phase	93 Repeat current phase	98 Abandon	99 Proceed
00 Preliminary stage	00.00	00.20	00.60			00.98	00.99
	Proposal for new project received	Proposal for new project under review	Close of review			Proposal for new project abandoned	Approval to ballot proposal for new project
10 Proposal stage	10.00	10.20	10.60	10.92		10.98	10.99
	Proposal for new project registered	New project ballot initiated	Close of voting	Proposal returned to submitter for further definition		New project rejected	Approval to New project approved
20 Preparatory stage	20.00	20.20	20.60			20.98	20.99
	New project registered in TC/SC work programme	Working draft (WD) study initiated	Close of comment period			Project deleted	WD approved for registration as CD
30 Committee stage	30.00	30.20	30.60	30.92		30.98	30.99
	Committee draft (CD) registered	CD study/ballot initiated	Close of voting/comment period	CD referred back to Working Group		Project deleted	CD approved for registration as DIS
40 Enquiry stage	40.00	40.20	40.60	40.92	40.93	40.98	40.99
	DIS registered	DIS ballot initiated: 5 months	Close of voting	Full report circulated: DIS referred back to TC or SC	Full report circulated: decision for new DIS ballot	Project deleted	Full report circulated: DIS approved for registration as FDIS
50 Approval stage	50.00	50.20	50.60	50.92		50.98	50.99
	FDIS registered for formal approval	FDIS ballot initiated: 8 weeks. Proof sent to secretariat	Close of voting. Proof returned by secretariat	FDIS referred back to TC or SC		Project deleted	FDIS approved for publication
60 Publication stage	60.00		60.60				
	International Standard under publication		International Standard published				
90 Review stage		90.20	90.60	90.92	90.93		90.99
		International Standard under systematic review	Close of review	International Standard to be revised	International Standard confirmed		Withdrawal of International Standard proposed by TC or SC
95 Withdrawal stage		95.20	95.60	95.92			95.99

## **Annex JE (normative)**

### **Procedures for the standardization of graphical symbols**

#### **JE.1 Introduction**

This annex describes the procedures to be adopted in the submission and subsequent approval and registration, when appropriate, of all graphical symbols appearing in ISO documents.

Within ISO the responsibility for the coordination of the development of graphical symbols has been subdivided into two principal areas, allocated to two ISO technical committees:

- ISO/TC 145 – all graphical symbols (except those for use in technical product documentation) (see ISO/TC 145 website);
- ISO/TC 10 – graphical symbols for technical product documentation (tpd) (see ISO/TC 10 website).

In addition, there is coordination with IEC/TC 3 (Information structures, documentation and graphical symbols) and with IEC/TC 3/SC 3C (Graphical symbols for use on equipment).

The basic objectives of the standardization of graphical symbols are to:

- meet the needs of users;
- ensure that the interests of all concerned ISO committees are taken into account;
- ensure that graphical symbols are unambiguous and conform to consistent sets of design criteria;
- ensure that there is no duplication or unnecessary proliferation of graphical symbols.

The basic steps in the standardization of a new graphical symbol are:

- identification of need;
- elaboration;
- evaluation;
- approval, when appropriate;
- registration;
- publication.



All steps should be carried out by electronic means.

- Proposals for new or revised graphical symbols may be submitted by an ISO committee, a liaison member of an ISO committee or any ISO member organization (hereafter jointly called the “proposer”).
- Each approved graphical symbol will be allocated a unique number to facilitate its management and identification through a register that provides information that can be retrieved in an electronic format.
- Conflicts with the relevant requirements and guidelines for graphical symbols shall be resolved by liaison and dialogue between ISO/TC 145 or ISO/TC 10 and the product committee concerned at the earliest possible stage.

## **JE.2 All graphical symbols except those for use in technical product documentation**

### **JE.2.1 General**

ISO/TC 145 is responsible within ISO for the overall coordination of standardization in the field of graphical symbols (except for tpd). This responsibility includes:

- standardization in the field of graphical symbols as well as of colours and shapes, whenever these elements form part of the message that a symbol is intended to convey, e.g. a safety sign;
- establishing principles for preparation, coordination and application of graphical symbols; general responsibility for the review and the coordination of those already existing, those under study, and those to be established.

The standardization of letters, numerals, punctuation marks, mathematical signs and symbols, and symbols for quantities and units is excluded. However, such elements may be used as components of a graphical symbol.

The review and co-ordination role of ISO/TC 145 applies to all committees that undertake the responsibility for creation and standardization of graphical symbols within their own particular fields.

ISO/TC 145 has allocated these responsibilities as follows:

- ISO/TC 145/SC 1: Public information symbols;
- ISO/TC 145/SC 2: Safety identification, signs, shapes, symbols and colours;
- ISO/TC 145/SC 3: Graphical symbols for use on equipment.
















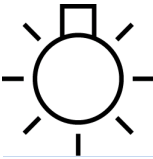
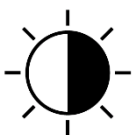


There is also liaison with ISO/TC 10 and with IEC, in particular with IEC/SC 3C, Graphical symbols for use on equipment.

Table JE.1 shows the categories of graphical symbols covered by each coordinating committee.

**Table JE.1 — Categories of graphical symbols**

	Basic message	Location	Target audience	Design principles	Overview	Responsible committee
Public information symbols	Location of service or facility	In public areas	General public	ISO 22727	ISO 7001	ISO/TC 145/SC 1
Safety signs (symbols)	Related to safety and health of persons	In workplaces and public areas	a) General public or b) authorized and trained persons	ISO 3864-1 ISO 3864-3	ISO 7010	ISO/TC 145/SC 2
Product safety labels	Related to safety and health of persons	On products	c) General public or d) authorized and trained persons	ISO 3864-2 ISO 3864-3	—	ISO/TC 145/SC 2
Graphical symbols for use on equipment	Related to equipment	On equipment	e) General public or f) authorized and trained persons	IEC 80416-1 ISO 80416-2 IEC 80416-3	ISO 7000 IEC 60417	ISO/TC 145/SC 3 IEC/TC 3/SC 3C
tpd symbols	(Product representation)	Technical product documentation (drawings, diagrams, etc.)	Trained persons	ISO 81714-1	ISO 14617 IEC 60617	ISO/TC 10/SC 10 IEC/TC 3

**Table JE.2 — Examples of different types of graphical symbols shown in their context of use**

Public information symbols	 Telephone ISO 7001 - 008	 Aircraft ISO 7001 - 022	 Sporting activities ISO 7001 - 029	 Gasoline station ISO 7001 - 009	 Direction ISO 7001 - 001
Safety signs (symbols)	 Means of escape and emergency equipment signs: E001 - Emergency exit (left hand)	 Fire safety signs: F001 - Fire extinguisher	 Mandatory action signs: M001 - General mandatory action sign	 Prohibition signs: P002 - No smoking	 Warning signs: W002 - Warning: Explosive material
Product safety labels	 Supplementary safety information (text or symbol)	 Signal Word Supplementary safety information (text or symbol)			
Graphical symbols for use on equipment	 Ventilating fan: Air-circulating fan ISO 7000 - 0089	 Parking Brake ISO 7000 - 0238	 Weight ISO 7000 - 0430	 Lamp; lighting; illumination IEC 60417 - 5012	 Brightness / Contrast IEC 60417 - 5435
tpd symbols	 Two-way valve ISO 14617-8 - 2101	 Surface texture with special characteristics ISO 1302, Figure 4			

## **JE.2.2 Submission of proposals**

Proposers shall submit their proposals on the relevant application form as soon as possible to the secretariat of the appropriate ISO/TC 145 subcommittee in order to allow for timely review and comment. It is strongly recommended that this submission be made by proposers at the CD stage, but it shall be no later than the first enquiry stage (i.e. DIS or DAM) in the case of an International Standard.

Prior to submitting a graphical symbol proposal, the proposer should:

- be able to demonstrate the need for the proposed graphical symbol;
- have reviewed the relevant ISO and/or IEC standards of graphical symbols, in order to avoid ambiguity and/or overlap with existing standardized graphical symbols, and to check for consistency with any related graphical symbol or family of graphical symbols already standardized;
- create the proposed graphical symbol in accordance with the relevant standards and instructions; these include design principles and criteria of acceptance.

## **JE.2.3 Standardization procedure for proposed graphical symbols**

Upon receipt of a proposal, the ISO/TC 145 sub-committee concerned shall review the application form, within 8 weeks, to check whether it has been correctly completed and the relevant graphics file(s) has been correctly provided. If necessary, the proposer will be invited to modify the application, and to re-submit it.

Upon receipt of a correctly completed application form, a formal review process shall be commenced to review the proposal for consistency with standardized graphical symbols, the relevant design principles and criteria of acceptance.

When this formal review process has been completed, the results shall be transmitted to the proposer, together with any recommendations. The proposer will, where appropriate, be invited to modify the proposal, and to re-submit it for a further review.

The procedures outlined on the relevant ISO/TC 145 sub-committee website shall be followed:

- ISO/TC 145/SC 1: Public information symbols ([www.iso.org/tc145/sc1](http://www.iso.org/tc145/sc1));
- ISO/TC 145/SC 2: Safety identification, signs, shapes, symbols and colours ([www.iso.org/tc145/sc2](http://www.iso.org/tc145/sc2));
- ISO/TC 145/SC 3: Graphical symbols for use on equipment ([www.iso.org/tc145/sc3](http://www.iso.org/tc145/sc3)).

These websites also provide application forms for the submission of proposals.

Graphical symbols approved by ISO/TC 145 shall be assigned a definitive registration number and included in the relevant ISO/TC 145 standard.

NOTE In exceptional cases, unregistered symbols may be included in ISO standards subject to TMB approval.

### **JE.3 Graphical symbols for use in technical product documentation (tpd) (ISO/TC 10)**

ISO/TC 10 is responsible for the overall responsibility for standardization in the field of graphical symbols for technical product documentation (tpd). This responsibility includes

- maintenance of ISO 81714-1: Design of graphical symbols for use in the technical documentation of products – Part 1: Basic rules, in co-operation with IEC;
- standardization of graphical symbols to be used in technical product documentation, coordinated with IEC;
- establishing and maintaining a database for graphical symbols including management of registration numbers.

Included is the standardization of symbols for use in diagrams and pictorial drawings.

ISO/TC 10 has allocated these responsibilities to ISO/TC 10/SC 10. The Secretariat of ISO/TC 10/SC 10 is supported by a maintenance group.

Any committee identifying the need for new or revised graphical symbols for tpd shall as soon as possible submit their proposal to the secretariat of ISO/TC 10/SC 10 for review and — once approved — allocation of a registration number.

**Annex JF**  
(normative)

**Registration Authority (“RA”) Policy**

**JF.1 Scope**

A number of International Standards developed by ISO technical committees require the assignment of unique registration elements, and describe the methodology for the assignment of these elements. The elements themselves are not part of the standard but are assigned by an appointed RA, who also maintains an accurate register of the elements that have been assigned. The RA is a competent body with the requisite infrastructure for ensuring the effective allocation of these registration elements. These bodies are designated by ISO to serve as the unique RA for particular standards, which creates a de facto monopoly situation.

This Policy is mandatory and shall be read in conjunction with Annex H of Part 1 of the ISO/IEC Directives.

Where ISO/CS becomes aware of a RA Standard that has not followed this Policy, it shall stop the publication process to allow time to implement this Policy before the RA Standard is published. For this reason committees are encouraged to make the ISO Technical Program Manager (TPM) aware of a project requiring an RA as early in the development process as possible to avoid delays in publication.

**JF.2 Definitions**

JF.2.1 RA Standard: The standard for which the RA is providing the Registration Services.

JF.2.2 Registration Services: Services provided by the RA in the implementation of the RA Standard and which shall be described in the RA Standard.

JF.2.3 Registration Authority (“RA”): Entity appointed by ISO to fulfill the Registration Services in a RA Standard.

JF.2.4 Registration Agencies: Third parties (e.g. national or regional sub-entities) to which the RA delegates part of the Registration Services. Even when delegated to Registration Agencies, the Registration Services remain under the responsibility of the RA.

JF.2.5 Registration Authority Agreement (“RAA”): Agreement based on the RAA template signed by the RA and the ISO Secretary-General on behalf of ISO, which details the functions, roles and legal obligations of the parties involved. A RAA shall be signed before a RA Standard is published (including revisions).

JF.2.6 Registration Elements: Unique elements, the methodology for which is described in the standard but which themselves are not part of the standard.

JF.2.7 Technical Programme Managers (TPM): Individual within ISO/CS assigned to work with a given committee.

## **JF.3 Procedure**

### **JF.3.1 Chronology**

This Policy addresses the various aspects of a RA in the order of the life cycle of a typical RA noting that some stages may be done in parallel. Each stage is addressed as follows:

- Identifying the need for a RA (JF.3.2)
- Drafting a RA Standard (JF.3.3)
- Selecting a RA (JF.3.4)
- Appointing a RA (JF.3.5)
- Signing the RAA (JF.3.6)
- Terminating a RA (JF.3.7)
- Implementing a RA Standard (JF.3.8)
  - — The Role of the RA (JF.3.8.1)
  - — The Role of the Committee (JF.3.8.2)
  - — The Role of the ISO Central Secretariat (JF.3.8.3)

### **JF.3.2 Identifying the need for RA**

The committee confirms its decision that a standard needs a RA for its implementation by way of a resolution.

The committee secretariat completes the RA Confirmation (“RAC”) Form (See [www.iso.org/forms](http://www.iso.org/forms).) and submits it to the TPM as soon as possible, but no later than the beginning of the preparatory (WD) stage.

### **JF.3.3 Drafting a RA Standard**

The following shall be included in all RA Standards:

- A description of the identification scheme or the mechanism for generating unique registration elements.
- A description of the Registration Services, and the responsibility of the RA for providing the Registration Services.

- The link to the page on iso.org where users can find out the name and contact information of the RA for a given standard. This should also provide links to the RA's website which contains more information on the Registration Services.

The following shall not be included in RA Standards:

- In accordance with clause 4 of the ISO/IEC Directives, Part 2, contractual or other legal elements shall not be included in the RA Standard.
- Procedures concerning the provision of the Registration Services (e.g. a Handbook made available by the RA) shall not be included in the RA Standard. These are to be publicly provided by the RA (e.g. via a website).
- The name of the RA shall not be mentioned in the RA Standard. Instead, the link to the ISO website shall be provided (see above).
- References to the selection or confirmation process for the RA shall not be included in the RA Standard.
- In case of delegation of Registration Services by the RA to third parties (e.g. national or regional sub-entities referred to as "Registration Agencies") as agreed under the RAA, the RA Standard may mention the fact that some Registration Services have been delegated. However, any further details about Registration Agencies shall not be included in the RA Standard.

The TPM is responsible for coordinating with the committee to ensure that the right elements are included in the RA Standard. Any questions about what should be included in the RA Standard are to be addressed to the TPM.

#### **JF.3.4 Selecting a RA**

The selection process of the RA applies to new RA Standards and existing RA Standards in cases where the existing RA ceases to be the RA for any reason.

In the case of revisions, the committee shall decide whether the existing RA should continue or if a selection process should be launched to select additional RA candidates. The decision to launch a selection process should be supported by a rationale. The committee shall confirm its decision by resolution.

The selection process shall be completed before the project reaches the DIS stage. It is important for the DIS to contain details about the nature of the Registration Services needed.

The committee establishes the criteria for the selection of the RA and confirms these by resolution. The minimum elements of the selection process shall be:

- Selection criteria – these shall be clearly explained and with sufficient details for possible RA candidates to assess their ability to meet the criteria and apply on this basis. Included in the selection criteria shall be the requirement that the RA provide the following information in writing:



- — Proof (e.g. Statutes) that it is a legal entity which means that is an organization formed under the laws of a jurisdiction and that it is therefore subject to governance related rules.
- — Expression of willingness to take responsibility for the Registration Services.
- — Confirmation that the RA is technically and financially able to carry out the RA Services described in the RA Standard and the RAA on an international level.
- — Expression of willingness to sign a RAA, the ISO/CS RAA template for which shall be shared with RA candidates.
- — Confirmation of whether it intends to delegate part of the Registration Services to Registration Agencies.
- — Whether it will charge fees for the services and, if it charges fees, confirmation that any such fees will be on a cost recovery basis.
- Public call for RA candidates – committees shall take the appropriate steps needed to post the call for competent RA applicants to as broad a market as possible, also targeting possible organizations by inviting them to apply.
- Evaluation – RA candidates shall provide their responses in writing. The committee (or a subset thereof) shall decide on objective evaluation criteria based on selection criteria, including the relative weight given to each selection criteria.
- Record-keeping – the committee secretariat shall keep records of all documents in the selection process, including the call for candidates, applications, evaluation, decision, etc.

The committee shall then confirm its recommendation for appointment of the organization selected to be RA via a resolution.

### **JF.3.5 Appointing a RA**

The information that is provided by the committee in the RAC (see JF.3.2 above) is needed to launch the TMB ballot appointing the RA, as well as the ISO Council ballot if the RA intends to charge fees. In the case of revisions, approval from the TMB or ISO Council is not needed if the committee decides that the same RA should continue (see JF.3.4).

The ISO/IEC Directives Part 1 state that RA may charge fees for the Registration Services subject to authorization by the ISO Council, and as long as the basis of charging fees is strictly on a cost recovery basis.

The information shall therefore be fully complete. In the case of JTC 1 RA Standards, a copy of the RAC Form shall also be provided to the IEC since RA appointments shall all be confirmed by the IEC/SMB (and Council Board) where fees are charged.

### **JF.3.6 Signing a RAA**

Only after the TMB (and Council if fees are charged) has appointed the RA (and in the case of JTC 1 RA Standards, involving the IEC) can the RAA be signed. Signing a RAA based on the ISO/CS template is mandatory for all RAs. The RAA shall be signed before publication of a new or revised RA Standard. If a RAA is not signed, the new or revised RA Standard shall not be published.

Because a RA Standard can change throughout the phases of development, the RA shall be provided with the version of the RA Standard that is ready for publication. The list of RA tasks is referenced in the RAA.

To ensure consistency and equality of treatment between the different RAs, any requested deviations from the RAA template which ISO/CS considers to be significant in nature shall be submitted to the TMB for approval.

### **JF.3.7 Terminating a RA**

Termination of RAs could occur when the RA resigns or because the committee and ISO/CS have come to the conclusion (due to withdrawal of the RA Standard, customer complaints, etc.) that the RA should no longer continue to provide the Registration Services. The committee shall notify the TPM of any issue that it becomes aware of that could lead to the end of the Registration Services by the RA.

The process detailed in JF.3.4 above should be followed in the selection of a replacement RA unless the committee has identified an alternative RA candidate that meets the selection criteria in 3.4 and going through the selection process for additional RA candidates would cause disruption in the RA Services.

The RAA defines a notice period in case of the termination of an RA. This notice period is to be used for the selection process of a new RA so that the transition from one RA to the other is seamless.

### **JF.3.8 Implementing a RA Standard**

#### **JF.3.8.1 Role of the RA**

The RA provides the Registration Services by:

- providing the Registration Services described in the RA Standard, and
- respecting the provisions of the RAA.

#### **JF.3.8.2 Role of the committee**

Although RAA are signed by the RA and by the ISO Secretary-General, the signature of a RAA by the Secretary-General binds all components in the ISO system, including ISO members and ISO committees. The central role is played by committees. In addition to identifying the need for a RA standard (3.2), drafting the RA Standard (3.3) and selecting a RA (3.4) for both new and revised RA Standards, the committee has the main responsibility for the oversight of the RA as follows:

- Answering questions: The committee shall be available to the RA to answer questions about the RA Standard and clarify any expectations regarding their role in implementing the RA Standard.
- Assessing RA's annual reports: The RAA requires RA to provide annual reports with a specified list of elements. The committee shall ensure that these annual reports are provided and shall read through them.
- Monitoring: In addition to the annual RA report, the committee shall also collect any feedback from industry and users of the RA Standard. Based on all of these elements (RA report and other feedback), the committee shall report to ISO/CS (see below).
- Reporting to ISO/CS: At least once per year and based on the information collected under Monitoring above, the committee shall provide a report to the responsible TPM using the Annual Committee Report to TPM ("ACR") Form (See [www.iso.org/forms](http://www.iso.org/forms)). The purpose of such reports is to confirm that the RA operates in accordance with the RAA or to raise any concerns (concerns can include: RA Standard not meeting industry or user needs, complaints about the quality of the Registration Services, etc.). Such reports shall be provided at least annually to the responsible TPM or more frequently if the committee deems it necessary. The TPM may also ask for ad hoc reports. If the report identifies concerns, it shall include the planned Corrective measures (see below) needed to address these concerns.
- Corrective measures:
  - By the committee: the committee is responsible for implementing the corrective measures that are within its area of responsibility. These could include: revising the RA Standard, providing advice and guidance to the RA, carrying out audits or recommending the termination of the RAA to ISO/CS in severe cases.
  - By ISO/CS: the corrective measures that fall within the responsibility of ISO/CS (e.g. updating or overseeing the RAA) will be coordinated by the TPM. The TPM may also recommend corrective measures.
  - By the RA: the RA is responsible for any corrective measure that are within its area of responsibility, which would include the Registration Services and the provisions described in the RAA.
- Dispute resolution: In case of a dispute with customers of RA Services, the RA shall act diligently to resolve it. The RA shall bring disputes that it cannot resolve to the attention of the committee (as stated in the RAA) who shall advise the responsible TPM. The role of the committee (and ISO/CS) is limited to supporting the RA address the dispute. The committee shall not take over responsibility for the dispute or become the appellate body for disputes against the RA because this may inadvertently give the impression that ISO is responsible for the Registration Services.
- Maintenance of records: All key communications and documentation from and about the RA shall be archived. The committee secretariat is responsible for ensuring that these are maintained in a separate folder on e-committees.

The committee may create a subgroup [often referred to as a Registration Management Group (“RMG”)] in order to help them with the above. Committees (either directly or through the RMG) shall not participate or get involved in providing the Registration Services.

### **JF.3.8.3 Role of the ISO/CS**

The committee’s interface with ISO/CS is through the responsible TPM. The role of the TPM includes:

- Identification of RA Standards during the development process if not done by the committee.
- Providing guidance and advice for the drafting of RA Standards.
- Training committees on the RA Policy.
- Coordination with committees to ensure compliance with the RA Policies, quality of Registration Services, appropriate handling of complaints, addressing industry and users’ needs, including addressing the concerns raised in the annual reports provided by committees (using the ACR Form) and recommending and assisting in the implementation of any corrective measures (see JF.3.8.2).
- Maintenance of records in relation to his or her involvement.

## Reference documents

The following are links to reference documents for the JTC 1 community on a number of important subjects.

- JTC 1's web page ([www.jtc1.org](http://www.jtc1.org))

- ISO/IEC Directives, Parts 1 & 2, Consolidated JTC 1 Supplement ([www.iso.org/directives](http://www.iso.org/directives)) and ([www.jtc1.org](http://www.jtc1.org))

- JTC 1 Standing Documents ([www.jtc1.org](http://www.jtc1.org))

- How to write standards  
(<http://www.iso.org/iso/how-to-write-standards.pdf>)

- Guidance on twinning in ISO standards development activities  
([http://www.iso.org/iso/guidance\\_twinning\\_ld.pdf](http://www.iso.org/iso/guidance_twinning_ld.pdf))

- Policy concerning normative references in ISO publications  
(<https://connect.iso.org/pages/viewpage.action?pageId=27592570>)

- Guidelines for the submission of text and drawings to ISO/CS  
(<http://isotc.iso.org/livelink/livelink/open/18862226>)