



ISO/IEC Directives

**Supplement —
Procedures specific to
ISO**

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Introduction (*ISO Supplement*)

0.1 What is the *ISO Supplement*?

The ISO/IEC Directives define the basic procedures to be followed in the development of International Standards and other publications. This Supplement (the *ISO Supplement*) describes procedures specific to ISO.

Part 1 of the ISO/IEC Directives, together with this Supplement, provide the complete set of procedural rules to be followed by ISO committees. There are, however, other documents to which reference may need to be made. In particular, for committees cooperating with CEN under the Agreement on technical cooperation between ISO and CEN (Vienna Agreement), reference should be made to the [Guidelines for TC/SC Chairmen and Secretariats for implementation of the Agreement on technical cooperation between ISO and CEN](#).

Attention is also drawn to the fact that these procedures do not apply to ISO/IEC JTC 1, for which reference should be made to the [ISO/IEC Directives, Procedures for the technical work of ISO/IEC JTC 1 on Information technology](#).

Additionally, it is recalled that, following a decision of the ISO Council, a new type of document, the International Workshop Agreement (IWA), has been introduced. Such documents are developed outside of ISO committee structures. The rules for developing IWA are given in Annex SJ.

Finally, it is to be noted that ISO also publishes [Technology Trends Assessments \(TTA\)](#). Such documents may be developed by pre-standardization research organizations with which ISO has a cooperation agreement, or may be developed in pre-standardization workshops. In each case, the TMB approves publication of a TTA.

0.2 The structure of the *ISO Supplement*

The clause structure of the *ISO Supplement* follows that of Part 1 of the *ISO/IEC Directives* to the first subclause level, e.g. to the level of 1.7, 2.1, etc., in order to assist in cross-relating the texts. If there are no comments (see, for example subclause 1.12), it means that there are no ISO-specific requirements or recommendations.

The annexes in the *ISO Supplement* are all unique to this Supplement and do not follow the order in the *ISO/IEC Directives*. Where a reference is to an annex in the *ISO/IEC Directives, Part 1*, this is indicated by an explicit reference.

ISO/IEC Directives — Supplement — Procedures specific to ISO

Foreword

e) Global relevance of ISO International Standards

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 developed and developing countries, in this ISO Supplement to the ISO/IEC Directives. (See 1.7, 1.8.1, 1.8.3, 1.9.2, 1.9.3, 1.9.4 and 1.14.)

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

1 Organizational structure and responsibilities for the technical work

1.1 Role of the Technical Management Board

1.2 Advisory Groups to the Technical Management Board

1.3 Joint technical work

1.4 Role of the Chief Executive Officer

1.5 Establishment of technical committees

1.5.5 In some instances, the technical management board may consider it appropriate to carry out an informal exploratory enquiry.

In the case of a proposal to establish a technical committee to prepare management system standards, see Annex SL.

Technical committees are established by the TMB on a provisional basis. Within 18 months, provisionally established technical committees are required to prepare a strategic business plan for review by the TMB (see Annex SC). The committees are formally established by the TMB at the time of acceptance of the business plan. This does not preclude the initiation of standardization projects during this 18 month period.

1.6 Establishment of subcommittees

1.7 Participation in the work of technical committees and subcommittees

In recognition of the fact that member 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, such member bodies are invited to establish twinning arrangements with P-members of relevant committees. Under such arrangements, the P-member concerned shall undertake to ensure that the views and needs of the member body with which it is twinned are communicated to and taken into consideration by the responsible ISO

committee. The twinned member body 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 member 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 member 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 member body on particular agenda items/documents and conveying those comments to the committee, including casting a vote on behalf of the twinned member body during meetings. In order to ensure the greatest possible transparency, the twinned member body should provide its positions in writing not only to the twinning partner, but also to the committee secretariat, who should verify that proxy votes cast on behalf of the twinned member are consistent with its written positions.

The details of all twinning arrangements shall be notified to the secretariat and chairman of the committee concerned, to the committee members and to ISO/CS to ensure the greatest possible transparency.

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

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

Correspondent members of ISO may register as O-members of committees but do not have the right to submit comments.

1.8 Chairmen of technical committees and subcommittees

1.8.1 Appointment

The Chairman of a TC shall be nominated by the secretariat of the TC, and approved by the Technical Management Board. The Chairman of a SC shall be nominated by the secretariat of the SC, and approved by the technical committee. The initial nomination may be for a maximum period of six years or such shorter period as may be appropriate. Successive extensions each of a maximum of three years shall be approved by the parent body (TMB in the case of a TC, TC in the case of a SC.)

The sharing of secretariats and chairmanships by developing and developed countries is strongly encouraged. Consequently, secretariats in developed countries are encouraged to consider the possibility of nominating a chairman from a developing country and secretariats in developing countries are encouraged to consider the possibility of nominating a chairman from a developed country.

1.8.2 Responsibilities

1.8.3 Vice-chairmen

Committees are encouraged to make special provisions to involve representatives from developing countries in their governance structures. This may include the creation of positions of vice-chairman, being limited to one vice-chair per committee.

When it is proposed to create a position of vice-chairman, the candidate shall be nominated by the chairman and secretariat of the committee concerned from amongst the developing countries holding P-membership (either directly or via a twinning arrangement) and shall be formally appointed by the committee. The term of office shall be three years and may be extended for successive periods of three years. The delineation of responsibilities between the chairman and vice-chairman shall be decided by mutual agreement, with the committee members being informed accordingly.

1.9 Secretariats of technical committees and subcommittees

1.9.1 Allocation (including reconfirmation and reallocation)

TC/SC secretariats, at intervals of 5 years, shall normally be subject to reconfirmation by the Technical Management Board.

If, during a year when a particular TC/SC secretariat is due for reconfirmation, TC/SC productivity data show the committee to be experiencing difficulties, this will be drawn to the attention of the Technical Management Board for decision as to whether a reconfirmation enquiry should be conducted. The allocation of those secretariats not notified for detailed examination will be reconfirmed automatically.

A reconfirmation enquiry may also be initiated at any time at the request of the Secretary-General or of a P-member of a committee. Such requests shall be accompanied by a written justification and shall be considered by the Technical Management Board which will decide whether to conduct a reconfirmation enquiry.

The enquiry shall be conducted amongst the P-members of the committee to determine whether the P-members are satisfied that sufficient resources are available to the secretariat and that the performance of the secretariat is satisfactory. Any P-member responding negatively shall be invited to indicate whether it is willing itself to accept the secretariat of the committee.

The enquiry shall be conducted by the Technical Management Board in the case of TC secretariats, and by TC secretariats in the case of SC secretariats. However, in cases where the same member body holds both the TC and SC secretariat, the enquiry shall be conducted by the Technical Management Board.

If there are no negative responses, the secretariat allocation shall be reconfirmed. All negative responses concerning both TC and SC secretariats shall be referred to the Technical Management Board for decision.

1.9.2 Responsibilities

In order to achieve greater involvement of developing countries in ISO work, the member bodies in such countries are invited to enter into twinning arrangements with member bodies holding secretariats of committees carrying out work important to their national economy. Such member bodies shall hold P-membership in the committee concerned (either directly or via a twinning arrangement). The delineation of responsibilities shall be decided by mutual agreement between the member bodies concerned, with TC/SC members as well as ISO/CS being informed accordingly.

1.9.3 Change of secretariat of a technical committee

When a member body wishing to relinquish a secretariat has entered into a twinning arrangement with a member body in a developing country, the TMB shall decide whether to offer the secretariat to the latter or whether to apply the normal procedure for reallocation of the secretariat.

1.9.4 Change of secretariat of a subcommittee

When a member body wishing to relinquish a secretariat has entered into a twinning arrangement with a member body in a developing country, the normal procedure for reallocation of the secretariat shall be carried out.

1.10 Project committees

1.11 Editing committees

1.12 Working groups

1.13 Project teams (IEC - only)

1.14 Groups having advisory functions within a committee

1.14.2 In order to achieve greater involvement by member bodies in developing countries in the governance of ISO committees, it is strongly recommended that special provisions be made to allocate places for representatives of developing countries in any advisory groups established by a committee. Those representatives shall be nominated by member bodies holding P-membership in the committee concerned (either directly or via a twinning arrangement).

1.14.3 Committees are strongly encouraged to establish such groups for assessing new work item proposals, especially with regard to the market need for new International Standards, global relevance dynamics, relationship of proposed standards to existing technical regulations and how this could affect the standards development work, and identification of relevant stakeholders (countries, stakeholder groups and specific entities) that should be engaged in the work.

1.15 Ad hoc groups

1.16 Liaison between technical committees

See [Annex SH](#) concerning coordination of the standardization of graphical symbols.

1.17 Liaison between ISO and IEC

1.18 Liaison with other organizations

1.18.1 On the first instance in which an organization applies for a liaison with an ISO committee, the Central Secretariat requests a copy of its statutes to ensure that the organization is a legal entity and that:

- it is not-for-profit;
- it is open to members worldwide or over a broad region;
- its activities and membership demonstrate that the organization has the competence and expertise to contribute to the development of International Standards or the authority to promote their implementation.

If these criteria are fulfilled, the organization is considered to be eligible for liaison (category A or B). In cases where the activities of the organization are very focused or the membership is not broadly-based, the organization would normally be offered category D liaison which would allow it to nominate experts to participate in working groups working on subjects relevant to the organization.

If necessary, the ISO Central Secretariat will consult the member body in the country where the liaison organization is based, and shall refer the application to the committee secretariat. Upon receipt of the request, the secretariat shall assess whether it is fully justified and relevant for the TC/SC, shall consult the P-members of the committee concerned and shall advise the ISO Central Secretariat of the result of this consultation. Agreement to establish the liaison requires approval of the application by two-thirds of the P-members voting, provided that the member body in the country where the organization is based does not vote negatively. If any other P-member votes negatively, and indicates that it registers sustained opposition to the establishment of the liaison, the application for liaison shall be referred to the TMB for decision.

2 Development of International Standards

2.1 The project approach

2.1.1 General

2.1.2 Strategic business plan

Annex [SC](#) describes the objectives of strategic business plans, and the procedure that applies to their development and approval.

2.1.3 Project stages

2.13.3 To facilitate the monitoring of project development, ISO has adopted a systematic approach to project management, based on subdivision of projects into stages and substages.

The project management system is associated with a detailed project tracking system that is a subset of the Harmonized Stage Code system *ISO Guide 69:1999 Harmonized Stage Code system (Edition 2) — Principles and guidelines for use*. Annex [SD](#) gives a matrix presentation of this project tracking system, with the numerical designation of associated sub-stages. A project is registered in the ISO Central Secretariat database as having reached each particular step when the action or decision indicated at that point has been taken and ISO Central Secretariat has been duly informed.

2.1.4 Project description and acceptance

2.1.5 Programme of work

The numbering scheme adopted within ISO for all working documents is defined in [Annex SE](#).

2.1.6 Target dates

2.1.6.1 General

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 ISO/CS 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, stage 10.99):

Accelerated standards development track

6 months to produce first DIS

18 months to produce FDIS

24 months to publication

Default standards development track

12 months to produce first CD

18 months to produce first DIS

30 months to produce FDIS

36 months to publication

Extended standards development track

12 months to produce first CD

24 months to produce first DIS

43 months to produce FDIS

48 months to publication

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.

2.1.6.2 Automatic cancellation of projects (and their reinstatement)

For projects approved prior to September 2003, a project shall be automatically cancelled by the Central Secretariat if

- it has not advanced at least one project stage within a period of 24 months;
- from the date of inclusion in the programme of work, it has not reached the publication stage within 60 months.

To be reinstated cancelled projects shall be submitted by the secretariat of the committee concerned to a 3 months reinstatement ballot among P-members of the committee, applying the same criteria for justification and approval as for a new work item proposal (see *ISO/IEC Directives, Part 1, 2.3*).

NOTE It is important that all requests to ISO Central Secretariat for reinstatement are accompanied by full justification.

For projects approved on or after 1 September 2003, if the target date for DIS (stage 40.00) or FDIS (stage 50.00) 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; projects at the enquiry stage: submission of a second DIS or FDIS - if the technical content is acceptable and mature;
- b) publication of a TS - if the technical content is acceptable but unlikely sufficiently mature for a future International Standard;
- c) 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;
- d) submission of a request for extension to the TMB - if no consensus can be reached but there is strong interest from stakeholders to continue;
- e) deletion 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 Central Secretariat. Projects so deleted may only be reinstated with the approval of the Technical Management Board.

2.1.7 Project Management

2.1.8 Project leader

2.1.9 Progress control

To enable ISO Central Secretariat to monitor the progress of all work and to report periodically to the Technical Management Board, the committee secretariat shall ensure that the ISO Central Secretariat is notified each time a new document is distributed.

2.1.10 Responsibility for keeping records

The responsibility for keeping records concerning committee work and the background to the publication of International Standards and other ISO deliverables is divided between committee secretariats and the ISO Central Secretariat. The maintenance of such records is of particular importance in the context of changes of secretariat responsibility from one member body to another. It is also important that information on key decisions and important correspondence pertaining to the preparation of International Standards and other ISO deliverables should be readily retrievable in the event of any dispute arising out of the provenance of the technical content of the publications.

The secretariats of committees shall establish and maintain records of all official transactions concerning their committees, in particular reference copies of approved minutes of meetings and resolutions. Copies of working documents, results of ballots etc. shall be kept at least until such time as the publications to which they refer have been revised or have completed their next systematic review, but in any case for a minimum of five years after the publication of the related International Standards or other ISO deliverable.

The ISO Central Secretariat shall keep reference copies of all International Standards and other ISO deliverables, including withdrawn editions, and shall keep up-to-date records of member body votes in respect of these publications. Copies of draft International Standards (DIS) and of final draft International Standards (FDIS), including associated reports of voting, and final proofs shall be kept at least until such time as the publications to which they refer have been revised or have completed their next systematic review, but in any case for a minimum of five years after publication.

2.2 Preliminary stage

2.3 Proposal stage

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

2.4 Preparatory stage

2.5 Committee stage

2.5.7 The secretariat shall submit the proposed draft International Standard (DIS) to the ISO Central Secretariat together with a completed explanatory report (form 8A) and the compilation of comments and actions taken in response to comments on the final CD.

2.6 Enquiry stage

2.6.4

NOTE Within ISO, a second (and subsequent) enquiry draft may be circulated either:

- for a voting period of 2 months, which may be extended to three months at the request of one or more P-members of the committee concerned, or
- for a voting period of 5 months (recommended when significant technical changes have been introduced).

2.6.6 The revised text shall be submitted to ISO Central Secretariat in electronic format together with the decision of the chairman taken as a result of the voting, using ISO Form 13, and including a detailed indication of the decisions taken for each comment as Annex B to the ISO Form 13.

2.7 Approval stage

2.8 Publication stage

2.9 Maintenance of standards [and other ISO deliverables]

2.9.1 Introduction

Every International Standard and other deliverable published by ISO or jointly with IEC shall be subject to systematic review in order to determine whether it should be confirmed, revised/amended, converted to another form of deliverable, or withdrawn, according to Table S1.

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	3 years for first review; thereafter every five years	Not limited	Not limited
Technical Specification	3 years	Not limited	Not limited
Publicly Available Specification	3 years	Once	6 years (If not converted after this period, the deliverable is proposed for withdrawal)
Technical Report	Not specified	Not specified	Not limited

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

- (all deliverables) 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
- (for International Standards and Technical Specifications) a default action by ISO Central Secretariat if a systematic review of the International Standard or Technical Specification concerned has not been initiated by the secretariat of the responsible committee, or
- (all deliverables) at the request of one or more national body, or
- (all deliverables) at the request of the CEO.

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.

2.9.2 Review

The review period is 5 months.

NOTE Systematic reviews are now administered electronically by the ISO Central Secretariat and all ISO member bodies are invited to respond to such reviews. The purpose of the reviews has been extended to include obtaining

information when member bodies have needed to make modifications in order to make ISO standards 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. The final decision, to revise, confirm or withdraw a standard, remains with the P-members of the responsible committee.

No more than 6 months after the review, the committee's decision shall be submitted by the secretariat of the technical committee or subcommittee to the committee members and to the ISO Central Secretariat using ISO Form 21.

2.9.3 Interpretation of ballot results

2.9.3.1 General

Typically, a decision as to the appropriate action to take following a systematic review shall be based on a simple majority of 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.

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, etc.

Where voting results are not definitive and/or a decision is based on interpretation of responses the secretariat may invite approval of a proposed course of action within a specified time delay, for example within two months.

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).

2.9.3.2 Interpretation of ballot results for International Standards

Option 1: Confirmation (retention without technical change)

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

- the standard has been adopted unchanged for national use, either in its original form or transformed into a national standard, in at least five countries;
- no technical change to the content is envisaged;
- a simple majority of the P-members of the committee voting propose confirmation.

Confirmation of an International Standard is subject to **all** criteria being met. Where this is not so, the publication concerned shall either be subject to amendment or revision, or withdrawn.

In some cases an error may be found in the course of the systematic review that requires correction before confirmation. Such corrections shall be progressed as Technical Corrigenda as specified in *ISO/IEC Directives, Part 1, 2.10.2*.

Option 2: Amendment or revision (Retention, with change/s)

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 has been adopted as the basis for a national standard, with or without change, in at least five countries;
- one or more countries have identified significant reason(s) for change.

If a simple majority of the P-members of the committee considers there is a need for amendment or revision an item may be registered as an approved work item (stage 20.00). In such cases the original 5 month period defined for the systematic review is considered sufficient, and no additional vote for a new work item is required to approve the establishment of a revision or amendment. In other cases, a detailed justification shall be included with any proposals for amendment or revision. 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. When it is eventually proposed for registration at stage 20.00, reference shall be made to the results of the preceding systematic review.

Where it is decided that the International Standard needs to be revised or amended, it becomes a new project and shall be added to the programme of work of the technical committee or subcommittee. The steps for revision or amendment are the same as those for preparation of a new standard, and include the establishment of target dates for the completion of the relevant stages. An amendment or revision shall be progressed as specified in *ISO/IEC Directives, Part 1, 2.10.3*.

Option 3: Withdrawal

In the case of the proposed withdrawal of an International Standard, the national bodies shall be informed by the CEO of the decision of the technical committee or subcommittee, with an invitation to inform the office of the CEO within 3 months if they object to that decision. This 3 month period may be extended to 5 months at the request of one or more national bodies.

Any objection received shall be referred to the Technical Management Board for decision.

2.9.3.3 Conversion to an International Standard (Technical Specifications and Publicly Available Standards only)

In addition to the three basic options of confirmation, amendment or revision, or withdrawal, in the cases of the systematic review of Technical Specifications and Publicly Available Standards a fourth option is their 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.

The conversion procedure will typically start with a DIS vote. Where changes considered to be required are judged as being so 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 Reinstatement of withdrawn standards

If, following withdrawal of an International Standard, a committee determines that it is still needed, it may propose that the standard be reinstated. The standard shall be issued either as a draft International Standard or as a final draft International Standard, as decided by the committee, for voting by the member bodies. The usual approval criteria 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 Technical corrigenda and amendments

2.11 Maintenance agencies

2.12 Registration authorities

2.13 Copyright

2.14 Reference to patented items

All working drafts and committee drafts shall include a note referring to the possible existence of patent rights, as follows:

- a) when no patent rights have been identified:

“Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any and all such rights.”

- b) when patent rights have been identified:

“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 shall not be held responsible for identifying any and all such rights.”

3 Development of other deliverables

3.1 Technical Specifications

3.2 Publicly Available Specifications (PAS)

3.3 Technical Reports

4 Meetings

4.1 General

4.2 Procedure for calling a meeting

For information relating to hosting meetings, refer to Annex SF.

4.3 Languages at meetings

4.4 Cancellation of meetings

4.5 Distribution of documents

For requirements relating to document distribution, refer to [Annex SB](#). A copy of the agenda and calling notice for a committee meeting shall be made available to the ISO Central Secretariat for information.

5 Appeals

5.1 General

5.2 Appeal against a subcommittee decision

5.3 Appeal against a technical committee decision

5.4 Appeal against a Technical Management Board decision

5.5 Progress of work during an appeal process

Annex F

F.2.3 Fast-track procedure

Within ISO, the voting period on a proposal submitted as a final draft International Standard shall be 5 months.

Annex SA (normative)

Basic reference works and information resources

SA.1 Introduction

The following listing identifies basic reference works that committee chairmen and secretariats should have available to them to facilitate the effective support of their respective roles. The listing is divided into that material which is considered to be an essential, and that which will be useful in specific circumstances. Much of this material is available for download from one or more of the information resources listed under SA.4. Some material may only be available in electronic format.

This listing should not be presumed as being exhaustive, given that materials may be modified or added.

For reference works relating to the drafting of standards, reference should be made to the ISO/IEC Directives, Part 2.

SA.2 Works considered to be essential

- [ISO/IEC Directives, Part 1: Procedures for the technical work^{1\)}](#)
- [ISO/IEC Directives, Part 2: Rules for the structure and drafting of International Standards](#)
- [ISO Supplement — Procedures specific to ISO^{1\)}](#)

SA.3 Other works

- ISO Memento
- [Guidelines and policies for the protection of ISO's intellectual property \(ISO/GEN 09\)](#)
- [ISO Guide 69:1999 Harmonized Stage Code system \(Edition 2\) — Principles and guidelines for use](#)
- Guidelines for the preparation and submission of texts
- Guidelines for the preparation and submission of graphics
- [Model manuscript of a draft International Standard \(known as "The Rice Model"\)](#)
- [Guidelines for TC/SC Chairmen and Secretariats for implementation of the Agreement on technical cooperation between ISO and CEN \(Vienna Agreement\)](#)

1) These documents will also be available as a single consolidated document.

SA.4 Information resources

SA.4.1 [ISO Online \(www.iso.org\)](http://www.iso.org)

ISO Online is the principal ISO site providing a wide range of information on ISO and its activities. It is strongly recommended that this site is visited and explored as a means of obtaining a good overview of ISO and international standardization. In addition to information on ISO, its members and committees, international standardization and its importance to global trade, and ISO's products, the site also provides access to the ISO/IEC Directives and related documents.

SA.4.2 Other

All draft and current strategic business plans may be viewed online at <http://www.iso.org/bp>.

All forms and standard letters are available for download from <http://www.iso.org/forms>.

Annex SB (normative)

Document distribution

SB.1 Document distribution

Details showing document distribution are shown in the table.

SB.2 Electronic notifications of document delivery

The information included in electronic notifications of document availability shall comprise

— **Subject line:** committee reference

— **Content** (the precise format may vary):

- 1) N-number
- 2) Official ISO reference number (e.g. CD 1234 for a committee draft, NP 2345 for a new work item proposal)
- 3) Title of the document
- 4) Expected action
- 5) Due date for expected action
- 6) Type of document (information, ballot, comment, notice of meeting, etc.)
- 7) Date and location, if it is a meeting document
- 8) Note field, for special information related to a particular document
- 9) Hyperlink to the document

NOTE For further information on the electronic exchange of documents and other uses of computing and communications to support standards development in ISO, reference may be made to the ISO eServices section of ISO Online.

Annex SC (normative)

Strategic business plans

SC.1 Objectives of a TC strategic business plan

- 1) To demonstrate in an objective manner the specific benefits which result from, or are expected from, the work of this ISO/TC.

NOTE 1 These benefits can vary significantly between different fields in which committees are involved: they can be economic (cost savings, reduced time to market, easier access to certain regional markets, lower sales prices), they can be social (improvement of safety for workers, measured in the reduction of accidents) or they can be the improvement of the environmental impact, for example.

- 2) To support prioritization and to improve the management of the technical work in a committee.

NOTE 2 This includes the definition of target dates and the planning of resources for the work of the technical committee (and its SCs) in relation to the development of new and the maintenance of existing documents.

- 3) To increase the transparency in relation to the market forces and the percentage of market share represented within a committee.

All draft and current strategic business plans may be viewed online at <http://www.iso.org/bp>.

SC.2 Development tools and additional guidance

To facilitate the preparation of strategic business plans, ISO Central Secretariat has developed a document template. This template and additional guidance may be downloaded from the ISOTC server.

SC.3 Procedure for the development of a strategic business plan

SC.3.1 The committee secretary, in cooperation with some committee members and/or the committee chairperson, shall prepare a draft SBP. The draft SBP may be submitted to a TC internal consultation. Alternatively, the TC internal consultation may be conducted in parallel with the public review (see SC.3.3).

SC.3.2 The Technical Management Board shall review the draft SBP, taking into account the set of minimum requirements approved for SBPs (see Table SC.1). If a draft SBP does not meet the defined requirements, it shall be rejected and returned to the TC secretariat for improvement.

SC.3.3 The draft SBP is made available to the general public for review and comment on a publicly accessible server (<http://www.iso.org/bp>) by ISO Central Secretariat for a three-months period. In parallel to this public review a full scale committee internal review may be conducted (alternatively, the committee consultation may have been conducted prior to submitting the draft SBP for public comment). Member bodies are encouraged to inform the interested public in their countries of the availability of the SBPs for public review and, if appropriate, to set links to the SBPs on the ISO server. The comments received during this period shall be reviewed by the committee in the process of preparing a final version of the TC SBP.

SC.3.4 The final and approved SBP is made available publicly on an ISO server (<http://www.iso.org/bp>) for the duration of its validity.

Table SC.1 — Requirements for business plans of ISO technical committees

Item	Description of Requirements	Score
1	Descriptions of relevant dynamics in the business environment related to the work of the ISO committee, and quantitative indicators of trends in this business environment and the acceptance and implementation of the ISO committee's standards.	1 to 5
2	Descriptions of tangible benefits that the standardization programme is expected to achieve for the business environment.	1 to 5
3	Descriptions of identified objectives of the ISO committee and strategies to achieve those objectives. This should include descriptions of specific actions that will be taken or that will be proposed to the ISO committee to better respond to the needs and trends of the business environment.	1 to 5
4	Descriptions of factors that may negatively impact the ISO committee's ability to achieve its objectives and implement its strategies, including information on the representation of the major market forces in the committee (geographically as well as by type, e.g. manufacturer, government, etc.).	1 to 5
5	<p>Objective information regarding the ISO committee and its work programme that is required:</p> <ul style="list-style-type: none"> — title, and scope of the committee — names of the chairman and secretary; — time allocated to the ISO committee by the chair and secretary; — designation, title and current ISO stage for each project in the work programme; — priorities assigned to projects in the work programme (if the committee assigns priorities) with an explanation of the reasons/process for prioritization; — relationships of projects to European regional standardization (CEN); — target dates for each project, and explanations of any over-run target dates; and — time allocated to each project by working group convenors, project leaders/editors and for translation. 	<p>No score</p> <p>Mandatory information</p>

Annex SD (normative)

Matrix presentation of project stages

STAGE	SUB-STAGE						
	00 Registration	20 Start of main action	60 Completion of main action	90 Decision			
				92 Repeat an earlier phase	93 Repeat current phase	98 Abandon	99 Proceed
00 Preliminary stage	00.00 Proposal for new project received	00.20 Proposal for new project under review	00.60 Close of review			00.98 Proposal for new project abandoned	00.99 Approval to ballot proposal for new project
10 Proposal stage	10.00 Proposal for new project registered	10.20 New project ballot initiated	10.60 Close of voting	10.92 Proposal returned to submitter for further definition		10.98 New project rejected	10.99 Approval to New project approved
20 Preparatory stage	20.00 New project registered in TC/SC work programme	20.20 Working draft (WD) study initiated	20.60 Close of comment period			20.98 Project deleted	20.99 WD approved for registration as CD
30 Committee stage	30.00 Committee draft (CD) registered	30.20 CD study/ballot initiated	30.60 Close of voting/comment period	30.92 CD referred back to Working Group		30.98 Project deleted	30.99 CD approved for registration as DIS
40 Enquiry stage	40.00 DIS registered	40.20 DIS ballot initiated: <i>5 months</i>	40.60 Close of voting	40.92 Full report circulated: DIS referred back to TC or SC	40.93 Full report circulated: decision for new DIS ballot	40.98 Project deleted	40.99 Full report circulated: DIS approved for registration as FDIS
50 Approval stage	50.00 FDIS registered for formal approval	50.20 FDIS ballot initiated: <i>2 months</i> . Proof sent to secretariat	50.60 Close of voting. Proof returned by secretariat	50.92 FDIS referred back to TC or SC		50.98 Project deleted	50.99 FDIS approved for publication
60 Publication stage	60.00 International Standard under publication		60.60 International Standard published				
90 Review stage		90.20 International Standard under periodical review	90.60 Close of review	90.92 International Standard to be revised	90.93 International Standard confirmed		90.99 Withdrawal of International Standard proposed by TC or SC
95 Withdrawal stage		95.20 Withdrawal ballot initiated	95.60 Close of voting	95.92 Decision not to withdraw International Standard			95.99 Withdrawal of International Standard

Annex SE (normative)

Numbering of documents

SE.1 Working documents (including committee drafts)

SE.1.1 TC and SC documents

Each document (including committee drafts — see also SE.2) relating to the work of an ISO technical committee or subcommittee which is circulated to all or some of the member bodies shall bear, at the top right-hand corner of recto pages and at the top left-hand corner of verso pages, a reference number made up according to the rules set out below. The first page of the document shall also bear, immediately under the reference number, the date, written in accordance with ISO 8601 (*Data elements and interchange formats — Information interchange — Representation of dates and times*), on which the document was compiled.

Once a reference number is used for a working document, it shall not be used again for a document with differing wording and/or different contents. The same number may be used for a proposal and a voting form (optional). If a document replaces an earlier one, the first page of the new document shall bear, immediately under the reference number, the reference number(s) of the document(s) it replaces.

The reference number is made up of the following two parts separated by the letter N:

- 1) the number of the technical committee (TC) and, when applicable, the number of the subcommittee (SC) to which the working document belongs;
- 2) an overall serial number.

Thus, for a working document pertaining to a technical committee the reference number is made up as follows:

ISO/TC a Nn

For a working document pertaining to a subcommittee, it is made up as follows:

ISO/TC a/SC b Nn

where **a** stands for the number of the technical committee, **b** for the number of the subcommittee, and **n** for the overall serial number.

Reference within the number itself to the party originating the document (secretariat, member body, etc.) is not required; it is, however, recommended that the originator of the document be indicated underneath the title of the document where this is not otherwise apparent.

The overall serial number is assigned by the secretariat of a technical committee for all the working documents bearing the reference of this technical committee and by the secretariat of a subcommittee for all the documents bearing the reference of this subcommittee.

On the first page of a working document, it is recommended to make the overall serial number stand out, giving the figures a height of 6 mm to 10 mm.

EXAMPLE 1

ISO/TC 108 N **14** or ISO/TC 108 N **14**

ISO/TC 68/SC 3 N **25** or ISO/TC 68/SC 3 N **25**

The language of working documents may be indicated by adding the letter E, F or R, for English, French or Russian respectively.

EXAMPLE 2

ISO/TC 17 N **168 E** or ISO/TC 17 N **168 E**

ISO/TC 3/SC 2 N **28 F** or ISO/TC 3/SC 2 N **28 F**

ISO/TC 156/SC 3 N **5 R** or ISO/TC 156/SC 3 N **5 R**

Reference numbers of working documents, when they are quoted and repeated frequently, may be abbreviated by deleting the letters ISO, TC and SC.

EXAMPLE 3

ISO/TC 52 N 46 becomes 52 N 46

ISO/TC 22/SC 7 N 34 becomes 22/7 N 34

When enumerating documents which concern the same technical committee or subcommittee, it is not necessary to repeat the number of this committee.

EXAMPLE 4

documents 53 N 17, 18, 21

documents 86/2 N 51, 52, 60

SE.1.2 Working group documents

While the basic principles of the numbering system described in SE.1.1 may be useful for good order in the work of working groups, convenors of working groups are asked to bear in mind the need for speed and flexibility in their work. Any application of these rules which leads to delay is undesirable (e.g. it should not be necessary for the convenor to attribute a number to a document circulated by a working group member directly to the other working group members). However, see also SE.2.

SE.2 Working drafts (WD), committee drafts (CD), draft International Standards (DIS), final draft International Standards (FDIS) and International Standards

When a new project is registered by ISO Central Secretariat (see 2.3.5), the latter will allocate an ISO number to the project. The number allocated will remain the same for the ensuing WD, CD, DIS and FDIS and for the published International Standard. The number allocated is purely a registration and reference number and has

no meaning whatsoever in the sense of classification or chronological order. The number allocated to a withdrawn project or International Standard will not be used again.

If the project represents a revision or amendment of an existing International Standard, the registered project will be allocated the same number as the existing International Standard (with, in the case of an amendment, a suffix indicating the nature of the document).

If, however, the scope is substantially changed, the project shall be given a different number.

Successive WDs or CDs on the same subject shall be marked “first working draft”, “second working draft”, etc., or “first committee draft”, “second committee draft”, etc., as well as with the working document number in accordance with SE.1.

Successive DIS on the same subject will carry the same number but will be distinguished by a numerical suffix (.2, .3, etc.).

Annex SF (normative)

Hosting meetings

SF.1 Who may host an ISO meeting?

Meetings may be hosted by:

- any ISO member (member body, correspondent member, subscriber member);
- any liaison member of the committee concerned.

It is not necessary for a host to be a direct participant in the work of the committee concerned, although that will typically be the case.

A potential host 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 some cases it may be necessary for special permission to be obtained for attendance — wherever possible the host should assist in determining if this is the case, but it is the joint responsibility of the secretariat or group leader, and the participant to determine any restrictions.

Given that some hosts may not have sufficient meeting facilities and/or other resources of their own, the main host — say an ISO member — may accept an invitation from another organization to assist by, for instance, providing a meeting location or organizing a welcoming event.

Irrespective of the actual host of a meeting, responsibility for the meeting concerned rests with the secretary (in the case of a technical committee or subcommittee, or similar groups) or group leader (in the case of working groups, ad-hoc groups, etc.). Thus, potential hosts should liaise directly with these individuals.

SF.2 Sponsorship of meetings

Large ISO meetings can be expensive and/or complicated to stage and support, and the resource requirements may exceed those that an ISO member can itself provide. It is therefore acceptable for a meeting to have one or more sponsors contributing to its organization and cost. Nevertheless, whilst it is acceptable for sponsors to be identified, and for their support to be recognized in the meeting, an ISO meeting shall not be used as an opportunity for the promotion for commercial or other reasons of the products or services of any sponsor (see also “Fees for delegates at ISO meetings”).

SF.3 Proposing or withdrawing support as a meeting host

The *ISO/IEC Directives, Part 1*, request that the following advance notice be given:

Meeting of ...	Advance notice of meeting date	Advance notice of meeting location
Technical committee or subcommittee	2 years	4 months
Working group	—	6 weeks

In general, the more notice the better in order that participants may make appropriate travel and business arrangements, and also obtain briefing, where appropriate.

If a host finds that they need to withdraw an offer, these notice periods should also be respected.

SF.4 Meeting locations

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.

SF.5 Facilities to provide at meetings

Any member body offering to host an ISO technical committee or subcommittee meeting undertakes to provide appropriate meeting facilities, including any provisions for interpretation (see SF.6), for the TC/SC, taking into account the normal attendance at such meetings and any requirements foreseen by the committee secretariat for facilities for parallel meetings (for example, of working groups, ad hoc groups or the drafting committee). The working facilities required during a meeting (i.e. additional to rooms) will vary from group to group. For TCs and SCs they will normally include word processing, printing, and photocopying facilities. Administrative support may also be needed. The host may be requested, but shall not be obliged, to provide separate facilities serving as the “chairman’s” or “secretariat” room.

The exact requirements should be determined by the committee secretariat or group leader. Some committee secretariats develop and maintain a standing document to advise member bodies of the facilities that will be required of any potential host of a meeting of the committee, which ensures clear understanding of what will be required. The host of a working group is also expected to provide all basic working facilities.

SF.6 Interpretation facilities at meetings

The chairman 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, as appropriate. The official languages at meetings are English, French and Russian, and meetings are conducted in any one or more of these. The typical language combinations are English and French, or English only. In the latter case, French may only be omitted with the explicit agreement of the francophone member(s). Thus, there may be an obligation on the host to provide interpretation between English and French. This needs to be determined in advance. Potential hosts may need to seek assistance from ISO Central Secretariat or from other P-members. The national body for the Russian Federation provides all interpretation and translation into or from the Russian language.

So far as the capabilities of translators (when required) are concerned, the guidance is:

- for meetings where final decisions on draft standards are expected to be taken, the services of an adequately qualified interpreter are generally required;
- meetings where “intermediary” or procedural decisions are expected to be taken, brief interpretation may be provided by a member of the secretariat or a volunteer delegate;
- 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.

SF.7 Welcoming activities and social events

ISO is widely recognized and respected. It is therefore not unusual for formal ceremonies to be associated with, for example, the opening of a technical committee meeting. Such events are acceptable, but their incorporation within the meeting period is entirely at the option of the host, and typically subject to the approval of the secretary and chairman of the group/s concerned.

A host may also offer social events of one kind or another, perhaps with the aid of co-sponsors. As for welcoming events, social events are entirely optional (see also SF.8).

It is recognized that the inclusion of welcoming and social events significantly increases the time and cost, etc. of organizing a meeting. It may also increase the cost of participation. Given the pressures on the resources of all participants there is merit in the simplification of meetings. Above all, meetings must not become “competitive” events so far as hosts are concerned, in the sense that no host shall feel obliged, in any respect, to equal or exceed the welcoming and/or social facilities offered at any previous meeting.

SF.8 Fees for delegates at ISO meetings

Accredited delegates shall not be obliged to pay a fee as a condition of their participation in ISO meetings. However, in very exceptional cases (e.g. large and complex meetings), some charging mechanism may be necessary, but such mechanisms shall be approved on a case-by-case basis by the Secretary-General of ISO.

There is no obligation on a host to provide social functions during ISO meetings but if a committee requests a host to organize social functions, the host shall have the right to require that the costs of holding such functions be borne by the delegates participating therein.

SF.9 Press attendance at ISO meetings

Interest by the press or other media in ISO work is to be welcomed and the ISO Central Secretariat and many ISO member bodies have public relations and promotion services able to provide information to the press concerning ISO, ISO standards, and work in progress.

In recent years, there has been a growing interest on the part of some of the press to be present during meetings of particular ISO committees. Whilst this interest is, again, welcome, the presence of the press during an ISO meeting may inhibit the free and open discussion of issues. For this reason, members of the press shall not be permitted to be present during working sessions of ISO meetings. However participation by members of the press may be permitted during opening and closing ceremonies of ISO plenary meetings.

When members of the press express interest in a particular ISO meeting, therefore, appropriate arrangements should be made to hold press conferences and briefings outside the meeting sessions.

SF.10 Tape recording at ISO meetings

The tape recording (or similar recording) of ISO meetings by the committee secretary is acceptable provided that at the outset of the meeting all participants are made aware that the meeting will be recorded and there are no objections. Individual participants shall have the right to require that the means of recording are switched off during a particular intervention if he or she so desires.

Such recordings are intended to aid the meeting secretary in preparing the minutes/report of the meeting. They may also be used to resolve disputes concerning what occurred at a meeting, which, in some instances, may require the preparation of transcripts of the recording.

The recordings and any transcripts are the property of the meeting secretary, who is expected to respect the confidentiality of ISO meetings. The recordings and transcripts shall accordingly not be divulged to third parties and should preferably be destroyed once the minutes have been approved.

Annex SG (normative)

Second (and subsequent) language texts for ISO standards

SG.1 Introduction

Annex E of the *ISO/IEC Directives, Part 1*, specifies the general policy on the use of languages as applied in ISO. This annex describes additional requirements concerning obtaining second and subsequent language texts. (English, French and Russian are the official ISO languages.)

SG.2 English and French

SG.2.1 Responsibilities

It is the responsibility of the ISO committee secretariat to obtain (but not necessarily themselves prepare) texts in English and French for all ISO-only and ISO-lead (Vienna Agreement) projects, unless one of these language versions is not to be published (see SG.5). Translation of documents into English or French is typically (but not exclusively) carried out by the translation department of the member body of the UK (BSI) for English or France (AFNOR) for French, or by agents nominated to act on their behalf. Other options are possible (see *ISO/IEC Directives — Part 1, Annex E*).

SG.2.2 Equivalence of texts

The secretariat of a technical committee or subcommittee is responsible for ensuring the equivalence of the English and French texts during the development of an ISO deliverable, if necessary with the assistance of experts in the language(s) concerned. A recommended way of ensuring equivalence of texts is to establish a multilingual editing committee.

SG.2.3 Timing of preparation of texts

The ISO/IEC Directives note that the concomitant preparation of language versions is with advantage started as early as possible in the development cycle. It is preferable, but not required, that Committee Drafts are available in all envisaged language versions. Apart from aiding comprehension during development, this also serves to help avoid preparation-related delays at later stages.

Where a second language version is required, TC and SC secretariats shall provide the member body responsible for the second language with a copy of the first language version no later than when it submits the text to ISO Central Secretariat for processing as a DIS, such action being notified in writing.

SG.2.4 Delays in receiving language versions

In the case where a second language version of an Enquiry Draft (DIS) is not available at the time the first language version is sent to ISO Central Secretariat, if the second language version is not available within 60 days of the submission of the original text, ISO Central Secretariat is authorized to proceed with DIS voting and subsequent publication of the approved international standard in one language, the second language version being published when it becomes available.

If two or more language versions were circulated at the DIS Stage, then they should also normally be circulated simultaneously at the FDIS Stage, for final voting.

SG.2.5 Updating language versions after ballot

In the case of preparation of a second or subsequent DIS, or the FDIS text, in order to facilitate the preparation of the second language text (where required), TC and SC secretariats should preferably provide the member body responsible for the second language version with a marked-up copy of the revised first-language DIS showing the changes to be made.

SG.3 Russian

It is the responsibility of the Russian member body to determine those cases for which they consider a Russian version to be appropriate, and to provide all translation into or from the Russian language. ISO does not itself typically publish Russian-language versions of International Standards, except in those cases where Russian is one of the languages in a multilingual document, such as a vocabulary. In the case of the revision of a text with a corresponding Russian version, the committee secretariat shall liaise with the Russian member body to determine what is required.

SG.4 Other languages

In the case of some multilingual documents, such as vocabularies or lists of equivalent terms, languages other than the official languages of ISO may be included. In such cases it is the responsibility of the committee secretariat to ensure that these language versions have been prepared and validated by those having an appropriate level of skill in the language(s) concerned.

In those cases where an ISO project is a joint project with CEN under the *Agreement on technical cooperation between ISO and CEN (Vienna Agreement)*, the preparation of a German version is a requirement. For more guidance reference should be made to the separate [Guidelines for TC/SC Chairmen and Secretariats for implementation of the Agreement on technical cooperation between ISO and CEN \(Vienna Agreement\)](#).

SG.5 Single-language versions

It may exceptionally be proposed that an international document need only be developed in a single language, perhaps where there is only a limited interest in — say — francophone countries. Where this is envisaged, the explicit approval for progression as a single language version needs to be obtained as soon as possible. It may be useful, for example for future reference, if a formal record of the decision is obtained. Further language versions can always be prepared as a translation of the published text.

SG.6 Translations

Under the terms of the ISO Statutes, as supplemented by the agreement ISO policies and procedures for copyright, copyright exploitation rights and sales of ISO publications (ISO POCOSA), the member bodies of ISO may, under their sole responsibility, prepare translations into other languages of certain ISO publications and documents.

Annex SH (normative)

Procedures for the standardization of graphical symbols

SH.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.

SH.2 All graphical symbols except those for use in technical product documentation

SH.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.















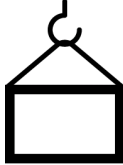
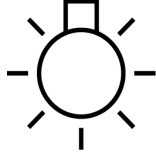
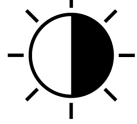


There is also liaison with ISO/TC 10 and with IEC, in particular with IEC/SC 3C, Graphical symbols for use on equipment.

Table SH.1 shows the categories of graphical symbols covered by each coordinating committee.

Table SH.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	a) General public or b) 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	a) General public, or b) 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 SH.2 — Examples of different types of graphical symbols shown in their context of use

<p>Public information symbols</p>	 Telephone ISO 7001 – 008	 Aircraft ISO 7001 – 022	 Sporting activities ISO 7001 – 029	 Gasoline station ISO 7001 – 009	 Direction ISO 7001 – 001
<p>Safety signs (symbols)</p>	 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
<p>Product safety labels</p>	 Supplementary safety information (text or symbol)	 Signal Word Supplementary safety information (text or symbol)			
<p>Graphical symbols for use on equipment</p>	 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
<p>tpd symbols</p>	 Two-way valve ISO 14617-8 – 2101	 Surface texture with special characteristics ISO 1302, Figure 4			

SH.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.

SH.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 two months, 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);
- ISO/TC 145/SC 2: Safety identification, signs, shapes, symbols and colours (www.iso.org/tc145/sc2);
- ISO/TC 145/SC 3: Graphical symbols for use on equipment (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.

SH.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, co-ordinated 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 SI (normative)

Procedure for the development of International Workshop Agreements (IWA)

SI.1 Proposals to develop IWAs

A proposal to hold an ISO workshop for the purpose of developing one or more IWAs on a particular subject may come from any source, including ISO member bodies, liaison organizations, corporate bodies etc. An organization that is not an ISO member body or liaison organization, or is not international in scope, shall inform the ISO member body in its country of its intent to submit such a proposal.

Whenever practicable, proposers shall provide details concerning:

- Purpose and justification of the proposal;
- Relevant documents; and
- Cooperation and liaison,

in accordance with the ISO/IEC Directives, Part 1, Annex C.

Additionally, wherever possible, proposals shall include indication of an ISO Member Body willing to provide secretariat support to the IWA Workshop. If it is considered likely that participation in the workshop will need to be limited (see SJ.5.2), this shall also be indicated.

In some circumstances, it may be considered that several meetings may be needed in order to reach a consensus. In such cases, the proposer is encouraged, or may be required by the Technical Management Board, to develop a business plan which would give details concerning meeting schedules, expected dates of availability of draft documents, the possibility that a workshop may establish project teams to progress work between meetings of the workshop, the expected date of availability of any IWA, etc.

SI.2 Review of proposals

Proposals will be referred to the Technical Management Board for approval. If the proposal is accepted, the TMB will initiate consultations with member bodies to identify a candidate willing to act as the organizer and to provide administrative and logistics support to the proposer. Preference will normally be given to:

- The member body from the country of the proposer, if the proposer is not a member body; or
- Member bodies holding secretariats in fields related to that covered by the proposal.

If there is more than one offer, the TMB will formally designate the member body assigned to act as the workshop secretariat. The assigned ISO member body may establish financial arrangements with the proposer to cover administrative and logistics support costs for the workshop. If a member body is not willing to act as workshop secretariat, the ISO/TMB may authorize the ISO Central Secretariat to fulfill this role, provided all associated costs are recovered by workshop registration fees.

An informative checklist for estimating IWA workshop costs is provided in SI.10.

The workshop secretariat and the proposer shall designate the chairman of the workshop

SI.3 Announcement

Once the workshop secretariat and the proposer have agreed on a date and venue for the first meeting of the workshop, these shall be communicated to the ISO member bodies. These details shall be further announced by the workshop secretariat, the ISO Central Secretariat and by any other interested member bodies in the most appropriate way(s) to achieve the widest possible circulation (e.g. a publicly accessible website). This may include a number of different announcement options and media, but the intent is to ensure that the broadest range of relevant interested parties worldwide are informed of the workshop and have the opportunity to attend.

The proposer and workshop secretariat will ensure that any ISO committees with projects relevant to the subject will be invited to be represented at the workshop.

A registration fee may be applied to help support preparation and hosting of the workshop. Any registration fees shall be stated in the workshop announcement.

NOTE When the subject matter of a workshop is likely to be of interest to developing countries, it is recommended either that a funding mechanism other than a registration fee be applied to facilitate participation from such countries, or that a number of “free” registrations be permitted.

The announcement shall be made at least 90 days in advance of the agreed date to allow potential attendees adequate time to plan on attending the workshop. The announcement shall be accompanied by a registration form to allow potential participants to register for the workshop. Registration forms shall be returned to the workshop Secretariat.

SI.4 Workshop information

A workshop programme detailing workshop objectives, deliverables, agenda, draft documents and any other relevant details for the workshop shall be available, and circulated to registered participants, no later than six weeks prior to the workshop date. Registered participants may submit their own contributions to the workshop secretariat for further distribution to other participants.

SI.5 Participation

SI.5.1 Workshop chairmen

The proposer and workshop secretary shall designate the chairman of any particular workshop. The chairman shall act in a purely international and neutral capacity and in particular shall

- Ensure that all points of view expressed during a workshop are adequately summed up so that they are understood by all present,
- Conduct the workshop with a view to reaching consensus,
- Ensure that all decisions are clearly formulated and, if needed, made available to the participants before closure of the meeting of the workshop.

SI.5.2 Registered participants

Any organization may register as a participant in a workshop and participation will be open to the registered participants only. Participants are not required to be appointed by the ISO member body in their country.

The workshop secretariat, chairman and proposer shall endeavour to ensure that the broadest range of interests is represented in any workshop and that there is an appropriate balance of representation. If needed, this may require that some limitation be placed on participation (for example no more than two registered participants from the same corporate body or organization). If the need to limit participation is expected at the

outset, this shall be indicated in the proposal submitted to the Technical Management Board. If a need for limitation becomes apparent after announcement of the workshop, this shall be authorized by the TMB secretariat following consultation with the TMB chairman and, if needed, other TMB members.

SI.5.3 Project teams

In cases in which more than one meeting will be required to reach consensus, a workshop may establish one or more project teams to progress work between meetings of the workshop. The workshop shall designate the membership of such project teams, ensuring that their working methods will allow all interests to participate fully.

SI.6 Workshop procedures and management oversight

Workshops will be permitted to work in a practically autonomous manner using very flexible procedures.

However, there are a number of general ISO policies which need to be respected, in particular those concerning intellectual property rights and the use of SI units. It shall be the responsibility of the workshop secretariat to ensure that the appropriate policies are known to registered participants and are respected.

Management oversight will be kept to the minimum required to ensure coordination with existing standardization activities if relevant and to ensure that appropriate resource is provided by the ISO system. It will be the responsibility of the workshop chairman to determine when consensus of the workshop participants has been reached on a particular item or deliverable. For the purposes of determining consensus, the workshop chairman shall apply the following definition contained in ISO/IEC Guide 2:1996.

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.

It should be noted that an IWA workshop may arrive at the consensus that an IWA deliverable is not necessary.

The workshop deliverables shall contain a description of the workshop consensus achieved including any recommendations for possible future actions or revisions to the workshop deliverables. The deliverable resulting from the workshop will proceed to publication based on the consensus of the workshop without additional reviews or approvals by any other body, except in the case of an appeal on such a deliverable (see immediately below).

SI.7 Appeals

Any parties affected by the deliverable resulting from the workshop shall have the right of appeal for the following reasons:

- The workshop and the process to arrive at its deliverable have not complied with these procedures;
- The deliverable resulting from the workshop is not in the best interests of international trade and commerce, or such public factors as safety, health or the environment; or
- The contents of the deliverable resulting from the workshop conflict with existing or draft ISO standard(s) or may be detrimental to the reputation of ISO.

Such appeals shall be submitted within two months of the date of the workshop and shall be considered by the ISO Technical Management Board which in such circumstances will take the final decision concerning publication of an IWA.

SI.8 Workshop deliverables and publication

Workshops will decide on the content of their own deliverables, but it is strongly recommended that the drafting rules in Part 2 of the ISO/IEC Directives be followed. The workshop secretariat and proposer shall be responsible for preparation of the text in compliance with Part 2 of the ISO/IEC Directives. Deliverables shall be sent to the ISO Central Secretariat for publication as International Workshop Agreements. They will be numbered in a special IWA series. Each IWA shall include the list of participants in the workshop that developed it.

IWAs may be published in one of the official ISO languages only and competing IWAs on the same subject are permitted. The technical content of an IWA may compete with the technical content of an existing ISO or IEC standard, or the proposed content of an ISO or IEC standard under development, but conflict is not normally permitted unless expressly authorized by the TMB.

SI.9 Review of IWAs

Three years after publication, the member body which provided the workshop secretariat will be requested to organize the review of an IWA, consulting interested market players as well as, if needed, the relevant ISO committee(s). The result of the review may be to confirm the IWA for a further three year period, to withdraw the IWA or to submit it for further processing as another ISO deliverable in accordance with Part 1 of the ISO/IEC Directives.

An IWA may be further processed to become a Publicly Available Specification, a Technical Specification or an International Standard, according to the market requirement.

An IWA may exist for a maximum of six years following which it shall either be withdrawn or be converted into another ISO deliverable.

SI.10 Checklist to estimate costs associated with hosting an ISO IWA Workshop (WS)

Completion of this checklist is NOT mandatory for the proposed hosting of an IWA. It is intended simply as a tool to assist proposers and assigned ISO member bodies in determining major costs associated with hosting an ISO IWA Workshop. Some of the sample costs provided may not be applicable to particular IWA Workshops, or may be covered in a different manner than is described below.

SI.10.1 Overall measures to consider

Expected number of deliverables	
Expected number of Project Groups	
Expected number of participants	
Expected number of WS plenary meetings	
Expected number of Project Group meetings	

SI.10.2 Planned Resources — Human Resource Requirements & Functions

Function	Who	Estimated Cost	Covered by ... (Who)	Commitment (Y/N)
<p>WS Secretariat</p> <ul style="list-style-type: none"> — organizing WS plenary meetings — producing WS and project meeting reports and action lists — administrative contact point for WS projects — managing WS (and project group) membership lists — managing WS (and project group) document registers — follow-up of action lists — if the Workshop works mainly by electronic means, assist Chairperson in monitoring and follow-up of electronic discussion 				
<p>WS Chairperson</p> <ul style="list-style-type: none"> — chairing WS plenary meetings — responsible for overall WS/project management — producing project management progress reports — acting as formal liaison with related WS/projects and liaison body — if the Workshop works mainly by electronic means, follow and steer electronic discussions that take place between meetings, take necessary decisions 				
<p>WS Vice chairperson</p> <p>If your WS will have “Vice Chairperson(s)”, you should list them here, along with their particular functions and fill-in the right side of this table.</p>				
<p>Project Leader(s) (where applicable)</p> <ul style="list-style-type: none"> — chairing project group meetings — producing project group meeting reports and action lists — preparing project group progress reports — if the Workshop works mainly by electronic means, follow and steer electronic discussions that take place — regarding his/her particular project 				
<p>IWA Editor</p> <ul style="list-style-type: none"> — editing of the IWA texts — attend meetings — follow discussions relating to the IWA (s) that he/she is editing 				

SI.10.3 Planned Resources — Material Resource Requirements

Material Resource costs	Numbers	Estimated Cost per meeting	Covered by ... (Who)	Commitment (Y/N)
WS Meetings				
Meeting rooms				
Logistics (IT support, photocopies, etc.)				
Food and beverage				
Interpretation during meetings				

Annex SJ
(normative)

Forms

These are available in electronic format (typically MS Word) for download from www.iso.org/forms.

Annex SK (normative)

Procedure for the development and maintenance of standards in database format

SK.1 Introduction

This annex of the ISO supplement to the ISO/IEC Directives describes a procedure for the development, maintenance, review and withdrawal of any international standard consisting of “collections of items” managed in a database. Such items may include graphical symbols of all kinds, sets of definitions, sets of dimensions, dictionaries of data element types with associated classification schema and other standards in which collections of objects require maintenance (addition or amendment) on a continual basis. In compliance with the ISO/IEC Directives, the development of a new standard requires a new work item proposal (NP), whereas an NP is not needed for the maintenance of an existing standard.

Supplementary procedural information, requirements or criteria that apply to particular standards database(s) can be described in separate document(s) within the domain of the responsible technical committee or subcommittee. These supplementary documents shall not be in conflict with this generic procedure or with the ISO/IEC Directives.

This procedure supports different types of processes (see SK.2.1). The execution of the maintenance (see SK.2.1b)) and the withdrawal process (see SK.2.1c)) are typically the responsibility of a secretary of a TC or SC. It is, however, also possible that this responsibility is assigned to a maintenance agency in which case the term “TC/SC secretary” relates to the individual or group of individuals in the maintenance agency with a corresponding responsibility for the execution of the two processes. In this case the current procedure may be applied as a reference to organize similar functions by maintenance agencies.

This procedure is not directly applicable to Registration Authorities, however, relevant aspects of the procedure (e.g. SK.2.3) may be adapted for use in similar functions organized by Registration Authorities.

SK.2 Procedure

SK.2.1 Overview

The procedure described in this document assumes the use of a web-accessible database and electronic communication. As far as possible, automated database functions shall be applied to ensure that the content of the database is consistent. Due care shall be taken to ensure that the content is correct especially if it is used directly by computer applications.

The procedure supports four main processes:

- a) The process for the development of new standards, which starts with a new work item proposal (NP) and follows the normal stages of the standards development process as defined in the ISO/IEC Directives (including any options for the skipping of certain stages if there is agreement that the item(s) under development are mature enough to be progressed to later stages).
- b) The maintenance process initiated by a change request (CR), which consists of the preliminary activities, followed by either the normal database procedure or the extended database procedure.
- c) The withdrawal process initiated by a change request (CR) which consists of the preliminary activities followed by the normal database procedure.

- d) The systematic review process, which follows the regular procedure for the systematic review.

Figure SK.1 (new development and maintenance process) and SK.2 (withdrawal and systematic review process) provide an overview of the four processes.

There exist maximum time frames for the various process stages (an overview is given in SK.3 for the normal database procedure and in Figure SK.4 for the extended database procedure). For the preliminary activities and for the normal database procedure, a committee may decide to apply time frames which are shorter than the maximum time frames defined in this procedure. However, each member of the Validation Team has the right to request an extension. Any extension up to the maximum time frame shall be granted. As a principle, the TC/SC secretary may close a ballot after votes have been received from all members of the Validation Team. As an exception, TCs/SCs may decide on extensions of the maximum time frames defined in this procedure on a case-by-case basis, depending on the number of items to be processed or their complexity.

SK.2.2 Preliminary activities

This is the initial part of the maintenance or withdrawal process that shall be completed for every Change Request (CR) and consists of the following stages.

SK.2.2.1 Initiation of Change Request

A Change Request is submitted by a proposer and then entered by the TC/SC secretary in a web-accessible database.

SK.2.2.2 Preparation for evaluation

Preparation by the secretary of the technical committee or subcommittee (TC/SC) to ensure that all mandatory entries of the Change Request (CR) are appropriately filled-in and that any necessary accompanying items are of a quality sufficient for evaluation.

For pragmatic or other reasons, e.g. close relationship between items or different level of maturity, the secretary may decide to combine items proposed under more than one CR into one work package or to separate items submitted under one CR into several work packages for processing as a unit.

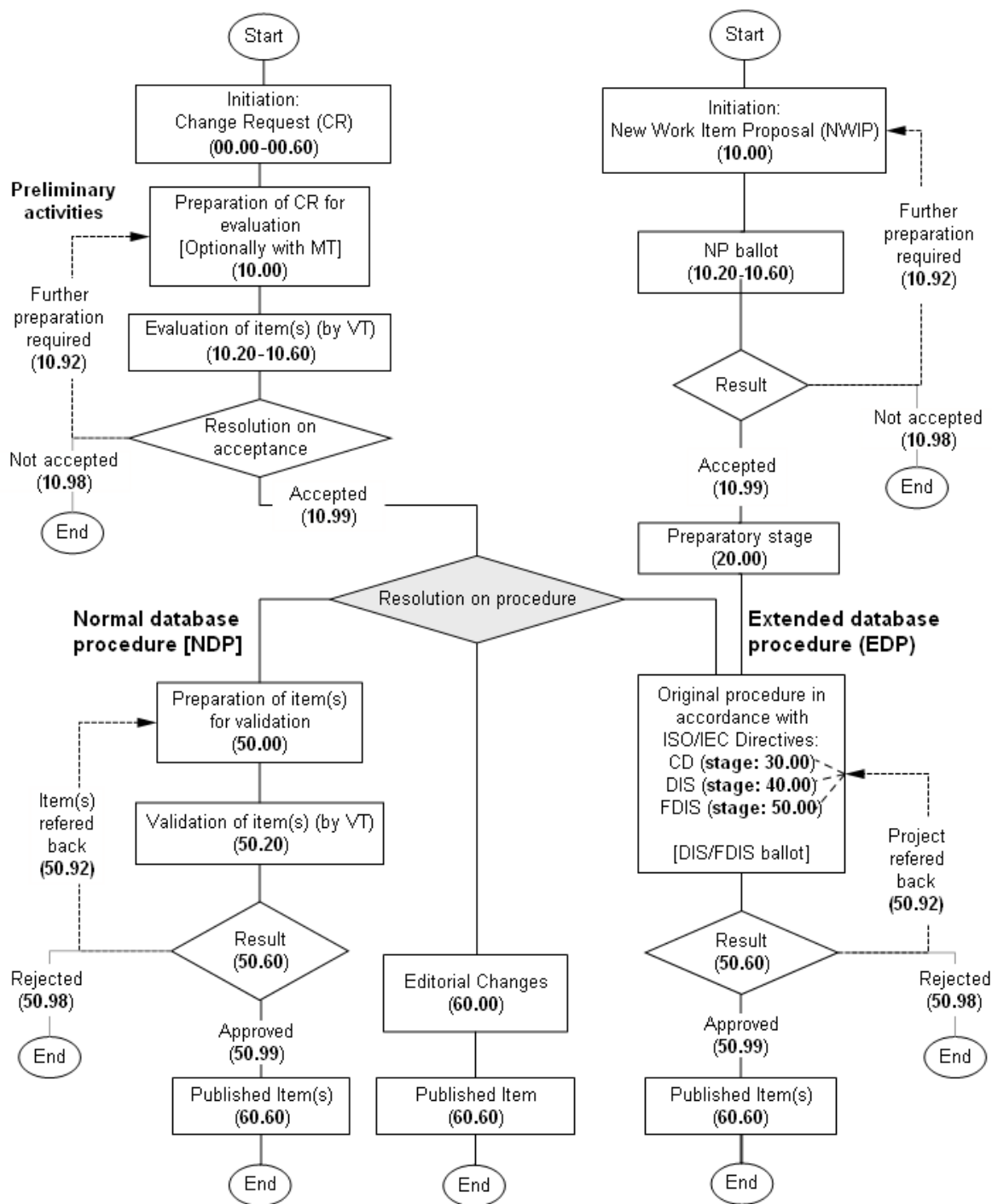
NOTE 1 More detailed rules applicable to a specific standard can be provided by the TC/SC responsible for the standard.

If required, a Maintenance Team may be set up to assist the secretary in the preparation activities.

NOTE 2 The term "Maintenance Team" (MT) refers to a group of experts set up by the TC/SC to carry out the maintenance of an already existing standard.

NOTE 3 The time required for this work should normally not exceed 1 month, but might exceptionally be longer if the original proposal is not mature enough. In such a case the preparation is comparable to "stage 0" work and the time has to be counted from final agreement with the proposer.

NOTE 4 It is expected that the MT will only be established when the preparation activities make up a substantial amount of the total work required. When the standard covers a wide range of technical domains the MT may rely on domain expertise from TCs/SCs for checking and revising the content of the item(s) associated with the Change Request(s).



- | | |
|----------------------------------|--|
| CR: Change Request | NP: New Work Item Proposal |
| VT: Validation Team | CD: Committee Draft |
| MT: Maintenance Team | DIS: Draft International Standard |
| NDP: Normal Database Procedure | FDIS: Final Draft International Standard |
| EDP: Extended Database Procedure | |

Figure SK.1 — Process for the development of new standards and the maintenance of existing standards

SK.2.2.3 Evaluation of the CR

Action by the Validation Team to determine whether the Change Request is within the scope of the database standard and valid for further work or should be rejected.

When the quality of the information provided at the preparation stage is satisfactory, the status identifier of the Change Request is changed to *for evaluation* and the Validation Team is informed (with copies to the proposer and possibly other relevant TCs/SCs) and asked by the secretary to make an evaluation and to comment. The evaluation of the Change Request should be completed within 2 months.

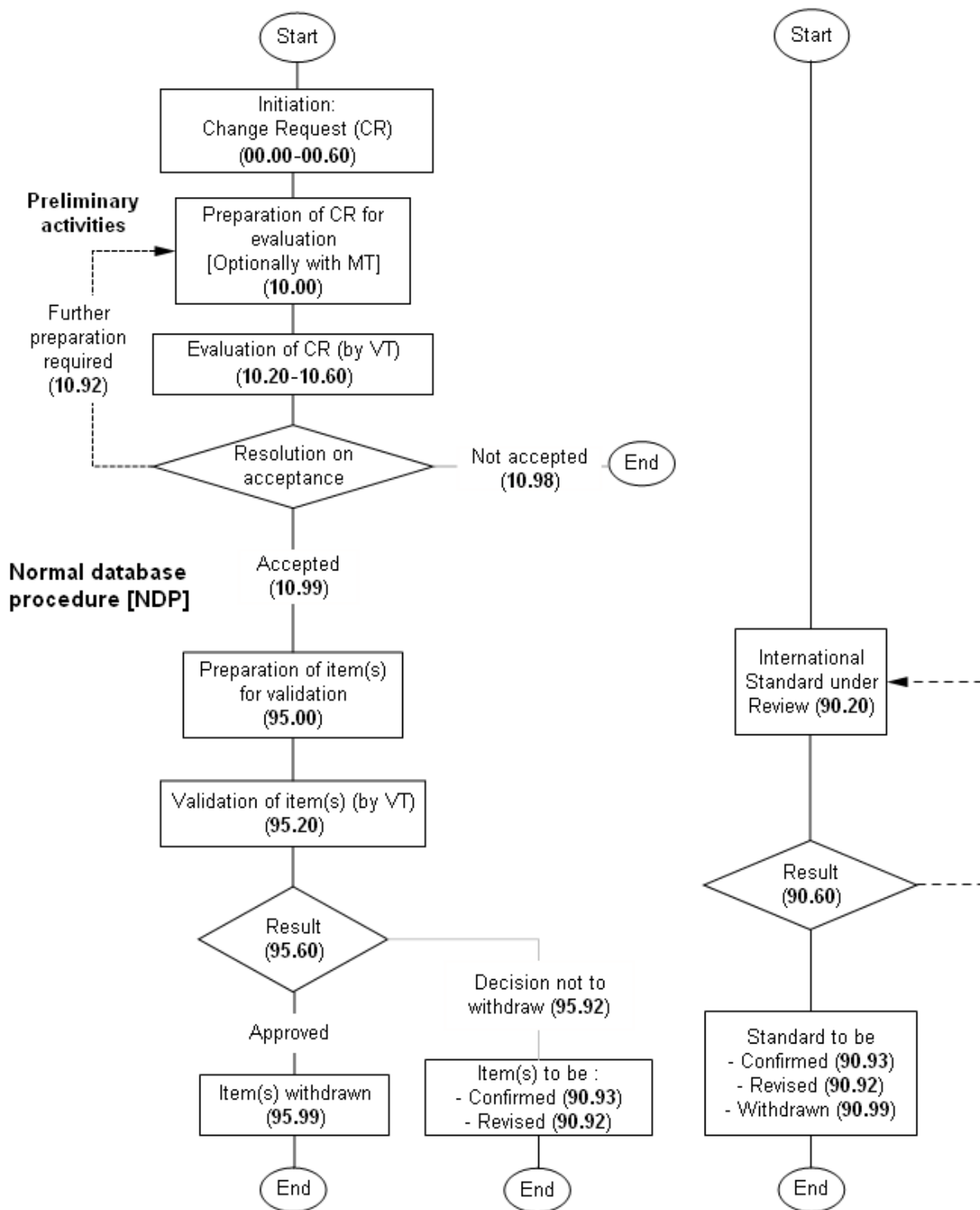
SK.2.2.4 Resolution

Observation by the TC/SC secretary on the comments and general opinions of the members of the Validation Team followed by the conclusion whether the Change Request should be

- continued with the normal database procedure; or
- continued with the extended database procedure; or
- continued with the procedure for editorial changes; or
- improved and re-evaluated; or
- rejected altogether.

NOTE 1 The entry of a new item in the database is not to be seen as “new work”, but rather as part of the continuous maintenance of the existing collection. Therefore, to arrive at the conclusion, a simple majority of the submitted votes can be used at the evaluation stage, applying to the choice between continuation/rejection as well as to normal/extended database procedure.

NOTE 2 If the original Change Request references many items, and if some of these might be acceptable for continuation with the normal database procedure while others are not, the original CR may be divided into two or more new CRs and processed separately. Such new CRs start at the status level already achieved.



- | | |
|----------------------------------|--|
| CR: Change Request | NP: New Proposal |
| VT: Validation Team | CD: Committee Draft |
| MT: Maintenance Team | DIS: Draft International Standard |
| NDP: Normal Database Procedure | FDIS: Final Draft International Standard |
| EDP: Extended Database Procedure | |

Figure SK.2 — Overview of the processes for the withdrawal and the systematic review of existing standards

SK.2.3 The normal database procedure

SK.2.3.1 General

The normal database procedure is faster than the extended procedure as described in SK.2.4 and relies on the use of the Validation Team acting on behalf of the member bodies for the final voting on proposals.

The normal database procedure is typically applicable for changes to existing items or for their withdrawal or for new items within the scope of the database standard or in cases where there is an urgent need for standardization.

NOTE More detailed rules applicable to a specific standard can be provided by the TC/SC responsible for the standard.

Figure SL.3 shows a process map of this procedure.

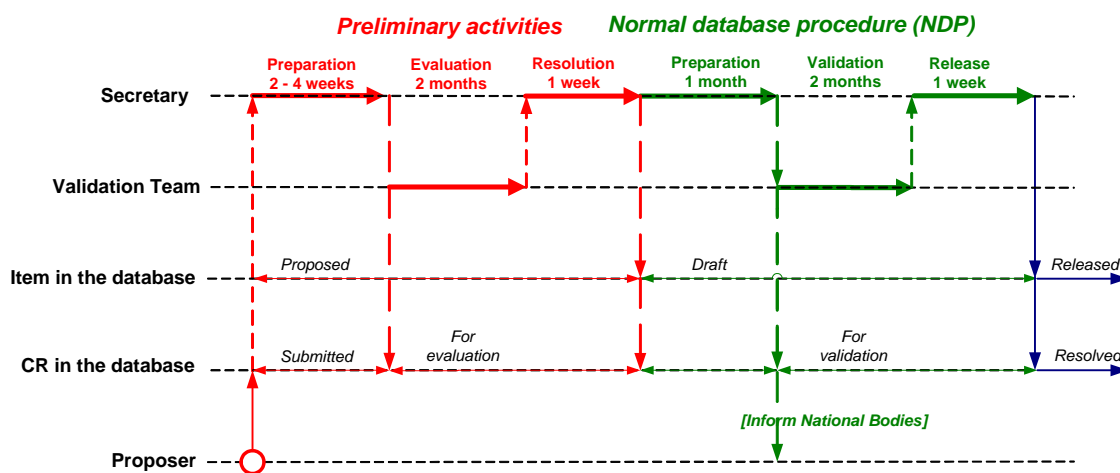


Figure SK.3 — Process map of the normal database procedure including preliminary activities

SK.2.3.2 Preparation for validation

The TC/SC secretary revises the proposal in line with the comments received during the evaluation stage and checks that the item(s) associated with the CR are, after possible changes, sufficiently and properly described, within the scope of the database standard and consistent with already existing items. If required, corrections are made. For this, the secretary might seek assistance from the Maintenance Team or from other internal or external experts. This preparation should be carried out within 1 month.

SK.2.3.3 Validation

When the quality of the information is satisfactory, the status identifier of the Change Request is changed to *for validation*, and the Validation Team called to vote by the secretary, with copies to the proposer, the P-members of the TC/SC and possibly other relevant TCs/SCs.

The members of the TC/SC within which the validation is conducted, should have visibility of the item(s) under validation as well as of the final vote result by the Validation Team.

Voting should be completed within 2 months.

If the proposed item(s) are accepted, the status identifier of the item(s) is changed to *released*. If they are not accepted, then the reason(s) are noted and the status identifier of the item(s) is set to *rejected*.

The criteria applied are the same as those for the voting on a normal FDIS. In the case of abstentions, the vote is not counted.

After setting the final status identifiers for the items and noting the reasons, the status identifier of the change request is set to *resolved*, and the procedure is finished (maximum 2 weeks).

With the normal database procedure it is possible for proposals to be approved within approximately 5 months.

SK.2.3.4 Report to the technical committee/subcommittee

A TC/SC decides on the reporting mechanism it wishes to apply to inform its members on changes resulting from the application of the normal database procedure.

SK.2.4 The extended database procedure

SK.2.4.1 General

The extended database procedure respects all stages of the procedure described in the ISO/IEC Directives for the approval of standards as printed documents, the *original procedure* and involves the member bodies in the traditional way. However, as with the normal database procedure, the information in the database is considered as the original source of information.

The extended database procedure is applied for the development of new standards. It may also be applied for the maintenance of existing standards. However, it is expected that in the majority of maintenance cases, the normal database procedure will be followed and that the extended database procedure will only be required for cases in which the maintenance is complex and involves substantial modifications to a standard.

The extended database procedure is described below including all stages and associated throughput times. It is possible that there could be comments against an item, so that the CD or DIS stage might need to be repeated (as described in the ISO/IEC Directives).

Figure SK.4 shows a “process map” with the different roles indicated along the vertical axis. This diagram highlights the flow, and indicates clearly when the different roles have to be active.

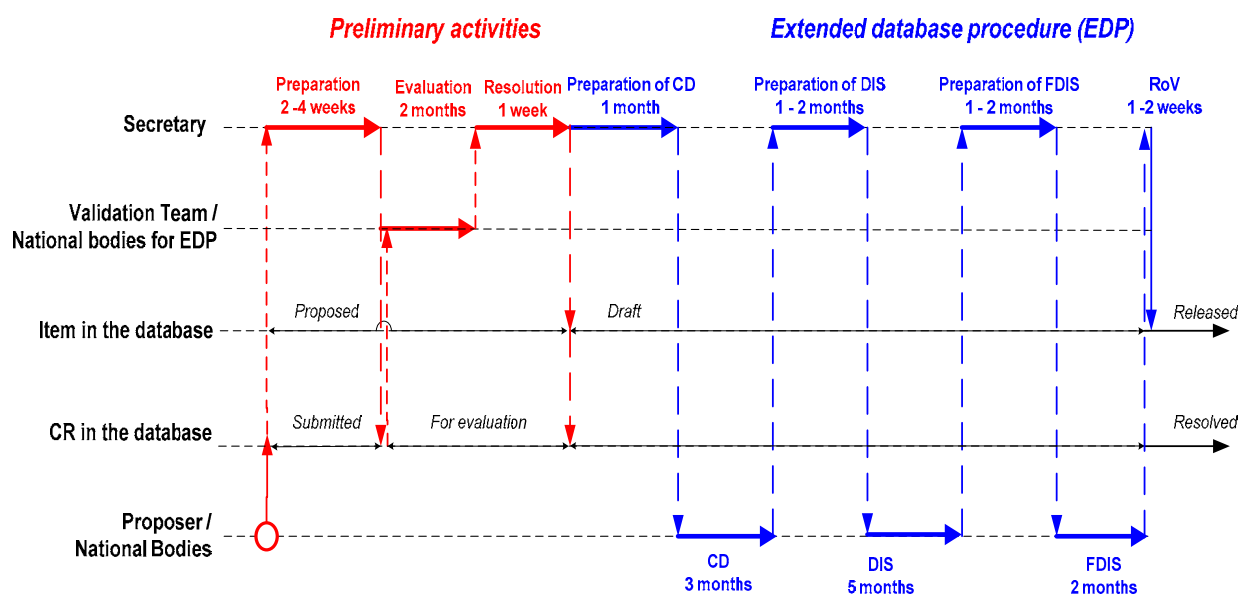


Figure SK.4 — Process map of the extended database procedure including preliminary activities

A short description of each of the stages of the extended database procedure is given below:

SK.2.4.2 Preparation of the CD

The TC/SC secretary checks that the item(s) are sufficiently and properly described, and that comments received during the evaluation stage have been adequately reflected. In case the extended database procedure is applied for the maintenance of an existing standard, it should be checked that the item(s) are within the scope of the database standard and consistent with items already existing in the database. If required, corrections are made. The secretary might in this work seek assistance from the Maintenance Team or from other internal or external experts. The preparation of the CD should be carried out within 1 month.

SK.2.4.3 Committee draft

When the proposed item(s) are sufficiently well prepared, the secretary issues a formal CD to the parameters, informing them that the CD is available for commenting within the normal time frame for a CD. Comments are to be submitted in the normal way (3 months).

SK.2.4.4 Preparation of the DIS

The comments are compiled and made available as an ordinary compilation of comments (published on the web server). The item(s) and their associated information are prepared for the DIS stage, taking note of the comments (maximum 2 months).

SK.2.4.5 DIS

When sufficiently prepared, the office of the CEO issues a DIS to the member bodies with the information that the item(s) are available for commenting and voting for acceptance as a DIS, within the normal time frame for a DIS (5 months).

SK.2.4.6 Preparation of the FDIS

The comments are compiled and the votes counted are made available as an ordinary compilation of comments and result of voting on a DIS. The item(s) and their associated information are prepared for the FDIS stage, taking note of possible purely editorial comments (maximum 2 months).

NOTE If the DIS is unanimously approved, the contained items may be published directly after the preparation and circulation of the report of voting on the DIS, without circulation of an FDIS, in accordance with the original procedure.

SK.2.4.7 FDIS

The office of the CEO issues a FDIS to the member bodies with the indication, that the item(s) are available for voting for approval as an IS, within the normal time frame for a FDIS (2 months).

NOTE In accordance with the present ISO rules the FDIS stage may be omitted if the DIS is unanimously approved.

SK.2.4.8 Report of voting (RoV)

A report of voting is prepared and published. If proposed item(s) are accepted, the status identifier of the item(s) is changed to *released*. If they are not accepted, then the reason(s) are noted and the status identifier of the item(s) is set to *rejected*.

After completing setting the final status identifiers for the items and the reasons are noted, the status identifier of the change request is set to *resolved*, and the procedure is finished (maximum 2 weeks). With the extended database procedure it is possible for proposals to be approved within 12 months up to a maximum of 18 months.

SK.2.5 Editorial changes to an existing item

Proposed changes to an item that affect neither its use nor semantics (i.e. editorial changes) only require going through the preliminary activities (see SK.2.2). It is not required to continue with either the normal or the

extended database procedure. At the end of the preliminary activities the change is either accepted or rejected without further validation.

More specific criteria on which changes may be classified as editorial changes can differ dependent on the standard and are described in separate document(s) within the scope of the responsible TC/SC.

After a positive resolution, the TC/SC secretary will make the changes to the existing item(s). The status identifier of the Change Request is set to *resolved* and the work is finished.

If not accepted, then the reason(s) are noted in the comments, the status identifier of the Change Request is set to *resolved* and the work is finished.

SK.2.6 Regular maintenance of the entire standard

In addition to the continuous maintenance of the standard described above, a comprehensive review of a database standard at regular intervals may be necessary which is organized in accordance with the rules in the ISO/IEC Directives and the ISO Supplement for the systematic review process.

The results are to be entered formally into the database.

SK.2.7 Appeals

If, at any time after acceptance of an item as *released*, a member body is dissatisfied with the result of the validation process on item(s), it may bring forward a Change Request with a proposal for an amendment to the item(s) which will re-open consideration under the procedures described above.

SK.3 Terms for general use

SK.3.1

original procedure

traditional standardization procedure for standard publications as described in the ISO/IEC Directives and the ISO supplement relying on the circulation of documents with standardized content to the member bodies

SK.3.2

normal database procedure

NDP

standardization procedure making use of a *Validation Team* and a **workflow around a database** for information sharing (as specified in this annex)

NOTE The normal database procedure is used for validation of new items and of item combinations that are within the boundary of existing rules.

SK.3.3

extended database procedure

EDP

standardization procedure with stages and time frames as specified in the *original procedure*, but implemented as a **workflow around a database** for information sharing (as specified in this document)

SK.3.4

Maintenance Team

MT

group of experts that may be set up by a parent committee following the rules in the ISO/IEC Directives for the establishment of working groups

NOTE A MT may be called upon by the TC/SC secretary to provide expertise in the preparation of Change Requests or items for evaluation or validation.

SK.3.5

Validation Team

VT

permanent, “executive”, group of individuals appointed by and acting as delegates on behalf of their member bodies, A-liaison organizations and committee-internal liaisons to validate proposed items and vote for their release as part of a database standard

NOTE 1 All P-members, A-liaison organizations and committee-internal liaisons have the right to appoint one member to the team. A Validation Team comprises a minimum of 5 P-members. Representatives of P-members have the right to vote, representatives of A-liaisons and committee-internal liaisons do not have the right to vote, but may submit comments.

NOTE 2 The described procedure asks for very short response times from the Validation Team members. Therefore, the member bodies should appoint one or more deputies that can take over the task when the official member is unavailable (due to travel, business, etc.).

NOTE 3 The appointing bodies decide on the duration of an appointment. They should also organize any supporting network of experts at national level.

NOTE 4 The TC/SC secretariat manages the Validation Team.

SK.3.6

proposer

person (or body) submitting a Change Request

SK.3.7

database standard

standard in database format for which a valid form of publication is a publicly accessible database, containing the standardized items

NOTE The term *Standards as database* may be used as a synonym.

SK.3.8

item (of a database standard)

separately identified and managed structured object in a database

NOTE Typical examples of items are: symbol (graphical or letter), term, data element type, data sheet, code.

SK.3.9

Change Request

CR

task description for addition, withdrawal or change of one or more items in a database standard, submitted by an authorized person or body, which will be reviewed and updated by the TC/SC secretary, possibly with the support of a Maintenance Team, for evaluation by the Validation Team

NOTE It is possible that changes to the database standard resulting from several change requests are combined, or that a single change request is subdivided, at any stage in the process.

SK.3.10

work package

set of one or more items associated with a change request

SK.4 Terms for the status identification of Change Requests

SK.4.1

submitted

status identifier of the change request from the moment of its registration and identification in the database, until the TC/SC secretary has finished the preparation for the evaluation stage

SK.4.2 for evaluation

status identifier of the Change Request in the evaluation stage until a resolution has been reached on how to proceed following the preliminary activities

NOTE The transition to *For evaluation* is from *Submitted*.

SK.4.3 for validation

status identifier of the Change Request in the validation stage as part of the normal database procedure until the validation is completed

NOTE The transition to *For validation* is from *For evaluation*.

SK.4.4 resolved

status identifier of the change request after completion of the normal or the extended database procedure, or after rejection

SK.5 Terms for the status identification of items

In ISO the status of item(s) is expressed through the harmonized stage code system which consists of a code for each (sub-)stage and associated explanatory text. A concordance between the stage codes and the status identifiers is given below. Since the stage code system is more detailed than the status identifiers, the stages listed below do not express all possible options for the status of item(s).

The status of each item is identified with an own stage code even if several items are part of one work package and are processed as one unit.

SK.5.1 proposed [corresponding stage codes: 00.00 - 10.99]

status identifier of a new item from its registration and identification in the database, until it has been accepted for work and a resolution has been reached on how to proceed following the preliminary activities

SK.5.2 draft [corresponding stage codes: 20.00 - 50.99]

status identifier of a new item that has been accepted for work following the preliminary activities with either the normal or extended database procedure, until the moment a decision has been taken on whether or not it is to be part of the standard

NOTE The transition to *Draft* is from *Proposed*.

SK.5.3 released [corresponding stage code: 60.60]

status identifier of an *item* that has been released for use as part of the standard

NOTE 1 The transition to *Released* is from *Draft*.

NOTE 2 Valid items of a standard can have the status *Released, to be revised* (see SK.5.4) or *Confirmed* (see SK.5.5).

SK.5.4 to be revised [corresponding stage code: 90.92]

status identifier of an *item* that is undergoing revision either following the application of the systematic review or withdrawal process, or as a result of the acceptance of a Change Request aiming at a revision of the item

NOTE 1 The transition to *Under revision* is either from *Released* or from *Confirmed*.

NOTE 2 Valid items of a standard can have the status *Released* (see SK.5.3), *to be revised* (see SK.5.4) or *Confirmed* (see SK.5.5).

SK.5.5

confirmed [corresponding stage code: 90.93]

status identifier of an *item* that has been confirmed either following the application of the systematic review or of the withdrawal process

NOTE 1 The transition to *Confirmed* is either from *Released* or from *Confirmed* (in case the item has already been confirmed previously).

NOTE 2 Valid items of a standard can have the status *Released* (see SK.5.3), *to be revised* (see SK.5.4) or *Confirmed* (see SK.5.5).

SK.5.6

withdrawn [corresponding stage code: 95.99]

status identifier of an *item* that is no longer part of the standard, irrespective of reason

NOTE 1 The transition to *Withdrawn* is either from *Released* or from *Confirmed*. A note or a reference to replacing item(s) may further indicate the reason for the withdrawal.

NOTE 2 A withdrawn item remains in the database with the status identifier *Withdrawn* and is not physically deleted.

SK.5.7

rejected [corresponding stage codes: 00.98, 10.98, 20.98, 30.98, 40.98, 50.98]

status identifier of an *item* that has been entered into the database as part of a Change Request, but has not been approved to be part of the standard

NOTE The transition to *Rejected* is either from *Proposed* or from *Draft*.

Annex SL (normative)

Proposals for management system standards

SL.1 Whenever it is proposed to establish a new committee for the purpose of preparing management system deliverables, or proposals for new work on management system deliverables are made within existing committees, the additional rules given in ISO Guide 72 shall be followed according to the rules given in SL.2. All such proposals shall be submitted to the TMB for review prior to submission for voting. Furthermore, the TMB shall evaluate the results of voting on proposed new technical committees (TS/Ps), and new work item proposals (NPs) voted at the TC level, prior to their acceptance. The results of voting on NPs at the SC level shall be evaluated by the parent TC, but the results shall also be made available to the TMB for consideration.

SL.2 Whenever a proposal is made to prepare a type A or type B deliverable for a new management system, or a proposal is made to revise an existing type A or type B management system deliverable, including sectoral applications of generic MSS, a justification study shall be carried out in accordance with ISO Guide 72. To the extent possible, the proposer shall endeavour to identify the full range of deliverables which will constitute the new or revised MSS series, and the justification study shall address the need for each of the deliverables and their inter-relationships.

If, subsequently, it is decided to prepare a type A or type B deliverable that was not covered by the original justification study, a new justification study shall be carried out.

If no type A or B deliverable exists and a proposal is made to prepare a new type C deliverable or revise an existing type C deliverable, including deliverables for application in specific industry sectors, a justification study shall be carried out unless it can be clearly demonstrated that the deliverable cannot be used as the basis for a certification system.

If a type A or B deliverable exists and a subsequent decision is to prepare a type C deliverable that was not covered by the original justification study, a justification study shall be carried out unless it can be clearly demonstrated that the deliverable will have no consequence for existing or foreseen certification systems.

Annex SM (normative)

Global relevance of ISO technical work and publications

SM.1 Introduction

The formation of the WTO and the subsequent adoption of the WTO Technical Barriers to Trade Agreement (WTO/TBT), placed an obligation on ISO to ensure that the International Standards it develops, adopts and publishes are globally relevant. In Annex 4, paragraph 10 of the Second Triennial Review of the Agreement, the following criteria state that a globally relevant standard should:

- Effectively respond to regulatory and market needs (in the global marketplace)
- Respond to scientific and technical developments in various countries
- Not distort the market
- Have no adverse effects on fair competition
- Not stifle innovation and technological development
- Not give preference to characteristics or requirements of specific countries or regions when different needs or interests exist in other countries or regions
- Be performance based as opposed to design prescriptive

Hence the development and adoption of an International Standard that fails to meet these requirements is open to being challenged as creating a barrier to free trade.

Noting the need to provide fuller advice to committees on global relevance, and following a request from the ISO Council, the ISO/TMB established a Global Relevance Task Force. This task force and, subsequently, the ISO/TMB have agreed on the set of principles that follows.

SM.2 Terms and definitions

Standard

Document, established by consensus and approved by a recognized body, that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context.

NOTE Standards should be based on the consolidated results of science, technology and experience, and aimed at the promotion of optimum community benefits.

(ISO/IEC Guide 2, ISO/IEC Directives, Part 2)

International standard

Standard that is adopted by an international standardizing/standards organization and made available to the public.

(ISO/IEC Guide 2, ISO/IEC Directives, Part 2)

International standard

International standard where the international standards organization is ISO or IEC.

(ISO/IEC Guide 2, ISO/IEC Directives, Part 2)

Global relevance

required characteristic of an International Standard that it can be used/implemented as broadly as possible by affected industries and other stakeholders in markets around the world.

SM.3 Principles

SM.3.1 The status and meaning of an International Standard shall be respected.

Any International Standard shall respect the above definitions and shall to the extent possible represent a unique international solution. In cases where unique international solutions are not possible for specific provisions of an International Standard at the current time due to legitimate market and essential differences, International Standards may present options to accommodate these differences where justified.

SM.3.2 The commitment to participate in the development of and the feasibility of preparing International Standards shall be demonstrated at the outset of a standards development project.

It is recognized that in some instances various solutions exist to meet unique aspects of the local markets in different regions and countries. With globalization and the unification of markets, these market differences should be minimized over time and evolve into one global market. Simply projecting one solution that accommodates one market (but not others) as the International Standard will not force markets to evolve and coalesce. In such cases, the markets and their related industries will look elsewhere for standards that better accommodate their needs, and ISO will lose its relevance for those markets and industries. Rather than force such a situation, ISO committees should ascertain at the outset of a project whether:

- a globally relevant International Standard presenting one unique international solution in all of its provisions is feasible;
- an International Standard is feasible that presents options in specific provisions to accommodate existing and legitimate market differences where justified; or
- the preparation of a globally relevant International Standard is not feasible and work should not be undertaken in such circumstances.

Additional practical guidance for committee leaders and delegates/experts may be found in the ISO/TMB's Global Relevance Implementation Guidance document.

SM.3.3 Preference shall be given to preparing performance rather than prescriptive standards.

Please note the following: Annex 3 of the WTO/TBT Agreement

“Wherever appropriate, the standardizing body shall specify standards based on product requirements in terms of performance rather than design or descriptive characteristics.”

ISO/IEC Directives, Part 2, Clause 4.2 Performance approach (Excerpt) “Whenever possible, requirements shall be expressed in terms of performance rather than design or descriptive characteristics. This approach leaves maximum freedom to technical development. Primarily those characteristics shall be included that are suitable for world wide (universal) acceptance. Where necessary, owing to differences in legislation, climate, environment, economies, social conditions, trade patterns, etc., several opinions may be indicated.”

Given these quotations, the use of the performance-based approach is widely recognized as supporting the development of globally relevant ISO standards. In the case of design-based standards, the freedom for further technical innovation is most limited, while performance-based standards provide for maximum freedom for further innovation. However, in practice, there may be cases where inclusion of design requirements for some provisions within a performance-based standard is appropriate. There may also be other cases where development of a completely design-based standard may be appropriate and will result in a globally relevant ISO standard.

Thus, which approach is most appropriate depends on the technical matter in question.

Additional practical guidance for committee leaders and delegates/experts may be found in the ISO/TMB's Global Relevance Implementation Guidance document.

SM.3.4 Given existing and legitimate market differences, an International Standard may pass through an evolutionary process, with the ultimate objective being to publish, at a later point, an International Standard that presents one unique international solution in all of its provisions.

Under this principle, a committee may wish to consider how it addresses current and potentially changeable differences in markets (based on factors such as legislation, economies, social conditions, trade patterns, market needs, scientific theories, design philosophies, etc.) in the ISO deliverables it produces.

Additional practical guidance for committee leaders and delegates/experts may be found in the ISO/TMB's Global Relevance Implementation Guidance document.

SM.3.5 Essential differences consistent with Annex 3 to the WTO Agreement on Technical Barriers to Trade can be included in International Standards, but specific rules shall be applied if a committee wishes to introduce such differences and special authorization needs to be given by the TMB in instances not covered by these rules.

Under this principle, a committee may wish to consider how it addresses essential differences in markets around the world, that is, factors that are not expected to change over time, such as imbedded technological infrastructures, climatic, geographical or anthropological differences.

Additional practical guidance for committee leaders and delegates/experts may be found in the ISO/TMB's Global Relevance Implementation Guidance document.

SM.3.6 Committees can only ensure the global relevance of the International Standards they produce if they are aware of all the factors that may affect a particular standard's global relevance.

Additional practical guidance for committee leaders and delegates/experts may be found in the ISO/TMB's Global Relevance Implementation Guidance document.

Annex SN (normative)

Policy concerning normative references in ISO publications

The basic rules concerning normative references are given in 6.2.2 of Part 2 of the ISO/IEC Directives.

6.2.2 Normative references

This optional element shall give a list of the referenced documents cited (see 6.6.7.5) in the document in such a way as to make them indispensable for the application of the document. For dated references, each shall be given with its year of publication, or, in the case of enquiry or final drafts, with a dash together with a footnote "To be published.", and full title. The year of publication or dash shall not be given for undated references. When an undated reference is to all parts of a document, the publication number shall be followed by the indication "(all parts)" and the general title of the series of parts (i.e. the introductory and main elements, see Annex D).

In principle, the referenced documents shall be documents published by ISO and/or IEC.

Documents published by other bodies may be referred to in a normative manner provided that

- a) the referenced document is recognized by the ISO and/or IEC committee concerned as having wide acceptance and authoritative status as well as being publicly available,
- b) the ISO and/or IEC committee concerned has obtained the agreement of the authors or publishers (where known) of the referenced document to its inclusion and to its being made available as required - the authors or publishers will be expected to make available such documents on request,
- c) the authors or publishers (where known) have also agreed to inform the ISO and/or IEC committee concerned of their intention to revise the referenced document and of the points the revision will concern, and
- d) the ISO and/or IEC committee concerned undertakes to review the situation in the light of any changes in the referenced document.

The list shall be introduced by the following wording:

"The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies."

The above wording is also applicable to a part of a multipart document.

The list shall not include the following:

- referenced documents which are not publicly available;
- referenced documents which are only cited in an informative manner;
- referenced documents which have merely served as bibliographic or background material in the preparation of the document.

Such referenced documents may be listed in a bibliography (see 6.4.2).

It needs to be recalled that the provision for making normative reference to, rather than reproducing text from, another document has a number of benefits such as

- reducing unnecessary and duplicative expenses to standards developers, participants, experts and users of standards,
- eliminating redundancy,
- increasing the speed of development while preserving the scope and global relevance of ISO documents.

The above rules are based, therefore, on the understanding that, whenever it is necessary to make normative reference to another publication, that reference shall preferentially be to the appropriate ISO or IEC publication if it exists. The purpose of this requirement is to ensure the overall consistency and coherence of the full set of ISO and IEC publications. If a committee wishes to make reference to another publication in preference to the corresponding ISO or IEC standard, an exemption must be requested from the Technical Management Board. In this context, it should be noted that when a document is developed under CEN-lead under the Vienna Agreement, and the normative references clause consequently refers to ENs or prENs, a normative annex shall be added indicating the references of the technically equivalent ISO or IEC publications where they exist. The ISO or IEC references take precedence over the ENs or prENs for the application of the ISO document.

When an appropriate ISO or IEC publication does not exist, publications of other bodies may be referenced normatively. Normative references to such non-ISO or IEC publications that are accepted and used globally may:

- provide greater flexibility to best serve the specific needs of particular communities or sectors;
- establish a worldwide implementation of ISO standards in cooperation and concert with standards of other bodies, rather than in competition with them.

The goal is for ISO documents to be market relevant and thus, in the examination of work needing to be done, ISO committees should consider whether the ISO document may normatively refer to one or more documents already in existence that meet the needs of global users and whose developers agree to any necessary requirements of the IEC/ISO Directives to support such normative references. The above clause of the Directives stipulates a number of conditions that need to be fulfilled. The first condition is that the referenced document is recognized by the responsible ISO or IEC committee as having wide acceptance and authoritative status as well as being publicly available. It needs to be stressed that for the end-user it is imperative that any normatively referenced document be publicly available. For this reason, draft documents which have not reached the enquiry stage in ISO or IEC, or an equivalent stage in the case of documents of other organizations, may not be normatively referenced.

The second condition is that the authors/publishers have given their agreement to the document being referenced and to its being made available to support the committee's standards development efforts as required. It needs to be recalled that while particular standards may be widely used within particular regions, there may well be cases in which other member bodies would wish to study the document before they are able to agree to it being normatively referenced in the proposed ISO publication. For this reason the committee secretariat should obtain a copy of the referenced document and make it available upon request to P-members wishing to review the document to confirm its suitability for normative referencing. Working group conveners and secretariats should endeavour to ensure that such referenced documents are available as soon as possible once the decision has been taken to make reference to them, ideally simultaneously with the authors/publishers giving their agreement to their document being referenced.

The authors/publishers of such referenced documents need also to be aware that, if an ISO member body wishes to adopt an ISO publication as a national publication, then the member body may need to make available a version of any normatively referenced documents in its national language. The authors/publishers of referenced documents will consequently be expected to cooperate with ISO member bodies in such cases.

The third condition requires the authors/publishers of the referenced document to inform the ISO or IEC committee concerned whenever it is proposed to amend or revise the referenced document, as well as of the

points that will be revised or amended. This is to allow the committee (fourth condition) to confirm that the document as revised/amended is still appropriate for referencing in the ISO or IEC publication and if necessary to allow amendment of the ISO or IEC publication to refer to the revised/amended edition of the referenced document.

As a matter of policy, ISO does not require normatively referenced non-ISO or non-IEC documents to be transposed into ISO or IEC publications. Nevertheless, when it is proposed to revise a document that is normatively referenced in an ISO publication, the authors/publishers are encouraged to consider the possibility of offering the revision to ISO. If, in other circumstances,, a committee sees merit in transposition, rather than normative referencing, of another document, it shall seek the agreement of the authors/publishers of the referenced document. Any unilateral action would essentially constitute copyright infringement which could potentially lead to litigation.

In the past, a number of ISO committees are reported to have adopted policies of making normative reference ONLY to ISO or IEC publications. The Technical Management Board has ruled that such policies shall be withdrawn.

Annex SO (informative)

Principles for developing ISO and IEC Standards related to or supporting public policy initiatives

SO.1 Background Context

The 2007 ISO General Assembly Open Session on International Standards and Public Policy addressed important dynamics confronting the ISO community – the relationship between ISO standards and public policy as well as the unique needs and concerns of one major class of ISO standards users, namely, governments. ISO's sister organization IEC, responsible for electrotechnical standardization, applauds the initiative and wishes to co-operate with ISO to develop common ISO/IEC principles and guidance to technical committees of both organizations. It is a reasonable goal that ISO and IEC wish to make their portfolio of standards more visible to public authorities and, equally important, ensure that its standards address the relevant needs and concerns of the public authorities. This will support their global relevance and applicability worldwide, as it has been shown that ISO and IEC standards are capable of providing valuable support to the implementation of public policy. ISO and IEC have been and will continue to be effective providers of voluntary standards that support the programs of government authorities, who need standards that meet the WTO TBT criteria and that support technical regulations and/or procurement actions.

It should be noted that, as private, voluntary organizations, ISO and IEC themselves are not directly representative of government interests. ISO and IEC consensus on ISO and IEC standards reflects agreement across a range of stakeholders at the standard drafting level, AND it reflects a consensus across national standards bodies at the approval level. National positions on ISO or IEC standards are not necessarily government positions, although government experts may participate in developing these positions with their counterparts from the private sector.

The following set of principles has been established to guide ISO and IEC committees developing standards related to or supporting public policy initiatives. These principles will ensure that ISO and IEC standards can properly support and be used by public authorities.

SO.2 Principles

- a) ISO and IEC are committed to creating market-driven International Standards, based on objective information and knowledge on which there is global consensus, and not on subjective judgments, in order to provide credible technical tools that can support the implementation of regulation and public policy initiatives.
- b) ISO and IEC are committed to developing International Standards that are market relevant, meeting the needs and concerns of all relevant stakeholders including public authorities where appropriate, without seeking to establish, drive or motivate public policy, regulations, or social and political agendas.

When ISO or IEC standards are anticipated to support a public policy initiative, the relationship between the standard(s) and the public policy initiative(s) should be clearly understood among all concerned parties. The interaction of standardization and public policy or regulation should be anticipated and the intervention of the public authorities in the standards development process should occur as early as possible. It should be noted that in many cases experts representing regulatory authorities are actively participating in the development of ISO and IEC International Standards both as members of the relevant international committees and/or at the pertinent national mirror committees to ISO and IEC technical bodies.

- c) ISO and IEC recognize that the development of regulation, public policy and/or the development and interpretation of international treaties are the role of governments or treaty organizations.
- d) ISO and IEC standards supporting regulation, regulatory cooperation and public policy are best developed within ISO and IEC structures and under operational approaches and participation models that have been proven successful and that are detailed in the ISO/IEC Directives.

The use of special committee structures, procedures or participation models may compromise the credibility and suitability of the resulting ISO/IEC standards supporting regulation and public policy.

SO.3 Implementation

- In addition to promoting these principles to ISO and IEC committees, their leaders and participants, ISO and IEC shall actively support and promote the principles for international standardization established in the WTO TBT Agreement and subsequent decisions of the TBT Committee regarding the development of international standards.
- ISO member bodies and IEC National Committees should ensure that national governments, including their trade representatives, are aware of ISO's and IEC's portfolios, are informed about ISO and IEC as venues for standards development, and are engaged in ISO and IEC standards development whenever appropriate to reduce misunderstanding and inadvertent contradictions.
- The ISO Technical Management Board and the IEC Standardization Management Board should develop additional implementation guidance and case studies of successful ISO and IEC standards efforts that support public policy initiatives (for example, ISO standards related to medical devices and greenhouse gas emissions, and IEC standards related to radio interference, safety of household appliances, ships and marine technology).