



doc. nr.	ISO/IEC JTC 1/SGFS N 634
date	1992-08-13 total pages
item nr.	supersedes document

Secretariat: Nederlands Normalisatie-instituut (NNI)
Kalfjeslaan 2 P.O. box 5059
2600 GB Delft
Netherlands
telephone: + 31 15 690390
telefax: + 31 15 690190
telex: 38144 nni nl
telegrams: Normalisatie Delft

ISO/IEC JTC 1/SGFS
Title: ISO/IEC JTC 1 Special Group on Functional
Standardization

Secretariat: NNI (Netherlands)

Title : Guidelines for implementation of the Vienna Agreement
Source : ISO/IEC Secretary General
Status :
Note :



ISO/CEN Central Secretariats

our date

our reference

1992-06-25

ISO/CEN

TO ISO AND CEN TECHNICAL COMMITTEE AND SUB-COMMITTEE CHAIRMEN AND SECRETARIES, AND

TO ISO AND CEN MEMBER BODIES

Dear Sir or Madam,

Guidelines for implementation of the Vienna Agreement

By separate circular letters, dated 11 July 1991 in ISO and 3 September 1991 in CEN, we advised you of the conclusion of an agreement on technical cooperation between ISO and CEN (the Vienna Agreement) and provided you with guidelines for the implementation of the agreement. We also advised you of the establishment of a Joint Coordination Group (JCG) of the ISO and CEN Technical Boards to monitor the application of the agreement.

At its first meeting on 5 December 1991, the JCG requested the ISO and CEN Central Secretariats to work together to produce a common set of ISO/CEN guidelines for implementation of the Vienna Agreement and to give more details concerning the practical procedures required. The guidelines have accordingly been revised and, following their approval at the second meeting of the JCG in Berlin on 4 May 1992, they are now being distributed to all ISO and CEN TC/SC chairmen and secretaries to replace those distributed with the above mentioned circular letters.

We would recall that the purpose of the Vienna Agreement is to maximize cooperation between ISO and CEN, in order to avoid duplication of effort and to ensure that ISO and CEN benefit mutually from standardization at the international and European levels in relation to subjects for which standardization needs have been identified at the two levels. We accordingly hope that the Vienna Agreement will be implemented in the most beneficial and pragmatic way by ISO and CEN committees.

./.


	Postal address	Office address	Telephone	Telefax
ISO	Case postale 56	1, rue de Varembe	national (022) 749 01 11	+ 41 22 733 34 30
	CH-1211 Genève 20	Genève, Switzerland	international + 41 22 749 01 11	Telex 41 22 05 iso ch
				Telegrams isorganiz
CEN	Rue de Stassart, 36	Rue de Stassart, 36	national (02) 519 68 11	+ 32 2 519 68 19
	B-1050 Bruxelles	Bruxelles, Belgium	international + 32 2 519 68 11	Telex 172210097
				Teletex 206 2210097=CENCEL

One of the mandates of the JCG is to monitor the practical implementation of the Vienna Agreement and as necessary to revise the implementation guidelines. Any comments on the guidelines, or difficulties encountered in their use, should accordingly be brought to the attention of the Central Secretariats of ISO and CEN.

Yours faithfully,

A handwritten signature in black ink, appearing to read 'Lawrence D. Eicher'.

Lawrence D.Eicher
ISO Secretary-General

A handwritten signature in black ink, appearing to read 'Jacques Repussard'.

Jacques Repussard
CEN Secretary-General



CEN

INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO) EUROPEAN COMMITTEE FOR STANDARDIZATION (CEN)

Guidelines for TC/SC Chairmen and Secretariats for implementation of the Agreement on technical cooperation between ISO and CEN (Vienna Agreement)

0. Introduction

The Agreement on technical cooperation between ISO and CEN (Vienna Agreement) was formally approved on 27 June 1991 in Vienna by the CEN Administrative Board following its approval by the ISO Executive Board at its meeting on 16 and 17 May 1991 in Geneva.

The Agreement replaced the "Agreement on exchange of technical information between ISO and CEN" (Lisbon Agreement) concluded in 1989.

The text of the Agreement was distributed to TC/SC chairmen and secretaries

- by ISO, under cover of a circular letter dated 11 July 1991;
- by CEN, under cover of a circular letter dated 3 September 1991;

together with guidelines for the implementation of the Agreement.

The following common ISO/CEN guidelines cancel and replace those issued with the above circular letters. They are structured to reflect the various modes of cooperation between ISO and CEN, as follows:

- cooperation by correspondence (section 1);
- cooperation by mutual representation at meetings (section 2);
- application of CEN/CENELEC internal regulations in the framework of the agreement (section 3);
- adoption of existing International Standards as European Standards (section 4);
- cooperation by transfer of work and parallel approval of standards (section 5).

The guidelines are accompanied by flow charts summarizing the procedures to be followed in the case of when a work item of interest to CEN is to be developed by ISO (figure 1) and vice versa (figure 2).

NOTE – In order to avoid confusion, subdivisions of these implementation guidelines are referred to as "sections" to distinguish them from the subdivisions of the Vienna Agreement, which are referred to as "clauses".

1. Cooperation by correspondence (clause 2 and subclause 3.1)

The provisions for exchange of information in the original Lisbon agreement remain unchanged. They provide for an exchange of information between the ISO and CEN Central Secretariats, for ISO/CEN reporting secretariats (SRs) to provide information to the CEN Technical Board, CEN Central Secretariat and CEN committee secretariats as appropriate, and for CEN committee secretariats to provide information to ISO committee secretariats, with copies to both the ISO and CEN Central Secretariats.

Written contributions may emanate from TCs, SRs or CSs, are expected to reflect a consolidated CEN or ISO view, and are in principle comments on programming or drafting of standards.

2. Cooperation through mutual representation at meetings (subclause 3.2) and joint coordination meetings (subclause 6.1)

2.1 When questions of common interest to both ISO and CEN technical bodies call for mutual representation at meetings, the secretariat in agreement with the chairman of the committee concerned, shall advise the Secretary-General of the organization concerned of the names and addresses of liaison representatives to the relevant technical body of the other organization. In principle, only two representatives (not including interpreters) will be permitted and should be chosen from among chairmen, secretaries, conveners, project leaders and Central Secretariat Technical Officers. The action taken has to be reported to the committee members. These representatives shall represent the views of the committee that designated them. Participation in WG meetings is subject to invitation by the parent body of the WG.

2.2 Where ISO and CEN committees already exist and have overlapping programmes of work, the ISO and/or CEN Central Secretariat, following consultation between them, will organize joint coordination meetings to reach agreement on allocation of work and, if necessary, to resolve comments received following parallel voting on DIS and prEN.

3. Application of CEN/CENELEC internal regulations in the framework of the Vienna agreement

CEN reaffirms the primacy of international standardization work, of avoidance of duplication of activities and of the use of international results wherever possible, however, it is to be acknowledged that CEN duly considers each request for standardization and chooses, according to the advice of its interested parties, amongst the following possibilities:

a) the submission of an existing document (e.g. originating from ISO) as a draft European standard through the implementation procedures (PQ plus Formal Vote, UAP) as defined in its Internal Regulations (see section 4);

NOTE – UAP is equivalent, but not identical, to the ISO "fast-track" procedure.

NOTE – As a result of these procedures, modifications to ISO documents by ISO/TCs can be requested by CEN in accordance with clause 4.3.

b) the request to ISO to prepare a standard on a specific subject (the transfer of work to ISO) as reflected in the Vienna Agreement (clause 3.3) to be implemented in accordance with section 5:

c) the use of an Associated Body (ASB) as defined in its Internal Regulations;

NOTE – This permits the introduction of documents prepared by a "recognized standardizing body" as draft European standards. The CEN concept is equivalent, but not identical, to the ISO concept.

d) the preparation of standards by the use of its own technical bodies (TC, SC, WG) as defined in its Internal Regulations.

However, the choice of the appropriate route to achieve the preparation of European standards (EN, HD, ENV) shall be made after careful consideration of the CEN Internal Regulations for technical work, and of the possibilities and limits of the options available.

In the CEN structure such an assessment and the relevant decision are made by the CEN Technical Board (CEN/BT) – or a CEN Technical Sector Board (CEN/BTS) by delegation – on the basis of the replies (form B) received from the CEN members on any proposals for new work items (form A).

In deciding on the way to handle the work, several elements have to be considered by the CEN/BT – or CEN/BTS by delegation – and CEN members when sending their replies by means of form B, such as :

- major commercial needs;
- importance of international trade;
- existence of ISO/TC or CEN/TC with competence in the area concerned;
- insertion in or completion of the existing documentation in the European catalogue;
- involvement of industry at international and European level;
- regulatory requirements resulting or anticipated from the European Commission;
- demonstrated technical barriers to trade (international and European);
- required or proposed timetable for the preparation of standards.

However, special attention is to be paid to the following arguments when envisaging the transfer of work to ISO :

- the CEN work item is mandated or not.

The Vienna Agreement does not exclude the transfer of mandated work items to ISO. Nevertheless, in principle the mandated work items are related to European Requirements reflected in EC Directives and are linked to very tight target dates and obligations to be reflected in European standards that are to be recognized as "Harmonized Standards", suitable for the implementation of the relevant Directive.

- CEN members are prepared to participate in ISO work.

At the end of work in ISO, parallel voting in CEN and ISO will be conducted. In order to be successful at this level, it is necessary that CEN members participate in the ISO work from the very beginning. Provision has been made that if at least 5 CEN P-members commit themselves to participate actively in ISO/TC work, CEN/BT can decide to

transfer the work to ISO, the preparation of standards can begin without delay and CEN is entitled to nominate a project leader.

- the ISO rules allow the nomination of a project leader by CEN for conducting a given project* .

It is highly recommended that a CEN work item transferred to ISO be followed by a "European project leader". Such a possibility permits a better link with ISO work in case of failure in ISO and the need to continue work in CEN. It is to be noted that the project leader has a particular role in the editing of the prEN submitted to parallel vote.

- respect of the final control of CEN

While accepting the transfer of given work to ISO, CEN keeps open the option (see subclause 3.3.3) to withdraw at any time the transfer of work to ISO, should ISO not respond to the requirements made (respecting of EC Directives, target dates, etc.). This is particularly true for the mandated EC/EFTA work.

In that case, CEN will notify ISO of its decision to process the project separately as a CEN work item. The ISO/TC/SC shall then decide whether or not to continue to process work in ISO. (It is hoped that such an occurrence will be quite exceptional.)

CEN STANDSTILL:

Once the work item has been approved by the CEN/BT, general dispositions to impose or release standstill apply to CEN members according to the second alternative of the CEN/CENELEC Internal Regulations clause 6.2.1 (date decided by CEN/BT).

4. Adoption of existing International Standards as European Standards (clause 4)

4.1 ISO standards adopted without change

If an ISO standard is adopted by CEN without change, the ISO/TC/SC secretariats will be informed by the ISO Central Secretariat that the ISO standard has been approved as a European Standard and will be invited to take this into account when reviewing proposals for revision, confirmation or withdrawal.

4.2 ISO standard proposed for adoption with modifications

When the CEN PQ (primary questionnaire) procedure generates comments, these shall be sent by CEN/CS, after appropriate decision of the CEN/BT, to the ISO/CS which will transmit them to the ISO/TC/SC secretariat concerned. The ISO/TC/SC secretary shall consult the members of the TC/SC and within two months shall inform ISO/CS, CEN/CS and the CEN/TC secretariat (or CEN Reporting Secretariat) if the ISO/TC/SC has agreed to revise the ISO standard or not, within the proposed time schedule.

* This corresponds to the usual practice that the proposer of a work item offers a project leader.

- a) If the response is positive, the ISO standard shall be revised to incorporate the comments received from CEN and shall be processed as a revised International Standard and as a European Standard using the parallel voting procedure within ISO and CEN (see section 5).
- b) If the response is negative, CEN will adopt the ISO standard with modifications, under the normal CEN procedure.

5. Cooperation by transfer of work and parallel approval of standards in ISO and CEN (clause 5.1)

There are two possible cases of parallel voting:

- i) agreement by the CEN/BT that work be transferred to ISO and that parallel voting be conducted in ISO and CEN (see section 5.1 below);
- ii) agreement that the work be carried out in CEN and, for which ISO has declared interest, that parallel voting be conducted in CEN and ISO (see section 5.2 below);

NOTE – When the timefactor is not considered to be critical it will be possible to complete the work in ISO and submit it to CEN for approval through the PQ and Formal Vote or UAP procedure (see section 4 above). It will also be possible to propose that an approved EN standard be submitted to ISO under the fast-track procedure (see clause G.4 of Part 1 of the IEC/ISO Directives).

5.1 Transfer of work from CEN to ISO (subclause 3.3) and parallel approval of standards in ISO and CEN

As indicated in section 3, for each new work item, CEN will consider its various procedural options and if its BT/BTS decides to propose the work item to ISO, one of the following cases may arise:

5.1.1 New work within the scope of an existing ISO/TC/SC

Following the approval of the new work item within CEN and provided that five CEN/ISO P-member bodies commit themselves to participate, work can be transferred to ISO and shall commence immediately within the relevant ISO committee, the secretariat of which shall simultaneously circulate the proposal for new work * in accordance with subclause 2.2 of Part 1 of the IEC/ISO Directives together with the list of the ISO member bodies belonging to CEN ready to participate in the work and the proposed target date. Should the above conditions be fulfilled, CEN is entitled to propose a project leader to initiate the work and take responsibility for controlling the timely advancement of the project, and to set a target date (compatible with Part 1 of the IEC/ISO Directives) for circulation of the ISO/DIS.

Immediately at the end of the three month voting period, the ISO committee secretariat shall inform the ISO and CEN Central Secretariats as to whether the committee has ratified the proposal for new work and whether the work can be completed by the

* CEN form A will, in this case, serve as the form to be used in ISO for the proposal of the new work item.

proposed target date (or shall propose a new target date; CEN will then decide whether the work should proceed in ISO or not).

New work item proposals for which less than five CEN/ISO member bodies commit themselves to participate in the work will be handled as usual (clause 2.2 of Part 1 of the IEC/ISO Directives).

5.1.2 New work requiring extension of the scope of an existing ISO/TC

The same procedure as under 5.1.1 shall apply, provided that the chairman and secretary of the ISO technical committee concerned agree to recommend the extension of the scope of the TC. Simultaneously with consultation on the CEN/NWI proposal, they shall seek agreement of the TC P-members on the proposed extension of the scope and the Technical Board secretariat will similarly seek the approval of the Technical Board of the extended scope.

If the TC chairman and secretary are opposed to the extension of the scope of the TC, they shall inform the secretariat of the ISO Technical Board without delay. The latter will include this information on the Technical Board ballot paper concerning the proposal to extend the scope of the TC.

5.1.3 New work in fields not yet covered in ISO

Upon decision in CEN to transfer the work to ISO, the procedure described in the IEC/ISO Directives for establishment of a new TC will be applied.

5.1.4 Progress of work – Preparatory stage and Committee stage

If CEN has agreed to transfer work to ISO by means of the procedure described above, or if as a result of a joint coordination meeting (see section 2.2) work has been allocated to ISO, work during the preparatory stage and committee stage shall be carried out in accordance with Part 1 of the IEC/ISO Directives.

5.1.5 Parallel approval in ISO and CEN of standards developed in ISO (clause 5.1)

The CEN approval process comprises two stages – an enquiry and a formal vote. For parallel voting

- the ISO/DIS procedure will be equated with the CEN enquiry,
- the two-month confirmation vote (YES/NO) carried out in ISO* will be equated with the CEN formal vote (YES/NO).

The procedure shall be as follows:

When consensus has been reached in the ISO committee, the committee secretariat shall send copies of the committee draft in English and French to the ISO/Central Secretariat (ISO/CS) with the usual explanatory report for distribution as a draft International Standard (DIS). ISO/CS will distribute the DIS to all ISO member bodies and also to the CEN member bodies for Iceland and Luxemburg indicating on the cover page that the DIS covers a subject of interest to European standardization and that

* This provision will be reconsidered after an experimental period, not later than the end of 1993.

consultation of ISO–CEN member bodies on the DIS has the same effect as the CEN enquiry on a draft European Standard.

Therefore, CEN/CS will confirm in parallel this status and circulate the German text.

Six months will be allowed for voting and commenting on this text. (See below for provisions concerning German versions of prEN).

At the end of this period, the votes and comments will be sent by the ISO/CS to the ISO committee secretariat for consideration by the committee and to CEN/CS for information. Once a final text has been agreed upon, this shall be sent, again in English and French, to the ISO/CS, together with a full report, for distribution for a confirmation vote as a second DIS.

ISO/CS will distribute this text for a two month YES/NO vote. The text will simultaneously be notified by CEN/CS as being issued for formal vote in CEN. (See below for provisions concerning German versions of prEN.)

ISO member bodies shall return their votes to ISO/CS and CEN member bodies also to CEN/CS. Should the vote returned to CEN differ from that returned to ISO, a detailed technical justification shall be given to CEN, with a copy to ISO, together with the voting paper.

The results of the formal vote will be interpreted as follows:

Result of vote in ISO	Yes	Yes	No	No
Result of vote in CEN	Yes	No	Yes	No
Decision	Standard ISO xxxx Standard EN 2xxxx	Consultation between ISO and CEN Standard ISO xxxx	Consultation between ISO and CEN Standard EN yyyy	Consultation between ISO and CEN and return of document to the committee

If it is decided to publish the International Standard, further processing will be, in ISO, in accordance with the IEC/ISO Directives and, in CEN, in accordance with the CEN/CENELEC Internal regulations.

Provisions for German versions of prENs:

ISO/DIS are normally available in English and French. In CEN, prEN shall be prepared in English, French and German, unless otherwise decided by CEN/BT. It is the responsibility of the CEN German speaking members to prepare, during the ISO/TC work, the German version of the future prEN so that CEN/CS can release this German version at the same time as the ISO/CS sends the French and English version for DIS and for confirmation vote. If at the DIS stage, the German version is still missing, one of the German speaking members shall be prepared to provide a translation of the ISO text within the first three months of the vote.

5.2 CEN work of interest to ISO, allocation of work to CEN and parallel approval of standards in CEN and ISO (clause 5.2)

If an ISO committee has decided to defer the development of an approved work item to permit its development within CEN, or if as a result of a joint coordination meeting (see section 2.2) it has been agreed to allocate a work item to CEN, work shall proceed in CEN in accordance with Part 2 of the CEN/CENELEC Internal Regulations up to and including the decision to submit a text for CEN enquiry. The CEN technical secretariat or reporting Secretariat shall ensure that copies of drafts are made available to the corresponding ISO committee so that it may comment on the successive CEN drafts.

Once a decision has been reached in the CEN committee to proceed with the enquiry, the text shall be supplied by the CEN/TC secretariat to the CEN/CS, which will forward the document to the ISO/CS, informing the ISO committee secretariat of this action.

CEN/CS will conduct its six month enquiry, according to its rules, for comment by its members, including on the German version. Specific non-CEN-members, with which CEN has formal agreements, will receive the drafts, on which they may send comments to CEN/CS.

ISO/CS will distribute this document in parallel as a draft International Standard to all ISO member bodies indicating on the cover page that the text is being distributed for enquiry in CEN and simultaneously for voting as an ISO/DIS. The text itself shall not be distributed by ISO/CS to the CEN members and CEN affiliate members. Six months will be allowed for voting and commenting on this text. ISO member bodies will be required to send their votes and comments to ISO/CS and to copy their comments to CEN/CS.

At the end of this period, the comments will be sent directly by the CEN/CS to the CEN committee secretariat for consideration by the committee. CEN/CS will send a copy of the comments received for information to the secretariat of the ISO committee and its chairman. A final text shall be agreed within CEN which shall be submitted to the CEN/CS for formal voting. The text will be circulated by CEN/CS for formal vote in CEN according to its rules. CEN/CS shall transmit this text to ISO/CS for a simultaneous confirmation vote (YES/NO) as a second DIS. The text itself shall not be distributed by ISO/CS to the CEN members and CEN affiliate members.

ISO member bodies shall return their votes to ISO/CS and in addition CEN member bodies to CEN/CS. Should the vote returned to CEN differ from that returned to ISO, a detailed technical justification shall be given to CEN, with a copy to ISO, together with the voting paper.

The result of the formal vote will be interpreted as follows :

Result of vote in ISO	Yes	Yes	No	No
Result of vote in CEN	Yes	No	Yes	No
Decision	Standard ISO xxxx Standard EN 2xxxx	Consultation between ISO and CEN Standard ISO xxxx	Consultation between ISO and CEN Standard EN yyyy	Consultation between ISO and CEN and return of document to the committee

If it is decided to publish the International and/or European Standard, further processing will be, in ISO, in accordance with the IEC/ISO Directives and, in CEN, in accordance with the CEN/CENELEC Internal Regulations.

6. Joint ISO/CEN Coordinating Group of the Technical Boards (Clause 6.2)

To monitor progress in the implementation of the Vienna Agreement and to ensure progress towards the completion of projects within planned timescales, the ISO and CEN Technical Boards have appointed a Joint ISO/CEN Coordinating Group with terms of reference specified in clause 6.2 of the Agreement.

ISO/TC/SC and CEN/TC/SC secretariats are invited to inform this JCG, through the ISO/CS or CEN/CS, of any difficulty encountered in implementing these Guidelines.

1992-06-12

PARALLEL VOTING

ISO/CEN

Procedural steps when work item of interest to CEN is to be developed in ISO

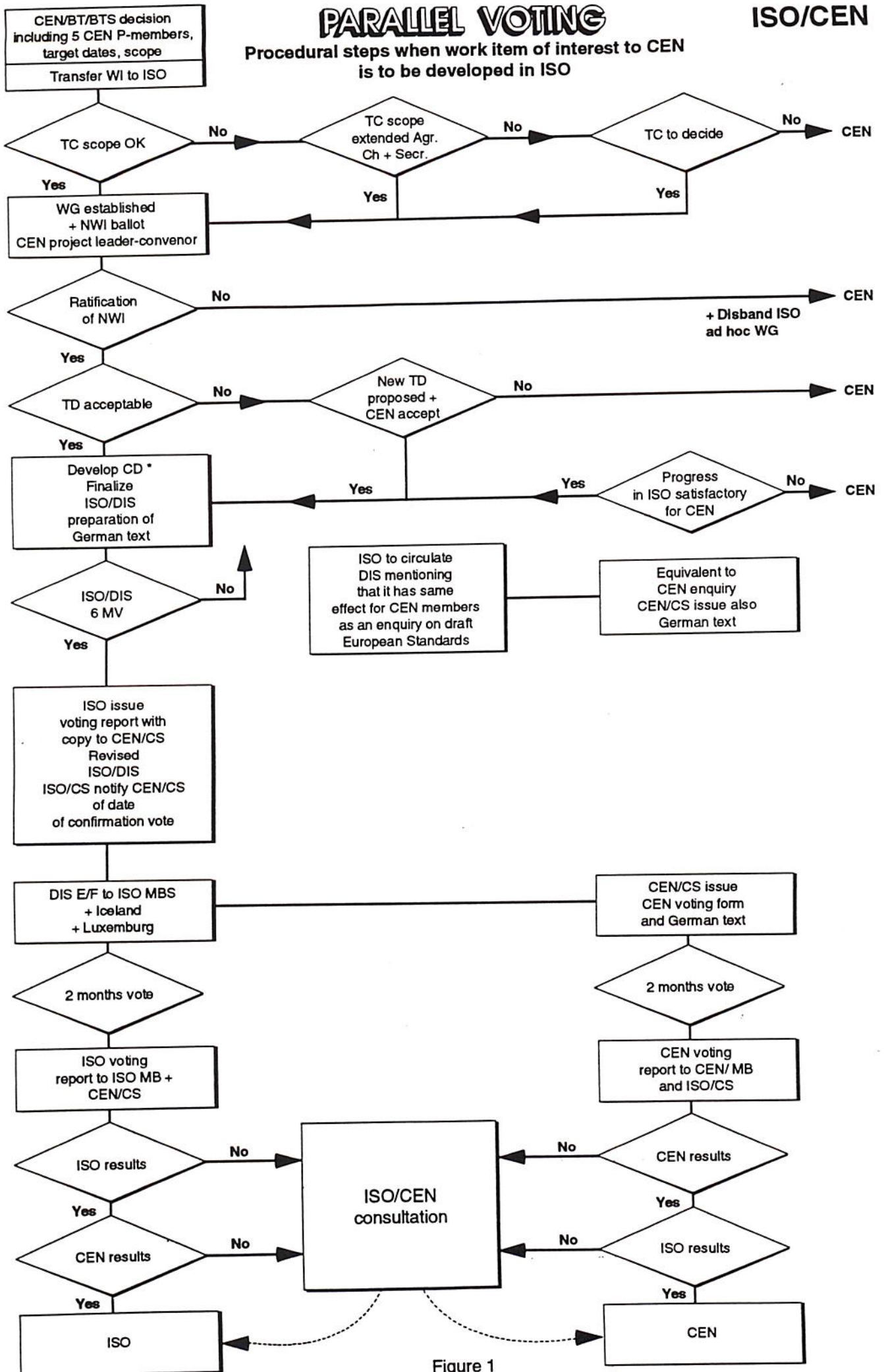


Figure 1

* The following procedural steps also apply in the case of a work item common to ISO and CEN and which CEN has agreed should be developed in ISO.

Procedural steps when work item of interest to ISO is to be developed in CEN

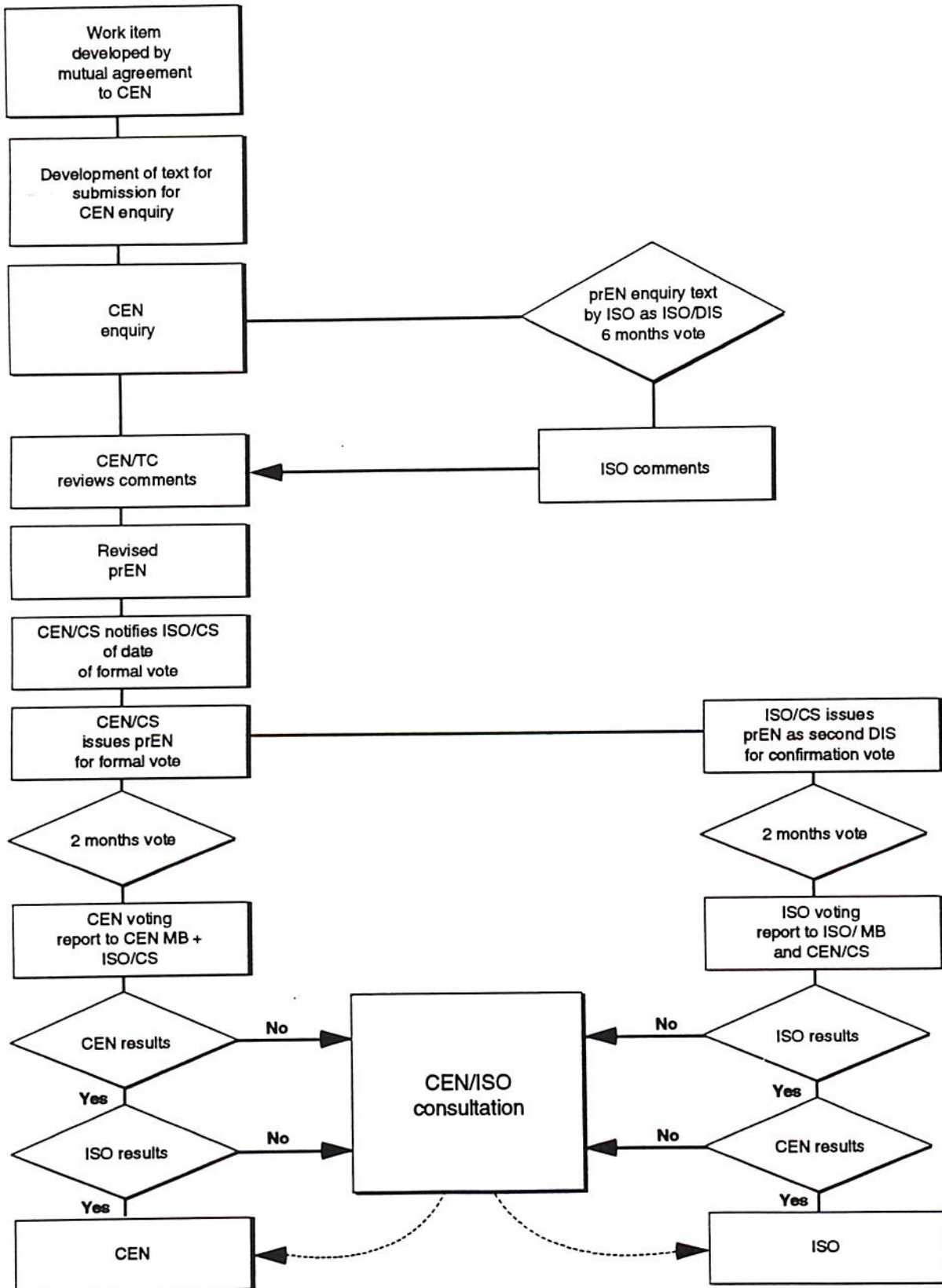


Figure 2

