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- Source : Procedures Editor, Ms. Isabelle Valet-Harper  
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- Status : For JTC1 Ballot
- Note : The document SGFS N758 contains a revised version of the SGFS procedures (SGFS N601) including Inter-TC Operations. The SGFS approved N758 by correspondence as the new SGFS Standing Document SD-1.

During the SGFS Seoul 1993 Meeting a "pDISP Review Proforma" (SGFS N1011) and a "Memorandum of Agreement Proforma" (SGFS N1008) have been approved.

In accordance with Resolution 4 of the SGFS Seoul 1993 Meeting this document SGFS N1001 contains SGFS N758 together with the "pDISP Review Proforma" and "the Memorandum of Agreement Proforma" as Annexes. The former Annex A in N758 is removed and appropriate pointers to the new Annexes are made.

#### **SPECIAL NOTE TO THE JTC1 NATIONAL BODIES AND LIAISON ORGANISATIONS:**

In history a revised version of the SGFS procedures was only reviewed and commented within SGFS. The origin of the SGFS Procedures is to provide SGFS with internal working methods. They were not submitted for Ballot within JTC1.

However, this document SGFS N1001 proposes SGFS procedures related to Functional Standardization outside JTC1 so within ISO or IEC Technical Committees. Because of these Inter-TC Operations these new SGFS Procedures SGFS N1001 are submitted to JTC1 for Ballot.



**SD-1 HISTORY**

- a) This process description, previously part of TR10000, was balloted as a PDTR in accordance with the resolution of the JTC1 SGFS meeting held in Tokyo, Japan, in May 1988. The results are to be found in JTC1 SGFS N63. Issues outstanding after the ballot are documented in SGFS N68, the editor's review of the ballot. The final disposition of those of comments is documented in SGFS N91.
- b) At the SGFS meeting held in Copenhagen in February 1989, it was agreed that clauses 6 and 7 of this document would form the principal basis of the ISP procedures to be forwarded, when stable, to the JTC1-SWG on procedures. The whole process description, as contained in this document will be updated as a standing SGFS document and was balloted by JTC1 national bodies, in accordance with the SGFS Copenhagen resolutions 2 and 3, as SGFS N115.
- c) The results of the N115 ballot are to be found in SGFS N166. The McLean, Va meeting resolved the ballot comments and approved a revised version as SGFS N 201. SGFS McLean Resolution 5 refers to that document. The disposition of comments can be found in SGFS N188. The SGFS N201 version of the process description was used as the preliminary procedures until this revised version was produced in the Berlin, July 1991 meeting.
- d) SGFS Berlin resolutions 2.4 and 11 refer to this document. An extract of clauses 4-9 inclusive was forwarded to JTC1 for inclusion in the next edition of the JTC1 Directives as a replacement for the current Annex C, which was drafted during the formative stages of the SGFS. JTC1 N 1838, incorporating these changes was balloted early in 1992, and publication is expected in early 1993.
- e) Resolution 5 of the July 1992, Copenhagen JTC1 meeting authorized the inclusion of the text of Annex C, essentially unchanged, in the version of the JTC1 directives due to be published in September 1992. This version of the SGFS procedures represents those refinements agreed during the June 1992 meeting of SGFS in Washington, DC, during which it was agreed, via Resolution 5, to maintain the procedures as Standing Document 1 (SD-1), of which SGFS N 601 is the first edition.
- f) Resolution 4 of the December 1992, SGFS authorized subgroup meeting in London requested the circulation of this version of SD-1 as SGFS N 757.

**Contents**

<b>1. Scope</b>	<b>1</b>
<b>2. Use of this procedure document</b>	<b>2</b>
2.1 CATEGORIES OF USE	2
2.2 MULTI-TC REQUIREMENTS	2
<b>3. Framework and taxonomy update procedure (ISO/IEC TR10000-1 and -2)</b>	<b>2</b>
3.1 Submission	2
3.2 Independent taxonomy change	3
3.3 Combined taxonomy changes and PDISP submission	3
3.4 Ballot procedure for framework and/or taxonomy changes	4
3.5 Recording of proposed taxonomy changes	4
<b>4. Submission of a PDISP</b>	<b>5</b>
4.1 Outline of procedure	5
4.2 Explanatory report	5
4.3 MULTI-TC ISPs	7
<b>5. PDISP review process</b>	<b>7</b>
5.1 Outline of procedure	7
5.2 Review process and composition of review groups	8
5.3 Specific review actions	8



5.4 PDISP to DISP transition	9
<b>6. Processing of the DISP ballot</b>	<b>9</b>
6.1 General DISP ballot procedure	9
6.2 Action following ballot termination	10
6.3 Ballot resolution meeting provisions	10
<b>7. ISP maintenance &amp; defect processing</b>	<b>10</b>
7.1 ISP maintenance responsibility	10
7.2 Modifications to base standards	11
7.3 Defects in PDISPs and ISPs	11
7.4 Approval of amended ISPs	11
7.5 Periodic review	12
<b>8. Extensions and enhancements</b>	<b>12</b>
8.1 Extensions and enhancements to ISPs	12
8.2 Extensions and enhancements to base standards	12
<b>9. Update procedures for the directory of ISPs &amp; the profiles contained therein</b>	<b>12</b>
<b>10. Change request report information</b>	<b>14</b>
<b>11. Organization of authorized subgroups of SGFS</b>	<b>14</b>
11.1 Rules for convening a meeting	14
11.2 Authorized subjects for meetings	15

## SGFS SD1 - ISP Process

**ISO/IEC JTC1/SGFS - TAXONOMY UPDATE, ISP APPROVAL & MAINTENANCE PROCESS****1. Scope**

The scope of this ISP process document is to define the ISO/IEC JTC1 procedural mechanisms by which:

- a) An addition or modification to the ISO/IEC TR10000 occurs (see clause 3);
- b) A proposed Draft International Standardized Profile (PDISP) is submitted (see clause 4);
- c) A review of any submitted PDISP takes place (see clause 5);
- d) PDISP ballot results are resolved (see clause 6);
- e) Defects in ISPs are processed (see clauses 7 and 8);
- f) The status of ISPs is recorded and updated in "The Directory of ISPs and the profiles contained therein" (see clause 9);
- g) Authorized subgroups of the SGFS are organized (see clause 11).

These procedural mechanisms supplement the ISO/IEC JTC1 Procedures.

These procedures cover:

- OSI-based profiles, and
- Application Environment Profiles (AEPs) covering functionality for the Open Systems Environment (OSE). The procedures cover the situation when the PDISP is wholly within the scope of JTC1 and that where more than one Technical Committee (TC) is involved. In the latter case, extra requirements apply, including the existence of a multi-TC ISP memorandum-of-agreement (MOA) document (see clause 2).

**Abbreviations - see Editor's note**

<b>DISP</b>	Draft International Standardized Profile
<b>ISP</b>	International Standardized Profile
<b>ITTF</b>	Information Technology Task Force
<b>MO</b>	Maintenance Organization
<b>PICS</b>	Protocol Implementation Conformance Statement
<b>PDISP</b>	Proposed DISP
<b>SGFS</b>	Special Group on Functional Standardization

## 2. Use of this procedure document

### 2.1 CATEGORIES OF USE

- a) The submission requirements described in clauses 3, 4 and 10 shall be followed by a submitter of a PDISP or a TR10000 change request.
- b) The procedure descriptions contained in clauses 5 and 6 form the basis for the processing and approval of ISPs.
- c) The maintenance and update provisions for an ISP described in clauses 7 and 8 will be followed by the designated maintenance organization (MO) for an ISP.
- d) The updating of "The Directory of ISPs and the profiles contained therein" will be performed by the SGFS secretariat consistent with clause 9.
- e) The organization of authorized subgroups will be performed by the SGFS chair consistent with clause 11.

NOTE:- ISPs should be documented in the ISO and IEC catalogs following the prescribed working methods.

### 2.2 MULTI-TC REQUIREMENTS

In cases 2.1 a) - c) inclusive, further requirements apply if multiple TCs are involved in the approval of a multiple part ISP. In the case of multiple TC involvement, a memorandum-of-agreement (MOA) shall be developed and published jointly by JTC1, the TC(s) involved and the organization or organizations which are expected to develop the parts of the multi-part ISP. The MOA shall include at least the following:

- a) Identification of which TC is responsible for overall coordination of the multi-part ISP;
- b) Identification of which TC is responsible for the format of the profile and for including the profile in a taxonomy and a directory of profiles if needed. This will normally be the same as the TC in a) above. In the case of JTC1, the directory in SD-4 and the framework and taxonomy update procedure (clause 3) shall be used;
- c) For each and every part of the multi-part ISP, a unique assignment of the TC responsible for processing that part of the ISP under its own procedures, including calling and conducting ballot resolution meetings.

For those ISPs for which JTC1 is identified as being responsible in a) above, the procedures in clauses 4, 5.1-5.3 and 5.4 e) shall apply and will require explanatory and review reports covering all parts. The full submission and approval procedures in clauses 4, 5 and 6 shall only be applied to those parts of a multi-part ISP for which JTC1 has been identified as responsible in c) above.

Annex A contains a MOA proforma which shall be used by the parties involved.

## 3. Framework and taxonomy update procedure (ISO/IEC TR10000-1 and -2)

### 3.1 Submission

An authorized body can submit a change request to the SGFS secretariat for addition to, or modification of, the Framework of ISPs (TR10000-1) or the Taxonomy of Profiles (TR10000-2). Change requests for the Taxonomy are acceptable only within the scope set out in TR10000-1, clause 1.

Authorized bodies are:

- a) 'A' and 'S' liaison organizations of JTC1/SGFS,
- b) SCs within ISO/IEC JTC1,
- c) An ISO or IEC Technical Committee with a JTC1 ISP requirement,



- d) The JTC1/SGFS,
- e) JTC1/SGFS 'P' members.

A submitter shall submit a change request report (see 10) and a proposal for the changes to be made. It is recommended to submit the summary descriptions of the profiles involved at least four months prior to PDISP submission.

If the request to change the taxonomy is a harmonized request from an S-liaison, as indicated in the change request, the SGFS secretariat selects the appropriate procedure from those described in 3.2 to 3.4 below. For all other change requests, the procedure in 3.4 is always used.

### 3.2 Independent taxonomy change

This procedure applies to taxonomy changes when

- a) the change affects only TR10000-2; and
- b) the change is within the scope of TR10000-1; and
- c) the change request is a harmonized request submitted from an S-liaison source.

Recording of the change takes place according to 3.5 below.

Adoption of the change takes place according to 3.3 or 3.4 below.

### 3.3 Combined taxonomy changes and PDISP submission

This procedure applies to change requests when:

- a) the change affects only TR 10000-2; and
- b) the change is within the scope of TR10000-1; and
- c) identifies one or more profiles; and
- d) the change belongs to a class of changes for which the SGFS has given prior authorization to follow this procedure; and
- e) the submission of the change request is done in combination with the submission of the PDISP (or PDISP parts) containing the profiles identified in the change request; and
- f) the change request is a harmonized request submitted from an S-liaison source.

The approval of a change request for which these conditions hold will be done in combination with, and by the same authorities as the approval of the corresponding PDISPs (or PDISP parts).

The SGFS secretariat will combine the distribution for review of these change requests with the distribution for review of the corresponding PDISPs, and the proposals are therefore distributed to the review group for review and to the SGFS members for information.

The provisions for successful completion and initiation of the DISP ballot are the same as for the PDISP review (see 5.3 and 5.4) The result of the taxonomy review forms part of the review report for the PDISP.

JTC1 national bodies and liaison organizations will be informed by the cover letter for the DISP that successful completion of the DISP ballot will be taken as agreement to the associated taxonomy change request. Any independent taxonomy change previously recorded in the directory which applies to the DISP under combined ballot will be removed from the directory if the ballot is successful.

The provisions for the successful completion of the ballot and subsequent ISP publication are the same as those for DISP (see clause 6). If ISP publication is approved, the associated taxonomy change will be incorporated into the next edition of TR 10000-2.



### 3.4 Ballot procedure for framework and/or taxonomy changes

This procedure applies to framework and/or taxonomy changes when:

- a) the change affects TR 10000-1 (and possibly TR10000-2); or
- b) a proposed change to TR10000-2 is received which is not a harmonized change.
- c) SGFS decides to ballot a harmonized, independent taxonomy change request.

The SGFS secretariat will distribute a change request of this type to:

- an authorized subgroup of the SGFS, to bring the proposal into TR 10000 format if required, or otherwise to assess the proposal, and to the SGFS for information; or

NOTE:- For the procedures associated with an authorized subgroup and its permitted subjects, see clause 11.

- if an SGFS meeting is scheduled in the near future, to the SGFS itself.

If an authorized subgroup is considering the request, the following preliminary step is involved. After completion or assessment by the subgroup, the SGFS secretariat will distribute the completed proposal (or, if appropriate, the proposal with its assessment) to the SGFS for 'comment and indication of support'. National bodies and liaison organizations (NBLOs) are encouraged to comment on the change request as soon as possible in order that potential agreement on non-controversial changes can be detected at an early stage by correspondence. An NBLO response should be submitted within 3 months from circulation of the change request.

When either an authorized subgroup is involved or the change is submitted directly to an SGFS meeting, the following provisions apply.

If it appears that there is an insufficient level of support, attempts will be made by an authorized subgroup of the SGFS, in co-operation with the originator, to resolve the deficiencies. This may result in a new version of the proposal being submitted. Unless otherwise decided by the SGFS, the new proposal will be distributed by the secretariat for 'comment and indication of support'. as described in the preceding paragraph.

Consideration and progression of successive proposals shall continue until substantial support has been obtained or a decision to abandon or defer the request has been reached.

Each SGFS or authorized subgroup meeting will consider all change requests submitted to the committee in time for the next meeting. If substantial support is obtained, the change request and the review report will be submitted to the JTC1 secretariat for JTC1 ballot and simultaneously to SGFS members for information. The JTC1 secretariat will distribute these documents for JTC1 letter ballot. SGFS members will be informed of the ballot by the SGFS secretariat.

The provisions for the successful completion of the ballot and subsequent publication are similar to those for DISPs (see 6). In particular, a ballot resolution meeting may be held (see 6.2 and 6.3). If publication is approved the JTC1 secretariat will publish the updated parts of TR 10000.

### 3.5 Recording of proposed taxonomy changes

For all proposed taxonomy changes, whether proposed under 3.2, 3.3, or 3.4 above, the SGFS secretariat, after checking that the information required in clause 9, "Update procedures for the directory of ISPs & the profiles contained therein" on page 12 has been correctly furnished, will incorporate the proposed taxonomy change in the next edition of SGFS SD-4 "Directory of ISPs and the profiles contained therein" (called hereafter "The Directory"). If and when approved, the taxonomy change will be incorporated into TR10000-2 and removed from the Directory.



#### 4. Submission of a PDISP

##### 4.1 Outline of procedure

A proposed draft ISP (PDISP) can be submitted by an authorized body to the SGFS. Authorized bodies are:

- a) 'A' and 'S' liaison organizations of JTC1/SGFS,
- b) SCs within ISO/IEC JTC1,
- c) An ISO or IEC Technical Committee with a JTC1 ISP requirement (In the case of multi-TC ISPs, 4.3 also applies),
- d) JTC1 or JTC1/SGFS P-members.

The target processing time of a PDISP from submission to publication is 7-10 months. To meet the timing targets, potential PDISP submitters should notify the SGFS secretariat of their intention to submit a specific PDISP at least three months before the planned submission date. Such early notification will enable the SGFS review process (see clause 5) to be set up before the PDISP submission.

Therefore it is strongly recommended that a notice of PDISP submission be made to the SGFS secretariat at least three months before the submission and that the inclusion of the associated profiles in the Taxonomy (TR10000-2) be requested no later than this time. This will permit the associated taxonomy entry approval prior to final approval of the ISP.

NOTE:- If these recommendations are not met, the overall ISP processing time estimates will be in jeopardy.

A submitted PDISP shall be accompanied by an explanatory report from the submitter. Both the PDISP and the explanatory report will be circulated on receipt to SGFS members. The explanatory report contains a number of items of important information, including a statement about the degree of openness and a description of the degree of international harmonization which have been reached. The explanatory report contents are detailed in 4.2. Some speeding up of the PDISP processing may be possible if part or all of the explanatory information is submitted in advance of the PDISP text, together with an indication of the intended date of submission of the PDISP itself.

PDISPs will be reviewed by a Review Group, the membership and functions of which are described in clause 5.

##### 4.2 Explanatory report

A PDISP may cover more than one profile and do so in multiple parts. The explanatory report should cover each part individually.

The explanatory report shall contain the following information that relates to the content of the PDISP (unless the submitter shall indicate that it is not applicable).

- a) General ISP Information
  - 1) Profile identifier (if already assigned)
  - 2) Profile title
  - 3) Name of submitting organization and the name of an individual who, as editor, will serve as the contact point during the review and approval process.
  - 4) Date of original notification to SGFS
  - 5) A declaration by the submitting organization (or other designated organization) of commitment to maintain the PDISP after its approval and identification of an individual, if known, who will serve as contact point for PDISP maintenance.
  - 6) In the case of a multi-TC ISP, the reference to the multi-TC ISP memorandum-of-agreement (MOA)



## b) Base Standards Referenced

- 1) A list of ISO, IEC and ISO/IEC standards (including ISPs), Technical Reports and CCITT recommendations referenced in the PDISP together with their numbers, dates and titles. When an ISP specifies ISO/IEC International Standards and/or CCITT Recommendations which contain aligned or identical text, both the ISO/IEC International Standard and the CCITT Recommendations shall be referenced in the ISP.
- 2) A statement stating whether the documentation requirements in ISO/IEC TR10000-1 on conformance have been met.
- 3) Any aspect of actual or potential non-compliance with base standards should be specifically addressed.
- 4) An identification of any approved amendments, technical corrigenda (errata) to base standards referenced in the profile which in the view of the submitting organization are thought to be applicable or not applicable. This information is also included in the PDISP; therefore, if the explanatory report and the PDISP are submitted at the same time, the explanatory report may simply refer to the PDISP for this information.

## c) Registration requirements

- 1) A list of ISO, IEC, ISO/IEC Standards, Technical Reports and CCITT Recommendations which are used as references for registration, including their numbers, dates and titles.
- 2) A list of any new SGFS ISP registration requirements or procedures required, together with a statement of justification for these.
- 3) A list of any national or regional registration references, including their numbers, dates and titles, together with a statement as to why these are required. These references should be informative, not normative.

## d) Relationship to Other Publications

- 1) A list of any national or regional standards referenced in the PDISP, citing their numbers, dates and titles, together with a statement as to why these are required. The references to these standards should be informative, not normative.

## e) Profile Purpose

- 1) An executive summary of the scope and purpose of the profile is required. This summary should be written so that it can be clearly understood by a broad audience which may include people not familiar with details of standards. It should be in the form of an abstract of about a third of a page in length and must be suitable for publication in the Directory.
- 2) A statement on the relationship to any other ISPs or profiles in the taxonomy and the usage of common sections of text as described in Part 1, Annex B, if known.

## f) PDISP development process

- 1) A statement on the origin and development history of the PDISP together with the dates of major change of status.
- 2) A statement of the degree of openness of the PDISP development process and the extent of international harmonization that has been achieved, including for appropriate profiles, whether or not the PDISP has been considered and/or endorsed by any of the regional workshops for open systems.
- 3) A statement of the results of any joint planning operation between the submitting organization and ISO/IEC JTC1/SGFS. This includes a review of the identified purpose for the ISP and identification of liaisons required with those ISO/IEC SCs, other TCs and/or CCITT SGs responsible for the base standards referenced normatively in the ISP. It shall also identify, when applicable, timeframes for finalization of base standards, considering that a reference to a non-approved base standard (e.g CD/PDAM or DIS/DAM stage), should not appear in an ISP.

## g) ISP content &amp; format

- 1) A statement as to whether the requirements on ISP content and format as described in TR10000 -1, A have been met.



- 2) If f(1) is not positive, an explanation for the divergence.
  - 3) Whether or not a multi-part ISP structure is envisaged and if so, an explanation of the structure.
  - 4) Whether multi-TC requirements are included.
- h) Any other pertinent information  
The submitter should indicate any other information that may be appropriate for consideration in the PDISP approval process.

#### 4.3 MULTI-TC ISPs

When multi-TC ISPs are involved, the submission may be made directly to JTC1 when JTC1 has overall coordination responsibility. When that responsibility has been assigned to another TC under the multi-TC ISP memorandum-of-agreement (MOA) document, parts of the multi-part ISP for which the JTC1 review and balloting procedures are to apply will be forwarded to JTC1 on behalf of the original submitter by the TC which has the overall responsibility. The submission by the coordinating TC should clearly indicate the status that has been achieved within that TC (e.g. authorized for JTC1 submission by resolution). The submission should also clearly identify that the JTC1 procedures are to apply so that parts sent for processing under the JTC1 procedures are distinguished from those submitted through normal liaison for information and/or comment.

### 5. PDISP review process

#### 5.1 Outline of procedure

When a PDISP is submitted to the SGFS secretariat, the PDISP and the explanatory report will be distributed to SGFS members.

If any part or parts of the PDISP will perform registration by standard, the submitter shall make this clear in an accompanying letter of submission. If the letter of submission indicates that registration as defined in 4.2 c) 2) will take place, the SGFS secretariat shall forward a copy of the PDISP to the JTC1 SWG-RA for their review.

A review report will be produced by a review group of the SGFS duly authorized by the SGFS. Their mode of operation may be correspondence, electronic exchange of information or a meeting. Each review group will assess the explanatory report information and the submitted PDISP and produce a review report in a target period of 1-2 months. The report will contain an assessment as to the acceptability of the PDISP based upon the criteria stated in clause 5.3. In the case of a favourable review report, the PDISP status will be changed to DISP. The DISP will be forwarded to the ITTF secretariat for ballot by JTC1 national bodies, and simultaneously to SGFS members for information. Both the review report and the submitter's explanatory report will be distributed with the DISP to enable JTC1 members to consider them in their ballot response.

In cases where an internationally harmonized PDISP is submitted by an S-liaison, it is expected that the material for the review report will be submitted at the same time as the PDISP, as a result of harmonization and of co-operation with JTC1 SCs, other TCs and/or CCITT SGs during the PDISP definition. In these cases, it should not be necessary to perform a specific review for the PDISP. The SGFS chair and secretariat shall check that the review report is complete according to the criteria in items a) to f) of 5.3. In all other cases, a review will be conducted on the PDISP.



## 5.2 Review process and composition of review groups

The Review process is coordinated by a permanent review process convenor appointed by the SGFS.

A pool of experts is established by invitation from the review process convenor. Experts from the following sources may be present in the review pool:

- a) SGFS national bodies (P-members),
- b) SGFS 'A' & 'S' liaisons,
- c) Other ISO or IEC TCs when base standards of that TC are referenced in the PDISP under review.
- d) Relevant JTC1 SCs,
- e) Relevant CCITT SGs.

The review process convenor, in conjunction with the SGFS contact point in each of the organizations above, is responsible for establishing, maintaining and publishing a list of review pool experts, together with their contact details and areas of expertise.

Only a portion of the review pool will normally participate in the review of a given PDISP. Typically, this will involve experts from JTC1 subcommittees and CCITT study groups which have produced the base standards involved in the PDISP.

The JTC1 SC, other TC or CCITT SG experts are not necessarily expected to formally represent their respective committees in the review process, but are requested to express their committee's views to the best of their ability. Experts designated by their committees are responsible for obtaining appropriate expertise from their committees in cases where their individual knowledge is insufficient.

When a review is required for a PDISP or set of PDISPs, the review process convenor identifies a selection of experts from the pool, whose expertise is appropriate for the technical area covered by the PDISP or PDISPs, to carry out the review. This selection of experts from the pool is known as the review group for the specific review in question.

## 5.3 Specific review actions

The review group for a specific PDISP or PDISPs will produce a review report within 1 to 2 months. This report will specifically address the following aspects:

- a) Ensure that an individual contact point for the ISP has been identified by the PDISP submitting organization. The convenor of the review group will use this individual contact point throughout the ISP approval process.
- b) Identify which JTC1 SCs, other TCs or CCITT SGs need to be advised on the conformance material in the PDISP, if they have not already been identified.
- c) Assess the accuracy of the submitter's declarations in the explanatory report with particular attention to technical consistency in the PDISP in the use of base standards including conformance aspects and any registration requirements.
- d) If a PDISP specifies ISO/IEC International Standards and/or CCITT Recommendations which contain aligned or identical text, ensure that both the ISO/IEC International Standard and the CCITT Recommendation are referenced in the ISP.
- e) If national or regional standards are referenced in the PDISP, assess as to whether the submitter's case for their inclusion is present and appears sufficient. Specific attention should be paid as to whether the references to them are only informative, not normative. Any exceptions shall be noted in the review report.
- f) Evaluate the degree to which international harmonization has been achieved. As part of their assessment, the review group should also give a clear indication if there is another current or planned ISP in the same area.
- g) Assure that the PDISPs associated profile position in the Taxonomy TR10000 has been identified and, if necessary, actioned according to 3.2, 3.3 or 3.4.



- h) Review the list of amendments and technical corrigenda for completeness, and the proper identification of status according to 4.2 b) 4). One part of this information is found in the "Normative References" clause of the PDISP, and the remainder is found in the "Informative References to Amendments and Technical Corrigenda" Annex.
- i) In the case of a multi-TC ISP, verify that the memorandum-of-agreement (MOA) document exists and that it includes the information described in 2.2 a) - c).

If it appears that the initial assessment will reveal major outstanding issues, an informal approach will be made with the PDISP submitter in an attempt to resolve the deficiencies. Some of the possibilities are:

- a) The PDISP is modified by the originator and the text is resubmitted;
- b) A proposed resolution of the deficiencies is noted in the review report, for incorporation in the final text of the ISP following a successful ballot;
- c) A statement of unresolved deficiencies is contained in the review report:

The convenor of the review group is responsible for ensuring that the review report is produced and distributed to the SGFS whatever mode of operation is selected. Although many factors are described above for the explanatory report and the review report, the main aim of the process is to enable the swift publication of ISPs in a consistent manner and in a style compatible with each other.

For their convenience review group members can use the "review proforma" as presented in Annex B.

#### 5.4 PDISP to DISP transition

The following steps take place:

- a) Once the review process for a given PDISP terminates, the review group produces a review report. The PDISP then becomes a DISP and is balloted according to the procedures in clause 6 unless the exception in item d) of 5.4 applies;
- b) If the PDISP has been modified by the submitter as a result of the SGFS review process, the updated text should be clearly identified as being changed in the DISP ballot text. Such changes require submitter approval.
- c) For the case of a multi-TC ISP for which JTC1 is identified as having the coordinating responsibility, the parts which are to be processed by another TC are forwarded to that TC with a clear status statement. Those parts identified as being the responsibility of JTC1 are treated the same as PDISPs under the sole control of JTC1.
- d) In either case a) or b) of 5.4 a 4 month DISP letter ballot takes place at the JTC1 member level. The procedures to be followed after the ballot are described in clause 6.
- e) A PDISP submitter may withdraw a PDISP at any time.

## 6. Processing of the DISP ballot

### 6.1 General DISP ballot procedure

The procedures for DISP ballot are the same as those described for DIS processing in 6.6 of the JTC1 Directives with the following exceptions:

- The ballot period for the first and any necessary subsequent DISP ballots shall be 4 months with no extensions;
- The practice following ballot termination will include specific provisions for ballot resolution meetings to be held, and to be attended, amongst others, by the submitting organization. These provisions are described below and apply especially when the circumstances of 6.6.12 or 6.6.14 of the JTC1 Directives apply.



## 6.2 Action following ballot termination

At the completion of the ballot period, the votes and received comments will be reviewed by the JTC1 secretariat and SGFS chair, who will select one of the following two courses of action:

- a) recommend publication of the DISP text or an editorial revision thereof as an ISP; this course may be followed only if there are no negative votes and no significant technical comment;
- b) call a ballot resolution meeting under the SGFS for review of the ballots cast and their associated comments;

These actions should be completed within 1½ to 2 months following the ballot termination. Publication should occur within 2½ months following authorization. The final ISP text shall be distributed as an SGFS document.

## 6.3 Ballot resolution meeting provisions

A ballot resolution meeting should include representation from JTC1 National bodies, liaison organizations, the submitting organization and other S-liaisons who have taken part in the harmonization process. In the case of a multi-part ISP, representation from the other TC(s) involved will be directly sought. Invitations will be issued to all of them. The following outcomes are possible:

- a) the national body and liaison organization (NBLO) comments can be resolved without technical change to the DISP; in this case any necessary editorial modifications are made to the text, and publication as an ISP is recommended to the ITTF;
- b) Accommodation of the NBLO comments and/or resolution of comments associated with NB negative ballots can be achieved only by means of technical changes to the DISP. In this case such changes should not jeopardize the international harmonization that has been reached. Such a change must be approved formally by the submitting organization, and the ballot resolution meeting may have to be suspended and subsequently reconvened to enable this process to take place. If the change is acceptable to both the submitting organization and the ballot resolution meeting, then a revised text is prepared. If acceptable to the ballot resolution meeting, the revised text is submitted to the JTC1 secretariat with a recommendation that it be forwarded to the ITTF for publication. Otherwise, for example if the degree of technical change is so significant that confirmation is necessary, the revised text is submitted to the ITTF for further processing as a second or subsequent DISP ballot of JTC1 national bodies.
- c) if the national body comments cannot be resolved in such a manner as to achieve a sufficient level of national body approval, the DISP is withdrawn. In this case, the JTC1 secretariat and the SGFS chair, after consultation with the submitting organization, advise the ITTF and the submitting organization that the DISP has not attracted a sufficient level of approval; this course may be followed only if it is clear that there is no way in which enough negative votes can be reversed.

## 7. ISP maintenance & defect processing

### 7.1 ISP maintenance responsibility

The organization responsible for maintenance of an ISP is normally the submitting organization or other designated organization and must be identified at the time the PDISP is submitted. This organization is known as the maintenance organization (MO). For multi-TC ISPs, the organization responsible for maintenance of each part will normally be that organization which submitted the part to the TC identified in the memorandum-of-agreement (MOA) as having overall coordination responsibility. In exceptional cases such as lack of continuity of the submitting or designated organization, this may be done by an organization designated by the SGFS.



## 7.2 Modifications to base standards

The procedures for "Maintenance/Correction of defects in JTC1 standards" contained in the ISO/IEC JTC1 Directives shall apply to base standards included in ISPs.

The MO for the ISP shall monitor publication of amendments and technical corrigenda to base standards which the ISP references and submit amended versions of the ISP as appropriate. The submission may occur either before or after an ISP has been approved. In either case, the MO for the (PD)ISP is responsible for determining the applicability of base standard amendments to the (PD)ISP and for amending the (PD)ISP. In any amendment to an ISP, a clear indication shall be made of which published base standard amendments and technical corrigenda are thought to be applicable, and those thought to be not applicable. This information shall be provided according to TR 10000-1 clause 6 and Annex A.

NOTE:- An ISP maintenance organization should recognize that amendments and technical corrigenda to base standards which correct errors should be included in an ISP on a timely basis so that incorrect profiles and their consequent implementations can be minimized.

Amendments to ISPs should also be considered when significant changes to its constituent base standards occur, for example, when a PICS is created or modified in one of the base standards.

## 7.3 Defects in PDISPs and ISPs

A defect may be discovered in a PDISP or ISP even though no corresponding defect has been detected in the referenced base standards.

Such defects may be submitted to the SGFS secretariat by:

- a) An ISO/IEC JTC1 P-member,
- b) An organization in liaison with JTC1,
- c) The organization responsible for the (PD)ISP,
- d) A JTC1 subcommittee or other ISO or IEC Technical Committee.

In the case of defects submitted before an ISP is approved the defect must be resolved before approval and publication of an ISP. If the defect is submitted against an approved ISP, the SGFS secretariat, in consultation with the convenor and in liaison with the MO, will make a preliminary assessment as to whether the defect applies to the ISP itself, or to one of the referenced base standards. In the base standard defect case, the procedure for defects in base standards (as described in 7.2) is invoked and a warning is issued to the SC or SCs involved. For a defect in the ISP itself, a correction is normally developed by the organization responsible for maintenance of the ISP through development of an amended ISP. International harmonization of the proposed amendment is highly desirable.

In the event that the MO responsible for maintenance of the ISP becomes unwilling or unable to continue with that responsibility, the SGFS decides on the most appropriate action. These actions can include the re-assignment of maintenance responsibility to another MO or to the SGFS itself. In the case of the SGFS becoming the maintenance organization, it may decide to freeze the ISP in its then current state or propose its withdrawal according to the JTC1 Directives.

## 7.4 Approval of amended ISPs

An amended ISP, whether amended for base standards defects or for ISP defects as described in 7.3, will be processed in accordance with the procedures for "Maintenance/Correction of defects in JTC1 standards". or, if recommended by the MO, the JTC1 ISP approval procedures will be involved. The ISP amendment cycle is depicted in Figure 1. Any amended ISP shall include an explicit list of published amendments and technical corrigenda to the base standards it references and indicate which of these are thought to be applicable and which are thought not to be applicable according to TR 10000-1, clause 6 and Annex A. Any amended ISP shall include an explicit list of the differences from the previous edition of the ISP.

## 7.5 Periodic review

The SGFS shall periodically review each approved ISP and determine whether the ISP should be reaffirmed, revised or withdrawn in accordance with Periodic Review procedures defined in the JTC1 Directives.

## 8. Extensions and enhancements

### 8.1 Extensions and enhancements to ISPs

Extensions or enhancements to ISPs (e.g. for new or enhanced function incorporation) will probably need to be processed as new parts of an existing ISP or as a new ISP. A transition plan should be prepared by the submitter to enable the compatible introduction of new ISPs which succeed existing ISPs. The submitter should prepare an explicit list of the differences from the previous version of the ISP.

### 8.2 Extensions and enhancements to base standards

When extensions and enhancements to a base standard are produced in a new version of that standard, they do not need to be automatically adopted in an ISP using that base standard. If it is thought that an ISP would benefit from a new version of one of its base standards, this should be done through development of a new ISP using the new version.

## 9. Update procedures for the directory of ISPs & the profiles contained therein

Clause 2 of "The Directory of ISPs & the Profiles contained therein" (called hereafter "the directory") contains information about the status of Profiles and ISPs which will be updated by the SGFS Secretariat following the rules given below. The update will occur on a per-need basis. Since The Directory is not normative, its update does not require any formal approval.

Upon receipt of a notification of a proposed change from a recognised PDISP submitter as defined in 4.1, the SGFS secretariat will prepare an update to the table. The update may take the form of a new entry, deletion, or change to an existing entry to reflect a new status. The identifiers for status are defined in the directory.

Progression from status S to status A occurs once the Profile has been approved as ISP and is published by the ITTF. At this time, the ISP registered number will now be recorded in the directory. The body responsible for maintenance of the Profile will also be recorded.

The Directory also contains information on harmonized requests for minor taxonomy changes as described in 3.2, "Independent taxonomy change" on page 3.



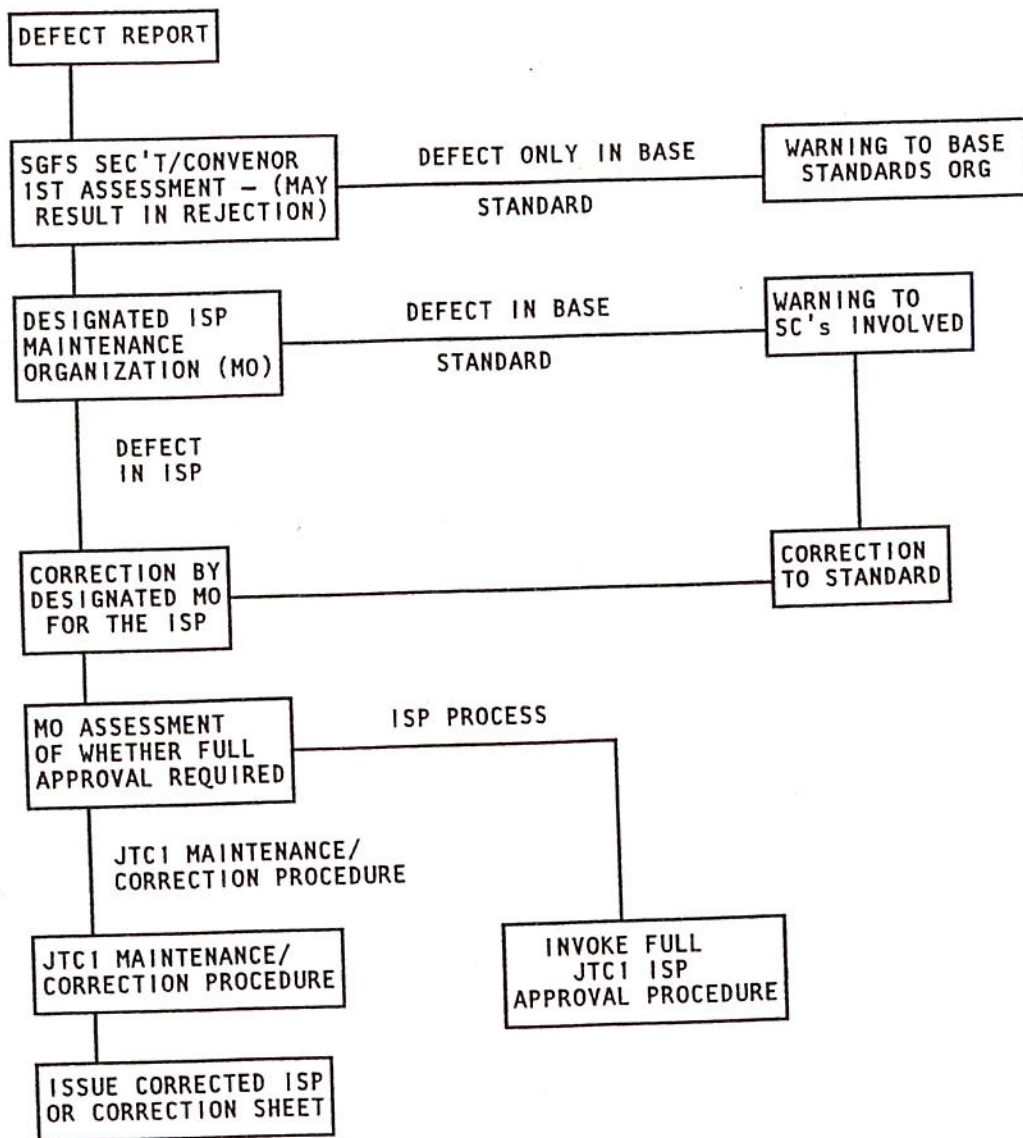


Figure 1. ISP Defect Processing & Amendment cycle

## 10. Change request report information

A change request for the framework or the taxonomy shall be accompanied by a change request report which identifies (at least) the following items:

- Change request title;
- An indication of whether it concerns a framework or a taxonomy change;
- Name of the submitting organization and the name of an individual who will serve as the contact point, and if necessary as editor, during the approval process;
- Date of submission (filled in by the SGFS secretariat);
- A statement on the origin and development history of the proposed change;
- A statement on the degree of openness of the development process and the extent of international harmonization that has been achieved, including for appropriate changes, whether or not the proposal has been considered by any of the regional workshops for open systems.
- For taxonomy change requests:
  - The rationale for the proposed change;
  - The principles underlying any change to the taxonomy structure;
  - Complete proposed additional or replacement text.
  - If the proposed taxonomy change request is considered to have an impact on existing ISPs, a statement as to how the impact should be handled (e.g. by application of the procedures for maintenance/correction of JTC1 standards).

## 11. Organization of authorized subgroups of SGFS

### 11.1 Rules for convening a meeting

The procedures of ISO/IEC JTC1/SGFS provide for the progression of specific tasks by “an authorized subgroup of the SGFS”.

The rules for convening a meeting of “an authorized subgroup of the SGFS”. are as follows:

- SGFS may authorize such a meeting by resolution or by letter ballot which states the purpose of the meeting;
- The SGFS authorization may permit specific output documents to be balloted by SGFS national bodies or to be conveyed to identified liaison organizations;
- The meeting shall be announced to SGFS members at least two months before the meeting date; the announcement shall indicate amongst others items the time and place of the meeting, the subject, and the chairperson. Specific information about the subject to be addressed at the meeting shall also be made available;
- The meeting may be attended by:
  - SGFS members or their representatives;
  - representatives of organizations having liaison with SGFS.

The minutes and results of the meetings will be distributed to SGFS.

## 11.2 Authorized subjects for meetings

The areas authorized by SGFS for “authorized subgroup meetings” are as follows:

- a) Progression of framework and taxonomy changes limited to OSI and JTC1 standards;
- b) Progression of framework and taxonomy changes in the area of ISO TCs which are applying OSI.





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Title: **ISO/IEC JTC1/SGFS**  
**ISO/IEC JTC1 Special Group on  
 Functional Standardization**

Secretariat: NNI (Netherlands)

Title : SGFS-procedures, example Memorandum of Agreement  
 Source : ISO/IEC JTC1/SGFS  
 Status : Approved by the SGFS Seoul 1993 meeting  
 Note :



From: ISO/IEC JTC1/SGFS

TO: ISO/IEC JTC1  
ISO/TC46  
ISO/TC184/SC5

Subject: SGFS-procedures, example Memorandum of Agreement

The July 1993 meeting of the SGFS progressed the SGFS procedures relating to the review, approval and publication of so-called "mixed-TC profiles".

The envisioned existence of mixed-TC profiles makes it necessary for the SGFS to expand its procedures to cater for the processing of such profiles. Proposed extensions to the procedures have been forwarded to member bodies and liaison organizations for review and comment out of the December 1992 SGFS-meeting. In its July 1993 meeting the SGFS reviewed the comments received and made a new version of the procedures which is submitted to JTC1 for ballot.

The procedures indicate the existence of a "Memorandum of Agreement" between TCs collaborating on mixed-TC profiles.

The SGFS has developed a proforma Memorandum of Agreement and two examples of the appendix specifying the details of a specific instance of cooperation. The examples relate to cooperation with TC46 and TC184, because the development of mixed-TC profiles with standards from these TCs is currently ongoing in the Workshops.

The proforma and the examples are attached to this letter. It is requested that, as part of the ballot comment to the procedures, the JTC1 member bodies ballot the proforma and the examples. The proposed SGFS-procedures, proforma Memorandum of Agreement and examples are forwarded to TC46 and TC184/SC5 for review.

The SGFS plans to process the comments received on the proposed procedures and the proforma Memorandum of Agreement in its December 1993 authorized subgroup meeting.

Assuming that the ballot comment on the SGFS procedures and the comment on the proforma Memorandum of Agreement can be dealt with, it is suggested that the actual Memoranda of Agreement between JTC1 and TC46, respectively JTC1 and TC184, are ratified by the chairs of the committees.

A ratified Memorandum of Agreement will be distributed to the involved committees prior to, or in combination with, the first set of PDISPs processed under the Memorandum of Agreement.



proforma

MEMORANDUM OF AGREEMENT

between

ISO/IEC JTCl AND ISO/TCxx

ON COLLABORATION FOR  
THE REVIEW, APPROVAL AND PUBLICATION  
OF MIXED-TC PROFILES

JULY 1993

## CONSIDERATIONS

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) together form a system for worldwide standardization as a whole. National bodies that are members of ISO or IEC participate in the development of International Standards and Technical Reports through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest.

Within ISO/IEC JTC1 standards are developed relating to the area of Information Technology.

Within ISO/TCxx standards are developed relating to the area of .....

Functional Standardization is an activity in the area of IT and IT-applying standardization.

It recognizes, amongst others:

- \* Base Standards, which define fundamentals and generalized procedures. They provide an infrastructure that can be used by a variety of applications, each of which can make its own selection from the options offered by them.
- \* Profiles, which define conforming subsets or combinations of base standards used to provide specific functions. Profiles identify the use of particular options available in the base standards.

Profiles are published in documents called "International Standardized Profiles" (ISPs).

ISO/IEC JTC1 and ISO/TCxx have recognized that the scope of the concept of Functional Standardization and Profiles is wider than that of the individual Technical Committees.

Within ISO/IEC JTC1 the process of Functional Standardization and the methodology for defining profiles have been established and are documented in:

- \* ISO/IEC/TR 10000 - Framework and Taxonomy of International Standardized Profiles;
- \* Procedures of the ISO/IEC JTC 1

The responsibility for the definition and supervision of the process has been delegated by JTC1 to the Special Group for Functional Standardization (ISO/IEC JTC1/SGFS).

ISO/TCxx has identified the need for profiles applying base standards within the scope of TCxx as well as base standards within the scope of ISO/IEC JTC1.

These profiles are referred to as mixed-TC profiles.



COLLABORATION

Based on these considerations ISO/IEC JTC1 and ISO TCxx agree to collaborate for the purpose of the review, approval and publication of mixed-TC profiles under the following rules.

- 1. Each mixed-TC profile or set of mixed-TC profiles to which this Memorandum of Agreement applies is identified in an appendix. The appendix shall at least identify details of the mixed-TC profiles as indicated in annex A.

Each such appendix shall be ratified by the chairpersons of the subcommittees responsible for the progression of the profiles prior to the start of the collaborative processing of the PDISPs.

- 2. Each TC is entrusted the progression and approval of the parts of the profile applying base standards for which it is responsible; and shall, in good faith, cooperate with the other TC to achieve a specification reflecting the requirements from both committees.

- 3. To this end, mixed-TC profiles shall be documented in ISPs and ISP-parts in such a way that:

- (1) the detailed selection of options from base standards of one of the TCs is contained in one or more ISP-parts so that it can be processed and approved by that TC.
(2) ISPs or ISP-parts combining specifications as identified in (1) are contained in one or more ISP-parts so that they can be processed and approved by one of the TCs. Preferably this is the TC responsible for the definition of the service or function provided by the combination.

(Note that an ISP-part is the smallest unit of specification that can be assigned to a TC for approval)

- 4. It is specifically agreed that:
(1) if a Review takes place, the Review is done by Review teams/experts from both TCs;
(2) if a ballot takes, place this shall be among the member bodies of the TC responsible for the specific part;
(3) if a ballot resolution meeting takes place, all parts of one profile for which such a meeting is required, shall be considered in one meeting, to which members of both committees will be invited.

.....
(chair ISO/IEC/JTC1)

.....
(chair ISO/TCxx)

## ANNEX A

### MINIMAL INFORMATION FOR MIXED-TC PROFILE COLLABORATION

An agreement between ISO/IEC JTC1 and ISO/TCxx to collaborate for a specific set of mixed-TC profiles, shall at least specify:

1. Identification of Profile(s) to be produced.
2. Identification of the Taxonomy of the profile(s)  
(possibly by reference)
3. A summary description of each of the profiles involved  
(possibly by reference)
4. Identification of the Base Standards and profiles involved
5. Identification of the documentation structure of the profile(s) in ISPs and ISP parts.
6. For each ISP: identification of the secretariat responsible for the all over coordination of the multipart ISP.
7. For each ISP: identification of the secretariat responsible for the format of the profile and for including the profile in a taxonomy and a directory of profiles, if needed.
8. For each part of a mixed-TC PDISP: identification of the secretariat responsible for the progression of the ISP part.
9. Approval by the chairs of the subcommittees responsible for the progression of the involved PDISP parts.



- example 1: JTC1/TC46 -

APPENDIX

TO

MEMORANDUM OF AGREEMENT

between

ISO/IEC JTC1 AND ISO/TC46

ON COLLABORATION FOR  
THE REVIEW, APPROVAL AND PUBLICATION  
OF MIXED-TC PROFILES

ISO/IEC/JTC1 and ISO/TC46 will collaborate for the review, approval and publication of the following mixed-TC profiles:

1. ALD11: Search and Retrieval - ACSE  
 ALD21: Interlibrary Loan - ACSE  
 ALD22: Interlibrary Loan - IPMS
2. For the taxonomy of these profiles see SGFS N994 (TR10000-2.4)
3. For summary descriptions of these profiles see SGFS N926 (SGFS SD4)
4. Base standards and profiles applied in these profiles:  
 ISO 10163 Search and Retrieval  
 ISO 10161 Interlibrary Loan  
 ISO 11188 Common Upper Layer requirements  
 ISO .... (AMH21)
5. Documentation structure and identification of secretariats responsible for overall coordination and individual parts:

ISP	ISP-part	secretariat
ISO/IEC	ISP xxxxx ALDnm-profiles	TC46/SC2
	part-aa introduction to S&R and ILL profiles	TC46/SC2
	part-bb use of ISP 11188 provisions by S&R	TC46/SC2
	part-cc use of ISP 11188 provisions by ILL	TC46/SC2
	part-dd use of AMH21 provisions by ILL	TC46/SC2
	part-ee profile ALD11	TC46/SC2
	part-ff profile ALD21	TC46/SC2
	part-gg profile ALD22	TC46/SC2
ISO/IEC	ISP 11188 CURL	SGFS
ISO/IEC	ISP yyyyy AMH21	SGFS

6. Secretariat responsible for the overall coordination per ISP: see 5 above.
7. Secretariat responsible for Profile format and taxonomy inclusion: SGFS
8. Secretariat responsible per ISP-part: see 5 above.

.....  
 (chair JTC1/SGFS)

.....  
 (chair TC46/SC2)

July 1993



- example 2: JTC1/TC184 -

APPENDIX

TO

MEMORANDUM OF AGREEMENT

between

ISO/IEC JTC1 AND ISO/TC184

ON COLLABORATION FOR  
THE REVIEW, APPROVAL AND PUBLICATION  
OF MIXED-TC PROFILES

ISO/IEC/JTC1 and ISO/TC184 will collaborate for the review, approval and publication of the following mixed-TC profiles:

1. AMM1x: General Applications  
 AMM2x: Robot Controller Applications  
 AMM3x: Numerical Controller Applications  
 AMM4x: Programmable Logic Controller Applications  
 AMM5x: Process Industries Applications
- 2 For the taxonomy of these profiles see SGFS N994 (TR10000-2.4)
3. For summary descriptions of these profiles see t.b.s.
4. Base standards and profiles applied in these profiles:  
 ISO/IEC 9506 MMS  
 ISO/IEC 11188 Common Upper Layer requirements
5. Documentation structure and identification of secretariat responsible for format and taxonomy:

ISP	secretariat
ISPxxxga General Applications	
part-aa CURL requirements	SGFS
part-bb Common MMS requirements	TC184/SC5
part-cc Profile AMM11	TC184/SC5
ISPxxxra Robot Controller Applications	
part-aa CURL requirements	SGFS
part-bb Common MMS requirements	TC184/SC5
part-cc Profile AMM21	TC184/SC5
ISPxxxna Numerical Controller Applications	
part-aa CURL requirements	SGFS
part-bb Common MMS requirements	TC184/SC5
part-cc Profile AMM31	TC184/SC5
ISPxxpla Programmable Logic Controller Applications	
part-aa CURL requirements	SGFS
part-bb Common MMS requirements	TC184/SC5
part-cc Profile AMM41	TC184/SC5
ISPxxxpa Process Industries Applications	
part-aa CURL requirements	SGFS
part-bb Common MMS requirements	TC184/SC5
part-cc Profile AMM51	TC184/SC5
ISP11188 CURL	SGFS

- 6 Secretariat responsible for the overall coordination for ISPxxxga, ISPxxxra, ISPxxxna, ISPxxpla and ISPxxxpa: TC184/SC5.  
 Secretariat responsible for all aspects of ISP11188: SGFS.
- 7 Secretariat responsible for Profile format and taxonomy inclusion: SGFS
- 8 Secretariat responsible for ISPs or ISP-parts: see 5 above.

.....  
 (chair JTC1/SGFS)

.....  
 (chair TC184/SC5)







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 Status : Approved by the SGFS Seoul 1993 meeting  
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## REVIEW PROFORMA

1-Identification of the pDISP(s) under review	...
2-Deadline for the review	...
3- Contact point for the ISP has been identified by the pDISP organization	...
4- JTC1 SCs or CCITT SGs which have been advised on the conformance material in the pDISP	...
5-Degree to which international harmonization has been achieved. Is there another current or planned ISP in the area ?	...
6- Has the pDISP associated profile position in the TR10000 taxonomy been identified ? Has the taxonomy entry been approved already, or is the change balloted at the same time as the pDISP ?	...
7-Name of the Review expert	...
8- Please assess the accuracy of the explanatory report vs technical consistency in the use of base standards including conformance aspects (please evaluate consistency with base standards, as opposed to profile functionality which is not being questioned here)	...
9- If the pDISP specifies ISO/IEC standards and CCITT Rec which contain identical or aligned text, are both referenced in the ISP ?	...



10-If national or Regional standards are referenced, please assess the case for their inclusion, esp whether the references are informative or normative, and note exceptions.	...
11- Is the list of amendments and technical corrigenda complete, with statement of whether they are applicable or not to the pDISP ?	...

Note to the reviewers:

Answers to questions 7 to 11 will allow the review group convenor to assess the acceptability of the pDISP. It is suggested that further technical comments that you may have be submitted through your National Body during the DISP ballot period.