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**Changes are indicated in blue, bold type. Version 1.0 changes continue to appear in red, bold type**

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## **Change Sheet for ISO/IEC JTC 1 Directives, Edition 5, Version 2.0**

This version of the JTC 1 Directives, Edition 5 has been produced in accordance with the recommendations of the March 2006 SWG-Directives meeting in Zurich (JTC 1 N8110). It also contains a new template for business plans which was omitted from version 1.0.

Changes are indicated in blue, bold type and can be found in the following sections:

1. **Clause 2.6.1.2**
2. **Clause 5.6**
3. **Note in 9.6 moved to a new subclause 9.1.9**
4. **Clause 15.6.1 and 15.6.5**
5. **Clause 16.4.5 and 16.4.6**
6. **New G25 form**

## **Change Sheet for ISO/IEC JTC 1 Directives, Edition 5, Version 1.0**

This version of the JTC Directives, Edition 5 has been produced in accordance with the results of JTC 1 N 7768 (June 2005) as well as the JTC 1 Banff resolutions (November 2005).

Changes are indicated in red, bold type and can be found in the following sections:

1. **List of Abbreviations**
2. **Clause 4.6 and subclauses**
3. **Clause 8.2.1**
4. **Annex G – General**
5. **Form G3, Section E**
6. **Addition of form G26 and G27**
7. **Annex HG, Part III, Section 4**
8. **Annex N**

## FOREWORD

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialised system for worldwide standardisation. National Bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organisation to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organisations, governmental and non-governmental in liaison with ISO and IEC, also take part in the work.

Information technology standardisation has some unique requirements as a consequence of the pace of innovation. Therefore, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1, Information Technology. ISO/IEC JTC 1 has accordingly developed and maintains its own procedures, as well as collaborating with the International Telecommunication Union - Telecommunication Standardization Sector (ITU-T) in the maintenance of a guide to collaboration between ISO/IEC JTC 1 and ITU-T and rules for the drafting and presentation of common ISO/IEC/ITU-T texts.

In view of the dynamic nature of IT standardisation, as part of the process of maintenance of its procedures, ISO/IEC JTC 1 develops Supplements to the Procedures for the technical work of ISO/IEC JTC 1 on Information Technology. Such Supplements are published by ISO/IEC and are available from the ISO/IEC Information Technology Task Force (ITTF). Such Supplements may be incorporated into subsequent editions of the Procedures for the technical work of ISO/IEC JTC 1 on Information Technology.

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## LIST OF ABBREVIATIONS

ABBREVIATION	TEXT	FIRST CLAUSE REFERENCE
AG	Advisory Group	2.5.4
AMD	Amendment	5.7.3
<b>ARO</b>	<b>Approved RS Originator Organization (ARO)</b>	<b>Annex N</b>
CD	Committee Draft	4.1.4
COR	Technical Corrigendum	5.7.3
CT	Collaborative Team	2.6.4
DAM	Draft Amendment	8.1.4
DIS	Draft International Standard (fast-track)	3.1.1
DISP	Draft International Standardized Profile	8.1.3
DR	Defect Report	8.1.5
DCOR	Draft Technical Corrigendum	8.1.5
DTR	Draft Technical Report	8.1.2
FCD	Final Committee Draft	3.4.3.4
FD	Formal Description	6.2.1.7
FDAM	Final Draft Amendment	8.1.4
FDIS	Final Draft International Standard	3.1.1
FDISP	Final Draft International Standardized Profile	8.1.3
FDT	Formal Description Technique	6.2.1.7
FPDAM	Final Proposed Draft Amendment	8.1.4
FPDISP	Final Proposed Draft International Standardized Profile	8.1.3
FTP	File Transfer Protocol	8.3.6
ICD	International Code Designator	18.2
IEC	International Electrotechnical Commission	Foreword
IPR	Intellectual Property Rights	14.1
IS	International Standard	1.1
ISO	International Organization for Standardization	Foreword
ISP	International Standardized Profile	1.1
IWA	International Workshop Agreement	1.1
ITTF	Information Technology Task Force	Foreword
ITU-T	International Telecommunication Union - Telecommunication Standardization Sector	Foreword
JTC 1	ISO/IEC Joint Technical Committee 1	Foreword
JTPC	ISO/IEC Joint Technical Programming Committee	2.1.1
JWG	Joint Working Group	2.6.3
NB	National Body	2.2.4
NP	New Work Item Proposal	3.4.3.1
OWG	Other Working Group	2.2.1
PDAM	Proposed Draft Amendment	8.1.4
PDISP	Proposed Draft International Standardized Profile	8.1.3
PDTR	Proposed Draft Technical Report	8.1.2
RER	Reference Explanatory Report	Annex N
RG	Rapporteur Group	2.3.2.1
RS	Referenced Specification	Annex N
SC	Subcommittee	2.2.1
SG	Study Group (ITU-T)	2.6.4.1
SGML	Standard Generalized Markup Language	Annex I
SWG	Special Working Group	2.2.1
TMB/SMB	ISO Technical Management Board/IEC Standards Management Board (previously Committee of Action)	2.1.2
TC	Technical Committee	2.2.2



TR	Technical Report	1.1
WD	Working Draft	6.2.1.2
WG	Working Group	2.2.1
WP	Working Party (ITU-T)	2.6.4.1

# Procedures for the technical work of ISO/IEC JTC 1

## 1 Introduction

### 1.1 Scope

The Directives for the technical work of JTC 1 give instructions for the procedures to be followed in the preparation of International Standards (IS), Technical Reports (TR), International Standardized Profiles (ISP) and International Workshop Agreements (IWA), and for the working methods to be used by JTC 1 and its subsidiary bodies.

The purpose of this portion of the Directives is to provide, together with its annexes and any supplements, a complete set of procedures covering the development, adoption, publication and maintenance of common ISO/IEC International Standards developed by committee JTC 1 on Information Technology.

This document replaces the ISO/IEC Directives, Part 1 - Procedures for the technical work, but has been developed to be consistent with them. Any differences between this document and the ISO/IEC Directives, Part 1 are dictated by the nature of information technology work and have been authorised by the ISO Secretary-General and IEC General-Secretary (Secretaries-General) and Councils of IEC and ISO. Where differences between this document and the ISO/IEC Directives exist, the provisions of this document shall govern.

The complete set of procedure documents for use within ISO/IEC JTC 1 comprise

- Procedures for the technical work of ISO/IEC JTC 1 on Information Technology (this document) and any current Supplements;
- ISO/IEC Directives - Part 1 (2001, 4<sup>th</sup> edition): Procedures for the technical work, Annex C, Justification of proposals for the establishment of standards and Annex G, Maintenance agencies;
- ISO/IEC Directives - Part 2 (2001, 4<sup>th</sup> edition): Rules for the structure and drafting of International Standards;
- ISO/IEC Directives (2001, 1<sup>st</sup> edition) - Supplement: Procedures specific to ISO (2001, 1<sup>st</sup> edition)
- Guide for ITU-T and ISO/IEC JTC 1 Co-operation (incorporated by reference in Annex K of this document).

### 1.2 General Provisions

These Directives shall be complied with in all respects and no deviations can be made without the consent of the Secretaries-General.

These Directives are inspired by the principle that the objective in the development of International Standards should be the achievement of consensus between those concerned rather than a decision based on counting votes.

*[Note: Consensus is defined as general agreement, characterised 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. Consensus need not imply unanimity. (ISO/IEC Guide 2:1996)]*

A purpose of IT standardization is to ensure that products available in the marketplace have characteristics of interoperability, portability and cultural and linguistic adaptability. Therefore, standards which are developed shall reflect the requirements of the following Common Strategic Characteristics:

- Interoperability;
- Portability;
- Cultural and linguistic adaptability.

The working methods pay regard to the principle that the technical aspects of a committee document for an International Standard should not be discussed at more than two levels within JTC 1.

In view of the dynamic nature of IT standardisation, as part of the process of maintenance of its procedures, ISO/IEC JTC 1 develops Supplements to the Procedures for the technical work of ISO/IEC JTC 1. Formal Supplements may be published between editions to cover major new or modified procedures agreed by JTC 1 for either normal use or trial use for a specified period of time. Supplements are published by ISO/IEC and are available from the ISO/IEC Information Technology Task Force (ITTF). They may be incorporated into subsequent editions of the Procedures for the technical work of ISO/IEC JTC 1 on Information Technology.

These Directives are expected to be published on a nominal three year cycle to align with three Plenary meetings of JTC 1. The JTC 1 Secretariat is responsible for the ongoing maintenance of these Directives.

## 2 Organisation

### 2.1 Establishment, Title and Scope

**2.1.1** JTC 1 was established by unanimous agreement of IEC and ISO Councils on the recommendation of the Joint Technical Programming Committee (JTPC) encompassed in Decision JTPC 24 (January, 1987).

**2.1.2** The title of JTC 1 is "Information Technology" and its scope is "international standardization in the field of information technology". JTC 1 may request a modification of its title or scope, or both. The ISO Technical Management Board and the IEC Standardization Management Board (TMB/SMB) shall decide on such modifications.

**2.1.3** Information Technology includes the specification, design and development of systems and tools dealing with the capture, representation, processing, security, transfer, interchange, presentation, management, organisation, storage and retrieval of information.

**2.1.4** The following table demonstrates the terminology adopted to represent similar concepts in ISO and IEC.

Term	ISO	IEC
national body	member body (MB)	National Committee (NC)
technical management board (TMB)	Technical Management Board (TMB)	Standardization Management Board (SMB)
Chief Executive Officer (CEO)	Secretary-General	General Secretary
office of the CEO	Central Secretariat (CS)	Central Office (CO)
council board	Council	Council Board (CB)
advisory group	Technical Advisory	Advisory Committee
strategic plan	business plan	strategic policy statement (SPS)

### 2.2 General

**2.2.1** The work is undertaken by JTC 1 subsidiary bodies, i.e. subcommittees (SC), working groups (WG), other working groups (OWG), special working groups (SWG) and Workshops, subject to the authority of JTC 1, acting under the general authority of the IEC and ISO Councils. The work is planned and co-ordinated by JTC 1 with the assistance of the Chairman and Secretariat.

**2.2.2** The primary duty of JTC 1 is the preparation and review of ISs. This work is carried out by the members of JTC 1 and its subsidiary bodies in collaboration, when appropriate, with other ISO and IEC Technical Committees (TC) and with other organisations.

**2.2.3** JTC 1 may also develop International Workshop Agreements (IWAs). This work is carried out by participants in a Workshop called for the purpose of developing one or more IWAs. Proposals for Workshops

may come from any source and the broadest range of relevant interested parties worldwide may participate in the Workshop. The procedures for Workshops are defined in Annex L.

**2.2.4** JTC 1 and its subsidiary bodies shall take into consideration any contribution supplied by the National Bodies (NBs) and, when relevant, by other organisations, and also the work of other ISO and IEC TCs dealing with related subjects.

**2.2.5** JTC 1 and its subsidiary bodies shall ensure that all necessary aspects of a subject are dealt with (as described in the programme of work) and that duplication of or conflict with the work of other ISO and IEC TCs is avoided.

**2.2.6** JTC 1 and its subsidiary bodies shall pay particular attention to the results of the work of ISO and IEC Policy Development Committees and Committees on General Standardization Principles.

## **2.3 JTC 1 Organisations**

### **2.3.1 JTC 1**

#### **2.3.1.1 Responsibilities**

JTC 1 plenary meetings direct the JTC 1 Chairman and Secretariat in the coordination of SC activities, in the preparation and monitoring of the overall programme of work and meeting schedules, and in the discussion and resolution of inter-subcommittee problems and issues.

Issues of concern for JTC 1 plenary meetings include, but are not restricted to:

- Assigning responsibilities, e.g. areas of work, of SCs;
- Coordinating meeting schedules and consolidating work schedules;
- Reviewing the business plans of JTC 1 and its SCs;
- Identifying interdependencies among proposed areas of work, problems in sequencing target dates and priorities in developments; identifying or establishing means to ensure that SCs with interdependent areas of work understand each other's missions, objectives, and technical plans;
- Identifying means to ensure the establishment of liaison among:
  - SCs of JTC 1;
  - JTC 1 or its SCs with other TCs or SCs of ISO and IEC;
  - JTC 1 or its SCs with related international groups such as the International Telecommunication Union - Telecommunication Standardization Sector (ITU-T);
- Identifying areas where new work might be required for consistency or for completeness of the JTC 1 programme;
- Identifying and discussing technical issues or problems which affect more than one SC and developing proposals for their resolution;
- Developing procedures addressing common SC non-technical issues, e.g. procedures for maintenance of standards requiring rapid amendment;
- Appointing SC Chairmen and Secretariats.

#### **2.3.1.2 Membership**

There are three types of membership in JTC 1 (see 3, Membership Categories and Obligations):

- Participating membership (P-member) having power of vote and defined duties;
- Observing membership (O-member) having no power of vote, but options to attend meetings, make contributions and receive documents;

- Liaison membership having no power of vote, and some options to attend meetings and receive documents. Of the categories defined for liaison membership (see 3.3.4.2), two are permitted at the JTC 1 level, A and B.

No member may concurrently hold more than one type of membership in JTC 1 or any of its SCs. However, a member may hold one type of membership in JTC 1 and any of its SCs and another type of membership in other JTC 1 SCs.

Application for membership in any category (or for change in membership category) shall be made to the JTC 1 Secretariat, with a copy to the ITTF.

## **2.3.2 JTC 1 Special Working Groups (SWG)**

JTC 1 may, at its discretion, establish SWGs to assist it in the performance of its responsibilities. Such SWGs have specific responsibilities and operate on a continuing basis until dissolved by JTC 1. JTC 1 SWGs operate under the auspices of JTC 1. The membership in SWGs of JTC 1 is open to all P-members of JTC 1 and any others specified by JTC 1 for each SWG.

### **2.3.2.1 JTC 1 Rapporteur Groups (RGs)**

JTC 1 may, at its discretion, establish RGs with defined membership to carry out certain responsibilities.

#### **2.3.2.1.1 Purpose of a Rapporteur Group.**

A JTC 1 Rapporteur Group is established to advise JTC 1 on specific issues or areas as outlined in its Terms of Reference. Other types of activities such as writing standards or technical development must be authorised by JTC 1 in the Terms of Reference of the Rapporteur Group, or in response to a specific request by the Rapporteur Group. Unless authorised, a Rapporteur Group may not issue Letter Ballots for JTC 1 or submit New Work Item proposals. Once established by resolution of JTC 1, a Rapporteur Group must be reconfirmed at each subsequent JTC 1 plenary meeting or it ceases to exist.

#### **2.3.3.2 Membership and Participation**

**2.3.3.2.1** Membership in a Rapporteur Group is by National Bodies (NBs) as nominated by those bodies in response to a call for members issued by the JTC 1 Secretariat. A National Body may have more than one member on a Rapporteur Group. If desired, JTC 1 may authorise participation by certain JTC 1 subgroups.

**2.3.3.2.2** Observers are permitted at the discretion of the Rapporteur.

**2.3.3.2.3** Liaisons between a Rapporteur Group and a non-JTC 1 entity can be established with the approval of JTC 1 or by JTC 1 establishing a direct liaison between itself and that body and directing the liaison to function as a member of the Rapporteur Group.

## **2.4 Workshops**

JTC 1 may set up Workshops in order to develop IWAs with wide participation. The rules for setting up and conducting Workshops are given in Annex L.

## **2.5 Subcommittees (SC)**

### **2.5.1 Establishment**

**2.5.1.1** JTC 1 may establish SCs charged with the study of particular parts of the programme of work of JTC 1. SCs shall be consecutively numbered beginning with 1, and shall have the reference JTC 1/SC.... (where the dots stand for the SC number). If an SC is dissolved, its number shall not be allocated to another SC.

**2.5.1.2** An SC shall comprise at least five P-members. If active participating membership falls below five, a formal (ballot) review shall take place on the need for and viability of the SC. JTC 1 decides on the dissolution of its SCs.

**2.5.1.3** No maximum size is mandated for an SC provided that its scope is well defined, there is coherence in its work programme, and there is an effective internal coordination structure which ensures efficiency and productivity.

## 2.5.2 Title, Scope and Responsibilities

**2.5.2.1** The title, scope and programme of work of the SCs are determined by JTC 1. An SC may propose changes to its title or scope which shall be submitted to JTC 1 for approval. Any proposed change to the programme of work shall be approved by JTC 1 before the SC begins active development of a new item. (This does not preclude study of potential items in accordance with 6.2.1.3 and 6.2.3).

**2.5.2.2** An SC shall have a single, descriptive, and self-explanatory title. The scope is a statement precisely defining the limits of the work of the SC within the scope of JTC 1. The scope shall be drafted as concisely as possible so as to eliminate all superfluous phraseology. Responsibilities which are automatically assigned to the SC such as "development of standardisation requirements" and "creation of new work item proposals", shall not be referred to in the scope. The definition of the scope should begin with the words "Standardisation of ..." or "Standardisation in the field of ..." Should it be necessary to specify that certain questions are outside the scope of the SC, these questions should be listed at the end of the definition and be introduced by the word "Excluded: ...."

**2.5.2.3** Each SC shall develop and maintain a business plan for internal use and for reporting to JTC 1 on its programme of work.

## 2.5.3 Membership

**2.5.3.1** Membership of SCs is divided into the same three categories as for JTC 1: P-member, O-member and liaison member. P- or O-membership of an SC is open only to P- and O-members of JTC 1. When an NB desires O-membership in JTC 1, but is in a position to contribute to the work of an SC, P-membership in the SC may be granted without altering the O-member status in JTC 1.

There are three categories of liaison membership at the SC level, A, B and C (see 3.3.4.2). Internal organisations, (e.g. other SCs or other ISO or IEC TCs, see 3.3.3) may also participate in SC meetings. All participants at each SC meeting must be authorised by their NB or appropriate liaison organisation.

**2.5.3.2** Members of JTC 1 shall be given the opportunity at the time of the establishment of an SC to advise of their intention of becoming P- or O- members of the SC. They may subsequently begin or end their membership in the SC or change their membership category by notifying the Secretariat of the SC, the Secretariat of JTC 1, and the ITTF of the change intended. P- or O- membership in JTC 1 does not automatically confer membership in its SCs.

**2.5.3.3** Obligations of P- members of SCs are defined in 3.1.

## 2.5.4 SC Advisory Groups (AG)

SCs may establish AGs where appropriate to carry out tasks concerning coordination, planning and steering of its work or other specific tasks of an advisory nature. In establishing AGs, the following criteria shall be met:

- Membership shall be open to all P-members of the SC.
- Liaisons may participate at a meeting by invitation.
- An AG may only make recommendations for decision by the parent SC.
- Agendas for AG meetings shall be distributed to all P-members of the SC.

## 2.6 Working Group Organisations

### 2.6.1 Working Groups (WG)

**2.6.1.1** Where necessary to expedite development of one or more approved work items, a WG may be established by JTC 1 or by one of its SCs. Additional projects may be assigned, where appropriate, to existing WGs.

**2.6.1.2** **NBs that are P-members or O-members** of the parent body and organisations in liaison Category A and Category C may nominate experts as members of a WG. Internal organisations, (e.g. other SCs or other ISO or

IEC TCs, see 3.3.3) may also participate in WG meetings. All participants at each WG meeting must be authorised by their NB or appropriate liaison organisation.

**2.6.1.3** WG members shall, whenever possible, make contributions in tune with their respective NB positions and shall keep their NBs informed of their verbal and written contributions to WGs. WG members shall indicate whether views expressed reflect NB positions or personal opinions. WGs shall distribute and consider documented NB positions, individual contributions, and liaison contributions relevant to work items entrusted to the WG.

**2.6.1.4** Parent bodies shall periodically review the performance of their WGs against the following criteria:

- Are the work items progressing in accordance with established target dates?
- Are the experts nominated by the NBs which agreed to participate in the development of the work item(s) continuing to participate in the work by attendance at meetings or submission of contributions, or both? If not, the nominating NB shall be informed by the Secretariat of the committee concerned or WG Convener and asked to take corrective action. Where no written explanation is provided, and experts fail to attend meetings or to participate through written contributions, the Secretariat of the committee concerned or WG Convener may remove the member from the membership and mailing lists and notify the NB, or may ask the NB to take corrective action.

## **2.6.2 Other Working Groups (OWG)**

**2.6.2.1** JTC 1, SCs and WGs may establish OWGs to undertake specific tasks between meetings of the establishing body. These tasks shall be defined at a meeting of the establishing body. The provisions of these directives which apply to WGs apply to OWGs as well, except as otherwise noted in the terms of reference of the OWG (see 2.6.2.3). Since the provisions of 7.5.2 and 7.6.1 impose minimum lead times between meetings, advanced planning of such meetings is particularly necessary if work is to be completed before the next meeting of the establishing body.

**2.6.2.2** Participation in these OWGs need not be restricted to the delegates present at the meeting during which the group is established. However, the Convener should preferably be selected from among the attendees.

**2.6.2.3** When established, the terms of reference of each OWG shall be defined by the establishing body taking into account:

- A definition of the task to be completed by the group;
- The time frame in which the task is to be completed;
- The membership of the group;
- The designation of the group's convener;
- Appropriate provisions for the administrative support of the group;
- Meeting arrangements for the first meeting of the group.

**2.6.2.4** If continuation of the OWG is required, it shall be re-established at each meeting of the establishing body.

**2.6.2.5** The following are examples of OWGs:

- Ad hoc group;
- Subgroup Rapporteur group;
- Drafting group;
- Editing group;
- Ballot resolution group;



**2.6.2.6** JTC 1 or SCs may establish editing groups to ensure the best possible editorial presentation of drafts in conformity with ISO/IEC Directives, Part 2. An editing group works under the responsibility of the Secretariat of JTC 1 or the SC that established it and provides direction to the Project Editor (see 5.7).

### **2.6.3 Joint Working Groups (JWG)**

In special cases, JTC 1 may authorise establishment of a JWG to undertake a specific task in which more than one SC is strongly interested. For administrative purposes the JWG shall be placed under one of the parent committees, nominated by mutual agreement. JWGs may also be established with other ISO and IEC TCs. JWGs shall follow the procedures defined for WGs.

### **2.6.4 Collaborative Relationship with ITU-T**

**2.6.4.1** Two modes of collaboration with ITU-T are defined in "Guide for ITU-T and ISO/IEC JTC 1 Co-operation" (which is incorporated by reference as Annex K of these directives): collaborative interchange and collaborative team (CT). A JTC 1 SC, in agreement with the corresponding ITU-T Study Group, may establish either of these two modes of collaboration as appropriate. In the case of collaborative interchange (see Annex K, 7.1) the terms of reference shall take into account:

- The scope of the effort as it relates to each organisation's programme of work (ITU-T Question and JTC 1 project). Where possible, it should include identification of the Recommendation(s) and International Standard(s) that are to be developed collaboratively;
- Any start-up provisions to accommodate work in progress.

In the case of collaborative team (see Annex K, 8.1), the terms of reference shall take into account:

- The scope of the effort as it relates to each organisation's programme of work (ITU-T Question and JTC 1 project). Where possible, it should include identification of the Recommendation(s) and International Standard(s) that are to be developed collaboratively;
- The parent body in each organisation to which the CT is to directly report (i.e. ITU-T Study Group or Working Party (SG or WP) and JTC 1 SC or WG);
- Any reporting or tracking provisions beyond those specified in Annex K, 8.7;
- Any start-up provisions to accommodate work in progress.

**2.6.4.2** Procedures for the operation of the two modes of collaboration are defined in Annex K. These procedures deal primarily with the synchronisation of approval actions by JTC 1 and ITU-T and are intended to supplement, not modify JTC 1 approval requirements.

**2.6.4.3** A JTC 1 SC may terminate a collaborative interchange or collaborative team mode of collaboration after consultation with the corresponding ITU-T Study Group.

## **2.7 Other Organisational Entities**

### **2.7.1 Inter-SC Workshops**

There is occasionally a topic for discussion which crosses multiple SCs and which cannot be handled by normal SC to SC liaison. Inter-SC Workshops may provide useful vehicles for discussion of such topics, provided that their use is limited. Since Inter-SC Workshops are considered extraordinary events, their establishment shall require approval by JTC 1 subject to the following conditions.

- The need for the Inter-SC Workshop shall be endorsed by all concerned SCs;
- Relevant meeting calendars shall be consulted prior to determining dates for Inter-SC Workshops and adequate time shall be given to allow experts to make appropriate arrangements;
- The Inter-SC Workshop shall have an identified sponsor, Convener and Secretariat;



- The Inter-SC Workshop shall be self-supporting and any additional ongoing administrative burdens shall be covered in a financial plan which shall be submitted to the JTC 1 for review and, at the discretion of the JTC 1 Secretariat, for JTC 1 approval;
- Each occurrence of an Inter-SC Workshop shall be approved by JTC 1;
- All recommendations from the Inter-SC Workshop shall be processed by the concerned SCs before any action can take place on the recommendations. The final disposition of recommendations impacting more than one SC shall be reported to JTC 1;
- Participation in Inter-SC Workshops shall be open to experts from all NBs and liaison members of the concerned SCs and others that may be identified before the Inter-SC Workshop is approved.

## **2.7.2 JTC 1 Registration Authorities**

In cases where the implementation of an IS requires the designation of a registration authority, the rules in Annex E shall be applied. The following rules shall apply to JTC 1 Registration Authorities (organisations which perform registration functions at the international level for JTC 1).

### **2.7.2.1 Appointment**

The following procedure shall be followed to obtain appointment of an organisation as a JTC 1 Registration Authority:

- Only NBs, SCs and Category A liaisons may nominate organisations to be JTC 1 Registration Authorities;
- Such nominations shall be subject to endorsement by ballot or plenary resolution of the SC responsible for the technical standard;
- JTC 1 shall consider those nominations receiving endorsement. In reviewing a specific proposal for an organisation to serve as a JTC 1 Registration Authority, the following may participate in the review:
  - A representative of the NB, SC or category A liaison nominating the JTC 1 Registration Authority, and
  - A representative of the proposed JTC 1 Registration Authority organisation
- Upon favourable vote, JTC 1 shall submit the nomination to the ITTF for appointment by the ISO and IEC Councils.

### **2.7.2.2 Qualifications**

To qualify for designation as a JTC 1 Registration Authority an organisation shall demonstrate that:

- It is a legal entity;
- It has been in existence for no less than five years;
- It enjoys a sound financial structure;
- It has employees who are technically competent in the relevant subject of the standard at issue;
- It agrees to function in its capacity as a JTC 1 Registration Authority for a minimum of ten years;
- It has sufficient equipment resources (e.g. hardware, software) and communication facilities (e.g. postal street address, telephone, facsimile, e-mail);
- If it operates with a fee structure, this structure shall be for the purpose of cost recovery, agreed by JTC 1 and approved by ISO and IEC Councils;
- It shall require no financial contribution from ISO or IEC Central Secretariats or their members.

### 2.7.2.3 Contract

If appointed, the JTC 1 Registration Authority shall operate under contract with the ITTF. Upon twelve months notice, either the JTC 1 Registration Authority or the ITTF may terminate the contract.

### 2.7.2.4 Duties

The JTC 1 Registration Authority is responsible for registering objects in accordance with these rules and both the technical standard and its associated procedure standard.

It shall:

- Receive applications;
- Review applications;
- Assign names when the relevant criteria are met;
- Inform the applicant of the result of JTC 1 Registration Authority actions;
- Process updates of information associated with previously registered names;
- Inform requesting parties of the results of updates;
- Maintain an accurate register;
- Follow procedures for publication of a register if such publication is specified in the procedure standard;
- Safeguard any confidential information;
- Handle all aspects of the registration process in accordance with good business practice;
- Provide an annual summary report on activities to the responsible SC, JTC 1 and ITTF;
- Adhere to the procedure for appeals;
- Handle all business in English;
- Produce practice and tutorial documents when applicable;
- Indicate (e.g. on stationery) that it has been designated a JTC 1 Registration Authority by ISO/IEC.

### 2.7.3 JTC 1 Maintenance Agencies

(See ISO/IEC Directives - Part 1: Procedures for the technical work, Annex G)

## 3 Membership Categories and Obligations

### 3.1 Participating Membership

P-members within JTC 1 shall be NBs that are Member Bodies of ISO or National Committees of IEC, or both. Only one NB per country is eligible for membership in JTC 1. P-members have power of vote and defined duties.

**3.1.1** P-members of JTC 1 and its SCs have an obligation to take an active part in the work of JTC 1 or the SC and to attend meetings. P-members of JTC 1 and its SCs have an obligation to vote approval, disapproval, or declared abstention within the time limits laid down on all questions submitted for voting (unless 3.1.2 applies) within JTC 1 or the SC. "Abstention" is an appropriate response (with or without comment) if an NB is not confident that their technical review is sufficient to cast an "approve" or "disapprove" vote. P-members of JTC 1 have an obligation to vote on FDISs prepared by JTC 1 or its SCs as well as DISs distributed for fast-track processing.

**3.1.2** A P-member may have an interest in the field of JTC 1 without having interest or competence in all of the work items which may be dealt with. In such an instance, a P-member may inform the JTC 1 Secretariat, the SC

Secretariat and the ITTF at the beginning of the work, or at a later stage, that it will abstain from participation in discussion or voting on specific items. Such a position, established and recorded by JTC 1, shall entitle the P-member to be absent from meetings and to abstain from voting on the relevant FDISs.

**3.1.3** The JTC 1 or SC Secretariat shall notify the Secretaries-General if a P-member of JTC 1 or the SC has been persistently inactive (unless the conditions of 3.1.2 apply) and has failed to make a contribution to two consecutive plenary meetings of JTC 1 or the SC concerned, either by direct participation, by correspondence or by a proxy voting arrangement as provided for in 7.7.7 or has failed to vote on questions submitted for voting within JTC 1 or the SC. Upon receipt of such notification, the Secretaries-General shall remind the NB of its obligation to take an active part in the work of the committee. In the absence of an acceptable response to this reminder, the member shall automatically have its status changed to that of O-member. An NB having its status so changed may, after a period of twelve months, be reinstated to P-member status on request.

## **3.2 Observing Membership**

Any NB that is a Member Body of ISO or National Committee of IEC, or both, may elect to be an O-member within JTC 1. Correspondent members of ISO are also eligible to be O-members of JTC 1. O-members have no power of vote, but have options to attend meetings, make contributions and receive documents. O members of JTC 1 subcommittees may nominate experts to participate in any working group of the subcommittee in which they have O membership. O-members of JTC 1 or its SCs may be requested (at not less than triennial intervals) by the relevant Secretariat to confirm whether or not they wish to retain their membership status in that committee.

## **3.3 Liaison Membership**

### **3.3.1 General**

**3.3.1.1** Establishment of liaison should be initiated by a written liaison statement from the requester and confirmed by the receiver. A liaison statement should include:

- Identification of the requester;
- Reason for liaison;
- Type of liaison;
- Category of liaison (for external liaison);
- Identification of liaison representative (mandatory for technical liaison).

**3.3.1.2** Liaison membership has no power of vote, but has some options to attend meetings and receive documents. Liaison members may be requested (at not less than triennial intervals) by the relevant Secretariat to confirm whether or not they wish to retain their membership status in that committee.

**3.3.1.3** It is emphasised that in order to be effective, liaison shall operate in both directions, and committee Secretariats should ensure that reciprocal arrangements are made by those organisations that are liaison members.

**3.3.1.4** JTC 1 should seek the full (and, if possible, formal) backing of the main organisations in liaison for each IS, TR or ISP in which the latter are interested.

### **3.3.2 Types of Liaison**

The following types of liaison apply to both internal and external liaison:

#### **3.3.2.1 Technical liaison**

A technical liaison is a specific technical working relationship between JTC 1, its SCs or WGs and another organisation to accomplish a specific technical coordination purpose. For a technical liaison, an official liaison representative must be appointed by JTC 1 or an SC. The liaison representative(s) is responsible for attending the meetings of the outside organisation and for preparing written liaison reports in a timely manner:

- From the parent body to the outside organisation;

- To the parent body following attendance at the meeting of the outside organisation.

All pertinent documentation shall be exchanged between the two organisations (see 8.3).

### **3.3.2.2 Formal liaison**

Formal liaison is a formal exchange of documents between two organisations for the purpose of keeping each other informed of their work.

## **3.3.3 Internal Liaison**

### **3.3.3.1 Liaison within JTC 1**

**3.3.3.1.1** SCs working in related fields shall establish and maintain liaison.

**3.3.3.1.2** The establishment, termination and maintenance of such liaison are the responsibility of the respective SC Secretariats.

**3.3.3.1.3** An SC may designate liaison representatives to follow the work of another SC or several of its WGs. Notice of the designation of such representatives shall be given to the Secretariat of the SC concerned, which shall furnish all relevant documents to the representative(s) or to the Secretariat of that SC, or both (see 8.3).

**3.3.3.1.4** Such representatives shall have the right to participate in the meetings of the SC or WG whose work they have been designated to follow but shall not have the right to vote. They may contribute to the discussion in meetings, including the submission of written contributions, on matters within the competence of their own SC.

### **3.3.3.2 Liaison with other ISO and IEC Technical Committees**

**3.3.3.2.1** Arrangements for adequate liaison between JTC 1 and TCs or SCs of ISO and IEC are essential. The JTC 1 and SC Secretariats are responsible for the establishment and termination of liaison between their committees and other TCs or SCs of ISO and IEC, but shall inform the ITTF. As far as the study of new subjects is concerned, the ITTF seeks the agreement of all interested parties in ISO and IEC so that the work will go forward without overlap or duplication of effort.

**3.3.3.2.2** Liaison representatives designated by JTC 1 or one of its SCs or other ISO or IEC committees shall have the right to participate in the discussions of the committee whose work they have been designated to follow and may submit written contributions. They shall not have the right to vote.

## **3.3.4 External Liaison**

### **3.3.4.1 General**

**3.3.4.1.1** The desirability of liaison between JTC 1 and its SCs and international or broadly based regional organisations and specialised organisations working or interested in similar or related fields should be taken into account at an early stage of the work.

**3.3.4.1.2** The Secretaries-General are responsible for establishing and terminating the appropriate liaisons with other organisations in consultation with the Secretariat of JTC 1 or SCs concerned.

### **3.3.4.2 Liaison Categories**

Classification of liaison organisations shall be established separately for JTC 1 and for each of its SCs, and is recorded at the ITTF. Three categories of liaison with external organisations have been established:

#### *Category A*

Organisations which make an effective contribution to and participate actively in the work of JTC 1 or its SCs for most of the questions dealt with by the committee.

- If an organisation requesting Category A liaison does not currently have Category A liaison with JTC 1, the request will be forwarded to the JTC 1 Secretariat by the ITTF, along with appropriate documentation (i.e. information about the requester and its interest in the work of JTC 1). In the case of liaison with an SC, the JTC 1 Secretariat will ask the appropriate SC Secretariat for a recommendation on the establishment of the proposed liaison. The JTC 1 Secretariat will forward the request (and the SC

Secretariat recommendation in the case of liaison with a subcommittee) to JTC 1 for approval either by letter ballot or by a vote at a meeting.

- If a requesting organisation currently has Category A liaison with JTC 1, a request for establishing a new liaison will be forwarded by the ITTF to the Secretariat of the committee with which liaison is sought, along with the documentation mentioned above. The Secretariat will forward the request to the committee for approval either by letter ballot or by vote at a meeting. The JTC 1 Secretariat shall be copied on all correspondence.

#### *Category B*

Organisations which have indicated a wish to be kept informed of the work of JTC 1 or any of its SCs.

#### *Category C*

Organisations which make an effective technical contribution and participate actively at the WG or project level of JTC 1 or its SCs.

- Category C liaisons are proposed by JTC 1 to the ITTF after receiving a recommendation from the appropriate JTC 1 subsidiary body, i.e. an SC (or WG reporting directly to JTC 1).
- Each request for liaison status forwarded to JTC 1 from an appropriate JTC 1 subsidiary body must contain a statement of expected benefits and responsibilities accepted by both the JTC 1 organisation and the organisation requesting liaison status.
- The liaison group must agree to pay any meeting and documentation expenses that other participants are required to pay.
- The JTC 1 subsidiary body shall review the liaison activity on a two-year cycle to ensure that the liaison group is, in fact, actively participating and there is appropriate NB participation. The result of this review shall be forwarded to ITTF for further action.
- The ITTF must reaffirm the liaison status of the organisation if there is continued evidence of active participation in the work of the WG or project and appropriate NB participation exists.

If a request for liaison is considered by JTC 1 in the first instance, and category C liaison is thought to be applicable, JTC 1 may request the appropriate JTC 1 subsidiary body or bodies to consider the request and apply the above procedure.

### **3.3.4.3 Liaison with ITU-T**

Each SC shall approve a comprehensive listing of its representatives authorised to conduct liaison on behalf of the SC (indeed, on behalf of JTC 1 and ISO/IEC in the area delegated to that SC). Those who deal with ITU-T shall be responsible for liaison on one or more specific Study Groups and Questions. In regard to those activities, the SC liaison representative speaks for ISO and IEC.

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

- Each contribution should identify which, if any, prior contributions it supersedes;
- Each contribution should be addressed to only one Study Group. However, other Study Groups which may be interested in the contribution may also be identified.

*[Note: In addition to liaison between JTC 1 and ITU-T, two methods for collaboration on work of mutual interest are defined (see 2.6.4 and Annex K, particularly Clause 4, Modes of Co-operation.)]*

### **3.3.4.4 Liaison Co-ordinator**

If an external liaison organisation deals with more than one SC, a coordination officer shall be identified by JTC 1. The task of this officer is to receive all contributions going to this external liaison to ensure coherence of the JTC 1 position. If the coordination officer detects any contradictions, the coordination officer is responsible for

reporting this to the JTC 1 Chairman and the ITTF. It is the JTC 1 Chairman's duty to co-ordinate the position with the SC Chairmen involved.

## **3.4 Coordination**

### **3.4.1 General**

**3.4.1.1** With the great number of ISO and IEC technical bodies engaged in the preparation of International Standards, coordination is essential in order to avoid difficulties and harmful effects on the technical work of ISO and IEC.

**3.4.1.2** The JTC 1 and SC Secretariats shall make every effort to encourage their members to consider ISO, IEC and JTC 1 as a whole and the interests of other TCs working in related fields, and to avoid the risk of the committee working in isolation.

**3.4.1.3** To facilitate coordination at the international level, members of the relevant committees should take all possible steps to achieve coordination at the national level, so as to reach a single national view-point before taking firm positions in the separate international discussions.

### **3.4.2 Responsibilities for Coordination**

**3.4.2.1** The primary responsibility for achieving good coordination both within JTC 1 and with the work of other TCs resides with the committee Secretariats. The JTC 1 Secretariat (with the assistance of the JTC 1 Chairman and the ITTF) shall make every effort to ensure coordination of the work of JTC 1 and its SCs with the other ISO and IEC TCs.

**3.4.2.2** The ITTF is responsible for overall coordination of the technical work of ISO and IEC in the field of information technology and for providing any assistance in its power which the JTC 1 Secretariat may request for the solution of a particular problem. The ITTF may, if necessary, request the assistance of the TMB/SMB.

**3.4.2.3** The Secretariats of JTC 1 and its SCs shall keep their P-members informed of current or potential problems of coordination of work and, where appropriate, request their assistance, including possible actions that could be taken at the national level, in finding solutions to these problems.

### **3.4.3 Procedure for Coordination and Resolution of Difficulties**

**3.4.3.1** The JTC 1 Secretariat shall, in co-operation with the JTC 1 Chairman, ensure that liaisons are established and maintained with other TCs and SCs working in related fields (see also 3.3.2 and 3.3.3). The practical operation of these liaisons includes exchange of relevant documents (e.g. NPs and proposed drafts for standards at their earliest stage), exchange of liaison representatives at meetings and appointment of liaison officers if needed. Special attention of the technical body liaison should be drawn to specific matters or particular documents on which its agreement or opinion is required. Secretariats of the technical bodies in liaison shall maintain day-to-day contacts in important cases and may arrange ad hoc meetings.

**3.4.3.2** In all cases of unsatisfactory coordination, contradictions or discrepancies, the Secretariats concerned shall, in consultation as appropriate with the committee Chairmen and the ITTF, make every attempt to resolve the difficulty. The Secretaries-General may, if necessary, call an ad hoc meeting of the interests directly involved.

**3.4.3.3** In cases where the procedures indicated above fail to resolve the difficulties, the Secretaries-General may refer the matter to the TMB/SMB for decision after obtaining, if required, the opinion of an advisory body. If necessary the TMB/SMB may make recommendations on the subject to Councils.

**3.4.3.4** There may be a few exceptional cases where the problem concerning some differences, real or apparent, may remain unresolved in spite of all efforts. In all such cases, the Secretariat requiring that such a difference be maintained in an FCD shall submit a full report of all the attempts made to remove the difference, giving the justification for the final decision, as part of the explanatory report (see 12.6.3.9).

### **3.4.4 Basic or Harmonized Standards**

**3.4.4.1** In addition to the standards of TCs working in related fields, JTC 1 should comply with basic, a standard that has a wide-ranging coverage or contains general provision for one particular field, or harmonized, standards on the same subject approved by different standardized bodies that establish interchangeability of products,



processes and services, or mutual understanding of test results or information provided according to these standards, standards and pay attention to such other standards of ISO and IEC which affect their work. It is the duty of the JTC 1 and SC Secretariats to bring the contents of the relevant standards to the notice of members of JTC 1, SCs and WGs. Coordinating standards for specific fields shall be identified and furnished to the technical bodies concerned.

**3.4.4.2** Attention should similarly be drawn to ISO and IEC policies concerning standards for reference materials required for end products.

## **4 Administration**

### **4.1 Information Technology Task Force (ITTF)**

**4.1.1** The ITTF is responsible for the day-to-day planning and coordination of the technical work of JTC 1 relative to IEC and ISO, and supervises the application of the ISO and IEC Statutes and Rules of Procedure. The ITTF shall satisfy itself that particular investigations are followed up and that the time limits are complied with. To be in a position to keep Councils and NBs informed as to the technical work envisaged, in progress and completed, the ITTF must always be fully informed regarding the work of JTC 1.

**4.1.2** The ITTF shall advise the JTC 1 Secretariats and Secretaries on any point of procedure, assist in the technical coordination and harmonisation of work and in seeking solutions to any problems which have not been resolved between JTC 1 and other TCs of ISO and IEC directly. If necessary, the ITTF may convene ad hoc technical coordination meetings.

**4.1.3** The Secretaries-General endeavour to send their representative to meetings of JTC 1 when a new Secretariat is appointed, and to any meetings where such presence is desirable for solving problems, but the ITTF cannot assist the Secretariat, on a permanent or semi-permanent basis, in carrying out its duties.

**4.1.4** The ITTF performs the following tasks with respect to ISs:

- Registration of CDs and, if necessary, advising on titles;
- Checking and editing of FCDs (units, equivalence of English and French versions, drawings, tables, etc.);
- Notification of availability of FCDs to NBs and to organisations in liaison for information and comments;
- Distribution of FDISs and DISs to NBs for approval and to organisations in liaison for information and comments;
- Administering the voting of NBs on FDISs and DISs;
- Communicating the voting results and related comments to the appropriate Secretariats (see 12.7.2.2);
- Advising JTC 1 NBs of the acceptance of FDISs and DISs for publication, and distribution of the final report (see 12.7.2.3);
- Printing, distribution and sale of ISs.

In addition the ITTF has certain other specific duties:

- Maintaining up-to-date records showing the participation categories (P- and O-) of NBs in JTC 1 and each SC;
- Maintaining up-to-date records of the liaisons established for JTC 1 and each SC;
- Coordinating the meetings of JTC 1 and SCs relative to other ISO and IEC TCs;
- Convening meetings of JTC 1 and SCs;

- Dealing with questions concerning relations with organisations (invitations to meetings of JTC 1 and its SCs, ISO or IEC technical representation to meetings of such organisations, establishment of new liaisons, etc.);
- Maintaining up-to-date records showing project information and NB memberships.

## **4.2 JTC 1 Administration**

### **4.2.1 Allocation of the JTC 1 Secretariat**

**4.2.1.1** The TMB/SMB appoints the Secretariat of JTC 1 from among JTC 1 P-members. The TMB/SMB decides on the transfer of the Secretariat of JTC 1 from one NB to another.

**4.2.1.2** An NB (P-member) may offer to undertake the Secretariat of JTC 1. Before doing so, the NB shall have investigated its national situation and satisfied itself that adequate resources exist to carry out the responsibility involved (see Annex A) without undue delay in the processing of JTC 1 work.

**4.2.1.3** If an NB wishes to relinquish the Secretariat of JTC 1, the NB shall immediately inform the ITTF, giving a minimum of twelve months' notice.

**4.2.1.4** If the Secretariat of JTC 1 persistently fails to comply with the requirements of these directives, the Secretaries-General or an NB may have the matter placed before the TMB/SMB who may review the allocation of the Secretariat with a view to recommending its transfer to another NB.

### **4.2.2 Responsibilities and Duties of the JTC 1 Secretariat**

**4.2.2.1** The JTC 1 Secretariat is responsible to the Councils and to the members of JTC 1 for all the activities of JTC 1, including its subsidiary bodies. The JTC 1 Secretariat shall work in close Co-operation with the Chairman of JTC 1.

**4.2.2.2** The JTC 1 Secretariat shall act in all respects as an international Secretariat and shall not be influenced by national considerations in the pursuit of its work. Working as Secretariat, a NB shall maintain strict neutrality and distinguish sharply between proposals it makes as a NB and proposals made in its capacity as Secretariat.

**4.2.2.3** The JTC 1 Secretariat shall maintain and provide the ITTF with up-to-date records of the membership of JTC 1, its SCs and WGs and liaisons with other TCs and organisations.

### **4.2.3 JTC 1 Special Working Group Administration**

The allocation of a JTC 1 SWG Secretariat shall be in accordance with the provisions of 4.3.1 for SC Secretariats. The responsibilities of a JTC 1 SWG Secretariat shall be in accordance with 4.3.2.1 and 4.3.2.2.

### **4.2.4 JTC 1 Rapporteur Group Administration**

The Rapporteur appointed by JTC 1 is responsible for administration of the Rapporteur Group, e.g. distribution of internal documents, establishment and administration of web sites, meeting arrangements and other administrative support.

## **4.3 Subcommittee Administration**

### **4.3.1 Allocation of SC Secretariats**

**4.3.1.1** The Secretariat of an SC is appointed by JTC 1 from among the P-members of that SC. If no NB acceptable to JTC 1 is willing to undertake the Secretariat responsibilities, the SC shall be disbanded. Before indicating a willingness to undertake SC Secretariat responsibilities, the NB shall have investigated its national situation and satisfied itself that adequate resources exist to carry out the responsibility involved (see Annex A) without undue delay in the processing of the work.

**4.3.1.2** In the case of a new SC, an enquiry is made by the JTC 1 Secretariat to obtain offers for undertaking the Secretariat of the new SC. If two or more P-members offer to undertake the Secretariat of the same SC and maintain their candidacy in spite of other offers, JTC 1 decides on the appointment of the SC Secretariat.



**4.3.1.3** If an NB wishes to relinquish the Secretariat of an SC, the NB shall immediately inform the Secretariat of JTC 1 giving a minimum of twelve months' notice.

**4.3.1.4** If the Secretariat of an SC persistently fails to comply with the requirements of these directives, or for any other reason, JTC 1 may, by a majority vote of the P-members, decide to reallocate the Secretariat to another NB. In this case, an enquiry is made by the JTC 1 Secretariat to obtain offers from other P-members of the SC to undertake the Secretariat. If two or more P-members offer to undertake the Secretariat of the same SC, JTC 1 decides on the reallocation of the SC Secretariat.

**4.3.1.5** The procedure for reallocation is the same as that set out in 4.3.1.1 and 4.3.1.2.

## **4.3.2 Duties of an SC Secretariat**

**4.3.2.1** The SC Secretariat is responsible to JTC 1 and to the members of the SC for all the activities of the SC, including its subsidiary bodies. It shall work in close Co-operation with the JTC 1 Secretariat. In particular, for the maintenance of lists of members and liaisons, the Secretariats of SCs shall ensure that the JTC 1 Secretariat receives the necessary information.

**4.3.2.2** The SC Secretariat shall act in all respects as an international Secretariat and shall not be influenced by national considerations in the pursuit of its work. Working as Secretariat, an NB shall maintain strict neutrality and distinguish sharply between proposals it makes as an NB and proposals made in its capacity as Secretariat.

**4.3.2.3** The SC Secretariat shall work in close Co-operation with the SC Chairman appointed by JTC 1, if any.

## **4.4 Working Group Administration**

### **4.4.1 Allocation of WG Administration Responsibilities**

**4.4.1.1** The parent body shall assign responsibility for the administration of a WG to a Convener, if necessary supported by a Secretariat. Any Secretariat shall be either an NB or an organisation endorsed by the NB. The NB must confirm in writing its consent to the arrangement before it can be effected.

**4.4.1.2** The ITTF and JTC 1 shall be informed of any such arrangements and be advised of the name, address, telephone and facsimile numbers, and e-mail address of the person(s) responsible for the administration of the WG.

### **4.4.2 Administrative Responsibilities for WGs**

The administrative responsibilities include:

- Maintenance of a document distribution list;
- Maintenance of lists of members and liaisons - the Convenors or Secretariats of WGs shall ensure that the JTC 1 Secretariat receives the necessary information;
- Maintenance of a document register;
- Preparations for the WG meetings in consultation with the hosts;
- Timely distribution of documents;
- Preparation and distribution of meeting agendas in accordance with the guidelines of 7.6.1;
- Preparation of meeting reports which shall include the following:
  - List of attendees, including their nominating organisation (NB or liaison organisation ) and employer;
  - Actions taken relative to assigned projects;
  - Problems and issues highlighted;
  - Target date updates;
  - Resolutions;

- Forwarding the meeting report and resolutions to the parent body Secretariat for distribution to the parent body for action as appropriate;
- Maintenance of progress reports (includes updates to JTC 1 database).

## 4.5 Non-Permanent Organisational Entity Administration

Administrative arrangements for non-permanent organisational entities (e.g. OWGs, workshops) should be defined by the establishing group at the time each organisational entity is created. Such administrative arrangements should take into account the nature of the organisational entity and should generally align with the requirements defined in 4.4 for WGs.

## 4.6 Responsibility for the Archiving of Documents

**4.6.1** The responsibility for **the archiving of documents** concerning JTC 1 work and the background to the publication of ISs is divided between the JTC 1 Secretariat and the ITTF. **Archival of documents is required to support transparency of the standards development process undertaken by JTC 1, to support the effective functioning of JTC 1 and its SCs by preserving the knowledge in the committees and to be able to defend against challenges to decisions or features in Standards.** The **archiving of documents** is of particular importance in the context of any possible future changes of Secretariat responsibility from one NB to another. It is also important that information on key decisions and important correspondence pertaining to the preparation of ISs or TRs should be readily retrievable in the event of any dispute arising out of the provenance of the technical content of the publications. **Archival of documents includes the documents themselves and the mechanism or tooling used to access these documents.**

**4.6.2 JTC 1 and all subordinate groups** shall establish and **maintain archives** of all official transactions concerning their committees **listed in Annex HD of the JTC 1 Directives.**, In particular, **these N-numbered documents shall consist of national body submissions, liaison member submissions, reference copies of resolutions, any approved meeting minutes or meeting reports and names of attendees and their national body or liaison affiliations at meetings. N-numbered documents shall be kept for at least 20 years.**

**4.6.3 Upon the termination of any group, the N-numbered documents shall be passed on to their parent committee for record retention.**

**4.6.4** The ITTF shall keep reference copies of all ISs, TRs, etc., including withdrawn editions, and shall keep up-to-date records of NB votes in respect of these publications. Copies of FCDs, FDISs and DISs issued for NB voting, final reports 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 periodic review, but in any case for a minimum of **20** years after publication.

## 5 Officers

### 5.1 JTC 1 Chairman

#### 5.1.1 Appointment and Term of Office

A candidate for the Chairmanship of JTC 1 shall be evaluated on the basis of the individual's abilities and resources to perform the job effectively. The Chairman shall be nominated by the JTC 1 Secretariat and appointed by JTC 1 at its plenary meeting, subject to approval by ISO and IEC Councils. The individual shall serve for a nominal term of three years ending at the next JTC 1 plenary session following the three-year term. The Chairman may be reappointed, normally for one additional three-year term. Exceptionally, a Chairman's term may be extended due to special circumstances.

#### 5.1.2 Responsibilities

**5.1.2.1** The Chairman of JTC 1 is responsible for conducting each meeting with a view to reaching agreement on the progression of items in its programme of work. In carrying out the duties of the office, the Chairman shall act

in a purely international capacity, divested of any national point of view. Thus, a Chairman cannot serve concurrently as a delegate of an NB.

**5.1.2.2** The Chairman of JTC 1 shall be capable of working in at least one of the official ISO/IEC languages (see 7.9.1).

**5.1.2.3** The JTC 1 Chairman shall guide the JTC 1 Secretariat in carrying out its duties, including that of advising Councils on matters relating to JTC 1. The Chairman may also meet with appropriate SC Chairmen to review important issues.

## **5.2 JTC 1 SWG Convenors**

The Convener of a JTC 1 SWG shall be nominated by the Secretariat of the SWG subject to endorsement by the individual's NB, and appointed by JTC 1. The Convener shall serve for a nominal term of three years ending at the next JTC 1 plenary session following the three-year term. The Convener may be reappointed, normally for one additional three-year term. Exceptionally, a Convener's term may be extended due to special circumstances.

## **5.3 JTC 1 Rapporteurs**

**5.3.1** The Rapporteur is appointed by JTC 1 at the time the Rapporteur Group is established, subject to endorsement by the individual's NB. A Rapporteur may represent his or her National Body if he or she is the only member on the Rapporteur Group from that National Body.

**5.3.2** The rapporteur shall report periodically to JTC 1 on the progress of the RG.

## **5.4 SC Chairmen**

### **5.4.1 Appointment and Term of Office of a Subcommittee Chairman**

**5.4.1.1** The Chairman of an SC shall be nominated by the Secretariat of the SC subject to endorsement by the individual's NB, endorsed by the SC, and appointed by JTC 1 at its plenary meeting. The Chairman shall serve for a nominal term of three years ending at the next SC plenary session following the three-year term. The Chairman may be reappointed, normally for one additional three-year term. Exceptionally, a Chairman's term may be extended due to special circumstances.

**5.4.1.2** If a meeting of an SC is held at a time when that SC does not have an appointed Chairman, or if the appointed Chairman is not present at a meeting of the SC, then the Secretariat shall nominate an Acting Chairman for the meeting, whose appointment shall be subject to endorsement by the P-members present at the meeting.

### **5.4.2 Responsibilities of a Subcommittee Chairman**

**5.4.2.1** The Chairman of a JTC 1 SC is responsible for conducting each meeting with a view to reaching agreement on the progression of items in its programme of work. In carrying out the duties of the office, the Chairman shall act in a purely international capacity, divested of any national point of view. Thus, a Chairman cannot serve concurrently as a delegate of an NB.

**5.4.2.2** An SC Chairman shall assist the SC Secretariat in reporting to JTC 1. The Chairman shall ensure ongoing coordination/liaison between the SC and other relevant SCs and external organisations. See also 6.4.

**5.4.2.3** The Chairman of a JTC 1 SC shall be capable of working in at least one of the official ISO/IEC languages (see 7.9.1).

## **5.5 WG Convenors**

WG Convenors shall be selected and appointed by the parent body in accordance with the following procedures:

- The Convener selected, if possible, should be an active member of the parent body and have experience in the operation of JTC 1 and its SCs and WGs. Where an experienced individual is not chosen, it is the responsibility of the Convener's NB to be sure that the Convener is briefed and educated on all the necessary procedures governing JTC 1 operations;

- Before appointment or reappointment, the nomination of a Convener shall be endorsed by the Convenor's NB and the NB shall confirm to the parent body, with a copy to JTC 1, if JTC 1 is not the parent body, that the nominee has the necessary resources and administrative support to carry out the responsibilities assigned to a Convener;
- All WG Convenorships shall be for nominal three-year terms ending at the next plenary session of the parent body following the three-year term. The Convener may be reappointed for additional three-year terms.

The Secretariat of the parent body shall notify the JTC 1 Secretariat and the ITTF of the names and addresses of appointed Conveners. The Convener is responsible for reporting to the parent body on the progress of the work items assigned to the WG.

The Convener of a WG is responsible for the proper conduct of the work, where practicable with the help of a Secretary, under the authority of a P-member of the parent body. The Convener shall report periodically to the parent body on the progress of the WG.

## 5.6 Non-Permanent Organisational Entity Officers

Convenors of non-permanent organisational entities (e.g. OWGs and Workshops) shall be selected and appointed by the establishing body subject to endorsement by the individual's NB in accordance with the procedures below. **This NB endorsement is not required prior to the establishment of the OWG.**

- The Convener selected, if possible, should be an active member of the establishing body and have experience in the operation of JTC 1 and its SCs and WGs. Where an experienced individual is not chosen, it is the responsibility of the Convenor's NB to be sure that the Convener is briefed and educated on all the necessary procedures governing JTC 1 operations;
- The Convener shall be familiar with the issue(s) that are referred to the organisational entity being created and shall have participated in the establishing body discussions which led to the creation of the group if possible.

## 5.7 Project Editors

**5.7.1** A Project Editor should be identified as early as possible for each standard or other document under development. The Project Editor is appointed by the SC and shall follow the editing instructions given by the working body.

**5.7.2** It is the responsibility of the Project Editor to maintain the document throughout the stages of technical work, i.e. until publication. The Project Editor shall ensure that the Foreword of the final text of the standard indicates the JTC 1 SC responsible for the standard.

**5.7.3** After publication, the Project Editor should maintain an updated document incorporating all approved CORs and AMDs so that a revision may be published with minimum delay when appropriate (see 15.5.4). The Foreword of the revision shall list all AMDs and CORs incorporated therein.

# 6 Programme of Work

## 6.1 Overall Programme of Work

**6.1.1** Within the overall business plan, JTC 1 shall establish and maintain a programme of work. The programme of work, which must be within the scope agreed by the Councils, shall consist of a detailed list of all work items under development and for study. The selection of items shall be subject to close scrutiny in accordance with the policy objectives and resources of ISO/IEC and should be governed by economic, social and technical considerations (see ISO/IEC Directives Part 1, Annex C).

**6.1.2** Each item in the programme of work shall be given a project number and shall be retained in the programme of work under that project number until the work on that item is completed or its deletion has been

agreed upon. A work item may be subdivided, or two or more work items merged, if it is subsequently found necessary and new project numbers, related to the original(s) issued.

**6.1.3** The list of work items shall indicate, where appropriate, the SC or WG to which each item is allocated.

## **6.2 Additions to the Programme of Work**

### **6.2.1 New Work Item Proposals (NP)**

**6.2.1.1** An NP may be submitted by an NB, JTC 1 or one of its SCs, another TC or SC, organisations with category A-liaison status to JTC 1, the ITTF, TMB/SMB, ISO or IEC Councils, Policy Development Committees or Committees on General Standardization Principles, or one or both of the Secretaries-General. Those NPs submitted by other organisations in liaison with ISO or IEC will be referred to JTC 1 for consideration. [Note: Organisations in liaison with JTC 1 subsidiary bodies are expected to work through these bodies.]

**6.2.1.2** Any proposal to add a new item to the programme of work shall be made using an NP form (see Form G1), obtainable from the ITTF, and shall be fully justified (see ISO/IEC Directives, Part 1, Annex C) by the proposer. This justification shall include a non-technical statement of users' functional requirements which need to be satisfied by the NP. The NP form shall be accompanied by the NP Project Acceptance Criteria form (see Form G3G1). In responding to an NP ballot, NBs should comment on the statement of user requirements and are encouraged to consult widely within the user community for input.

The proposer is encouraged to append a working draft (WD) or an outline, if available, in order to help NBs understand the proposal more clearly and to expedite the subsequent standardisation process.

**6.2.1.3** It is the responsibility of NBs to review each NP to ensure proper coordination among standards development activities and avoidance of duplication of efforts. In this regard, NBs should take particular note of related standardisation activities identified in the proposal and are encouraged to seek input from the national counterparts to these organisations when developing a position since direct input from the international organisations identified may or may not be possible within the time frame of the ballot. Each proposal shall be voted on by letter ballot (see Form G4), even if it has appeared on the agenda of a meeting. In order to be approved, the proposal shall be supported by a majority of all P-members of JTC 1 with at least five P-members of the SC to which the project will be assigned committed to active participation. If the NP is submitted by an SC, the SC should first determine that at least five of its P-members will participate. This does not prevent initiation of discussion of technical documents pertaining to a proposed new item, pending approval of the item by NP letter ballot of the JTC 1 P-members or the SC approval of a study period. If the result of the JTC 1 NP letter ballot is negative, discussion of the proposal shall be abandoned.

**6.2.1.4** Active participation for NPs includes involvement by NBs in more than one of the following:

- Attendance at meetings (see also 7.11);
- Contributing to the development of the WD;
- Performing substantial review on a CD and subsequent stages;
- Submitting detailed comment with ballots.

**6.2.1.5** The procedure of distributing the NP form for voting is not required in the case of revision of a published IS. Such revisions should, however, be recorded in JTC 1's programme of work as items at Stage 2 (see 12.1) and should have target dates and priorities assigned as for other work items.

**6.2.1.6** When proposing a new work item, the elements to be clarified are:

- **Title:** The title should indicate the subject matter of the proposed new standard;
- **Scope (and field of application):** The scope should give a clear indication of the coverage of the proposed new work item and, if necessary for clarity, exclusions;
- **Purpose and justification:** Details based on a critical study of the following elements should be given whenever practicable:

- The specific aims and reason for the standardisation activity, with particular emphasis on the aspects of standardisation to be covered, the problems it is expected to solve or the difficulties it is intended to overcome, and the business requirements for it;
- The main interests that might benefit from or be affected by the activity, such as industry, consumers, trade, governments, distributors;
- Feasibility of the activity: Are there factors that could hinder the successful establishment or general application of the standard(s)?
- Timeliness of the standards to be produced: Is the technology reasonably stabilised? If not, how much time is likely to be available before advances in technology may render the proposed standards outdated? Are the proposed standards required as a basis for the future development of the technology in question?
- Urgency of the activity, considering the needs of other fields or organisations;
- Related work in other areas of standardisation, including commitments for Co-operation or collaboration with organisations external to JTC 1;
- The benefits to be gained by the implementation of the proposed standard(s); alternatively, the loss or disadvantage(s) if no standards are established within a reasonable time. Publicly available industry data such as product volume or value of trade can be useful in this regard, but care should be taken to avoid presenting or discussing information where such action could be interpreted as violating national competition or anti-trust legislation;
- The status of the technology (mature, anticipatory, etc.);
- If the standardisation activity is or is likely to be the subject of regulations or to require the harmonisation of existing regulations, this should be indicated;
- If a series of new work items is proposed the purpose and the justification of which is common, a common proposal may be drafted including all elements to be clarified and enumerating the titles and scopes of each individual item;
- **Programme of work:** Target date(s) should be indicated and, when a series of standards is proposed, priorities should be suggested;
- **Relevant documents:** Any known relevant documents (such as standards and regulations) should be listed, regardless of their source. When the proposer considers that an existing well-established document may be acceptable as a standard (with or without amendments) this should be indicated with appropriate justification and a copy attached to the proposal;
- **Co-operation and liaison:** Relevant organisations or bodies, with which Co-operation and liaison should exist, should be listed;
- **Preparatory work:** The proposer should indicate whether he or his organisation is prepared to undertake the preparatory work required for the new work item;

If the JTC 1 Secretariat finds that an NP is short of the above elements, the JTC 1 Secretariat may refer the NP back to the proposer to add more complete explanations.

**6.2.1.7** An NP for a standard which utilises a Formal Description (FD) shall identify the Formal Description Technique (FDT) to be used and include appropriate references. See 10.4. Justification shall be included for use of an FDT not already standardised or in the process of being standardised. If subsequent to the approval of the NP, an SC decides to include an FD, this shall be handled in accordance with this clause, or 6.2.2.1, as applicable.

**6.2.1.8** All proposals for standardising new FDTs shall be subject to the NP voting procedure. For acceptance of an NP on an FDT, the following criteria shall be met at the time of submission of the NP (see 6.2.1.2):

- The need for the FDT shall be demonstrated;



- Evidence that it is based on a significantly different model from that of an existing FDT shall be provided; and
- The usefulness and capabilities of the FDT shall be demonstrated.

**6.2.1.9** Where a new JTC 1 Registration Authority is deemed necessary (see 18.3), the technical group responsible for the technical standard shall if possible identify this need in the NP together with appropriate justification. If this necessity is recognised later in the course of the standard's development, an NP is required for the companion procedure standard (see 18.4).

**6.2.1.10** Comments received with NP ballot responses need to be addressed in an appropriate manner and the NP proposal modified, if necessary, to accommodate the comments. If the comments deal with a potential overlap between the proposal and the work of other organisations, representatives of the other organisations should be invited to present their advice concerning the disposition of comments.

## **6.2.2 Subdivisions**

**6.2.2.1** To avoid undue delays in authorising subdivisions of projects or minor enhancements of existing work, where the changes are not outside the scope of the original item, the SC may proceed with such work if approved by a vote of its P-members. The change(s), however, must be submitted to JTC 1 for endorsement and, if JTC 1 does not approve, the work must cease.

**6.2.2.2** Following its plenary meeting, an SC shall submit to the JTC 1 Secretariat as a single document the SC's modified programme of work, including all proposed subdivisions of projects and minor enhancements of existing work, exclusive of proposals for new work. This document shall be distributed by the JTC 1 Secretariat to the JTC 1 NBs. Unless the JTC 1 Secretariat receives notification within 75 days of why a proposed change should not be approved, the modified programme of work will be accepted.

## **6.2.3 New Work Areas**

### **6.2.3.1 Applicability**

As a part of measures to improve the overall planning and management of the JTC 1 work programme, it is considered as important that steps are taken to ensure that the level of preparation of new work areas is adequate, and that there is adequate time for study of, and comment on, such new work areas by NBs, liaison organisations and other SCs before they are submitted for formal ballot. New work areas require the production of a clear plan setting out the technical activity and resource estimates. The new work area procedures should be applied when the following two conditions exist:

- An area of technical activity will require a significant amount of expertise over an extended period in order to produce the required standards.
- A requirement exists for two or more interrelated work items to produce the required standards.

### **6.2.3.2 Procedures**

The following provisions should be considered in the preparation of proposals for new work areas:

**6.2.3.2.1** An NP for a new work area should be the output of a study period in the SC concerned during which NBs, liaison organisations and other SCs that may be concerned have been able to review and comment on drafts for the NP. The final draft should be subject to the formal approval of the SC responsible before submission to JTC 1.

**6.2.3.2.2** The study should address:

- The requirements, involving possible users where this is relevant;
- The relationships with other work, the technical approach and technical feasibility of the NP, including identification of reference material on technical issues and initial material if available;
- The preparation of a detailed plan of work covering the timetable, resource requirements and resource availability (technical and administrative).

**6.2.3.2.3** The timetable should propose a start date for the work and should have justification in terms of the resource requirement and resource availability, time to research, prepare and review text - with adequate allowance for the time to resolve conflicting views.

**6.2.3.2.4** The resource availability should be clearly specified in terms of:

- Rapporteur;
- Editor(s);
- Major contributors (possibly indicating areas of major activity);
- Review contributors;
- Secretariat (SC and WG support for Convenors).

**6.2.3.2.5** The timetable and resource statements should show clearly the plans for necessary liaisons in terms of resources commitment and plans for any necessary joint meetings.

**6.2.3.2.6** JTC 1 shall be notified as soon as possible if the new work area is of a cross-over nature. A topic is considered a cross-over one when:

- It falls within the scope of more than one body inside JTC 1 or even ISO or IEC, and these bodies can make valuable contributions to the achievement of the work;
- The Co-operation of several bodies is considered essential to obtain a satisfactory completion of the work, and therefore, has to be monitored during the work period.

When JTC 1 is notified that a work area is of a cross-over nature, it shall decide upon the progression and allocation of the work.

### **6.2.3.3 Processing NPs for New Work Areas**

**6.2.3.3.1** The NP itself should contain a realistic estimate of the overall workload involved in the development of the new work area.

**6.2.3.3.2** The NP should indicate a proposed start date for the project if it is approved. This date should not simply be the end of the NP ballot period, but should represent a realistic target, based on the workload and priorities of the SC in which the work will be carried out.

**6.2.3.3.3** SCs should be encouraged to establish clear milestones and then to conduct realistic and regular reviews of their workload, to prioritise their work items in order of importance and to suspend or delete those items that are not being actively pursued.

**6.2.3.3.4** NBs, when indicating on the NP ballot form whether they will participate or not in the project, should base their response on whether they can support the level of activity described in the NP.

## **6.3 Target Dates and Priorities**

### **6.3.1 Target dates**

**6.3.1.1** For each item of the programme of work, JTC 1 shall establish target dates for:

- Registration of the first CD (and subsequent CDs);
- Submission of text for FDIS processing;
- Publication.

**6.3.1.2** Recognizing that it is reasonable to envisage that certain projects may progress faster or slower than others, and therefore that it may be inappropriate to focus on a single set of target dates, JTC 1 has established three timeframes (sometimes referred to as 'standards development tracks') known as 'Default Timeframe', the 'Accelerated Timeframe', and the 'Extended Timeframe', as follows:

#### **Default Timeframe**



- Availability of committee draft: 12 months
- Availability of approval draft: 30 Months
- Availability of published standard: 36 months

#### **Accelerated Timeframe**

- Committee draft omitted
- Availability of enquiry draft: 6 months
- Availability of published standard: 24 months

#### **Extended Timeframe**

- Availability of committee draft: 12 months
- Availability of approval draft: 43 months
- Availability of published standard: 48 months

Where a proposed NP is approved for inclusion on a SC's programme of work, the SC shall in every case determine which of the three timeframes is to be applied to the project, and report this to JTC 1 and ITTF at the time of notifying approval of the project. Unless otherwise agreed, this timeframe will apply without change throughout the lifetime of the project.

**6.3.1.3** The target dates shall be kept under periodic review by JTC 1 and amended as necessary. Particular attention should be given to target dates which have been established on formal request by an intergovernmental organisation.

**6.3.1.4** It is required that each SC establish priorities and, based on these priorities, establish timetables for the target dates for all work items assigned to the SC.

**6.3.1.5** As per TMB Resolution 30/2003, JTC 1 recommends that that a standard be completed within 36 months. However, it is possible to use an accelerated method.

### **6.3.2 Priorities**

**6.3.2.1** If the whole programme of work cannot be studied at the same time, JTC 1 determines in consultation with each SC to which work items priority shall be given.

**6.3.2.2** The allocation of priority to a work item means that the said item will receive special attention in the ISO/IEC procedure for the preparation of an IS.

## **6.4 Progress Control and Reporting**

### **6.4.1 Progress Control**

**6.4.1.1** JTC 1 shall ensure that the planned programme is pursued and that, as far as possible, established target dates are met. Control shall be exercised over each separate work item for each stage in the procedure. Periodic progress reports to JTC 1 by its subsidiary bodies, and meetings between the Secretariats of JTC 1 and its subsidiary bodies, will assist in controlling the progress.

**6.4.1.2** The ITTF shall follow the progress of work in JTC 1 and report periodically to the TMB/SMB.

**6.4.1.3** Each SC shall review its progress against the target dates at regular intervals and amend target dates where necessary. Justification shall be provided to JTC 1 for such amendments and, where target dates have repeatedly not been met, a proposal shall be made to JTC 1 to delete or redefine the work items.

To enable the NBs of JTC 1 to evaluate these priorities and target dates against the overall work programme of JTC 1, a written report containing the above information shall be submitted at least annually by the SC.

**6.4.1.4** JTC 1 requires SC Chairmen to assume responsibility for the management of work programmes under their jurisdiction. To this end each SC Chairman is required to prepare a business plan for inclusion in part 1 of the report to JTC 1 (see 6.4.2.2).

**6.4.1.5** Except for work items having a specifically notified late start date, if a work item, registered as an NP before 1 January 2004, has not progressed to Stage 3 (12.6) by the second anniversary of project initiation (NP approval or project subdivision), the SC shall consider, either by letter ballot or plenary vote, whether the project shall be retained (giving specific justification) and advise the JTC 1 Secretariat and ITTF of the results. If the SC fails to act, then the project shall automatically be cancelled by the JTC 1 Secretariat and ITTF.

**6.4.1.6** When the JTC 1 programme of work includes an item, registered as an NP before 1 January 2004, which has not progressed to Stage 4 (see 12.7) by the third anniversary of the issuance of the first CD, the SC shall consider, either by letter ballot or plenary vote, whether the project should be retained (giving specific justification) and advise the JTC 1 Secretariat and ITTF of the results. If the SC fails to act, the JTC 1 Secretariat shall submit the item to the P-members of JTC 1 for confirmation by correspondence. Depending on the nature of the comments received, the Secretariat shall decide whether this work item should be eliminated or should continue to remain on the programme of work.

**6.4.1.7** All NPs registered after 1 January 2004 shall be allocated a timeframe as described in 6.3.1.2.

Action required when target dates are exceeded:

In those cases where the target date for CD is not met one of the following actions shall be taken:

- Technical content of current text is considered acceptable and mature-Progress existing text as a CD
- Technical content of current text is considered acceptable but not sufficiently mature for a future International Standard-Publish as a Technical Report
- Technical content is not regarded acceptable for a future IS or TR, but nevertheless of interest to the public-Publish as Technical Report Type 3
- Consensus cannot be reached, but there is strong interest from stakeholder to continue-Request JTC 1 and ITTF to grant an exception and to permit the extension of the target dates.
- SC is unable to find a solution-Delete the project

In those cases where the target date for FDIS is not met one of the following actions shall be taken

- Technical content of current text is considered acceptable and mature. Progress existing text as an FDIS
- Technical content of current text is considered acceptable but not sufficiently mature for a future International Standard-Publish as a technical report
- Technical content is not regarded as acceptable for a future IS or TR, but nevertheless of interest to the public-Publish as a Technical Report Type 3
- Consensus cannot be reached, but the work is considered still market relevant, either (a) distribute the text as a further FCD, or (b) request JTC 1 and ITTF grant an exception and to permit the extension of the target date
- The SC and JTC 1 are unable to find a solution-Delete the project

## **6.4.2 Reporting**

**6.4.2.1** In light of the requirement for SCs to submit reports to JTC 1 on a periodic basis (see 6.4.2.2) the requirement for preparation of a JTC 1 annual report to ISO/IEC has been waived by the ITTF.

**6.4.2.2** Reports to JTC 1 shall be prepared by the SC Secretariats and Chairmen and shall comprise two parts, each separately submitted. The information in Part 1 shall be provided by the SC Chairman within four weeks of the conclusion of an SC plenary meeting, and updated prior to each plenary meeting of JTC 1. Part 2 shall be provided by the SC Secretariat prior to each plenary meeting of JTC 1.

Part 1 shall be a Business Plan in accordance with the template in Annex G (see Form 0).

Part 2 shall be a statistical report and shall:

- Describe the work of the SC and WGs (i.e. provide SC area of work and WG terms of reference);

- Contain in full the latest version of the SC's programme of work together with information as to the development stage of the various work items. For all projects the last available reference document, whether or not a WD, should be identified;
- Provide target dates for appropriate stages of development (e.g. registration of the first CD, subsequent CDs and FCDs and submission of text for FDIS processing);
- Provide the full name, address, telephone and facsimile numbers and e-mail address for the SC Chairman and Secretariat, WG Convener(s) and Secretariat(s) and all Project Editors.

The JTC 1 Secretariat may notify the SC Secretariat that submission of Part 2 is unnecessary if complete, up-to-date information is available and accessible via an SC web site linked to the JTC 1 web site.

## **7 Meetings**

### **7.1 General**

JTC 1 and its subsidiary bodies should work as much as possible by correspondence. JTC 1 and its subsidiary body Secretariats, or Convener in the absence of Secretariats are responsible for all arrangements for their own meetings, assisted by the host NB.

### **7.2 Meeting Schedule**

**7.2.1** The JTC 1 Secretariat should look ahead with a view to drawing up, in consultation with the ITTF, a planned minimum two-year programme of meetings of JTC 1 and its SCs which takes account of the need for progress in the work. Meetings of JTC 1 shall be convened by the JTC 1 Secretariat at nominal twelve-month intervals and shall be of adequate duration to resolve all agenda items.

**7.2.2** SCs are permitted to determine their scheduling practices (e.g. at twelve- or eighteen-month intervals) wherever possible avoiding conflict of dates with SCs working in related fields. A five-year meeting plan is viewed as a help to NBs in budgeting. Whenever possible, each meeting shall fix the date of the next meeting. No SC shall meet simultaneously with a JTC 1 plenary meeting.

**7.2.3** In planning meetings, account should be taken of the possible advantage of grouping meetings of SCs and WGs dealing with related subjects in order to limit the burden of attendance at meetings by delegates who participate in several different committees.

**7.2.4** The Convener shall convene meetings of the WG if questions cannot be solved by correspondence (see 7.3.6 and 7.5.2).

### **7.3 Hosting a Meeting**

**7.3.1** Date and place of meetings shall be subject to an agreement between the host and the Secretariat of the committee concerned or WG Convener. The JTC 1 Secretariat and the ITTF shall be notified.

**7.3.2** NBs may express their wish to act as host for a particular meeting. Such invitations should be addressed to the committee Secretariat with copies to the JTC 1 Secretariat and ITTF.

**7.3.3** When an offer is made at a meeting by a national delegation to host a specific meeting, this offer shall be confirmed within two months in writing by the NB of the country where the meeting is to be held.

**7.3.4** Any NB wishing to issue an invitation to JTC 1 or one of its subsidiary bodies to hold a meeting within its territorial boundaries shall first ascertain that there are no restrictions imposed by its country to the entry of representatives of all existing P-members of the committee for the purpose of attending the meeting. If restrictions exist, such information shall be submitted to the Secretaries-General who, after consultation with the P-members involved, shall determine whether or not the meeting shall be held in the country issuing the invitation.

**7.3.5** The host NB is responsible for providing secretarial support and services for meetings unless alternative arrangements have been agreed with the responsible committee Secretariat.

**7.3.6** For WG meetings, the meeting date and venue shall be subject to an understanding with the Secretariat of the parent body and with the NB of the country in which the meeting is held.

## **7.4 Funding Mechanisms**

### **7.4.1 General**

**7.4.1.1** Under ISO/IEC policy the practice of offering accommodation and meals packages to delegates is acceptable provided that delegates have the option of making other arrangements and, if they elect to do this, are then not liable for any other costs as a condition of participation in the meetings. Costs incurred in hosting a meeting of JTC 1 or one of its subsidiary bodies (e.g. payment for meeting rooms, photocopying facilities, etc.) should be borne by the host NB (which, of course, has the option of seeking sponsors to help cover the costs). An arrangement fee which may include the cost of accommodation, refreshments, meeting rooms, copying facilities and other items directly incurred in hosting a meeting may be charged provided that there is no obligation for delegates to use this arrangement.

**7.4.1.2** The following terms and definitions have been adopted. It is recommended that they be used consistently by hosting organisations when assessing the need for charging fees and in reporting fees to cover meeting arrangements.

- Lodging cost: covers the delegate's personal room.
- Meal cost: covers normal meals, exclusive of banquets, receptions, and entertainment.
- Facilities fee: covers expenses associated with renting meeting rooms, duplicating documents, translation services, renting audio-visual equipment, providing light refreshments during the meeting, etc.
- Events fee: covers expenses associated with social events such as banquets, receptions, and entertainment that are held during the period of the meeting.

**7.4.1.3** Because of special package arrangements, terms may be combined but should be explicitly retained, such as in "lodging and meals costs". ("Accommodation" fee has not been used because it can mean just lodging, or lodging and meals.)

**7.4.1.4** Terms like "meeting fee", "registration fee", or "delegates fee" should be avoided in order not to suggest payment is a requirement for participation or to suggest that paying such a fee in itself entitles one to participate.

### **7.4.2 Guidelines**

**7.4.2.1** The expenses of hosting standards meetings should normally be covered by the host NB, which has the option of seeking sponsors.

**7.4.2.2** It is recognised that under exceptional circumstances the host NB may not be able to obtain full financial support for the funding of an international standards meeting (these circumstances might include the size and duration of the meetings, conflicts which do not permit use of the host NB's facilities, etc.). Under these exceptional circumstances fees may be levied to defray expenses not covered by the host NB.

**7.4.2.3** The following guidelines are applicable for any JTC 1 group where fees are being levied.

**7.4.2.3.1** Accredited delegates shall be able to attend the JTC 1 meetings without having to pay a fee as a condition of participation, although they may be encouraged to do so.

**7.4.2.3.2** If fees are to be levied, communication shall be made at the time the invitation is extended and details of the fee structure shall be provided no later than the circulation of the meeting announcement (i.e. four months prior to the meeting).

**7.4.2.3.3** Fees should be collected and dispersed on a meeting-by-meeting basis by the hosting organisation, with no provisions for maintaining standing accounts for carrying funds from one meeting to another or for sharing funds among host NBs.

**7.4.2.3.4** Delegates who choose not to pay lodging or meal costs or events fees are not entitled to the arrangements provided for by these fees, but delegates who choose not to pay a facilities fee cannot be denied participation, copies, use of meeting facilities, etc., associated with this fee.

**7.4.2.3.5** Lodging cost, meal cost and the facilities fee should be shown separately. However, it is recognised that it may sometimes be more advantageous to offer a package to delegates which combines these elements, such as "lodging and meals costs" or "lodging cost and facilities fee".

**7.4.2.3.6** When the facilities fee is separately assessed, it may be a fixed amount for meetings of a few days and should be on a proportional scale for longer meetings.

**7.4.2.3.7** The hosting organisation should waive the facilities fee for liaison participants who are only present during a short period, e.g. to present a liaison report.

**7.4.2.3.8** Social events are not a mandatory part of an international standards meeting. However, if an event is scheduled and it becomes necessary to charge an events fee to cover some or all of the expense, that fee shall always be payable separately from other fees and at the option of the delegate.

**7.4.2.3.9** Fees collected from participants should only make up the difference between expenses budgeted and paid by the hosting organisation and the total expenses incurred, (i.e. fees collected should not result in a profit or reduced commitment for the hosting organisation). If funds should remain, every effort should be made to return these to the participants, particularly if they are significant.

**7.4.2.3.10** An accounting report detailing fees collected and expenses covered by these fees should be submitted by the host NB to the group's Secretariat or Convener as appropriate. The accounting report should be attached to the meeting report (which shall be circulated no later than two months after the conclusion of the meeting per the JTC 1 Directives). The accounting report should be circulated to the meeting participants, the group's parent organisation and to the JTC 1 Secretariat. Accounting reports are required only when facilities and/or events fees are levied.

The accounting report should include:

- Size, duration and average attendance at the meeting;
- Details of fee structure (i.e. fixed or proportional components);
- Fees collected (total amount and percentage of delegates paying);
- Expenses detailed in accordance with the terminology defined in clause 7.4.1;
- Explanation of what was done with surplus funds should fees collected exceed expenses;
- Hosting organisation's general evaluation of this funding mechanism. One purpose of this accounting report is to serve as input for a JTC 1 review.

## **7.5 Calling and Cancelling Meetings**

**7.5.1** Within the framework of the meeting plan, the JTC 1 or SC Secretariat issues a calling notice for a plenary meeting of the committee concerned when the Secretariat considers this necessary for the proper progress of the work or whenever a meeting is requested by more than one third of the P-members (see 7.6.1). A meeting should not be convened unless the agenda will include matters of sufficient substance to justify the attendance of the delegates.

**7.5.2** WG Convener shall convene meetings of the WG if questions cannot be solved by correspondence and decisions reached shall be incorporated in resolutions (see 7.10.3). Either the WG Convener or the Secretariat shall issue the calling notice. The period of notification of a meeting should normally not be less than four months (however, see 7.6.1).

**7.5.3** Every effort shall be made to avoid cancellation or postponement of meetings once an agenda has been issued. If circumstances justify the cancellation of a meeting, adequate notice shall be given to all those concerned.

**7.5.4** The calling notice shall include a declaration by meeting hosts of the IT facilities to be provided (e.g. diskettes, LAN, etc.) together with any expectations by committee officers/hosts of attendees' IT capabilities.

## 7.6 Meeting Agenda

**7.6.1** For JTC 1 and SCs, the committee Secretariat prepares the draft agenda and distributes it to the members of the committee, whenever possible in both English and French, four months in advance of the meeting. WG agendas shall be distributed by the Convener or Secretariat preferably four months, but no less than three months in advance. WG agendas shall be distributed to the members of the WG and to the parent body.

**7.6.2** Any comments on the agenda or proposals for the addition of NPs should be sent to the committee Secretariat by the members not later than two months before the meeting. The Secretariat distributes such comments or proposals immediately in order to permit adequate preparation by delegates.

**7.6.3** JTC 1 and SC agendas should be compiled so as to encourage NBs to send a balanced, full delegation with the greatest possible ability to negotiate final agreement on justified points that arrive late or during the meeting. NBs are responsible for keeping their delegates fully informed and supplied with all meeting documents. Also NBs shall be reminded that contributions shall be received by the Secretariat 4 weeks before a meeting (see 7.8).

**7.6.4** Guidelines for Agenda Preparation:

- A.** Identify the group which is meeting. If the Secretariat of the group is not an NB, identify the name and address of the Secretariat or Convener in case of inquiries concerning the meeting.
- B.** Specify the dates, time and precise location of the meeting. This shall include the name of the contact person (including telephone and facsimile numbers, and e-mail address if available) at the host location in order to permit documents to be sent.
- C.** Identify by project number and title the specific items to be addressed.
- D.** Identify all relevant documents to be discussed under each agenda item.
- E.** Include a separate item for each of the following:
  - Opening of the meeting
  - Roll call of delegates
  - Election of the Chairman (if applicable)
  - Adoption of the agenda
  - Appointment of the drafting committee (if applicable)
  - Report of the Secretariat (if applicable)
  - Liaison reports
  - Review of Business Plans
  - Review of priorities and target dates
  - Documents for periodic review (if applicable)
  - Work items on which no progress is being made - Status and action to be taken
  - Items for future work
  - Review of Project Editor and liaison assignments
  - Review of recent JTC 1 decisions affecting the group
  - Approval of resolutions
  - Subsequent meeting requirements
  - Any other business



## 7.7 Participation at Meetings

**7.7.1** Only delegates officially nominated by the NBs and the representatives of other TCs and organisations in liaison may attend meetings. As a general policy, any group operating under the aegis of JTC 1 shall not limit the number of authorised NB representatives. Exceptions must be approved by consensus of the parent committee.

**7.7.2** Chairmen of SCs and Convenors of SWGs and WGs reporting directly to JTC 1 have the right to attend meetings of JTC 1 (and must attend where there are agenda items relevant to their committees) and to participate in the discussion, but do not have the right to vote.

**7.7.3** The Secretaries-General or their representative shall have the privilege of taking part in all meetings. They shall have no vote.

**7.7.4** Each P-member has the right to be represented at the meeting by one or more delegates, but has only one vote. O-members and other TCs and organisations in liaison may nominate representatives who have the right to attend meetings and to participate in the discussion, but do not have the right to vote.

**7.7.5** Within one month of receipt of the notice of a meeting, P- and O-members shall inform the Secretariat of the committee concerned and the NB acting as host whether they intend to be represented at the meeting, indicating the approximate size of their delegation. Each P-, O- and liaison member shall send to the Secretariat of the committee concerned and to the NB acting as host, at least one month before the opening of the meeting, a list showing the names and employers of their representatives and also the name of the head of delegation.

**7.7.6** A P-member which has given appropriate notification that it will abstain from participation in specific work items (see 3.1.2) is entitled to be absent from meetings related to these work items.

**7.7.7** Each P-member shall be present at meetings whenever possible (see 3.1.2). Other members should be present. When circumstances prevent such representation, a member may submit written statements to the Secretariat or arrange for another member attending the meeting to present its views. Under the appropriate agenda item or items the Secretariat shall make reference to written statements submitted by members unable to attend.

**7.7.8** P-Members unable to attend all or part of a meeting may express their vote as specified by 9.1.1. e-mail or proxy (see 9.1.1).

**7.7.9** A preliminary list of those participating in the meeting showing names of delegates/representatives and their business addresses, and indicating the heads of delegation, shall be communicated by the committee Secretariat to the participants not later than the opening of the meeting. A definitive list shall be distributed as soon as possible thereafter.

## 7.8 Meeting Documents

In order for discussions in the JTC 1 plenary meeting and in SC meetings to reflect as fully as possible the NB positions and concerns, there should be adequate notice of issues to be discussed at meetings and clear guidelines for the submission of documents for consideration.

Discussion of documents under ballot at the time of the Plenary meeting is prohibited, as it could create confusion as to the status of the ballot.

### 7.8.1 Contributions

- Contributions may be submitted to JTC 1 or its subsidiary bodies by any member, or by any directly reporting subsidiary body ;
- Documents for any JTC 1 or SC meeting, particularly those raising new issues or those for which a final agreement at the meeting is desired, shall be delivered to the Secretariat in time for them to be posted to the JTC 1 or SC Web server (as appropriate) four weeks prior to the meeting. The following exceptions are permitted:
  - Comments on posted documents provided they are received by the Secretariat in a form suitable for immediate posting, not later than one week prior to the meeting.

- Reports from SCs to JTC 1 where the meeting is held inside the four-week deadline. Reports should in these cases be posted not more than two days after the end of the SC meeting and only reports will be received. Substantive matters arising from such meetings shall not be considered at the JTC 1 meeting, unless agreed by JTC 1. This should be borne in mind when setting dates for SC meetings.
- A proposed document revision from a project editor, which incorporates comments received prior to the meeting and which is intended to be developed further at the meeting, may be posted up to one week prior to the meeting.
- CDs for discussion at a meeting shall be distributed not less than three months in advance of the meeting for which they are intended;
- Rules for the referencing and numbering of working documents and correspondence relating to the technical work are given in 8.2.
- Where new issues arise which are not able to be posted to the Web server at least four weeks prior to the meeting, any decision made at the meeting may need to be confirmed by a NB ballot after the meeting. Such items must be posted to the Web as soon as possible and prior to the meeting so that they are available to NBs as well as delegates. Although paper copies may be distributed at the meeting, arrangements must be made to allow delegates to the meeting to obtain electronic copies in accordance with the JTC 1 policies on electronic document distribution.

### **7.8.2 Urgent Business.**

Advance distribution of contributions may not be possible, for example, where new issues are not identified until it is too late for distribution. In addition, discussion at a meeting may identify new issues needing immediate action. JTC 1 or its subsidiary bodies may, at the discretion of the Chairman or Convener and members present, consider working documents distributed in less than the prescribed advance period.

## **7.9 Languages**

**7.9.1** The languages of JTC 1 are English, French and Russian. In general, the work of JTC 1 and its subsidiary bodies may be in any one or more of the above-mentioned languages. However, meetings are conducted in any one of these. The Chairman or Convener is entitled to authorise participants to speak in a language other than that in which the meeting is conducted. The NB for the Russian Federation provides all interpretation and translation into or from the Russian language into or from another official language.

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

## **7.10 Meeting Resolutions and Reports**

**7.10.1** Resolutions adopted at meetings are normally limited to matters directly concerned with the conduct of the work or the approval of documents. The resolutions should be numbered consecutively and identified either by reference to the meeting or to the year. When the draft resolutions can be prepared in more than one of the official languages before voting, then:

- The language of the original resolution shall be identified;
- Approval of the resolution shall take place in the original language version, and those countries reading the other language version shall verify that the other language version is identical.

*[Note: Preparation of two (or more) language versions can aid in clarification of the text.]*

**7.10.2** Where practical, by the end of each day of a meeting (session) of JTC 1 or its subsidiary bodies, the Secretariat or Convener, normally with the aid of an ad hoc drafting committee, prepares drafts for the complete text of the resolutions considered during the day for their formal adoption at the end of the meeting. At the end of the meeting, all resolutions shall be available in written form. When the text of the approved resolution is available in more than one of the official languages, publication shall be made in each available language.



**7.10.3** No meeting of JTC 1 or any of its subsidiary bodies shall be adjourned before all resolutions considered during the meeting have been presented in writing and formally acted upon so as to ensure accurate recording of the decisions taken. These resolutions shall be distributed to the committee membership as soon as possible after the meeting.

**7.10.4** After the meeting, the committee Secretariat or Convener shall prepare a report of the meeting comprising a list of delegates, a reference to the sessions held (including those of ad hoc groups), and a summary of the discussions and, as a discrete and important document, the complete text of the resolutions adopted during the meeting. This shall be sent within two months to the members and other bodies represented at the meeting.

**7.10.5** The report of the meeting and the resolutions shall be distributed as set out in 8.3.

## **7.11 Electronic Meetings**

### **7.11.1 Use of Voice Teleconferencing**

JTC 1, having considered the topic of voice teleconferencing, does not endorse the regular use of voice teleconferencing as a means of conducting work. However, JTC 1 recognises that in certain special circumstances the use of voice teleconferencing may be viable. In these specific instances the following criteria shall apply:

- Use should be limited to OWGs such as ad hoc groups, rapporteur groups, editing groups, and other such groups established to undertake specific tasks. Proper evaluation shall be given to:
  - a) time zone differences for meeting participants;
  - b) the diversity of the participants' meeting language skills and the possible importance of visual contact;
  - c) difficulty in managing a teleconference meeting of more than a small number of participants; and
  - d) possible requirement for alternative meeting arrangements (e.g. see below).
- Unanimous consent of the interested participants shall be required (including interested participants not present when the meeting was proposed).
- Participants should have some recourse, e.g. postponement of the meeting, if access to teleconference facilities is unexpectedly unavailable at the scheduled time or if the quality of the communication link is objectionable.
- Participants should have some recourse, e.g. postponement of agenda items, if posted documents are not available to them on the same basis as all other participants.
- Use shall not lessen document distribution and meeting reporting requirements.

### **7.11.2 Use of Electronic Messaging**

JTC 1, recognising the requirement that committees work as much as possible by correspondence, endorses the use of electronic messaging as a very useful tool in international communication and encourages broader use of electronic messaging within its committees.

### **7.11.3 Electronic Document Distribution**

Document distribution within JTC 1 shall be done to the maximum extent possible using the World Wide Web. The details of this policy are contained in Annex H.

## **8 Document Types, Numbering and Distribution Requirements**

### **8.1 Document Types**

The following types of documents are produced by JTC 1. Further details can be found in clauses 12-17. See also Annex B.

### **8.1.1 International Standards**

The following terms shall be used for successive documents drawn up on a single subject:

- New Work Item Proposal (NP), see proposal stage, 6.2.1.
- Working Draft (WD), see preparatory stage, 12.1; 12.5.
- Committee Draft (CD/FCD), see committee stage, 12.1; 12.6.
- Draft International Standard (DIS/FDIS), see approval stage, 12.1; 12.7.
- International Standard (IS), see publication stage, 12.1; 12.8.

### **8.1.2 Technical Reports**

The following terms, when applicable, shall be used for successive documents drawn up on a single subject. See 16.

- New Work Item Proposal (NP)
- Working Draft (WD)
- Proposed Draft Technical Report (PDTR)
- Draft Technical Report (DTR)
- Technical Report (TR)

There are three types of Technical Reports (see 16.2).

### **8.1.3 International Standardised Profiles**

The following terms shall be used for successive documents drawn up on a single subject. See 17.

- New Work Item Proposal (NP)
- Working Draft (WD)
- Proposed Draft International Standardised Profile (PDISP/FPDISP)
- Draft International Standardised Profile (DISP/FDISP)
- International Standardised Profile (ISP)

### **8.1.4 Amendments**

The following terms, when applicable, shall be used for successive documents drawn up on a single subject. See 15.5.

- New Work Item Proposal (NP)
- Working Draft (WD)
- Proposed Draft Amendment (PDAM/FPDAM)
- Draft Amendment (DAM/FDAM)
- Amendment (AMD)

### **8.1.5 Corrigenda**

The following terms shall be used for successive documents drawn up on a single subject.

- Defect Report (DR), see 15.4.5.
- Draft Technical Corrigendum (DCOR), see 15.4.9.4.

- Technical Corrigendum (COR), see 15.4.2.

### 8.1.6 International Workshop Agreements

There shall be no precursors to an IWA.

## 8.2 Rules for Numbering of JTC 1 Working Documents

*[Note: Working documents might or might not also be CD/FCD or FDIS texts and, therefore, can have both a CD number and a document number.]*

**8.2.1** Each document (**including conformance bit streams, test patterns, and other non-traditional documents**) relating to the work of JTC 1, its SCs or its WGs which is distributed, shall bear on the first page a reference number (see Form G1) made up according to the rules set out below. Further, the first page of the document shall bear, immediately under the reference number, the date, written in accordance with ISO 8601 (CCYY-MM-DD), on which the document was compiled. **The system may also be used to facilitate subordinate groups with separate numbering systems providing a regular compilation of their documents to its parent committee as a single N-numbered document.**

**8.2.2** A reference number used for a certain working document shall not be used again for a document with differing wording, different contents, or both (e.g. "N 346 Revised" is not permitted). If a document replaces an earlier one, the new document shall bear, on the first page, immediately under its reference number, the reference number(s) of the document(s) it replaces (e.g. "Replaces N 346").

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

- JTC 1 and, when applicable, the SC or WG to which the working document belongs;
- an overall serial number.

Thus, for a working document pertaining to JTC 1, the reference number is made up as follows:

ISO/IEC JTC 1 N n

Date

and for a working document pertaining to an SC, it is made up as follows:

ISO/IEC JTC 1/SC a N n

Date

where *a* stands for the number of the SC and *n* for the overall serial number.

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

ISO/IEC JTC 1/SC a/WG b N n

Date

where *a* and *b* stand for the numbers of the SC and WG respectively and *n* for the overall serial number.

*[Note on originator: Reference within the number itself to the party originating the document (Secretariat, NB, 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.]*

**8.2.4** The overall serial number is assigned by the JTC 1 for all the working documents bearing the reference of JTC 1, by the Secretariat of an SC for all the documents bearing the reference of this SC, and by the WG Convener or Secretariat for all the documents bearing the reference of this WG. On the first page of a working document, it is recommended that the overall serial number be made to stand out, giving the figures a height of 6 mm to 10 mm.

EXAMPLES:

ISO/IEC JTC 1 N **14**

ISO/IEC JTC 1/SC 3 N **25**

**8.2.5** When enumerating documents of JTC 1 or the same SC, it is not necessary to repeat the number of the committee.

EXAMPLES:

documents 1 N 17, 18, 21

documents 1/13 N 51, 60

### **8.3 Document Distribution**

**8.3.1** ITTF is responsible for the preparation of final texts for publication. (See also 12.7.1.2)

**8.3.2** NBs are responsible for the distribution of ISs in their respective countries. The ITTF is responsible for distribution of ISs to organisations in liaison.

**8.3.3** Normally, and with the above exceptions, the Secretariat of JTC 1 or an SC or the Convener or Secretariat of a WG is responsible for the distribution of CDs and all other documents relating to its work. Instructions are given below.

**8.3.4** One copy, in English or in French, or in both languages if available, of documents relating to JTC 1 (including CDs, working documents, reports of meetings, minutes, resolutions, etc.) shall be posted by the JTC 1 Secretariat to the JTC 1 web site in an acceptable document format as specified in Annex H, with e-mail and, if necessary, password notification to:

- P-members of JTC 1;
- Secretariats of other TCs in liaison (or the Secretariats of their SCs, or both) and/or observers designated by other TCs in liaison;
- Category A liaisons;
- ITTF.

A more selective notification of document and password availability shall be made to O-members and other liaison members in accordance with individual agreements reached between the Secretariat and the O-members and liaison members.

**8.3.5** One copy, in English or in French, or in both languages if available, of documents relating to the SC (including CDs, working documents, reports of meetings, minutes, resolutions, etc.) shall be posted by the SC Secretariat to the SC web site in an acceptable document format as specified by Annex H, with e-mail and, if necessary, password notification to:

- P-members of the SC;
- Secretariats of other TCs in liaison (or the Secretariats of their relevant SCs, or both) and/or observers designated by other TCs in liaison;
- Secretariats of JTC 1 SCs in liaison;
- Category A liaisons;
- JTC 1 Secretariat;
- ITTF.

A more selective notification of document and password availability shall be made to O-members and other liaison members in accordance with individual agreements reached between the Secretariat and the O-members and liaison members.

**8.3.6** One reproducible copy, in English or in French, or in both languages if available, of documents relating to the WG shall be sent by the Convener or Secretariat, by airmail, to:

- Members of the WG;
- JTC 1 Secretariat;
- Secretariat of the parent body (if not JTC 1);
- ITTF;
- NBs, Category A liaisons and Category C liaisons which nominated individual members, on request.

Alternatively, the WG may distribute documents via e-mail, FTP site or posting to the World Wide Web with e-mail notification (see Annex H regarding document types and access restrictions).

In the case of very large WGs, other arrangements for document distribution may be made by the parent body (e.g. a limited number of WG experts, plus all NBs and liaisons, may be designated to receive documents).

## **9 Voting**

### **9.1 General**

**9.1.1** All P-members have an obligation to vote (see 3.1). Decisions of JTC 1 and its SCs are made either by meeting or by correspondence, as appropriate. Each P-member has one vote which, for meeting votes, may also be cast by e-mail, facsimile or letter, or by proxy granted to another P-member. Proxy voting is valid only if the committee Secretariat has been informed in writing by the P-member granting the proxy in advance. A P-member may not cast a proxy vote on behalf of more than one other P-member. Votes by P-members in attendance may be cast only by the head of that delegation or an individual designated by the head of delegation.

*NOTE:* For a P-member not attending a meeting, written notification of a proxy must be provided to the committee Secretariat in advance of the meeting. For a P-member leaving a meeting, this written notification shall be provided by the Head of Delegation before the member leaves.

**9.1.2** A P-member which has given appropriate notification that it will abstain from participation in specific work items (see 3.1.2) is entitled to abstain from voting on these work items.

**9.1.3** The Chairman has no vote and questions on which the vote is equally divided shall be subject to further discussion.

**9.1.4** In a meeting, except as otherwise specified in these directives, questions are decided by a majority of the votes cast at the meeting by P-members expressing either approval or disapproval.

**9.1.5** For votes by correspondence (letter ballots) in JTC 1 and its SCs, except as specified elsewhere in these directives, questions are decided by a majority of the votes cast by P-members expressing either approval or disapproval. Letter ballots may be cast by web based balloting, e-mail, facsimile or, if absolutely necessary, by mail. Due account shall be taken of minority views.

**9.1.6** JTC 1 and its SCs shall pay special attention to negative votes by P-members and shall attempt as far as possible to resolve the underlying differences and achieve the maximum level of approval.

**9.1.7** JTC 1 instructs its Secretariats to close all letter ballots on the declared closure date. Late votes and comments shall not be accepted. JTC 1 allows actions to be taken between JTC 1 plenary meetings by 60-day letter ballots within JTC 1. Actions for approval may be proposed by the JTC 1 chairman, JTC 1 SCs or JTC 1 SWGs (if any). Otherwise, no letter ballot period shall close in less than three months from the date of notification of issue.

**9.1.8** If a P-member of JTC 1 fails to vote on a DIS/FDIS, the Secretaries-General shall remind the NB of its obligation to vote (unless the conditions of 9.1.2 apply). In the absence of a response to this reminder, the NB shall automatically have its status changed to that of O-member. An NB having its status so changed may, after a period of twelve months, be reinstated to P-member status on request.

**9.1.9 At all levels of voting, if more than 50% of the P-members have not voted, the vote will have failed. Late votes shall not be counted. No extensions shall be granted.**

## **9.2 Conciliation Panels**

JTC 1 may be given the help of a conciliation panel to resolve differences particularly when polarised positions appear to have developed. Ad hoc conciliation panels are formed by the chairmen of the ISO and IEC Presidents when needed. Councils may also be used for this purpose.

## **9.3 Votes on NPs**

**9.3.1** NPs should be considered as expeditiously as possible by those best qualified to assess the technical merit and effect on the current program of work. An NB may submit a NP either to a SC or to JTC 1. JTC 1 should consider a NP only in exceptional circumstances such as the NP is not within the scope of an existing SC. In all other cases the appropriate SC should ballot the NP.

### **9.3.1.1 Votes on NPs at the SC Level**

For NPs voted at the SC level, a copy of the SC-level ballot shall be forwarded by the SC Secretariat to the JTC 1 Secretariat for information in parallel with circulation of the NP ballot.

The JTC 1 Secretariat shall circulate a copy of the SC-level ballot to JTC 1 NBs and JTC 1 SCs for information and comment.

For the ballot to be successful at the SC level, the NP shall be supported by a majority of all P-members of the SC with at least five P-members committed to active participation.

A NP should be balloted only once within a SC. If a NB submits a NP to a SC that the SC has not previously considered, the SC should not conduct a ballot to determine if the SC Secretariat should issue a ballot for the NP. In this case, the NP ballot itself should be issued. It should be noted that if a NB submits a NP for ballot without prior consultation of the SC, there is a risk that the ballot may fail because the necessary consensus and support are absent. However, if a sufficient number of NBs agree the work should be done and agree to participate, the work can begin without delay.

A SC Chairman or Secretariat may schedule a newly submitted NP for discussion at a Plenary or WG meeting before issuing a ballot, as long as unreasonable delay is not introduced (recognizing that “unreasonable” is a subjective term).

**9.3.1.2** On completion of the SC ballot, the SC Secretariat shall send the JTC 1 Secretariat the Summary of Voting. If the SC voting failed, the JTC 1 Secretariat shall forward comments collected from NBs and other SCs, if there have been any, to the SC for information only. At the same time, the JTC 1 Secretariat shall inform the comment originator(s) that the voting failed, but their comments were forwarded to the SC.

If the SC voting passed and there have been no comments received from NBs or other SCs, then the NP is qualified as approved.

If the SC voting passed and comment(s) have been received from NBs or other SCs, which the JTC 1 Secretariat judges will influence the acceptance of the NP, the JTC 1 Secretariat shall forward the comment(s) to the SC to solicit a response from it, with a copy to the comment originator(s).

**9.3.1.3** Upon receipt of a response from the SC, the JTC 1 Secretariat shall initiate a 60-day JTC 1 letter ballot (see Form G4) on the NP attaching the SC's Summary of Voting, the comments from NBs and other SCs accompanied by the SCs response to them.

**9.3.1.4** Upon completion of the ballot, the JTC 1 Secretariat shall inform all NBs and the SC of the result (together with the project number assigned by ITTF if the ballot is successful).

### **9.3.2 Votes on NPs at the JTC 1 Level**

**9.3.2.1** Each NP shall be voted on by JTC 1 letter ballot (see Form G4), even if it has appeared on the agenda of a meeting. The normal ballot period for an NP shall be three months from the date of notification of issue (see

6.2.1.3). JTC 1 should consider a NP only in exceptional circumstances, such as the NP is not within the scope of an existing SC. In all other cases, the appropriate SC should ballot the NP.

**9.3.2.2** In order to be approved, the NP shall be supported by a majority of all P-members of JTC 1 with at least five P-members of the SC to which the project will be assigned committed to active participation.

## **9.4 Votes on CDs/PDAMs/PDISPs/PDTRs**

**9.4.1** If the consideration of a CD/PDAM/PDISP/PDTR is dealt with by correspondence, P-members and TCs and organisations in liaison are asked to submit their comments (and P-members their votes, see 9.1.5) by a specified date (see Form G8). In the case of CDs/PDAMs/PDISPs/PDTRs, this date should be no less than three months from the date of notification of issue. For an FCD/FPDAM/FPDISP, the ballot period shall be no less than four months. JTC 1 or the SC may extend the ballot period in instances when the complexity of the text requires additional time for review or to allow additional time for enquiry, as long as the total ballot period does not exceed six months.

**9.4.2** Abstention by an NB on a CD/PDAM/PDISP/PDTR ballot does not bar the NB from voting on subsequent versions of the document at the same or later stages (see 9.1.2).

**9.4.3** Consideration of successive CDs/PDAMs/PDISPs/PDTRs (types 2 and 3) shall continue until the substantial support of the P-members of the committee has been obtained or a decision to abandon or defer the project has been reached.

**9.4.4** CDs/PDAMs/PDISPs/PDTRs produced by a JWG should be balloted by all P-members of all SCs formally involved in the joint work. Each NB shall have only one vote.

## **9.5 Combined Voting Procedure**

The submission of FDISs, DISs, FDAMs, DAMs and FDISPs for simultaneous voting (one vote per country) by the P-members of JTC 1 and by all ISO member bodies and IEC national committees is called the combined voting procedure. It should be used whenever possible.

## **9.6 FDIS/DIS/FDAM/DAM/FDISP Approval Criteria**

For a FDIS/DIS/FDAM/DAM/FDISP to be approved, the count taken by ITTF shall meet the following criteria:

- At least two-thirds of the P-members voting shall have approved;
- Not more than one-quarter of the total number of votes cast are negative.

A P-member which has given appropriate notification that it will abstain from participation in specific work items (see 3.1.2) shall not be counted as a P-member when counting votes for drafts relating to such items.

Abstentions are excluded from the count.

## **9.7 Votes on FDISs/FDAMs/FDISPs**

The normal ballot period for a FDIS/FDAM/FDISP shall be two months. NBs may reply in one of the following ways:

- Approval of the technical content of the FDIS/FDAM/FDISP as presented;
- Disapproval of the FDIS/FDAM/for technical reasons to be stated;
- Abstention (see 9.1.2).

If the FDIS/FDAM/FDISP is approved, only minor corrections as judged by ITTF will be taken into consideration as modifications to the FDIS/FDAM/FDISP ballot text. Technical and editorial comments will not be considered.

## **9.8 Votes on Fast-track DISs**

The period for fast-track DIS (or DAM) voting shall be six months, consisting of a 30-day JTC 1 National Body review period followed by a five-month ballot period. NBs may reply in one of the following ways:



- Approval of the technical content of the DIS as presented (editorial or other comments may be appended);
- Disapproval of the DIS (or DAM) for technical reasons to be stated, with proposals for changes that would make the document acceptable (acceptance of these proposals shall be referred to the NB concerned for confirmation that the vote can be changed to approval);
- Abstention (see 9.1.2).

*[Note: Conditional approval should be submitted as a disapproval vote.]*

The criteria for approval are given in 9.6. If these criteria are not met initially, but are subsequently met at the conclusion of ballot resolution in accordance with 13.9, the DIS (or DAM) is approved.

## 9.9 Discussion during ballot period

When a document is out for ballot at Stage 3 or higher, NB/Liaison organisations are free to circulate their comments to other NBs provided they do not use the formal SC or JTC 1 documentation distribution system. Formal distribution is prohibited because it could create confusion as to the status of the ballot. Documents out for ballot at Stage 3 or higher are not to be subject to formal discussion at any working level of JTC 1 during the balloting period. Therefore, NB positions on the document under ballot are not to be formally discussed at any working level.

Circulation of such comments shall have no formal status within JTC 1 or its SCs, i.e. they shall not bear any document number nor shall they be considered in any ballot resolution meeting unless they were formally submitted to ITTF as comments accompanying the ballot.

*[Note: NBs may inform the appropriate Secretariat if they believe an error has been made in the production of the document under ballot.]*

## 9.10 Votes on DTRs

**9.10.1** The decision to publish a TR (type 1, 2, or 3) is taken by JTC 1 ballot on a DTR (see Form G14). P-members and TCs and organisations in liaison are asked to submit their comments (and P-members their votes, see 9.1.5) by a specified date. This date should be no less than three months from the date of notification of issue. JTC 1 may extend the DTR ballot period in instances when the complexity of the text requires additional time for review, as long as the total ballot period does not exceed six months.

**9.10.2** Abstention by an NB on a DTR ballot does not bar the NB from voting on subsequent versions of the document.

**9.10.3** Publication is accepted if approved by a majority of P-members of JTC 1.

## 9.11 Votes on DCORs

**9.11.1** Consideration of a DCOR is dealt with by correspondence (see Form G19G19). SC P-members and TCs and organisations in liaison are asked to submit their comments (and SC P-members their votes, see 9.1.5) by a specified date that should be no less than three months from the date of notification of issue.

**9.11.2** Consideration of successive DCORs shall continue until the substantial support of the P-members of the committee has been obtained or a decision to abandon or defer the project has been reached.

# 10 Special Considerations

## 10.1 Health and Safety Considerations

The Secretaries-General may intervene in the processing of a document at any stage if they are notified of any serious health, safety or other risk likely to arise from the implementation of the standard and are prima facie satisfied of the need to have the matter investigated. If the matter cannot be satisfactorily resolved in consultation with the JTC 1 Secretariat, the Secretaries-General shall refer the draft to Councils for decision (see 11).

## 10.2 Copyright

The copyright for DIS/FDISs, ISs, DAM/FDAMs, Amendments, DISP/FDISPs, ISPs, Technical Corrigenda and TRs belongs to ISO and IEC.

For those registrations requiring it, a register shall be published. The copyright on the register belongs to ITTF, which may release the copyright to the JTC 1 Registration Authority for as long as it functions in this capacity.

## 10.3 Patents

(See ISO/IEC Directives - Part 1: Procedures for the Technical Work, section 2.14 and Part 2: Rules for the structure and drafting of International Standards, Annex H)

## 10.4 Formal Descriptions (FD)

**10.4.1** The following rules apply to the development and acceptance of an FD:

- Normally, standard FDTs or FDTs in the process of being standardised should be used in FDs of standards. (For exceptions see 6.2.1.7)
- The development of an FD of any particular standard is a decision of the SC. If an FD is to be developed for a new standard, the FD should be progressed, as far as possible, according to the same timetable as the rest of the standard.

**10.4.2** For the evolutionary introduction of an FD into standards, three phases can be identified. It is the responsibility of the SC to decide which phase initially applies to each FD and the possible evolution of the FD toward another phase. It is not mandatory for an FD to go through the three phases described and, more generally, it is not mandatory for an FD to evolve.

### 10.4.2.1 Phase 1:

This phase is characterised by the fact that widespread knowledge of FDTs, and experience in FDs, are lacking; there may not be sufficient resources in the NBs to produce or review FDs. The development of standards has to be based on conventional natural language approaches, leading to standards where the natural language description is the definitive standard.

SCs are encouraged to develop FDs of their standards since these efforts may contribute to the quality of the standards by detecting defects, may provide additional understanding to readers, and will support the evolutionary introduction of FDTs.

An FD produced by an SC that can be considered to represent faithfully a significant part of the standard or the complete standard should be published as a TR type 2 in order to preserve the work done and make this information available to NBs and liaison organisations. Meanwhile SCs should develop and provide educational material for the FDTs to support their widespread introduction in the NBs and liaison organisations.

### 10.4.2.2 Phase 2:

In this phase, knowledge of FDTs and experience in formal descriptions is more widely available; NBs can provide enough resources to support the production of FDs. However, it cannot be assured that enough NBs can review FDs in order to enable them to cast a ballot on a proposed formally described standard.

The development of standards should still be based on conventional language approaches, leading to standards where the natural language description is the definitive standard. However, these developments should be accompanied and supported by the development of FDs of these standards with the object of improving and supporting the structure, consistency, and correctness of the natural language description.

An FD, produced by an SC that is considered to represent faithfully a significant part of the standard or the complete standard would be published as an informative annex to the standard. Meanwhile, educational work should continue.

### 10.4.2.3 Phase 3:

In this phase a widespread knowledge of FDTs may be assumed. NBs can provide sufficient resources both to produce and review FDs, and assurance exists that the applications of FDTs do not unnecessarily restrict freedom of implementation.

SCs should use FDTs routinely to develop their standards, and the FDs become part of the standard together with natural language descriptions. In cases where more than one description of a given standard or part of a standard is provided, the SC shall provide an indication in the standards as to which description should be treated as the definitive version.

Whenever a discrepancy between a natural language description and an FD or between two FDs is detected, the discrepancy shall be resolved by changing or improving the natural language description or the FDs without necessarily giving preference to one over the other.

## 10.5 Application Portability

In order to facilitate the portability of applications using JTC 1 standards, each standard should be developed:

- With consideration given to the requirements and issues of application portability; and
- With the intent that conformance of applications and implementations to that standard will be verifiable.

Each standard shall incorporate, when applicable:

- An annex that outlines the significant portability capabilities that are provided by the standard and indicates what user requirements are addressed by the standard. The annex should facilitate the development of application environment profiles.
- An annex on "portability considerations" for interfaces, data and users. The annex must facilitate the review of the portability aspects of the standard and must describe those parts or aspects of the standard that are implementation dependent or are otherwise relevant to application portability. The annex should also record portability aspects which were addressed but not standardised.

See Annex J for Guidelines on API Standardisation.

## 10.6 Standard International (SI) Units

If the IS under review does not comply with ISO/IEC Directives, Part 2 - Rules for the structure and drafting of International Standards, concerning the use of units, the following procedure shall apply:

- Standards which contain, in addition to units recommended in ISO 31 and ISO 1000, exact or approximate conversions in other units shall be withdrawn or revised to comply with the ISO/IEC Directives, Part 2 methodology on the occasion of their next five-year review.
- When units that are not in ISO 31 or ISO 1000 are used throughout a JTC 1 standard, those units may continue to be used if their retention appears justified by the application enquiry at the time of their next five-year review but, where applicable, footnotes may be added to give conversions to SI units; further retention at the subsequent five-year review shall however be subject to the approval of the TMB/SMB.

# 11 Appeals

## 11.1 General

### 11.1.1 NBs have the right of appeal

- To JTC 1 on a decision of an SC;
- To TMB/SMB on a decision of JTC 1;
- To the Councils on a decision of the TMB/SMB.

Appeals shall be made within two months after receipt by the P-members of the report of JTC 1 or SC on the relevant meeting or vote by correspondence. The decision of the Councils on any case of appeal is final.

**11.1.2** A P-member of JTC 1 or an SC may appeal against any action, or inaction, on the part of JTC 1 or an SC when the P-member considers that such action or inaction is:

- Not in accordance with these directives; or
- Not in the best interests of international trade and commerce, or such public factors as safety, health or environment.

**11.1.3** Matters under appeal may be either technical or administrative in nature. Appeals on decisions concerning NPs, CDs and DISs are only eligible for consideration if:

- Questions of principle are involved;
- The contents of a draft may be detrimental to the reputation of IEC or ISO; or
- The point giving rise to objection was not known to JTC 1 or SC during earlier discussions.

**11.1.4** . All appeals shall be fully documented to support the NB's concern. The compliant shall state the nature of the objection(s) including any direct and material adverse effects, the section(s) of these procedures or the standard that are at issue, actions or inactions that are at issue, and the specific remedial action(s) that would satisfy the appellant's concerns. Previous efforts to resolve the objection(s) and the outcome of each shall be noted.

**11.1.5** When an appeal is against a decision respecting work in progress, the work shall be continued, up to and including submission of the final text to the ITTF (see 12.2.7.3 or 13.9).

## **11.2 Appeal Against an SC Decision**

**11.2.1** The documented appeal shall be submitted by the P-member to the JTC 1 Secretariat with copies to the ITTF.

**11.2.2** Upon receipt, the JTC 1 Secretariat shall advise all its P-members of the appeal, and take immediate action, by correspondence or at a meeting, to consider and decide on the appeal, consulting the Secretaries-General in the process.

**11.2.3** If JTC 1 supports the SC, the P-member who initiated the appeal may either

- Accept the JTC 1 decision, or
- Appeal against it.

## **11.3 Appeal Against a JTC 1 Decision**

**11.3.1** Appeals against a JTC 1 decision may be of two kinds:

- An appeal against an original decision of JTC 1, or
- An appeal arising out of 11.2.3 above.

**11.3.2** The documented appeal shall, in all cases, be submitted to the Secretaries-General, with a copy to the JTC 1 Chairman and Secretariat.

**11.3.3** The Secretaries-General shall, following whatever consultations they deem appropriate, refer the appeal together with their comments to the TMB/SMB within one month after receipt of the appeal.

**11.3.4** The TMB/SMB shall decide whether an appeal shall be further processed or not. If the decision is in favour of proceeding, the Chairmen of the TMB/SMB shall form a conciliation panel (see 9.2).

The conciliation panel shall hear the appeal and attempt to resolve the difference of opinion as soon as practicable. If the conciliation panel is unsuccessful in its endeavours, it shall so report within three months to the Secretaries-General, giving its recommendations on how the matter should be settled.

**11.3.5** The Secretaries-General, on receipt of the report of the conciliation panel, shall inform the TMB/SMB, which will make their decision.

## **11.4 Appeal Against a Decision of the TMB/SMBs**

An appeal against a decision of the TMB/SMB shall be submitted to the Secretaries-General with full documentation on all stages of the case.

The Secretaries-General shall refer the appeal together with their comments to the members of the Councils within one month after receipt of the appeal.

The Councils shall make their decision within three months.

## **12 Preparation and Adoption of International Standards - Normal Processing**

ISs prepared by JTC 1 are published as double logo ISO/IEC standards (see Form G19) by ITTF and copies distributed to NBs.

### **12.1 Stages of Technical Work**

The successive stages of the technical work are referenced 0 to 5. These are defined as follows:

- Stage 0 (preliminary stage): A study period is underway.
- Stage 1 (proposal stage): An NP is under consideration.
- Stage 2 (preparatory stage): A WD is under consideration.
- Stage 3 (committee stage): A CD/FCD is under consideration.
- Stage 4 (approval stage): An FDIS is under consideration.
- Stage 5 (publication stage): An IS is being prepared for publication.

Annex B illustrates the stages of progression for work items.

For a project which has not yet reached Stage 3, an SC may suspend the 5-stage process in favour of the fast-track procedure as described in 13 (to be initiated by a P-member or a Category A liaison organisation of JTC 1) provided that:

- The SC agrees that the intended fast-track document is suitable to satisfy the requirements of the existing project; and
- The SC agrees to the use of the fast-track procedure and so notifies JTC 1.

### **12.2 General**

**12.2.1** The social and economic long-term benefits of an IS should justify the total cost of preparing, adopting and maintaining the standard. The technical consideration should demonstrate that the proposed standard is technically feasible and timely and that it is not likely to be made obsolete quickly by advancing technology or to inhibit the benefits of technology to users.

**12.2.2** It is vital for the success of the technical work, and thus for the general reputation of ISO and IEC, that ISs be published without delay. To this end all persons involved shall ensure the rapid and smooth passage of technical documents from one stage to another. Consultation shall be maintained between those responsible for decisions at the different stages.

**12.2.3** In the interest of rapid progress of work, JTC 1 shall avoid discussion of a document successively at more than two levels -- WG/SC. Discussion at two levels is appropriate and adequate. These two levels are the expert level where technical proposals are discussed and drafts prepared (i.e. WG) and the committee level (i.e. SC) at which final NB vote on the draft is expressed within JTC 1. If no WG is involved, discussion shall be limited to

one level. Care shall be taken to ensure that all parties and P-members have been involved at those levels, and their views properly considered.

Except for fast-track processing, Stage 3 is the last at which submission of comments is permissible (including editorial comments and those of ITTF editors). JTC 1 P-members and the ITTF shall try to input their comments at the earliest possible stage.

**12.2.4** In order to facilitate the examination of successive versions of CDs at various Stages of processing, JTC 1 and its SCs shall suitably identify all parts of the text which have been changed since the previous version by issuing the appropriate disposition of comments report.

**12.2.5** Every effort shall then be made by JTC 1 or the SC to ensure that the results of its deliberations will achieve the necessary majority for their publication as ISs. (The provisions concerning WG experts (see 2.6.1.3) and coordination (see 3.4) are particularly important in this respect.)

**12.2.6** Both NBs and any representatives presenting views at previous levels shall attempt to avoid confusion and delay that could result from different positions being declared (see 2.6.1.3) at different levels. NBs shall fulfil their obligation as P-members to vote (see 3.1.1).

**12.2.7** In order to accelerate the approval process in cases where an SC already has a draft that it considers to be of suitable maturity, the SC may choose, by letter ballot or agreement at a meeting, to accompany an NP with a complete technical specification and initiate simultaneous NP and CD ballots. In this event, the SC Secretariat shall so inform the JTC 1 Secretariat and forward the NP and its related technical specification to the JTC 1 Secretariat for NP ballot in accordance with 6.2. In the case of an NP originated by an SC, the procedure for NP voting in 9.3.1 applies. The SC Secretariat shall simultaneously circulate a CD ballot on the technical specification in accordance with 12.6.3.2 bearing the SC's N number only.

*[Note: In this case, the CD ballot is distributed prior to registration with ITTF and assignment of a project number. For clarity, the JTC 1 NP and the SC CD should cross reference each other's document numbers. Simultaneous NP and FCD ballots are not permitted.]*

**12.2.7.1** If the result of the NP ballot is negative, the results of the CD ballot are disregarded and the work item is not added to the JTC 1 programme of work.

**12.2.7.2** If the NP is approved and the CD receives substantial support, the project is registered in accordance with 12.5.1 and processing continues with an FCD in accordance with 12.6.1.2.

**12.2.7.3** If the NP is approved and the CD does not receive substantial support, the project reverts to Stage 2 and processing continues in accordance with 12.5.

## **12.3 Stage 0, Study Period Underway**

This stage is usually optional. An SC may approve a study period when it is too early to identify precise NPs, but agreement exists that the subject area is likely to need future standardisation (see 6.2.1.3). Under certain conditions, a study of a new work area should be undertaken (see 6.2.3.1).

## **12.4 Stage 1, NP under Consideration**

This stage is described in 6.2.

## **12.5 Stage 2, WD under Consideration**

**12.5.1** Upon approval of the NP, the project will be assigned to an SC. In the case of an NP originated by an SC, this will normally be the originating SC.

**12.5.1.1** ITTF shall be informed of the assignment, shall register the project in the JTC 1 programme of work and shall advise the secretariat of the responsible SC, and the secretariat of JTC 1, of the assigned project number. For this purpose, ITTF shall be informed of the relationship of the NP to existing JTC 1 standards, i.e. whether the NP is a completely new project (requiring a new number) or a revision, extension (new part) or amendment of an existing standard.

**12.5.1.2** The number assigned to a project shall be subject to the following:



- The number allocated to a project shall remain the same throughout subsequent reporting stages (WD, CD and DIS) and for the published IS. No number shall be allocated to a project for a new standard which has already been used for a DIS or an IS;
- The number allocated to a project shall be a pure registration and reference number and has no meaning whatsoever in the sense of classification or chronological order;
- The numbers allocated to withdrawn projects shall not be used again, unless this is a consequence of restructuring of a multipart standard.

**12.5.1.3** Registration and numbering of projects at the ITTF is undertaken on the basis of the following criteria:

- For new standards: ITTF will assign a completely new project number;
- For revisions to existing standards: The project will carry the same number as the existing IS. If, however, the scope is substantially changed, the revision shall require an NP and a new project number may be assigned;
- For amendments: The project will carry the number of the existing IS followed by "/PDAM" and the sequential number of the PDAM (e.g. ISO/IEC 1234/PDAM 1);
- For standards to be published in separate parts: ITTF will assign a project number which shall be suffixed by a hyphen followed by the relevant part number (e.g. ISO/IEC 1234-1)

**12.5.1.4** When, in the course of its preparation, the title of a project is modified, ITTF shall immediately be informed so that the new title can be registered in the JTC 1 programme of work.

**12.5.2** The SC may assign the project to a WG or develop the document within the SC itself. For simplicity, the following sections assume assignment to a WG, but in cases where the SC does the development, references to the WG should be understood as references to the SC. Similarly, in rare instances a WG may report directly to JTC 1 rather than to an SC; in such cases, references to the SC should be understood as references to JTC 1.

**12.5.3** A Project Editor should be identified (see 5.7). The WG develops one or more WDs of the standard. Usually, a WD undergoes several revisions before the WG recommends that it be progressed to Stage 3. As decisions are made regarding the content of the WD, the convener should take care to assure consensus, not only of the individual participating experts, but also of the NBs represented in the WG. This will enhance the likelihood of achieving successful CD/FCD and FDIS ballots.

**12.5.4** Successive WDs on the same subject shall be marked "second working draft," "third working draft," etc., and the original WD number shall be supplemented by .2, .3, etc. (e.g. WD 1234.2).

**12.5.5** In the preparation of a WD, every effort shall be made to ensure that it will not require substantial redrafting in JTC 1 or the SC, in particular by ensuring that from the very beginning the draft is in conformity with the rules for the presentation of ISs (see ISO/IEC Directives, Part 2 - Rules for the structure and drafting of International Standards).

**12.5.6** The project editor shall include an Executive Summary with information highlighting the content of the standard such that it could be used, for example, in promotional activities. This Executive Summary shall be circulated for comment with CD, FCD and FDIS ballots but shall not affect the outcome of these ballots.

**12.5.7** The WD remains in Stage 2 until all of the following three conditions are met:

- The main elements have been included in the document;
- It is presented in a form which is essentially that envisaged for the future IS;
- The SC has decided in a resolution during a meeting or by letter ballot that the WD be forwarded to the ITTF for registration as a CD.

Optionally, an SC may authorise a WG to decide that a WD should be forwarded, via the SC Secretariat, for registration as a CD.



In cases where an SC believes that a future WD may receive substantial technical agreement, the SC may optionally authorise its Secretariat to issue a combined ballot for CD registration and consideration of the CD/FCD.

**12.5.8** If a work item has not progressed to Stage 3 by the second anniversary of project initiation (NP approval or project subdivision), the SC is required to take action as specified in 6.4.1.5.

## **12.6 Stage 3, CD under Consideration**

### **12.6.1 Registration of CD**

**12.6.1.1** The SC Secretariat forwards a copy of the WD in question to the ITTF which registers it as a CD. The ITTF shall confirm the registration to the JTC 1 Secretariat.

**12.6.1.2** The project editor, after consultation with the SC secretariat and, if necessary, the SC chairman, shall indicate if it is the case that the proposed CD is intended to be the final CD (FCD) on this subject. If so, the cover letter of the FCD shall explicitly indicate this intention and consideration of the FCD shall be by letter ballot. If the criteria for finalisation of the FCD are satisfied (see 12.6.3), the FCD progresses to Stage 4. In other circumstances, a further CD or FCD ballot may be required.

A similar indication shall also be made if a particular PDAM ballot is intended to be the final PDAM (FPDAM) ballot. In this case, the cover letter of the FPDAM ballot shall explicitly indicate this intention.

*[Note: NBs wishing to conduct an enquiry may find the FCD ballot period an appropriate time for this purpose.]*

**12.6.1.3** Successive CDs on the same subject shall be marked "second committee draft," "third committee draft," etc., (see Form G8) and the original CD number shall be supplemented by .2, .3, etc. (e.g. CD 1234.2).

**12.6.1.4** When, in the course of its preparation, the title of a CD is modified, this information shall immediately be submitted to the ITTF for amendment to the project records.

### **12.6.2 Distribution of CDs**

**12.6.2.1** The SC Secretariat distributes the CD (see Form G5). For an FCD (see Form G7), the Secretariat also forwards the FCD to ITTF for notification of availability to other NBs and organisations in liaison for information and comments. The introductory note should indicate, as appropriate, the sources used as a basis for the proposal and the background and aim of the proposal. The note should include among other things:

- The date when the work item was introduced into the programme of work;
- Identification of the original proposer; and
- Extent of liaison with other internal and external organisations.

**12.6.2.2** The CD may be distributed for discussion at an SC meeting, for comment by correspondence or for letter ballot. Frequently it will be dealt with in more than one of these ways in the course of reaching agreement.

**12.6.2.3** Organisations which can make an effective contribution to the application of ISs in a given area should be expressly invited to comment on all relevant CDs.

**12.6.2.4** Any editorial comments from the ITTF should be made during the FCD ballot (see 12.2.3).

### **12.6.3 Finalisation of CDs**

**12.6.3.1** The Secretariat of the SC responsible for the CD shall ensure that the CD fully embodies the decisions reached by the majority vote either at meetings or by correspondence.

**12.6.3.2** If the consideration of a CD is dealt with by correspondence, P-members and TCs and organisations in liaison are asked to submit their comments (and P-members their votes, see 9.1.5) by a specified date (see Form G8). In the case of CDs, this date should be no less than three months from the date of notification of issue. For an FCD, the ballot period shall be no less than four months. The SC may extend the ballot period in instances when the complexity of the text requires additional time for review or to allow additional time for enquiry, as long as the total ballot period does not exceed six months. Comments and votes shall be sent to the Secretariat of the SC within the period specified, and shall be summarised by the Secretariat and distributed in accordance with

8.3. The Secretariat shall also distribute a report clearly indicating the action taken as a result of the comments received and shall distribute, if necessary, a further CD. Abstention by an NB on a CD ballot does not bar the NB from voting on subsequent versions of the document (see 3.1.1).

**12.6.3.3** If a CD is considered at a meeting, the Secretariat shall distribute (in accordance with 8.3) a revised CD, prepared in accordance with the decisions taken at the meeting, for consideration either by correspondence or at a subsequent meeting.

**12.6.3.4** The Secretariat of the committee responsible for the draft shall decide whether to continue consideration of successive CDs by correspondence or by convening a meeting, according to the nature of the comments received. If at least three P-members disagree with the proposal of the Secretariat, and so notify the Secretariat within four weeks, the CD shall be discussed at a meeting.

**12.6.3.5** Consideration of successive CDs shall continue until the substantial support of the P-members of the committee has been obtained for an FCD or a decision to abandon or defer the project has been reached.

**12.6.3.6** It is the responsibility of the SC Secretariat, if necessary in consultation with the ITTF, to judge when substantial support has been obtained. In this connection attention should be given not only to the numerical voting results but also to the attempts made to resolve negative votes and the nature of success or failure to do so.

So that comments accompanying votes on a CD may be properly considered, the relevant Secretariat is instructed to refer all such comments to the SC. For an FCD, the SC shall also consider any comments received from ISO member bodies and IEC national committees. The SC shall review the comments and make a recommendation to the relevant Secretariat before further processing. Within an SC, responsibility for the preparation of a revised CD text, disposition of comments report, and a recommendation on further processing may be delegated to a WG, OWG (see 2.6.2), or Project Editor who reports back to the SC.

The proposed or approved disposition of comments report, or both, should be produced within three months of the close of the CD or FCD ballot. When exceptional circumstances warrant a longer time frame for the preparation of the disposition of comments report, these circumstances shall be communicated to the JTC 1 Secretariat.

**12.6.3.7** Substantial support for an FCD shall be obtained by correspondence; this may be either on the FCD as it was distributed or, more usually, subject to the necessary corrections being made. In the latter case, the SC may instruct its Secretariat or the Project Editor to modify the FCD. The revised FCD shall be submitted directly to the ITTF by the Secretariat of the appropriate committee (usually the SC).

**12.6.3.8** Whenever appropriate, SCs entrusting tasks to WGs or OWGs should empower them to produce on behalf of the SCs the CD, FCD or FDIS text for direct submission to ITTF via the SC Secretariat.

**12.6.3.9** An FCD shall be advanced to FDIS only if the text has been stabilised, consensus has been demonstrated, and the substantial support of the P-members of the SC has been obtained. The SC Secretariat shall submit the following within a maximum of three months to the ITTF for FDIS registration:

- The final electronic text, including figures and graphics, of the FCD for distribution as an FDIS, in accordance with the ITSIG guide;
- An explanatory report (see Form G11).

The explanatory report shall contain:

- A brief history of the draft;
- A record of the voting on the FCD listing those P-members who voted in favour, those who voted against and those who did not vote;
- A brief statement of all technical objections which have not been resolved and the reasons why it has not been possible to resolve them; in the case of a revision of an existing IS, a summary of the main changes in the previous edition of the IS now proposed for technical revision and the reasons therefore.

**12.6.3.10** In the event that no negative votes are received at the FCD enquiry stage, the SC Secretariat may submit the document to ITTF for publication as a standard.

**12.6.3.11** If a work item has not progressed to Stage 4 by the third anniversary of the first CD, the SC is required to take action as specified in 0.

## **12.7 Stage 4, FDIS under Consideration**

### **12.7.1 Registration and Distribution of FDIS**

**12.7.1.1** The ITTF shall register the FCD as an FDIS.

**12.7.1.2** The ITTF shall distribute the FDIS (see Form G9) together with the explanatory report to all NBs for a two-month letter ballot (see Form G10). The ITTF shall at the same time send it to all other TCs and organisations in liaison with JTC 1 or the SC responsible for preparing the draft.

At this stage, the ITTF shall make no changes to the text of the FDIS, which shall be distributed as presented. If the explanatory report lacks necessary information, the ITTF shall request the relevant Secretariat to appropriately modify the explanatory report prior to distribution.

### **12.7.2 Processing of FDIS ballots**

**12.7.2.1** The ITTF shall implement the combined voting procedure (see 9.5).

**12.7.2.2** When an FDIS ballot closes, the ITTF shall inform the JTC 1 and SC Secretariat accordingly and communicate to the SC Secretariat the results of voting. At the same time, the ITTF shall transmit the results of voting to the NBs.

**12.7.2.3** If the FDIS has been approved in accordance with 9.6, the SC Secretariat shall take into consideration any minor corrections (see 9.7) and promptly forward the document to ITTF for publication. ITTF shall inform all NBs that the FDIS has been accepted for publication. The document is now at Stage 5.

**12.7.2.4** If the FDIS has not been approved, the document reverts to Stage 2 (12.5.2) and is referred back to the appropriate SC for consideration and recommendation for further processing.

**12.7.2.5** In the absence of the necessary approval, JTC 1 may decide at any stage to request the publication of the draft as a TR, if the majority of the P-members agree (see 16).

## **12.8 Stage 5, IS Publication**

The final electronic text shall be sent to the ITTF in an acceptable form for publication (see Form G19).

## **13 Preparation and Adoption of International Standards - Fast-Track Processing**

**13.1** Any P-member of JTC 1 or organisation in Category A liaison with JTC 1 may propose that an existing standard (or amendment with the approval of the responsible SC) from any source be submitted without modification directly for vote as a DIS (or DAM). The criteria for proposing an existing standard for the fast-track procedure is a matter for each proposer to decide.

Prior to submission of a document for fast-track processing, a P-member or Category A liaison organisation of JTC 1 may request that the document be submitted through the JTC 1 Secretariat to one or more SCs for informal comment or discussion among the interested parties. Any comments on format, technical content, completeness, etc. could be considered by the requester prior to formal submission of the document for fast-track procedure.

The proposer of a fast-track document is encouraged to make a recommendation concerning the assignment of the document to a given SC. The proposer of a fast-track document shall submit the name of an individual who has agreed to serve as project editor for the fast-track document. This recommendation (or in its absence, the JTC 1 Secretariat's recommendation) shall be circulated to JTC 1 NBs together with the DIS ballot (see Form G18). Separately from its vote on the technical content of the standard, NBs shall be given the opportunity to comment on the specific assignment. However, comments on assignment shall not influence the vote on

technical content. In cases where the SC assignment is in question or where the fast-track document does not appear appropriate for any existing SC, the JTC 1 Secretariat may perform the duties normally assigned to the SC Secretariat until the final SC assignment is determined. The JTC 1 Secretariat shall ensure that the ballot resolution meeting is open to representation from all affected interests and is convened in a timely manner in keeping with the spirit of the fast-track process.

As described in 12.1 an SC may suspend normal processing in favour of the fast-track procedure (to be initiated by a P-member or a Category A liaison organisation of JTC 1) provided that:

- The SC agrees that the intended fast-track document is suitable to satisfy the requirements of the existing project; and
- The SC agrees to the use of the fast-track procedure and so notifies JTC 1.

**13.2** The proposal for the fast-track procedure shall be received by the ITTF which shall take the following actions:

- Settle the copyright or trademark situation, or both, with the proposer, so that the proposed text can be freely copied and distributed within ISO/IEC without restriction;
- Assess in consultation with the JTC 1 Secretariat that JTC 1 is the competent committee for the subject covered in the proposed standard and ascertain that there is no evident contradiction with other ISO/IEC standards;
- Distribute the text of the proposed standard (or amendment) as a DIS (or DAM), indicating that the standard belongs in the domain of JTC 1 (see Form G12). In case of particularly bulky documents the ITTF may demand the necessary number of copies from the proposer.

**13.3** The period for combined DIS (or DAM) voting shall be six months. This shall consist of a 30-day JTC 1 National Body review period followed by a five-month ballot. In order to be accepted the document must meet the criteria of 9.6.

**13.4** Upon receipt of notification from the ITTF that a document has been registered for fast-track processing, the JTC 1 Secretariat shall inform the Secretariat of the SC recommended for assignment of the project of the fast-track processed DIS (or DAM) number, title, and ballot period dates, and shall send the SC Secretariat a copy of the DIS (or DAM).

If the JTC 1 Secretariat has received any comments during the 30-day review period, the JTC 1 Secretariat shall circulate the comments and the disposition of such comments among the JTC 1 National Bodies for the transparency of the process.

During the 30-day review period, an NB may identify to the JTC 1 Secretariat any perceived contradiction with other JTC 1, ISO or IEC standards.

If such a contradiction is alleged, the matter shall be resolved by the ITTF and JTC 1 Secretariat in accordance with Section 13.2 before ballot voting can commence. If no contradiction is alleged, the fast-track ballot voting commences immediately following the 30-day period.

In either case, the ballot voting period shall be five months.

Prior to the start of the ballot, the JTC 1 Secretariat shall also inform the ITTF of the SC that will deal with the ballot results, in order that the table of replies and any comments accompanying the votes may be sent by ITTF directly to the SC Secretariat as well as to the JTC 1 Secretariat.

**13.5** Upon receipt of the notification from the JTC 1 Secretariat that its SC has been assigned the responsibility for dealing with a fast-track processed DIS (or DAM), the SC Secretariat shall so inform the SC NBs, and shall make plans for the handling of ballot results through the formation of a ballot resolution group, as follows. The SC Secretariat shall:

- Schedule a ballot resolution group meeting to consider any comments on the DIS (or DAM);
- Appoint a Convener for the ballot resolution group ;

- Appoint a Project Editor for the DIS (see 13.1, third paragraph). The Project Editor shall be responsible for producing the final DIS text in case of acceptance;
- Notify the SC NBs of the ballot resolution group meeting date(s), location, Convener, and Project Editor.

In some cases the establishment of a ballot resolution group is unnecessary and the SC Secretariat can assign the task directly to the Project Editor.

**13.6** Upon receipt of the ballot results, and any comments, the SC Secretariat shall distribute this material to the SC NBs. The NBs shall be requested to consider the comments and to form opinions on their acceptability. The SC Secretariat shall also send notification of the ballot resolution group meeting to any NBs having voted to disapprove the DIS (or DAM) that are not NBs of the SC.

Comments received after the normal voting period will not be taken into account, except that they will be submitted to the appropriate SC Secretariat for consideration at the time of the next review of the IS in question.

**13.7** NBs of the relevant SC shall appoint to the ballot resolution group one or more representatives who are well aware of the NB's position. NBs having voted negatively, whether or not an NB of the relevant SC, have a duty to delegate a representative to the ballot resolution group meeting.

**13.8** At the ballot resolution group meeting, decisions should be reached preferably by consensus. If a vote is unavoidable the vote of the NBs will be taken according to normal JTC 1 procedures.

**13.9** If, after the deliberations of this ballot resolution group, the requirements of 9.6 are met, the Project Editor shall prepare the amended DIS (or DAM) and send it to the SC Secretariat who shall forward it to the ITTF for publication as an IS. For its initial publication, the document is not required to be in ISO/IEC format, but can be published in the format of the submitting organisation.

**13.10** If it is impossible to agree to a text meeting the above requirements, the proposal has failed and the procedure is terminated.

**13.11** In either case the Convener, in coordination with the Project Editor, shall prepare a full report which shall be distributed by the SC Secretariat to its NBs and to the ITTF.

**13.12** The time period for these different steps shall be:

- A total of two months for the ITTF to send the results of the vote to the JTC 1 Secretariat and to the SC Secretariat, and for the latter to distribute it to its NBs;
- Not less than two and one-half months prior to the date of the ballot resolution group meeting for distribution of the voting results and any comments;
- Not later than one month after the ballot resolution group meeting for distributions by the SC Secretariat of the final report and the final DIS text in case of acceptance.

**13.13** If the proposed standard is accepted and published, its maintenance will be handled by JTC 1.

**13.14** Subsequent revisions shall be in the format prescribed by the ISO/IEC Directives Part 2. In this case, the ITTF editor shall check the text received to ensure that it is in conformance with the ISO/IEC Directives Part 2. If modifications are considered necessary, the ITTF editor shall submit proposals for modification to the Project Editor for approval. No IS shall be published without such approval.

ITTF shall prepare a proof of the IS and send this to the Project Editor for endorsement. The only changes permissible at this stage are corrections of recognised errors in the revised text or of errors introduced by ITTF in preparing the proof.

Upon receipt of the endorsed proof from the Project Editor, ITTF shall make any final corrections required and proceed with publication of the IS (or amendment).

## **14 Preparation and Adoption of International Standards - The PAS Transposition Process**

### **14.1 Concepts**

The PAS transposition process is based on the following key concepts:

#### **Publicly Available Specification (PAS)**

A technical specification is called a Publicly Available Specification (PAS) if it meets certain criteria, making it suitable for possible processing as an international standard. These criteria (see clause 14.3) have been established in order to ensure a high level of quality, consensus and proper treatment of Intellectual Property Rights (IPR) related matters.

#### **PAS Originator**

Any organisation that has developed and hence owns a PAS which it considers proposing for transposition into an international standard is called the PAS originator. There are no fundamental restrictions as to what form the organisation should have, but it should be recognised that constitutional characteristics of the organisation are supposed to reflect the openness of the organisation and the PAS development process.

#### **Recognised PAS Submitter**

A PAS originator may apply to JTC 1 for recognition as a Submitter of PASs for transposition. Once approved, the status of a recognised PAS Submitter will remain valid for an initial period of two years, with the possibility of further extension (see clause 14.4.1).

#### **Explanatory Report**

The submission of the PAS must be accompanied by an Explanatory Report generated by the PAS originator. This report provides all information necessary to support the submission. In particular, it shall contain statements as to the extent that the PAS criteria are met by the specification. It should also clearly define the technical concepts used in the PAS. JTC 1 has developed a template for the Explanatory Report.

#### **PAS Transposition ballot**

The PAS together with the corresponding Explanatory Report is submitted for ballot.

### **14.2 Applicability**

These procedures apply to the transposition of PAS into international standards. Such a standard may be an IS (International Standard) or an ISP (International Standardized Profile). It is expected that these procedures will be used to process a broader class of documents from a more diverse set of sources than is currently served by the Fast Track process.

### **14.3 PAS Criteria**

JTC 1 has established criteria that serve as a basis for the judgement as to whether a particular organisation can be recognised and whether its specification can be accepted as a candidate for transposition into an international standard. Such criteria may also be used by potential submitters to determine the level of suitability of their specification for the standardisation process. The PAS criteria are broadly classified into two categories and address the following topics:

- Organisation related criteria:
  - Co-operative stance;
  - Characteristic of the organisation;
  - Intellectual property rights.
- Document related criteria:
  - Quality;



- Consensus;
- Alignment.

Details can be found in the Management Guide for the Transposition of Publicly Available Specification which is included as Annex M

## 14.4 Procedures

Based on the concepts provided in 14.1, the PAS transposition process can be described as below. It is JTC 1's firm intention to provide full process transparency and the current status of any proposal from its web site (<http://www.jtc1.org>). Open dialogue (via the web site or any other available means) between the PAS Submitter and JTC 1 and its National Bodies is strongly encouraged.

### 14.4.1 Recognition of a PAS Submitter

A PAS originator interested in submitting an existing or forthcoming specification into the transposition process shall apply to the JTC 1 Secretariat for recognition as a PAS Submitter. Such application shall be accompanied by an identification of the initial PAS(s) which are planned to be submitted and by statements of the PAS originator regarding the organisation related criteria (see below). The completed documentation shall be submitted to P-members of JTC 1 for a three month ballot. Approval as a Recognised PAS Submitter gives a PAS originator the right to submit specifications into the transposition process for a period of two years with the possibility of further extension (see below). This status will lapse:

- If a National Body request for re-qualification is sustained by JTC 1;
- If the PAS originator failed to submit a specification to JTC 1 for transposition within the expected period (see clause 14.4.2).

The initiative to submit an application for recognition may come from a PAS originator or from an NB, an SC or a Category A liaison.

Since the ballot among JTC 1 National Bodies will take three months, the application for recognition should be submitted in time before the planned first submission of a PAS. While there are no particular requirements as to the format of the application, it should

- Define the overall scope of the application;
- Identify the initial PASs which are planned to be submitted, together with their scope;
- Address all mandatory elements of the organisation acceptance criteria contained in M7.3.

Six months prior to the expiration of an organisation's status as an approved JTC 1 PAS Submitter, the JTC 1 Secretariat shall invite the submitter to review its future intentions as a PAS submitter and consider the following options with regard to its initial application for recognition as a JTC 1 PAS submitter:

- Revise (significant changes to the initial application, e.g. changes in scope, procedures),
- Withdraw (lapse), or
- Reaffirm (extend current status with no significant changes).

If the PAS submitter chooses to revise, it must submit a document to the JTC 1 Secretariat stating the changes to the answers to the questions in M7.3 from its previous application. If the PAS submitter chooses to reaffirm, it should identify subsequent PAS(s) intended for submission. In order to allow JTC 1 a timely reaction to the revision or affirmation, the necessary documentation should be submitted not later than three months prior to the expiration of its status as a PAS submitter. The JTC 1 Secretariat shall issue a three month letter ballot on the request for either a revision or reaffirmation. Failure to respond to the Secretariat's invitation for review of PAS submitter status will automatically result in lapse of a PAS submitter's status at the conclusion of its term.



## 14.4.2 PAS Submission

Once a PAS originator has been recognised, a PAS submission to the JTC 1 Secretariat may occur within the scope as identified on the application (see clause 14.3). When submitting a PAS to the JTC 1 Secretariat, a Recognised PAS Submitter shall include an Explanatory Report and a statement that the conditions for recognition have not changed or an indication of the nature of changes that have occurred. The Explanatory Report particularly shall contain statements regarding the document related criteria (see clause 14.4). It should also explicitly mention how the JTC 1 Common Strategic Characteristics - Interoperability, Cultural, Linguistic Adaptability and User Interface are addressed.

Maintenance for a transposed PAS is also negotiated in the Explanatory Report. JTC 1's intention for maintenance is to avoid any divergence between the current JTC 1 revision of a transposed PAS and the current revision of the original specification published by the PAS submitter. Therefore, the Explanatory Report should contain a description of how the submitting organisation will work cooperatively with JTC 1 on maintenance of the standard. While JTC 1 is responsible for maintenance of the standard, this does not mean that JTC 1 itself must perform the maintenance function. JTC 1 may negotiate with the submitter the option of maintenance handled by the submitter as long as there is provision for participation of JTC 1 experts, i.e. the submitter's group responsible for maintenance is designated as the JTC 1 maintenance group.

All submissions including the Explanatory Report shall occur in electronic form.

The first submission shall occur not later than six months after the initial recognition. On request by the PAS originator not later than six weeks before the end of this six month period, the period may be extended for another six months, subject to approval by the JTC 1 Chairman and Secretariat. Failure by the PAS originator to submit a specification within the expected period will result in the lapse of its recognition status.

The format of the specification submitted is not regulated by JTC 1. Recognised PAS Submitters are encouraged to apply, if flexibility still exists, a documentation style close to the ISO/IEC style in order to ease the later alignment process at the time of any revision.

The JTC 1 Secretariat, after checking the recognition status of the submitter and the completeness of the application, shall forward the specification together with the Explanatory Report to the ISO/IEC Information Technology Task Force (ITTF) to initiate the appropriate ballot process among the JTC 1 National Bodies.

In view of the importance of the Explanatory Report for a successful transposition, the Recognised PAS Submitter may request counsel and advice from JTC 1 National Bodies, Subcommittees or Category A liaison organisations during the generation of this report and throughout the transposition process. The counselling process could include a review of the submissions.

The Recognised PAS Submitter is encouraged to make a recommendation concerning the assignment of the document to a given SC. This recommendation (or in its absence, the JTC 1 Secretariat's recommendation) shall be circulated to JTC 1 P-members together with the ballot. P-members shall be given the opportunity to comment on the specific assignment. However, comments on assignment shall not influence the vote. In cases where the SC assignment is in question or where the document does not appear appropriate for any existing SC, the JTC 1 Secretariat should perform the duties normally assigned to the SC Secretariat until the final SC assignment is determined.

## 14.4.3 Transposition into an IS or ISP

**14.4.3.1** The JTC 1 Secretariat forwards the PAS, together with the Explanatory Report and related documentation to the ISO/IEC Information Technology Task Force (ITTF).

**14.4.3.2** The ITTF shall take the following actions:

- Settle the copyright or trademark situation, or both, with the Recognized PAS Submitter, so that the proposed text can be copied and distributed within ISO/IEC without restriction;
- Assess in consultation with the JTC 1 Secretariat that JTC 1 is the competent committee for the subject covered in the proposed standard and ascertain that there is no evident contradiction with other ISO/IEC standards;

- Distribute the text of the proposed standard as a Draft International Standard (DIS), together with the Explanatory Report and related documentation, indicating that the standard belongs in the domain of JTC 1.

**14.4.3.3** The period for combined DIS voting shall be six months. In order to be accepted the DIS must meet the following voting criteria:

- At least two-thirds of the P-members voting shall have approved, with or without comments;
- Not more than one-quarter of the total number of votes cast are negative.

**14.4.3.4** Upon receipt of notification from the ITTF that a DIS has been registered, the JTC 1 Secretariat shall inform the Secretariat of the SC recommended for assignment of the project of the DIS number, title, and ballot period dates, and shall send the SC Secretariat a copy of the DIS and its attached Explanatory Report. The JTC 1 Secretariat shall also inform the ITTF of the SC that will deal with the DIS ballot results, in order that the table of replies and any comments accompanying the votes may be sent by ITTF directly to the SC Secretariat as well as to the JTC 1 Secretariat.

**14.4.3.5** Reflecting the importance of the PAS process, the JTC 1 Secretariat shall also inform JTC 1 National Bodies and Liaison Organisations, and those organisations authorised to be PAS submitters, of the initiation of any PAS ballot, the results of the ballot, and the identity of the JTC 1 committee which will be responsible for any future work.

**14.4.3.6** The PAS Submitter shall receive a copy of the ballot document.

**14.4.3.7** Upon receipt of the notification from the JTC 1 Secretariat that its SC has been assigned the responsibility for dealing with the DIS, the SC Secretariat shall so inform the SC National Bodies, and shall make plans for the handling of ballot results through the formation of a ballot resolution group, as follows. The SC Secretariat shall:

- Schedule a ballot resolution group meeting to consider any comments on the DIS;
- Appoint a Convener for the ballot resolution group;
- Appoint a Project Editor for the DIS. The Project Editor shall be a representative of the Recognised PAS Submitter, and shall be responsible for producing the final DIS text in case of acceptance;
- Notify the SC National Bodies of the ballot resolution group meeting date(s), location, Convener, and Project Editor.

The ballot resolution meeting shall be open to representation from all affected interests (including the Recognised PAS Submitter) and shall be convened in a timely manner.

**14.4.3.8** Upon receipt of the DIS ballot results, and any comments, the SC Secretariat shall distribute this material to the SC National Bodies and the Recognised PAS Submitter. The SC Secretariat shall also send notification of the ballot resolution group meeting to any National Bodies having voted to disapprove the DIS that are not National Bodies of the SC. The National Bodies shall be requested to consider the comments and to form opinions on their acceptability.

National Bodies of the relevant SC shall appoint to the ballot resolution group one or more representatives who are well aware of the National Body position. National Bodies having voted negatively, regardless of whether or not they are National Body of the relevant SC, have a duty to delegate a representative to the ballot resolution group meeting. In circumstances where physical representation is not possible, participation via e-mail correspondence should be explored as an alternative method of representation.

**14.4.3.9** At the ballot resolution group meeting, decisions should be reached preferably by consensus. If a vote is unavoidable, the approval criteria in the subclause 9.1.4 is applied. If the decisions reached are not acceptable to the Recognised PAS Submitter, the Submitter may withdraw the document to terminate the procedure.

**14.4.3.10** If, after the deliberations of this ballot resolution group, the requirements of 14.4.3.3 are met, the Project Editor shall prepare the amended DIS and send it to the SC Secretariat who shall forward it to the ITTF for

publication as an IS. For its initial publication, the document is not required to be in ISO/IEC format, but can be published in its original format. The form of publication (e.g. reprint of original document or distribution of ISO/IEC cover page with reference) is to be determined by ITTF and the Recognised PAS Submitter as part of any publication agreements. However, subsequent revisions shall be in the format prescribed by the ISO/IEC Directives - Part 2.

**14.4.3.11** If it is impossible to agree to a text meeting the above requirements, the proposal has failed. In this case, JTC 1 shall make known to the Submitter the reasons which have led to the negative result. Based on this information, the Submitter may choose to re-submit the specification after modification.

**14.4.3.12** In either case the Convener, in coordination with the Project Editor, shall prepare a full report which shall be distributed by the SC Secretariat to the SC and to the ITTF.

**14.4.3.13** The time period for these different steps shall be:

- A total of two months for the ITTF to send the results of the vote to the JTC 1 Secretariat and to the SC Secretariat, and for the latter to distribute it to its National Bodies;
- Not less than two and one-half months prior to the date of the ballot resolution group meeting for distribution by the SC Secretariat of the voting results and any comments;
- Not later than two months after the ballot resolution group meeting for distributions by the SC Secretariat of the final report and the final DIS text in case of acceptance.

**14.4.3.14** If the proposed standard is accepted, it will be published following ISO and IEC standing copyright and other IPR policy. Its maintenance will be handled either by JTC 1 or by JTC 1 designated maintenance group of the PAS Submitter in accordance with JTC 1 rules.

It is at the discretion of the Recognised PAS Submitter to withdraw the document from the transposition process at any point prior to publication. It is also the right of the Recognised PAS Submitter to request that the document remain unchanged throughout the transposition process. Such a request should be clearly stated in the Explanatory Report, and may be an issue in the ballot process. Changes to the specification during the ballot process are, however, not acceptable as they will lead to confusion.

## **15 Maintenance of International Standards**

The SC responsible for the development of a document shall also be responsible for its maintenance after publication so that it is kept up-to-date. In some cases, the standard may be designated "stabilised" and will no longer be subject to periodic maintenance; the procedures for "stabilised" standards are described in 15.6. To safeguard the media used for publication, the Secretariat of the responsible SC shall ensure that masters are maintained in the country of the Secretariat and also transmitted to ITTF for storage.

### **15.1 Revision**

**15.1.1** If it is decided that an IS is to be revised, the SC Secretariat shall inform the ITTF and add an appropriate project to the programme of work (see 6.2.1.5).

**15.1.2** The steps for revision start with Stage 2. If, however, JTC 1 (or one of its SCs) by a vote of its P-members or at a meeting decides that the proposed revision is of relatively minor importance, it may direct the JTC 1 or SC Secretariat to submit the revised IS directly to the ITTF for publication.

**15.1.3** If the ITTF is able to verify that no significant change is made in the IS by such minor revisions, the IS is published.

**15.1.4** Where continuous updating of an IS is required, JTC 1 may request the establishment of a maintenance agency (see 2.7.3).

**15.1.5** Previous editions of standards (including their amendments and technical corrigenda) may be included in the ISO and IEC Catalogues on an exception basis as determined by the SC, noting that these documents should be used for reference purposes only. .

**15.1.6** If an SC plans to revise an IS with amendment(s), it can incorporate draft amendment(s) in the state between FPDAM and FDAM as well as those amendments(s) and corrigendum(da) at the publication state into the revision and start out the approval process from FDIS stage.

The contents of the draft amendment(s) in the state between FPDAM and FDAM should be marked, e.g. underlined, in the FDIS, otherwise should be included in the foreword of the FDIS.

## **15.2 Withdrawal**

The procedure for withdrawal of an IS is the same as that for preparation and acceptance; that is, an initial study shall take place in JTC 1. On the recommendation of JTC 1 or of the ITTF, the proposal for withdrawal shall then be submitted to NBs for approval, giving the same voting time limits as for the approval of an IS (see 12.7.1.2)

## **15.3 Periodic Review**

**15.3.1** On request by an NB or the Secretaries-General and in any case not more than five years after the publication of the most recent edition of a standard, each IS for which JTC 1 is responsible shall be reviewed by JTC 1 with a view to deciding (by a majority of the P-members voting in a meeting or by correspondence) whether it should be:

- Confirmed;
- Revised;
- Declared as stabilised;
- Withdrawn.

Standards which have previously been declared as stabilised are not subject to the periodic review; however, each Sub Committee shall periodically review a current list of its own stabilised standards to ensure that they still belong in stabilised status.

The periodic review of a standard shall include the review of any subsequently approved amendments or corrigenda. The publication dates of amendments or corrigenda do not affect the timing of the periodic review. The review shall include an assessment of the degree to which the standard has been applied in practice.

To allow sufficient time to accomplish the periodic review within the targeted five-year period and to provide JTC 1 NBs with pertinent information on the technical relevance of the standard, SCs are instructed to review all standards assigned to them for development within the two years prior to the JTC 1 periodic review. SCs should make a recommendation (by action at a meeting or by letter ballot) concerning the confirmation, revision or declaration of being stabilized or withdrawal of each standard and should provide information on the status of the standard as regards 10.6. The SC Secretariat shall forward this recommendation to the JTC 1 Secretariat for inclusion with the periodic review ballot when it is circulated to JTC 1 NBs or for consideration at a meeting. NBs shall be asked whether they support the SC recommendations and if not, to state their preference and the reasons therefore.

In the absence of a SC recommendation (i.e. for those JTC 1 standards not assigned to an existing SC), NBs shall be asked to indicate whether they are in favour of confirmation, revision or withdrawal.

**15.3.2** If an SC is preparing a revision or a new edition of a standard, the SC Secretariat shall inform the JTC 1 Secretariat and the periodic review will not be conducted unless requested by an NB or the Secretaries-General.

**15.3.3** If the results of the JTC 1 ballot indicate that the standard should be confirmed, the ITTF confirms the standard and notifies the JTC 1 and appropriate SC Secretariat. If JTC 1 decides to revise an IS, the provisions of 15.1 shall apply. If JTC 1 decides to withdraw an IS, the provisions of 15.2 shall apply.

**15.3.4** In all cases, the results of the periodic review ballot shall be forwarded to JTC 1 or the appropriate SC for information and consideration of comments received on the ballot.

## 15.4 Correction of Defects

### 15.4.1 Definitions

#### **defect**

An editorial defect or a technical defect.

#### **editorial defect**

An error which can be assumed to have no consequences in the application of the IS, for example a minor printing error.

#### **technical defect**

A technical error or ambiguity in an IS inadvertently introduced either in drafting or in printing which could lead to incorrect or unsafe application of the IS.

#### **technical addition or change**

Alteration or addition to previously agreed technical provisions in an existing IS.

### 15.4.2 General

**15.4.2.1** A published IS may subsequently be modified by the publication of a technical corrigendum (or corrected reprint of the current edition). Technical corrigenda are normally published as separate documents, the edition of the IS affected remaining in print. However, the ITTF shall decide, in consultation with the Secretariat of JTC 1 or SC, and bearing in mind both the financial consequences to the organisation and the interests of users of the IS, whether to publish a technical corrigendum or a corrected reprint of the existing edition of the IS.

**15.4.2.2** A technical corrigendum is issued to correct a technical defect. Technical corrigenda are not normally issued for the correction of a few editorial defects by themselves. In such cases, correction of these defects can be incorporated in future technical corrigenda. Technical corrigenda are not issued for technical additions which shall follow the amendment procedure in 15.5.

**15.4.2.3** Suspected technical defects shall be brought to the attention of the Secretariat of JTC 1 or SC concerned. In the case of standards for which proper implementation is dependent on the careful but rapid promulgation of corrections to defects, the procedures in 15.4.3 through 15.4.10 shall apply. When these procedures are not required, 15.4.11 shall apply.

**15.4.2.4** In the case of stabilised standards, where the relevant SC no longer exists, responsibility for the maintenance of such a standard shall be given to a National Body or a JTC 1 Category A Liaison body. In this instance, the actions placed on an SC Secretariat shall be taken to refer to the Secretariat responsible for maintenance of the standard.

### 15.4.3 Defect Correction Procedure

Detailed procedures for handling defect reports may be developed if necessary by individual SCs. However, the general procedure is described in the following clauses.

### 15.4.4 Editing Group

To apply the defect correction procedures, an SC shall first agree that the procedures should be applied with respect to a published IS or to the final text of a DIS. The SC shall then establish an editing group associated with the WG to which the project is assigned. The editing group shall consist of:

- The Project Editor for the IS (or FDIS or DIS), or a defect editor appointed by the SC;
- The editor of the corresponding ITU-T Recommendation or PAS submission, if applicable, or an individual designated by the editor;
- Other experts nominated by the NBs of the SC, upon distribution by the SC Secretariat of a call for such nominations;

- Other experts nominated by the corresponding ITU-T Study Group or PAS submitter working group, if applicable.

*[Note: In the case of multipart standards, or related standards, it may be appropriate to have one editing group whose membership includes the editors of all the related standards.]*

If an editing group has not yet been established, the WG (or a subgroup, e.g. rapporteur group) to which the project is assigned shall take the role of editing group in processing defect reports pending formal establishment of the editing group.

### **15.4.5 Defect Reports - Submission**

A defect report may be submitted by an NB, an organisation in liaison, a member of the editor's group for the subject document, or a WG of the SC responsible for the document.

The submitter shall complete part 2 of the defect report form (see Form G5) and shall send the form to the Convener or Secretariat of the WG with which the relevant editor's group is associated.

### **15.4.6 Defect Reports - Distribution**

Upon receipt of a defect report, the WG Convener or Secretariat shall complete part 1 of the form. The defect report number contained in part 1 consists of the IS or DIS number followed by a solidus and a sequentially assigned number (e.g. 8326/006). The WG Convener or Secretariat shall attach a WG document cover sheet which carries an assigned WG document number and indicates the status of the report (e.g. "This defect report is forwarded to the 8326 editor's group for review and response; it is sent to WG 6 for information").

The WG Convener or Secretariat shall distribute the defect report and attached cover sheet to the WG members and to the appropriate editor's group.

### **15.4.6 15.4.7 Preparation of Response by the Editor's Group**

Upon receipt of a defect report from the WG Convener or Secretariat, each member of the editor's group shall develop a proposed response and send it to every other member of the editor's group within one and one-half months of the date of transmittal of the defect report by the WG Secretariat. This procedure may be bypassed if the defect report can be discussed by the members at a convenient meeting falling within the one and one-half month time period.

### **15.4.7 15.4.8 Preparation of Response by the Project Editor**

Following consideration of the proposed responses received from the editor's group members, the Project Editor shall prepare a single response and transmit it with a copy of the defect report to the WG Convener or Secretariat and the other editor's group members. This action shall be taken within two months of the date of transmittal of the defect report.

With the response the Project Editor shall also send a statement of how the response is to be processed. Possible responses are:

- No change required;
- Further consideration required;
- Editorial defect;
- Technical defect.

If the response has resulted in the development of proposed material for publication, that material shall be attached separately to the defect report.

### **15.4.8 15.4.9 Processing of Response - WG and SC levels**

#### **15.4.9.1 No Change Required**

If the response to a defect report has not resulted in material for publication (e.g. the 'defect' was the result of misinterpretation or misunderstanding on the part of the originator of the defect report), the WG Convener or



Secretariat shall distribute the defect report and the response to the WG for information attaching a new WG cover sheet with a new document number, and shall advise the WG that no further action is required.

#### **15.4.9.2 Further Consideration Required**

If consideration of a defect report by an editor's group results in the recommendation that further study of the issues involved will be required at the WG level, the WG Convener or Secretariat shall distribute the defect report and this recommendation to the WG with a new cover sheet and document number and shall advise the WG that it will be an item for consideration at the next WG meeting.

*[Note: Reference back to the WG could occur, for example, if resolution of the defect appears to have substantial impact in existing implementations or a technical solution cannot readily be devised.]*

#### **15.4.9.3 Editorial Defect**

If the response to a defect report has resulted in the correction of an editorial defect, the WG Secretariat shall distribute the defect report, response, and text to the WG for information in accordance with 0 and shall forward the text to the SC Secretariat who shall transmit it to the ITTF for incorporation into a future technical corrigendum.

#### **15.4.9.4 Technical Defect**

**15.4.9.4.1** If the response to a defect report has resulted in correction of a technical defect, it shall be processed as a technical corrigendum. The WG Convener or Secretariat shall forward the defect report, response and draft technical corrigendum to the SC Secretariat, requesting a letter ballot on the draft technical corrigendum by the SC (see Form G19). In the case where maintenance of a standard is not assigned to a specific SC but to a National Body or a JTC 1 Category A Liaison body, the actions placed on an SC Secretariat by this clause shall be taken to refer to the Secretariat responsible for the maintenance of that standard.

**15.4.9.4.2** The SC Secretariat shall notify the JTC 1 Secretariat of the SC ballot on the draft technical corrigendum.

**15.4.9.4.3** Upon completion of the minimum three-month SC ballot period, the SC Secretariat shall distribute the voting results and any comments received to the SC and shall forward them to the applicable WG Convener or Secretariat. The WG Convener or Secretariat shall distribute the results to the appropriate editor's group. Depending on the outcome of the ballot, the SC Secretariat shall also take action as set out below.

**15.4.9.4.4** If no comments or disapproval votes were submitted on the material, the SC Secretariat shall forward it to the ITTF for publication (see Form G22), normally within three months, and send copies of the transmittal letter and the material to the JTC 1 Secretariat for information. For publication considerations, see 15.4.2.1.

**15.4.9.4.5** If the general results of the SC ballot were positive, but some comments were received, the SC Secretariat shall also forward the comments to the Project Editor for review when the voting results are distributed to the SC in accordance with 15.4.9.4.3 above. The Project Editor shall prepare responses to the comments and return them to the SC Secretariat together with a revised text of the draft technical corrigendum if any modification has resulted from the editor's review. The SC Secretariat shall distribute the revised text and disposition of comments report to the SC for information, and shall proceed with the submittal to ITTF in accordance with 15.4.9.4.4 above. Each technical corrigendum shall list the status of all amendments and technical corrigenda to the current edition of the standard.

**15.4.9.4.6** If the results of the SC ballot are not positive, in forwarding the voting results to the WG Convener or Secretariat in accordance with 15.4.9.4.3 above, the SC Secretariat shall instruct the WG Convener or Secretariat to distribute the results to the appropriate editor's group for consideration and the preparation of a recommendation on further action to be taken.

#### **15.4.10 Maintenance of Defect Report Index**

The Project Editor shall be responsible for maintaining a defect report index that contains, for each defect report submitted,

- Full identification of document numbers (including ITU-T references in joint projects);
- Status of the defect report;



- Date when submittal occurred;
- Date when response is required;
- Date when ballot terminates (if appropriate);
- Date of publication of solution to the defect.

The Project Editor shall submit a list of the current membership of the editor's group and the up-to-date defect report index to the SC Secretariat immediately before each SC meeting (and after, if appropriate).

#### **15.4.11 Special Correction Procedure**

The following special procedure may be used by an SC if prior approval has been granted to the SC by JTC 1.

After confirmation by the Secretariat, in consultation with the P-members of JTC 1 or SC, the Secretariat shall submit to ITTF a proposal to correct the error with an explanation of the need to do so. For publication considerations, see 15.4.2.1.

### **15.5 Amendment**

**15.5.1** A published IS may subsequently be modified by the publication of an amendment (see Form G21). If it is decided that an IS is to be amended, either an NP shall be balloted or an appropriate project subdivision shall be added to the programme of work. Approval shall be in accordance with 6.2.1 or 6.2.2 respectively. Amendments are published as separate documents, the edition of the IS affected remaining in print.

**15.5.2** An amendment is issued to publish a technical addition or change. The procedure for developing and publishing an amendment shall be as described in 12. Processing is the same as for a standard except for the terminology. At Stage 3, the document is called a proposed draft amendment (PDAM) or a final proposed draft amendment (FPDAM). At Stage 4, the document is called a final draft amendment (FDAM).

**15.5.3** Each amendment shall list the status of all amendments and technical corrigenda to the current edition of the standard.

**15.5.4** At the publication stage (see 12.8), the ITTF shall decide, in consultation with the Secretariat of JTC 1 or SC, and bearing in mind both the financial consequences to the organisation and the interests of users of the IS, whether to publish an amendment or a new edition of the IS, incorporating the amendment.

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

### **15.6 Stabilised Standards**

A stabilised standard is one that has ongoing validity and effectiveness but is mature and insofar as can be determined will not require further maintenance of any sort. While a standard is in stabilised status it will no longer be subject to periodic maintenance but will be retained to provide for the continued viability of existing products or servicing of equipment that is expected to have a long working life.

**15.6.1** At least one review cycle must pass after the last modification to an existing standard before it can be recommended for stabilisation by the owning Sub Committee or other standards owning body within JTC 1.

**15.6.2** An SC or other standards owning body within JTC 1 may recommend that a standard it owns be put in stabilised status as a result of any regular review of that standard. In each case the recommendation is accompanied by a statement of rationale and results in a JTC 1 letter ballot as is done in the case of a reaffirmation recommendation.

**15.6.3** Once a standard is stabilised it will be recorded on a master list of stabilised standards kept by the ISO Central Secretariat and available to the JTC 1 Secretariat and to all Sub Committee Secretariats. This record will include the date of first addition to the list and the rationale provided as above. Stabilised standards will also be indicated as such on the ISO Catalogue.

**15.6.4** Where a Sub Committee, National Body or other standards owning body within JTC 1 becomes aware that a stabilised standard is no longer in use or its use has been superseded or it now unsafe to continue to use

the standard, the Sub Committee, National Body or other standards owning body within JTC 1 may request JTC 1 to issue an immediate 60 day letter ballot to reclassify the standard as withdrawn.

**15.6.5** If a new work proposal is generated and adopted against a stabilised standard, the standard is automatically removed by the Secretariat from the list of stabilised standards. A new work proposal against a stabilised standard must explicitly note that the standard is stabilised and that the effect of adoption of the new work proposal will be to return the standard to active status. To be eligible once again for stabilisation the standard must go through the same process as it did initially, including no modification for at least one maintenance cycle.

**15.6.6** The owning JTC 1 Sub Committee may act to remove a standard from stabilised status at any time and it may request a 60 day letter ballot to reinstate the standard as current.

## **16 Preparation and Adoption of Technical Reports**

### **16.1 General**

The primary duty of JTC 1 is the preparation and review of ISs. The publication of TRs is an exception and should be considered only if the circumstances given in 16.2.1, 16.2.2 or 16.2.3 apply. TRs prepared by JTC 1 are published as double logo ISO/IEC technical reports by ITTF and copies distributed to NBs.

The successive stages of the technical work are referenced 1 to 5. These are defined as follows:

- Stage 1 (proposal stage): An NP is under consideration.
- Stage 2 (preparatory stage): A WD is under consideration.
- Stage 3 (committee stage): A PDTR is under consideration.
- Stage 4 (approval stage): A DTR is under consideration.
- Stage 5 (publication stage): An TR is being prepared for publication.

For a given Technical Report, not all stages may apply (see 16.3.2).

### **16.2 Types of Technical Reports**

#### **16.2.1 Type 1 Technical Report**

When, despite repeated efforts within JTC 1, the substantial support (or necessary approval, as the case may be) cannot be obtained for submission of an FCD for registration as an FDIS, or for acceptance of a DIS at NB voting stage, JTC 1 may decide to request publication of the document in the form of a TR. The reasons why the required support could not be obtained shall be mentioned in the document.

#### **16.2.2 Type 2 Technical Report**

When the subject in question is still under technical development or where for any other reason there is the possibility of an agreement at some time in the future, JTC 1 may decide that the publication of a TR would be more appropriate.

#### **16.2.3 Type 3 Technical Report**

When JTC 1 has prepared a document containing information of a different kind from that which is normally published as an IS (for example, a model/framework, technical requirements and planning information, a testing criteria methodology, factual information obtained from a survey carried out among the NBs, information on work in other international bodies or information on the "state-of-the-art" in relation to standards of NBs on a particular subject), JTC 1 may propose to the ITTF that the information be published as a TR.

#### **16.2.4 Contents of Type 1 and Type 2 TRs**

TRs of types 1 and 2 shall contain the following parts:

- Historical background;
- Explanation of the reasons why JTC 1 has considered it necessary to publish a TR instead of an IS;
- Technical content.

## 16.3 Outline of Procedures

**16.3.1** The procedures for development of Technical Reports are similar to the procedures for development of International Standards described in 12 and shall be followed unless otherwise noted.

**16.3.2** All five stages may exist for type 2 and type 3 Technical Reports. A type 1 TR document, however, would have reached Stage 3 or 4 as a standards project before entering the TR process at Stage 3 or 4.

**16.3.3** At Stage 3, the procedures for PDTRs are similar to those in 12.6 for CDs. The procedures relating to FCDs do not apply for PDTRs.

**16.3.4** At the conclusion of Stage 3, the SC Secretariat shall submit the revised PDTR to the JTC 1 Secretariat (not to the ITTF) for further processing as a DTR.

**16.3.5** In Stage 4, the JTC 1 Secretariat shall distribute the DTR to JTC 1 P-members for a three-month letter ballot (see Form G14) although, in instances when the complexity of the text requires additional time for review, this period may be extended up to six months (see 9.10.1).

**16.3.6** When the majority of the P-members of JTC 1 have agreed to the publication of a TR (see Form G23), it shall be submitted by the JTC 1 Secretariat to the ITTF, normally within two months.

## 16.4 Maintenance of Technical Reports

### 16.4.1 Type 1 and Type 2 TRs

**16.4.1.1** TRs of types 1 and 2 shall be subject to review by JTC 1 not later than three years after their publication. The aim of such a review shall be to re-examine the situation which resulted in the publication of a TR and if possible to achieve the agreement necessary for the publication of an IS to replace the TR.

**16.4.1.2** The SC responsible for the type 1 or type 2 TR project shall make a recommendation to JTC 1 prior to the third year after publication, stating whether the TR should be:

- Converted to an IS without change;
- Revised and published as an IS;
- Confirmed for continuation as a TR;
- Revised for publication as a revision to the TR;
- Withdrawn.

**16.4.1.3** If the type 1 or type 2 TR is confirmed, there shall be another JTC 1 review not more than three years later.

### 16.4.2 Type 3 TRs

TRs of type 3 shall be subject to review every five years in the same manner as ISs (see 15.3).

### 16.4.3 Revision

**16.4.3.1** If it is decided that a TR is to be revised, the SC Secretariat shall inform the ITTF and add an appropriate project to the programme of work (similar to IS revision in 6.2.1.5).

**16.4.3.2** The steps for revision start with Stage 2. If, however, JTC 1 (or one of its SCs) by a vote of its P-members or at a meeting decides that the proposed revision is of relatively minor importance, it may direct the JTC 1 or SC Secretariat to submit the revised TR directly to the ITTF for publication.

**16.4.3.3** If the ITTF is able to verify that no significant change is made in the TR by such minor revisions, the TR is published.

#### **16.4.4 Amendment**

**16.4.4.1** A published TR may subsequently be modified by the publication of an amendment. If it is decided that a TR is to be amended, either an NP shall be balloted or an appropriate project subdivision shall be added to the programme of work. Approval shall be in accordance with 6.2.1 or 6.2.2 respectively. Amendments are published as separate documents; the edition of the TR affected remaining in print.

**16.4.4.2** The procedure for developing and publishing an amendment shall be as described in 16.3. Processing is the same as for a technical report except for the terminology. At Stage 3, the document is called a proposed draft amendment (PDAM). At Stage 4, the document is called a draft amendment (DAM).

**16.4.4.3** At the publication stage, the ITTF shall decide, in consultation with the Secretariat of JTC 1 or SC, and bearing in mind both the financial consequences to the organisation and the interests of users of the TR, whether to publish an amendment or a new edition of the TR, incorporating the amendment.

#### **16.4.5 Stabilized Technical Reports**

**Technical Reports that are still in use by an identifiable community may be stabilized in a similar manner to standards. The same procedures for the stabilization of standards as set out in clause 15.6 shall be used.**

#### **16.4.6 Withdrawal**

The procedure for withdrawal of a TR is the same as that for preparation and acceptance; that is, an initial study shall take place in JTC 1. On the recommendation of JTC 1 or of the ITTF, the proposal for withdrawal shall then be submitted to NBs for approval, giving the same voting time limits as for the approval of a TR (see 16.3.4).

### **16.5 Fast-Track Processing of Technical Reports**

**16.5.1** Any P-member of JTC 1 or organisation in Category A liaison with JTC 1 may propose that an existing technical report from any source be submitted without modification directly for vote as a DTR of Type 3. The criteria for proposing an existing technical report for the fast-track procedure is a matter for each proposer to decide.

Prior to submission of a document for fast-track processing, a P-member or Category A liaison organisation of JTC 1 may request that the document be submitted through the JTC 1 Secretariat to one or more SCs for informal comment or discussion among the interested parties. Any comments on format, technical content, completeness, etc. could be considered by the requester prior to formal submission of the document for fast-track procedure.

The proposer of a fast-track document is encouraged to make a recommendation concerning the assignment of the document to a given SC. The proposer of a fast-track document shall submit the name of an individual who has agreed to serve as project editor for the fast-track document. This recommendation (or in its absence, the JTC 1 Secretariat's recommendation) shall be circulated to JTC 1 NBs together with the DTR ballot. Separately from its vote on the technical content of the technical report, NBs shall be given the opportunity to comment on the specific assignment. However, comments on assignment shall not influence the vote on technical content. In cases where the SC assignment is in question or where the fast-track document does not appear appropriate for any existing SC, the JTC 1 Secretariat may perform the duties normally assigned to the SC Secretariat until the final SC assignment is determined. The JTC 1 Secretariat shall ensure that the ballot resolution meeting is open to representation from all affected interests and is convened in a timely manner in keeping with the spirit of the fast-track process.

*[Note: For an existing project which has not yet reached Stage 3 (see 12.1), an SC may suspend the 5-stage process in favour of the fast-track procedure (to be initiated by a P-member or a Category A liaison organisation of JTC 1) provided that:*

- *the SC agrees that the intended fast-track document is suitable to satisfy the requirements of the existing project; and*
- *the SC agrees to the use of the fast-track procedure and so notifies JTC 1.]*

**16.5.2** The proposal shall be received by the JTC 1 Secretariat which shall take the following actions:

- settle the copyright or trademark situation, or both, with the proposer, so that the proposed text can be freely copied and distributed within ISO/IEC without restriction;
- assess that JTC 1 is the competent committee for the subject covered in the proposed technical report and ascertain that there is no evident contradiction with other ISO/IEC standards;
- distribute the text of the proposed technical report as a DTR, indicating that the technical report belongs in the domain of JTC 1. In case of particularly bulky documents the JTC 1 Secretariat may demand the necessary number of copies from the proposer.

**16.5.3** The period for voting shall be six months. This shall consist of a 30-day JTC 1 National Body review period followed by a five-month ballot. In order to be accepted the DTR must meet the criteria of 9.6.

**16.5.4** Once the document has been registered for fast-track processing, the JTC 1 Secretariat shall inform the Secretariat of the SC recommended for assignment of the project of the fast-track processed DTR number, title, and ballot period dates, and shall send the SC Secretariat a copy of the DTR.

If the JTC 1 Secretariat has received any comments during the 30-day review period, the JTC 1 Secretariat shall circulate the comments and the disposition of such comments among the JTC 1 National Bodies for the transparency of the process.

During the 30-day review period, an NB may identify to the JTC 1 Secretariat any perceived contradiction with other JTC 1, ISO or IEC standards.

If such a contradiction is alleged, the matter shall be resolved by the ITTF and JTC 1 Secretariat in accordance with Section 16.5.2 before ballot voting can commence. If no contradiction is alleged, the fast-track ballot voting commences immediately following the 30-day period.

In either case, the ballot voting period shall be five months.

**16.5.5** Upon receipt of the notification from the JTC 1 Secretariat that its SC has been assigned the responsibility for dealing with a fast-track processed DTR, the SC Secretariat shall so inform the SC NBs, and shall make plans for the handling of ballot results through the formation of a ballot resolution group, as follows. The SC Secretariat shall:

- Schedule a ballot resolution group meeting to consider any comments on the DTR;
- Appoint a Convener for the ballot resolution group ;
- Appoint a Project Editor for the DTR (see 13.1, third paragraph). The Project Editor shall be responsible for producing the final DTR text in case of acceptance;
- Notify the SC NBs of the ballot resolution group meeting date(s), location, Convener, and Project Editor.

In some cases the establishment of a ballot resolution group is unnecessary and the SC Secretariat can assign the task directly to the Project Editor.

**16.5.6** Upon receipt of the ballot results, and any comments, the SC Secretariat shall distribute this material to the SC NBs. The NBs shall be requested to consider the comments and to form opinions on their acceptability. The SC Secretariat shall also send notification of the ballot resolution group meeting to any NBs having voted to disapprove the DTR that are not NBs of the SC.

Comments received after the normal voting period will not be taken into account, except that they will be submitted to the appropriate SC Secretariat for consideration at the time of the next review of the TR in question.

**16.5.7** NBs of the relevant SC shall appoint to the ballot resolution group one or more representatives who are well aware of the NB's position. NBs having voted negatively, whether or not an NB of the relevant SC, have a duty to delegate a representative to the ballot resolution group meeting.

**16.5.8** At the ballot resolution group meeting, decisions should be reached preferably by consensus. If a vote is unavoidable the vote of the NBs will be taken according to normal JTC 1 procedures.

**16.5.9** If, after the deliberations of this ballot resolution group, the requirements of 9.6 are met, the Project Editor shall prepare the amended DTR and send it to the SC Secretariat who shall forward it to the ITTF for publication as a TR. For its initial publication, the document is not required to be in ISO/IEC format, but can be published in the format of the submitting organisation.

**16.5.10** If it is impossible to agree to a text meeting the above requirements, the proposal has failed and the procedure is terminated.

**16.5.11** In either case the Convener, in coordination with the Project Editor, shall prepare a full report which shall be distributed by the SC Secretariat to its NBs and to the ITTF.

**16.5.12** The time period for these different steps shall be:

- A total of two months for the ITTF to send the results of the vote to the JTC 1 Secretariat and to the SC Secretariat, and for the latter to distribute it to its NBs;
- Not less than two and one-half months prior to the date of the ballot resolution group meeting for distribution of the voting results and any comments;
- Not later than one month after the ballot resolution group meeting for distributions by the SC Secretariat of the final report and the final DTR text in case of acceptance.

**16.5.13** If the proposed DTR is accepted and published, its maintenance will be handled by JTC 1.

**16.5.14** Subsequent revisions shall be in the format prescribed by the ISO/IEC Directives Part 2. In this case, the ITTF editor shall check the text received to ensure that it is in conformance with the ISO/IEC Directives Part 2. If modifications are considered necessary, the ITTF editor shall submit proposals for modification to the Project Editor for approval. No TR shall be published without such approval.

ITTF shall prepare a proof of the TR and send this to the Project Editor for endorsement. The only changes permissible at this stage are corrections of recognised errors in the revised text or of errors introduced by ITTF in preparing the proof.

Upon receipt of the endorsed proof from the Project Editor, ITTF shall make any final corrections required and proceed with publication of the TR.

## **17 International Standardised Profiles and Related Documents**

### **17.1 International Standardised Profiles (ISP)**

An ISP (see Form G24) is an internationally agreed-to, harmonised document which identifies a standard or group of standards, together with options and parameters, necessary to accomplish a function or set of functions (see ISO/IEC TR 10000-1).

An ISP includes the specification of one or more Profiles. Each Profile is a set of one or more base standards, and, where applicable, the identification of chosen classes, subsets, options and parameters of those base standards, necessary for accomplishing a particular function.

Profiles define combinations of base standards for the purpose of:

- Identifying the base standards, together with appropriate classes, subsets, options and parameters, which are necessary to accomplish identified functions for purposes such as interoperability;
- Providing a system of referencing the various uses of base standards which is meaningful to both users and suppliers;
- Providing a means to enhance the availability for procurement of consistent implementations of functionally defined groups of base standards, which are expected to be the major components of real application systems;



- Promoting uniformity in the development of conformance tests for systems that implement the functions associated with the Profiles.

## 17.2 Taxonomy of Profiles

**17.2.1** The Taxonomy is the structure and classification within which Profiles will fit. It gives a first-level specification of Profiles, including any determined technical constraints due to their position in the structure, it classifies them and it specifies a number of relationships between them.

**17.2.2** The process of drafting and approving ISPs requires a technical framework within which to operate. ISPs will, in general, be written, evaluated and used by experts in specific areas of standardisation. There is therefore a prima facie case for identifying classes of Profiles which correspond to these main areas of expertise. It is also the case that the subcommittee structure of ISO/IEC JTC 1 provides some clear pointers to where the boundaries between classes of Profiles should be made. These conceptual boundaries often coincide with real boundaries within implementations of real systems.

**17.2.3** Having defined such classes, there is then a need to make further subdivisions, related to the inherent real-world divisions of functionality which are supported by the base standards concerned. These sub-classes correspond to functional elements which are meaningful to both users and suppliers; they correspond to points where choices are made, such as whether or not to use/offer a particular subset of an application service, or which communications sub-network environment is to be accessed.

**17.2.4** The Taxonomy therefore provides a structure within which these choices can be made and recorded, and the embodiment of the Taxonomy is the structured identifier system. ISO/IEC TR 10000 provides the detail of this system.

## 17.3 ISP Preparation and Adoption

**17.3.1** The procedure for developing and publishing an ISP shall be as described in 12. Processing is the same as for a standard except for the terminology. At Stage 3, the document is called a proposed draft international standardised profile (PDISP) or final proposed draft international profile (FPDISP). At Stage 4, the document is called a final draft international standardised profile (FDISP).

**17.3.2** Organisations outside of JTC 1 that would like to submit a draft document for adoption as an ISP are invited to apply for recognition as a Publicly Available Specification (PAS) Submitter (see 14 and Annex M).

## 17.4 Explanatory Reports

An explanatory report shall be prepared by the originator of a PDISP and shall be submitted with the PDISP. In addition to general information about the PDISP, it contains sections covering the base standards referenced, registration requirements, relationship to other publications, profile purpose, PDISP development process, ISP content and format and other pertinent information.

# 18 Appointment and Operation of Registration Authorities

## 18.1 Overview

There is a need in the field of information technology for the unambiguous identification of objects to provide interoperability between information systems. Individual standards committees have defined, as part of their development of technical standards, classes of objects (e.g. fonts, coded character sets, protocols, etc.). Specific objects are the individual members of the class of objects (e.g. for the class of objects "fonts", the objects might be "Times", "Gothic", etc.), Registration is the process whereby unambiguous names are formally associated with objects. This may be done by an organisation, a standard or an automated facility.

## 18.2 Types of Structures for Registration

There are two types of structures for registration:

- A single international level registration, e.g. the JTC 1 Registration Authority used in conjunction with ISO 2375 for coded character sets



- A hierarchy of registration, e.g. as for International Code Designators (ICD) in ISO 6523, Data Interchange - Structures for the Identification of Organisations

In the case of registration through a single international level registration, all names for a given object class are chosen from a single, flat, naming domain. In the case of registration through a hierarchy, the highest level of registration partitions the naming domain and assigns the registration responsibility for each partition to a subordinate level. This process can be iterative, with the subordinate level partitioning its assigned naming domain further and assigning those partitions.

In both cases above, the highest level of registration can be an IS or a JTC 1 Registration Authority.

In the case of a hierarchy of registration,

- A subordinate level of registration can be performed by an organisation, standard or automated facility;
- There can be a requirement for a JTC 1 Registration Authority within the hierarchy to provide for the registration of objects at the international level.

### **18.3 Need for Registration and Registration Authorities**

**18.3.1** Technical groups developing technical standards shall make every attempt to avoid the necessity for registration and JTC 1 Registration Authorities in particular. Where this is not possible, technical groups shall attempt to satisfy their requirements through the use of existing registration processes (e.g. use of ISO 3166 by ISO/IEC 10021 and ISO/IEC 8348 Amd 2).

**18.3.2** All requirements for registration must be reviewed and concurred by JTC 1 (see 18.4.2). Procedure standards for JTC 1 Registration Authorities must also be reviewed and concurred by JTC 1 (see 18.4.2). Where registration is performed by a means other than a JTC 1 Registration Authority, JTC 1 must still assure the international integrity of the registration. This involves a review by JTC 1 of the documentation of the process by which other organisations, standards or automated facilities provide the registration and action by JTC 1 on an exception basis as required. This documentation may take the form of procedures to be included in the technical standard, reference to existing standards, or the creation of separate procedure standards.

### **18.4 Standards and Publications**

**18.4.1** For every type of registration involving a JTC 1 Registration Authority, two different standards are required. The first is the technical standard in which the objects to be registered are defined. The second shall define the procedure according to which the JTC 1 Registration Authority shall work and specify its duties and obligations. The procedure standard shall also specify an appeals procedure which shall be written by JTC 1 in consultation with the proposed JTC 1 Registration Authority and the ITTF.

**18.4.2** Where a new JTC 1 Registration Authority is required, the technical group responsible for the technical standard defining the objects to be registered shall develop the companion procedure standard. The group shall consult with JTC 1 at the beginning of the development of the procedure standard to discuss how the requirements in Annex E (see also 18.3) pertain to the class of objects to be registered. A draft of the procedure standard shall be registered for CD ballot at the time of DIS ballot of the technical standard.

### **18.5 JTC 1 Registration Authorities**

In cases where the implementation of an IS requires the designation of a JTC 1 registration authority, the rules in Annex E shall be applied.

## Annex A Secretariat Resources and Operational Requirements

### A1 Resources of a Secretariat

An NB to which a Secretariat has been assigned shall recognise that, no matter what arrangements it makes in its country to provide the required services, it is the NB itself that is ultimately responsible to Councils for the proper functioning of the Secretariat.

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

- facilities for typing in English or French, or both, and for any necessary reproduction of documents;
- preparation of adequate technical illustrations;
- registration and identification and use, with translation where necessary, of documents received in the official languages;
- updating and continuous supervision of the structure of the committee and its subsidiary bodies, if any;
- prompt dispatch of correspondence and documents;
- adequate communication facilities by telephone, facsimile, e-mail and web access;
- the ability to discharge the Secretariat's electronic document distribution responsibilities as defined in Annex H;
- arrangements and facilities for services during meetings, in collaboration with the host NB, as required;
- attendance of the Secretary at any meetings requiring the Secretary's presence, including JTC 1 or SC meetings, or both, editing committee meetings, WG meetings, and consultation with the Chairman as necessary;
- access by the Secretary to base ISs (see ISO/IEC Directives, Part 2), and to ISs, national standards and/or related documents in the field under consideration;
- access by the Secretary, when necessary, to experts capable of advising on technical issues in the IT field.

### A2 Qualifications of a Secretary

The individual appointed as Secretary shall

- have sufficient knowledge of English or French, or both;
- be familiar with these directives;
- be in a position to advise the committee and any subsidiary bodies on any point of procedure or drafting, after consultation with the ITTF if necessary;
- be aware of any decisions by Councils or TMB/SMB regarding the activities of JTC 1, SC, or WG for which the Secretary is responsible;
- be a good organiser and have training in and ability for managing and administering work, in order to organise and conduct the work of the committee and to promote active participation on the part of committee members and subsidiary bodies.

It is recommended that newly appointed Secretaries of SCs should make an early visit to the office of the ITTF in Geneva in order to discuss procedures and working methods with the staff concerned.

## Annex B

## JTC 1 Standards Development Stages

Stage	Standard	Amendment	Fast Track	Technical Report	ISP	Technical Corrigendum
Stage 0						
Stage 1 - Proposal Stage	NP	NP		NP	NP	
Stage 2 - Preparatory Stage	WD	WD		WD	WD	Defect Report
Stage 3 - Committee Stage	CD FCD	PDAM FPDAM		PDTR	PDISP FPDISP	DCOR
Stage 4 - Approval Stage	FDIS	FDAM	DIS	DTR	FDISP	
Stage 5 - Publication	IS	AMD	IS	TR	ISP	COR

### NOTES:

- 1) ***Prior to the WD stage, new work is introduced into the programme of work via either a New Work Item Proposal (NP) for JTC 1 letter ballot (see 6.2.1) or a programme subdivision document for JTC 1 endorsement (see 6.2.2). In the case of NPs which are developed by an SC, the approval ballot will be conducted at the subcommittee level (see 9.3)***
  - 2) ***NPs, CDs, FCDs, PDAMs, FPDAMs, PDTRs, PDISPs, FPDISPs and DCORs are balloted at the subcommittee level.***
  - 3) ***NPs and DTRs are balloted at the JTC 1 level.***
- DIS, FDIS, FDAMs and FDISPs are balloted at the ISO/IEC National Body level and the JTC 1 level using the combined voting procedure***
- 5) ***Subsequent to the publication of an IS, AMD or ISP, Technical Corrigenda may be published to correct technical defects which adversely affect implementation.***
  - 6) ***The text of each abbreviation is given in full on vii.***



## C1 Role of JTC 1 in Conformity Assessment<sup>1</sup>

In order to foster the overall objectives of JTC 1 standardisation and to promote consistent implementation of JTC 1 standards and ISPs, JTC 1 has resolved that it:

- serve as the focal point on Information Technology<sup>2</sup> standardisation activities related to the assessment of conformity<sup>3</sup> of products to JTC 1 International Standards and ISPs, and increase its focus on those activities;
- position itself to be a major contributor to international acceptance of conformity assessment procedures and specifications for IT related areas;
- work to support an environment which encourages worldwide recognition of conformity assessment results.

## C2 Authority and Responsibility

Consistent with the above resolution, the following policy has been affirmed.

**C2.1** JTC 1 has the authority and responsibility to make clear for each of its standards, technical reports and ISPs

- whether or not conformity or compliance<sup>4</sup> requirements are specified,
- to what or whom those requirements apply, and
- how to verify conformity or compliance<sup>4</sup> to those requirements.

**C2.2** It is the responsibility of each JTC 1 Subcommittee to ensure that any conformity requirements in its standards or ISPs for implementation in products are unambiguous and that conformity to those requirements is verifiable.

**C2.3** Each JTC 1 Subcommittee has the authority and responsibility to specify the conformity assessment methodology<sup>5</sup> applicable to any distinct area of Information Technology that is entirely within the scope of that Subcommittee.

## C3 Mutual Recognition

In the conformity assessment area, JTC 1's objectives include the facilitation of

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<sup>1</sup>Conformity Assessment is any activity concerned with determining directly or indirectly that relevant requirements are fulfilled [ISO/IEC Guide 2:1991/DAM 1:1994, 12.1].

<sup>2</sup>Information Technology as defined by the work program of JTC 1.

<sup>3</sup>Conformity is fulfilment by a product, process or service of specified requirements [ISO/IEC Guide 2:1991, 13.1].

<sup>4</sup>Compliance is adherence to those requirements contained in standards and technical reports which specify requirements to be fulfilled by other standards, technical reports or ISPs (e.g. reference models and methodologies). Compliance is not considered further in this policy statement.

<sup>5</sup>A conformity assessment methodology may include the specification of some or all of the following: terminology, basic concepts, requirements and guidance concerning test methods, test specification and means of testing, and requirements and guidance concerning the operation of conformity assessment services and the presentation of results.

- mutual recognition of accreditation, test reports, certification and registration in the IT field, primarily by developing appropriate standards, and
- recognition of Supplier's Declaration as a legitimate statement of conformity.

## **Annex D (Not used)**

*[Note: This annex designation is not used in this edition for consistency with the previous edition of these Directives. The procedures for ISP approval and maintenance, previously contained in Annex D, have been modified by JTC 1 and are now contained in the main body of these Directives.]*



## E1 Definitions

For the purpose of registration, the following definitions apply:

### **applicant**

An entity (organisation, individual etc.) which requests the assignment of a name for an object from a JTC 1 Registration Authority.

### **JTC 1 Registration Authority**

An organisation approved by ISO/IEC for performing international registration according to the rules for operation in 2.7.2 and the procedure guidelines in E2.

### **name**

The term "name" is used in its common English usage and refers generically to the terms "name," "address," "identifier," etc. used in specific JTC 1 standards.

### **naming domain**

The set of names that are assignable to objects.

[Note: Usually a naming domain is concerned with objects in a particular class.]

### **procedure standard**

The standard containing the specific procedures for the JTC 1 Registration Authority to follow.

### **register**

A set of files (paper, electronic, or a combination) containing the assigned names and the associated information.

### **registration**

The assignment of an unambiguous name to an object in a way which makes the assignment available to interested parties.

### **technical group**

The group in JTC 1 (e.g. an SC) responsible for the relevant technical standards.

### **technical role (of a JTC 1 Registration Authority)**

Recording definitions of the objects to which names are assigned and verifying that these definitions are in accordance with the IS defining the form of the definition.

### **technical standard**

The standard containing the definition of the classes of objects requiring registration.

## E2 Guidelines for Procedure Standards

### E2.1 Purpose

The purpose of this section is to provide guidance to technical groups concerning the elements which must be included in a JTC 1 Registration Authority procedure standard.

*[Note: Where JTC 1 Registration Authorities are not involved, portions of this section may also be useful in the work of the technical groups in assuring the international integrity of any registration, but are not normative.]*

### E2.2 Content of Procedure Standards

A procedure standard shall include definitions for:

- criteria for applicants for registration;
- information to be included on application including the technical definition of the object where applicable;
- steps involved in review and response to application including specific time frames;
- where not already included in the technical standard, a description of the naming domain, and the syntax of names used;
- criteria for rejection of applications, including (where applicable) procedures for the validation of object definitions;
- procedures for maintenance of register;
- if applicable, requirements for confidentiality of portions of the information;
- if applicable, procedures for publication of register.

### **E2.3 Criteria for Eligibility of Applicants for Registration**

The procedure standard shall define the criteria for applicants for registration. Choices may include any of the following:

- NBs or liaison organisations of ISO/IEC;
- a national or international standards committee or subcommittee, or group appointed by such a subcommittee or committee;
- other organisations meeting specific criteria defined by the technical standards body in the procedure standard.

### **E2.4 Applications for Registration**

The procedure standard shall define the information to be included with applications for registration. The minimum set of information is described in E2.13.2. Additional information can be specified. The format of the application shall be determined by the JTC 1 Registration Authority who may also require additional information to facilitate processing. The JTC 1 Registration Authority shall also provide tutorial material to assist applicants in preparing applications.

### **E2.5 Fees**

The types of fees and amounts shall not be included in the procedure standard.

### **E2.6 Review and Response to Applications**

The procedure standard shall define the process for the JTC 1 Registration Authority to review and respond to applications to ensure fairness and shall define the maximum time intervals between steps of the process.

Where the JTC 1 Registration Authority is expected to perform a technical role in determining conformance of the object to be registered to the technical standard, this role shall be defined in the procedure standard. The response to the applicant shall include information pertaining to the results of the technical review.

### **E2.7 Assignment of Names and Recording of Object Definitions**

The procedure standard shall describe the assignment process for names. The process shall be such that the assigned name is unique within the register. The assignment process also shall be such that the same name is not assigned to another object.

After the assignment has been made, the name and associated information shall be included in the register and the JTC 1 Registration Authority shall inform the applicant of the assignment in a timely manner (within the maximum response time specified in the procedure standard). In cases where the JTC 1 Registration Authority performs a technical role the object definition shall be recorded in the register at the time when the name is assigned. The procedure standard defines the process by which the object definition is validated.

## **E2.8 Naming Domain**

### **E2.8.1 General**

When not already defined in the technical standard, the procedure standard shall define the appropriate naming domain and name syntax from which the JTC 1 Registration Authority will assign names either directly or by reference to a separate specification.

Wherever possible, the naming domain should be open-ended to accommodate future registration requirements.

In addition, in selecting the naming domain, the following should be considered:

- the reservation of space for special assignments;
- the syntax from which the names are assigned;  
[Note: Names may be represented in one or several forms (e.g. numeric, alphabetic, alphanumeric, etc.). When several forms are prescribed, the various forms are considered equivalent. For example, in ISO 3166 there are "Alpha-2", "Alpha-3", and "Numeric" codes for the representation of names of countries.]
- when the syntax requires numeric values, the use of sequential assignment wherever possible, starting at some arbitrary value;
- the length of the name;
- the matching criteria to be used for determination of duplicate entries.

### **E2.8.2 Re-use of Names**

Depending on the volume of registrations anticipated, and technical and other considerations, re-use of names may be necessary. To be available for re-use, previously assigned names may either be given up voluntarily or be reclaimed (see E2.8.3). The procedure standard shall define whether:

- a name can never be re-used or;
- a name can be re-used after specific time period to identify another object.

If names may be given up voluntarily, the process by which this is done shall be described in the procedure standard.

### **E2.8.3 Reclamation**

If the JTC 1 Registration Authority is allowed to reclaim a name, the procedure standard shall list the conditions under which reclamation is allowed and the procedure for reclamation.

## **E2.9 Rejection of Applications**

The procedure standard shall define the criteria for rejection of applications. These criteria shall include the following as well as any additional criteria deemed necessary:

- ineligibility of applicant;
- the absence of proper fee;
- incomplete or incomprehensible information in application;
- the justification for inclusion in the register (as defined in the procedure standard) is not adequate;
- where the JTC 1 Registration Authority performs a technical role, the object to be registered does not conform to the technical definition.

In cases where applications are rejected for any reason, the procedure standard shall define the expected response time.

## **E2.10 Maintenance**

The procedure standard shall define the requirements that the JTC 1 Registration Authority should follow for maintenance of the register. At a minimum, these shall include:

- Mechanisms for maintaining the integrity of register including adequate backup (such as off-premises storage) and records retention requirements. In addition, there shall be provision for the owner of a name to provide updated information (see E2.13);
- Mechanisms for maintaining confidentiality of data elements where such confidentiality is required. The specific data elements requiring such confidentiality shall also be specified in the procedure standard.

*[Note: Additional requirements are covered in the contract between ITTF and the JTC 1 Registration Authority.]*

## **E2.11 Confidential Information**

Generally, the interests of the community of information technology users are best served if the register information is made public. In certain cases, however, there may be a need for confidentiality of some or all of the data pertinent to a particular registration, either permanently or for some portion of the registration process. If confidentiality is required, the procedure standard shall define such requirements. The JTC 1 Registration Authority shall ensure appropriate safeguards to protect the confidentiality of such information.

## **E2.12 Publication of the Register**

The procedure standard shall define whether the JTC 1 Registration Authority should provide for publication (electronic or paper) of the register as a requirement or as an option. Where publication is required, printed paper versions are mandatory. The publication shall be consistent with any requirements for confidentiality of any of the information.

If the JTC 1 Registration Authority is to provide publication, the JTC 1 Registration Authority shall keep accurate distribution records pertaining to its publications.

## **E2.13 Information Requirements**

The procedure standard shall specify the information contained in the register, and on forms associated with the registration process.

### **E2.13.1 Minimum Content of the Register**

At a minimum, the register shall contain:

- the assigned name;
- name of initial applicant;
- address of initial applicant;
- date of original assignment;
- date of last transfer of assignment, if allowed (updatable);
- name of current owner (updatable);
- address of current owner (updatable);
- if the owner is an organisation, the name, title, postal/e-mail address, telephone/facsimile number of a contact person within the organisation (updatable);
- date of last update (updatable);
- where required by the technical standard or the associated procedure standard, a technical definition of the object.

The procedure standard shall define additional register information relevant to the class of objects to be registered.

### **E2.13.2 Minimum Content of Forms**

The contents of forms (paper, electronic, or a combination of both) for Registration Application, Request for Update, Notification of Assignment or Update, and Rejection of Application shall include:

- name of applicant;
- address of applicant;
- if the applicant is an organisation, the name, title, postal/email address, telephone/facsimile number of a contact person within the organisation.

*[Note: There should be a correspondence between the data on these forms and the contents of the register.]*

Depending on the type of form, additional information to be included shall be:

- data to be updated, old and new values (Request for Update);
- authorisation to release specific data (Registration Application);
- any justification required for the assignment (Registration Application);
- reasons for action taken (Notification of Assignment or Update, and Rejection of Application);
- where required by the technical standard or the associated procedure standard, a technical definition of the object to be registered (Registration Application).

The procedure standard should define additional information relevant to the class of objects to be registered.

### **E2.14 Consultation with Other Groups**

The procedure standard shall indicate that the JTC 1 Registration Authority may consult with the technical group responsible for the technical standard and the associated procedure standard. In addition, it may consult with JTC 1.

### **E2.15 Dispute Resolution**

If there is dispute between an applicant and a JTC 1 Registration Authority, it is expected that the JTC 1 Registration Authority will make reasonable efforts to resolve the dispute. The procedure standard shall address any specific requirements for this informal process.

Additionally, to resolve the dispute, the procedure standard shall define a formal appeals process for use when the informal efforts to resolve the dispute fail. This appeals procedure shall be developed by JTC 1 with the Co-operation of the technical group responsible for the technical standard.

**Annex F (Not used)**

*[Note: This annex designation is not used in this edition for consistency with the previous edition of these Directives.]*



## Annex G Forms

*[Forms can be obtained on the JTC 1 web site by authorised participants under URL <http://www.JTC 1.org> ; first select committee JTC 1, then select TEMPLATES]*

The forms included in the following pages are those used according to the procedures laid down in these directives. As far as possible, they are grouped according to the development stages as defined in Annex B:

### Working Documents:

- G1** Cover page of a JTC 1 N-document (8.2)
- G2** Vote on a JTC 1 N-document (9.1)

### Stage

- G3** New work item proposal and project acceptance criteria (6.2.1.2)
- G4** Vote on a new work item proposal (6.2.1.3 & 9.3)

### Stage 1:

- G5** Defect report form (15.4.5)

### Stage 2:

- G6** Cover page of a JTC 1 CD (12.6.1.1)
- G7** Cover page of a JTC 1 FCD (12.6.1.2)
- G8** Vote on a JTC 1 CD or FCD (9.4.1, 12.6.1.2 & 12.6.1.3)
- G9** Vote on a JTC 1 DCOR (9.11)

### Stage 3:

- G9** Cover page of a JTC 1 FDIS (12.7.1.2)
- G10** Vote on a JTC 1 FDIS (9.7 & 12.7.1.2)

### Stage 4:

- G11** Explanatory report (12.6.3.9)
- G12** Cover page of a JTC 1 FDAM (15.5.2)
- G13** Vote on a JTC 1 FDAM (9.7 & 15.5.2)
- G14** Vote on a JTC 1 DTR (9.10)
- G15** Cover page of a JTC 1 FDISP (17.3.1)
- G16** Vote on a JTC 1 FDISP (9.7 & 17.3.1)
- G17** Cover page of a JTC 1 DIS for Fast-track (13.2)
- G18** Vote on a JTC 1 DIS (9.8 & 13.1)

### Stage 5:

- G20** Cover page of an International Standard (12)
- G21** Cover page of an Amendment (15.5.115.5.4)
- G22** Cover page of a Technical Corrigendum (0)
- G23** Cover page of a Technical Report (16.3.6)
- G24** Cover page of an International Standardised Profile (17.1)

### General

- G25** **Business Plan Template**
- G26** **RS Referencing Explanatory Report (RER) (Annex N)**
- G27** **Approved RS Originator ARO) (Annex N)**

**G1 N-Document Cover Page**

**ISO/IEC JTC 1/SC YY N XXXXX**

DATE: CCYY-MM-DD

Replaces JTC 1/SC YY N XXXXX

**ISO/IEC JTC 1/SC YY**

**Committee Title**

**Secretariat: National Body (Acronym)**

**DOC TYPE:**

**TITLE:**

**SOURCE:**

**PROJECT:**

**STATUS:**

**ACTION ID:**

**DUE DATE:**

**DISTRIBUTION:**

**MEDIUM:**

**NO. OF PAGES:**

Secretariat ISO/IEC JTC 1/SC YY - Address

Telephone: 1234567; Facsimile: 1234567; e-mail: [abcd@efgh.jkl](mailto:abcd@efgh.jkl)

## G2 N-Document Letter Ballot

### LETTER BALLOT

Document **ISO/IEC JTC 1/SC YY N XXXX**, Title

This letter ballot is to be returned by each "P" National Body to the JTC 1/SC YY Secretariat no later than CCYY-MM-DD.

\* We approve the above-referenced document as presented

OR

\* We approve the above-referenced document with the attached comments

OR

\* We disapprove the above-referenced document for the attached technical reasons

OR

\* We abstain from voting (P-members have an obligation to vote)

National Body: \_\_\_\_\_

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

\_\_\_\_\_

\* Delete whichever does not apply.

Secretariat ISO/IEC JTC 1/SC YY - Address

Telephone: 1234567; Facsimile: 1234567; e-mail: [abcd@efgh.jkl](mailto:abcd@efgh.jkl)

## G3 New Work Item Proposal

February 2004

### PROPOSAL FOR A NEW WORK ITEM

Date of presentation of proposal: YYYY-MM-DD	Proposer:
Secretariat: National Body	ISO/IEC JTC 1 N XXXX  ISO/IEC JTC 1/SC XX N XXX

A proposal for a new work item shall be submitted to the secretariat of the ISO/IEC joint technical committee concerned with a copy to the ISO Central Secretariat.

**Presentation of the proposal** - to be completed by the proposer. .

<b>Title</b> (subject to be covered and type of standard, e.g. terminology, method of test, performance requirements, etc.) Specification of Data Value Domain
<b>Scope</b> (and field of application)
<b>Purpose and justification</b> - attach a separate page as annex, if necessary
<p><b>Programme of work</b></p> <p>If the proposed new work item is approved, which of the following document(s) is (are) expected to be developed?</p> <p><input type="checkbox"/> a single International Standard</p> <p><input type="checkbox"/> more than one International Standard (expected number: ..... )</p> <p><input type="checkbox"/> a multi-part International Standard consisting of ..... parts</p> <p><input type="checkbox"/> an amendment or amendments to the following International Standard(s) .....</p> <p><input type="checkbox"/> a technical report , type .....</p> <p>And which standard development track is recommended for the approved new work item?</p> <p><input type="checkbox"/> a. Default Timeframe</p> <p><input type="checkbox"/> b. Accelerated Timeframe</p> <p><input type="checkbox"/> c. Extended Timeframe</p>
<b>Relevant documents to be considered</b>
<b>Co-operation and liaison</b>
<b>Preparatory work offered with target date(s)</b>
<b>Signature:</b>
<p>Will the service of a maintenance agency or registration authority be required? .....</p> <p>- If yes, have you identified a potential candidate? .....</p> <p>- If yes, indicate name .....</p> <p>Are there any known requirements for coding? .....</p> <p>-If yes, please specify on a separate page</p> <p>Does the proposed standard concern known patented items? .....</p> <p>- If yes, please provide full information in an annex</p>

**Comments and recommendations of the JTC 1 or SC XX Secretariat** - attach a separate page as an annex, if necessary

**Comments with respect to the proposal in general, and recommendations thereon:**

It is proposed to assign this new item to JTC 1/SC XX

**Voting on the proposal** - Each P-member of the ISO/IEC joint technical committee has an obligation to vote within the time limits laid down (normally three months after the date of circulation).

<b>Date of circulation:</b> YYYY-MM-DD	<b>Closing date for voting:</b> YYYY-MM-DD	<b>Signature of Secretary:</b>
---	---	--------------------------------

<b>NEW WORK ITEM PROPOSAL - PROJECT ACCEPTANCE CRITERIA</b>		
<b>Criterion</b>	<b>Validity</b>	<b>Explanation</b>
<b>A. Business Requirement</b>		
A.1 Market Requirement	Essential ___ Desirable ___ Supportive ___	
A.2 Regulatory Context	Essential ___ Desirable ___ Supportive ___ Not Relevant ___	
<b>B. Related Work</b>		
B.1 Completion/Maintenance of current standards	Yes ___ No ___	
B.2 Commitment to other organisation	Yes ___ No ___	
B.3 Other Source of standards	Yes ___ No ___	
<b>C. Technical Status</b>		
C.1 Mature Technology	Yes ___ No ___	
C.2 Prospective Technology	Yes ___ No ___	
C.3 Models/Tools	Yes ___ No ___	
<b>D. Conformity Assessment and Interoperability</b>		
D.1 Conformity Assessment	Yes ___ No ___	

D.2 Interoperability	Yes ___ No ___	
<b>E. Adaptability to Culture, Language, Human Functioning and Context of Use</b>		
<b>E.1 Cultural and Linguistic Adaptability</b>	Yes _____ No _____	
<b>E.2 Adaptability to Human Functioning and Context of Use</b>	Yes _____ No _____	
<b>F. Other Justification</b>		

## Notes to Proforma

**A. Business Relevance.** That which identifies market place relevance in terms of what problem is being solved and or need being addressed.

A.1 Market Requirement. When submitting a NP, the proposer shall identify the nature of the Market Requirement, assessing the extent to which it is essential, desirable or merely supportive of some other project.

A.2 Technical Regulation. If a Regulatory requirement is deemed to exist - e.g. for an area of public concern e.g. Information Security, Data protection, potentially leading to regulatory/public interest action based on the use of this voluntary international standard - the proposer shall identify this here.

**B. Related Work.** Aspects of the relationship of this NP to other areas of standardisation work shall be identified in this section.

B.1 Competition/Maintenance. If this NP is concerned with completing or maintaining existing standards, those concerned shall be identified here.

B.2 External Commitment. Groups, bodies, or for external to JTC 1 to which a commitment has been made by JTC for Co-operation and or collaboration on this NP shall be identified here.

B.3 External Std/Specification. If other activities creating standards or specifications in this topic area are known to exist or be planned, and which might be available to JTC 1 as PAS, they shall be identified here.

**C. Technical Status.** The proposer shall indicate here an assessment of the extent to which the proposed standard is supported by current technology.

C.1 Mature Technology. Indicate here the extent to which the technology is reasonably stable and ripe for standardisation.

C.2 Prospective Technology. If the NP is anticipatory in nature based on expected or forecasted need, this shall be indicated here.

C.3 Models/Tools. If the NP relates to the creation of supportive reference models or tools, this shall be indicated here.

**D. Conformity Assessment and Interoperability** Any other aspects of background information justifying this NP shall be indicated here.

D.1 Indicate here if Conformity Assessment is relevant to your project. If so, indicate how it is addressed in your project plan.

D.2 Indicate here if Interoperability is relevant to your project. If so, indicate how it is addressed in your project plan

## **E. Adaptability to Culture, Language, Human Functioning and Context of Use**

**NOTE: The following criteria do not mandate any feature for adaptability to culture, language, human functioning or context of use. The following criteria require that if any**



features are provided for adapting to culture, language, human functioning or context of use by the new Work Item proposal, then the proposer is required to identify these features.

**E.1 Cultural and Linguistic Adaptability.** Indicate here if cultural and natural language adaptability is applicable to your project. If so, indicate how it is addressed in your project plan.

ISO/IEC TR 19764 (Guidelines, methodology, and reference criteria for cultural and linguistic adaptability in information technology products) now defines it in a simplified way:

“ability for a product, while keeping its portability and interoperability properties, to:

- be internationalized, that is, be adapted to the special characteristics of natural languages and the commonly accepted rules for their use, or of cultures in a given geographical region;

- take into account the usual needs of any category of users, with the exception of specific needs related to physical constraints”

*Examples of characteristics of natural languages are: national characters and associated elements (such as hyphens, dashes, and punctuation marks), writing systems, correct transformation of characters, dates and measures, sorting and searching rules, coding of national entities (such as country and currency codes), presentation of telephone numbers and keyboard layouts. Related terms are localization, jurisdiction and multilingualism.*

**E.2 Adaptability to Human Functioning and Context of Use.** Indicate here whether the proposed standard takes into account diverse human functioning and diverse contexts of use. If so, indicate how it is addressed in your project plan.

**NOTE:**

1. Human functioning is defined by the World Health Organization at <http://www3.who.int/icf/beginners/bg.pdf> as:  
<<In ICF (*International Classification of Functioning, Disability and Health*), the term *functioning* refers to all body functions, activities and participation.>>
2. Content of use is defined in ISO 9241-11:1998 (*Ergonomic requirements for office work with visual display terminals (VDTs) – Part 11: Guidance on usability*) as:  
<<Users, tasks, equipment (hardware, software and materials), and the physical and societal environments in which a product is used.>>
3. Guidance for Standard Developers to address the needs of older persons and persons with disabilities).

**F. Other Justification** Any other aspects of background information justifying this NP shall be indicated here.

**G4 NP Letter Ballot**

**VOTE ON A PROPOSED NEW WORK ITEM**

ISO/IEC JTC 1 N XXXX

ISO/IEC JTC 1/SC N xxx

Date of Circulation of NP: CCYY-MM-DD

Date of Ballot Close: CCYY-MM-DD

Please return all votes and comments directly to the JTC 1/ (SC YY) Secretariat by the due date indicated.

**Proposal for a new work item on**

**Title**

Any proposal to add a new item to the programme of work shall be voted on by correspondence, even if it has appeared in the agenda of a meeting.

A. Vote		YES	NO	Comments
Q.1	Do you accept the proposal in document JTC 1 (SC) N XXXX as a sufficient definition of the new work item? (If you have responded "NO" to the above question, you are required to comment.)	_____	_____	_____
Q.2	Do you support the addition of the new work item to the programme of work of the joint technical committee?	_____	_____	_____
<b>B. Participation</b>				
Q.3	Do you commit yourself to participate in the development of this new work item?	_____	_____	_____
Q.4	Are you able to offer a project editor who will dedicate his/her efforts to the advancement and maintenance of this project? (If "YES," please identify .....)	_____	_____	_____
<b>C. Documentation</b>				
Q.5	Do you have a major contribution or a reference document ready for submittal?	_____	_____	_____
Q.6	Will you have such a contribution in ninety days?	_____	_____	_____
Q.7	Which standard development track is proposed	_____	_____	_____

P-member Voting:	Date:	Submitted by:
National Body _____	_____	Name _____

## G5 Defect Report

### DEFECT REPORT

The submitter of a defect report shall complete the items in Part 2 and shall send the form to the Convener or the Secretariat of the WG with which the relevant editor's group is associated.

The WG Convener or Secretariat shall complete the items in Part 1 and circulate the defect report for review and response by the appropriate defect editing group.

The defect editor shall complete Part 4 and submit the completed report to the Convener or the Secretariat of the WG.

<b>PART 1 - TO BE COMPLETED BY WG SECRETARIAT</b>
DEFECT REPORT NUMBER:
WG SECRETARIAT:
DATE CIRCULATED BY WG SECRETARIAT:
DEADLINE ON RESPONSE FROM EDITOR:

<b>PART 2 - TO BE COMPLETED BY SUBMITTER</b>
SUBMITTER:
FOR REVIEW BY:
DEFECT REPORT CONCERNING (number and title of International Standard or DIS final text):
QUALIFIER (e.g. error, omission, clarification required):
REFERENCES IN DOCUMENT (e.g. page, clause, figure, and/or table numbers):
NATURE OF DEFECT (complete, concise explanation of the perceived problem):
SOLUTION PROPOSED BY THE SUBMITTER (optional):

<b>PART 3 - EDITOR'S RESPONSE</b>
ANY MATERIAL PROPOSED FOR PROCESSING AS A TECHNICAL CORRIGENDUM TO, AN AMENDMENT TO, OR A COMMENTARY ON THE INTERNATIONAL STANDARD OR DIS FINAL TEXT IS ATTACHED TO THIS COMPLETED REPORT:

## G6 CD Cover Page

<b>Committee Draft ISO/IEC CD</b>	
Date: <b>CCYY-MM-DD</b>	Reference number: ISO/IEC JTC 1/SC YY N <b>XXXX</b>
Supersedes document SC YY N XXXX	

THIS DOCUMENT IS STILL UNDER STUDY AND SUBJECT TO CHANGE. IT SHOULD NOT BE USED FOR REFERENCE PURPOSES.

ISO/IEC JTC 1/SC YY Committee Title Secretariat: National Body (Acronym)	Circulated to P- and O-members, and to technical committees and organisations in liaison for: - discussion at - comment by - voting by (P-members only)  <b>CCYY-MM-DD</b>  Please return all votes and comments in electronic form directly to the SC YY Secretariat by the due date indicated.
---	---

ISO/IEC Title: Project: 1.xx.xx.xx.xx
---

Introductory note: Medium: No. of pages:
--

Address Reply to: Secretariat, ISO/IEC JTC 1/SC YY, Address  
Telephone: 1234567; Facsimile: 1234568; E-Mail: [abcd@efghi.jkl](mailto:abcd@efghi.jkl)

## G7 FCD Cover Page

<b>Final Committee Draft ISO/IEC FCD</b>	
Date: <b>CCYY-MM-DD</b>	Reference number: ISO/IEC JTC 1/SC YY N <b>XXXX</b>
Supersedes document SC YY N XXXX	

THIS DOCUMENT IS STILL UNDER STUDY AND SUBJECT TO CHANGE. IT SHOULD NOT BE USED FOR REFERENCE PURPOSES.

ISO/IEC JTC 1/SC YY Committee Title	Circulated to P- and O-members, and to technical committees and organisations in liaison for voting (P-members only) by:
Secretariat: National Body (Acronym)	<b>CCYY-MM-DD</b> Please return all votes and comments in electronic form directly to the SC YY Secretariat by the due date indicated.

ISO/IEC

Title:

Project: 1.xx.xx.xx.xx

Introductory note:

Medium:

No. of pages:

Address Reply to: Secretariat, ISO/IEC JTC 1/SC YY, Address  
Telephone: 1234567; Facsimile: 1234568; E-Mail: [abcd@efghi.jkl](mailto:abcd@efghi.jkl)

## G8 CD/FCD Letter Ballot

Vote on Committee Draft **ISO/IEC XXXXX**

Date of circulation: <b>CCYY-MM-DD</b>	Reference number ISO/IEC JTC 1/SC YY N XXXX
Closing date: <b>CCYY-MM-DD</b>	

ISO/IEC JTC 1/SC YY Committee Title	Circulated to P-members of the committee for voting
Secretariat: National Body (Acronym)	Please return all votes and comments in electronic form directly to the SC YY Secretariat by the due date indicated.

ISO/IEC
Title:
Project: 1.xx.xx.xx.xx

**Vote:**

<input type="checkbox"/>	APPROVAL OF THE DRAFT AS PRESENTED
<input type="checkbox"/>	APPROVAL OF THE DRAFT WITH COMMENTS AS GIVEN ON THE ATTACHED
<input type="checkbox"/>	general:
<input type="checkbox"/>	technical:
<input type="checkbox"/>	editorial:
<input type="checkbox"/>	DISAPPROVAL OF THE DRAFT FOR REASONS ON THE ATTACHED
<input type="checkbox"/>	Acceptance of these reasons and appropriate changes in the text will change our vote to approval
<input type="checkbox"/>	ABSTENTION (FOR REASONS BELOW):

P-member voting:

National Body (Acronym)

Date:

CCYY-MM-DD

Submitted by:

Name

Address Reply to: Secretariat, ISO/IEC JTC 1/SC YY, Address  
Telephone: 1234567; Facsimile: 1234568; E-Mail: abcd@efghi.jkl

G9 FDIS Cover Page

FINAL  
DRAFT

INTERNATIONAL  
STANDARD

ISO/IEC  
FDIS  
00000-0

ISO/IEC JTC 1/SC 0

Secretariat: **XXX**

Voting begins on:  
**CCYY-MM-DD**

Voting terminates on:  
**CCYY-MM-DD**

---

**English general title —**

**Part 0:**

English part title

*Titre général en français —*

*Partie 0: Titre de partie en français*

IN ADDITION TO THEIR EVALUATION AS BEING ACCEPTABLE FOR INDUSTRIAL, TECHNOLOGICAL, COMMERCIAL AND USER PURPOSES, DRAFT INTERNATIONAL STANDARDS MAY ON OCCASION HAVE TO BE CONSIDERED IN THE LIGHT OF THEIR POTENTIAL TO BECOME STANDARDS TO WHICH REFERENCE MAY BE MADE IN NATIONAL REGULATIONS.

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Reference number



# G10 FDIS Letter Ballot

© ISO/IEC 1998



**VOTE ON  
FINAL  
DRAFT**

<b>VOTE ON ISO/IEC FDIS</b>	
Date	ISO/IEC JTC 1
National body	

Circulated to all national bodies for voting in accordance with 12.7.2 of the ISO/IEC JTC 1 Directives. All national bodies are invited to vote.

**P-members of the joint technical committee concerned have an obligation to vote.**

To cast a vote on a Final Draft International Standard, national bodies shall complete and sign this ballot paper, **and return it to the ISO Central Secretariat.**

If a national body votes affirmatively, it shall not submit comments. If a national body finds the FDIS unacceptable, it shall vote negatively and state the technical reasons.

## ISO/IEC FDIS

Title

**We approve the technical content of the draft as presented**

**We disapprove for the technical reasons stated**

Remarks:

**We abstain**

Signature

## G11 Explanatory Report

<b>EXPLANATORY REPORT</b>	<b>ISO/IEC</b>
ISO/IEC JTC 1/SC YY <b>N XXXX</b>	
Will supersede: SC YY N XXXX	Secretariat: National Body (Acronym)

This form should be sent to ITTF, together with the committee draft, by the secretariat of the joint technical committee or sub-committee concerned.

The accompanying document is submitted for circulation to member body vote as an FDIS, following consensus of the P-members of the committee obtained on:  CCYY-MM-DD  by postal ballot initiated on: CCYY-MM-DD
P-members in favour:  P-members voting against:  P-members abstaining:  P-members who did not vote:

Remarks:
Project: JTC 1.xx.xx.xx.xx
I hereby confirm that this draft meets the requirements of part 2 of the ISO/IEC Directives
Date: CCYY-MM-DD
Name and signature of secretary:

FINAL  
DRAFT

AMENDMENT

ISO/IEC  
00000-0:CCYY  
FDAM 0

ISO/IEC JTC 1/SC 0

Secretariat: **XXX**

Voting begins on:  
**CCYY-MM-DD**

Voting terminates on:  
**CCYY-MM-DD**

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**English general title —**

**Part 0:**

English part title

AMENDMENT 0

*Titre général en français —*

*Partie 0: Titre de partie en français*

*AMENDEMENT 0*

IN ADDITION TO THEIR EVALUATION AS BEING ACCEPTABLE FOR INDUSTRIAL, TECHNOLOGICAL, COMMERCIAL AND USER PURPOSES, DRAFT INTERNATIONAL STANDARDS MAY ON OCCASION HAVE TO BE CONSIDERED IN THE LIGHT OF THEIR POTENTIAL TO BECOME STANDARDS TO WHICH REFERENCE MAY BE MADE IN NATIONAL REGULATIONS.

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Reference number

# G13 FDAM Letter Ballot

© ISO/IEC 1998



**VOTE ON  
FINAL  
DRAFT**

<b>VOTE ON ISO/IEC FDAM</b>	
Date	ISO/IEC JTC 1
National body	

Circulated to all national bodies for voting in accordance with 12.7.2 of the ISO/IEC JTC 1 Directives. All national bodies are invited to vote.

**P-members of the joint technical committee concerned have an obligation to vote.**

To cast a vote on a Final Draft Amendment, national bodies shall complete and sign this ballot paper, **and return it to the ISO Central Secretariat.**

If a national body votes affirmatively, it shall not submit comments. If a national body finds the FDAM unacceptable, it shall vote negatively and state the technical reasons.

## ISO/IEC FDAM

Title

**We approve the technical content of the draft as presented**

**We disapprove for the technical reasons stated**

Remarks:

**We abstain**

Signature

## G14 DTR Letter Ballot

### Vote on Draft Technical Report DTR XXXXX

Date of circulation: <b>CCYY-MM-DD</b>	Reference number ISO/IEC JTC 1 N XXXX
Closing date: <b>CCYY-MM-DD</b>	

ISO/IEC JTC 1 Information Technology	Circulated to P-members of the committee for voting
Secretariat: National Body (Acronym)	Please return all votes and comments in electronic form directly to the JTC 1 Secretariat by the due date indicated.

ISO/IEC
Title:
Project: 1.xx.xx.xx.xx

#### Vote:

<input type="checkbox"/>	APPROVAL OF THE DRAFT AS PRESENTED
<input type="checkbox"/>	APPROVAL OF THE DRAFT WITH COMMENTS AS GIVEN ON THE ATTACHED
<input type="checkbox"/>	general:
<input type="checkbox"/>	technical:
<input type="checkbox"/>	editorial:
<input type="checkbox"/>	DISAPPROVAL OF THE DRAFT FOR REASONS ON THE ATTACHED
<input type="checkbox"/>	Acceptance of these reasons and appropriate changes in the text will change our vote to approval
<input type="checkbox"/>	ABSTENTION (FOR REASONS BELOW):

P-member voting:

National Body (Acronym)

Date: CCYY-MM-DD

Submitted by:

Name

Address Reply to: Secretariat, ISO/IEC JTC 1/SC YY, Address  
Telephone: 1234567; Facsimile: 1234568; E-Mail: abcd@efghi.jkl

FINAL  
DRAFT

INTERNATIONAL  
STANDARDIZED  
PROFILE

ISO/IEC  
FDISP  
00000-0

ISO/IEC JTC 1/SC 0

Secretariat: **XXX**

Voting begins on:  
**CCYY-MM-DD**

Voting terminates on:  
**CCYY-MM-DD**

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**English general title —**

**Part 0:**

English part title

*Titre général en français —*

*Partie 0: Titre de partie en français*

IN ADDITION TO THEIR EVALUATION AS BEING ACCEPTABLE FOR INDUSTRIAL, TECHNOLOGICAL, COMMERCIAL AND USER PURPOSES, DRAFT INTERNATIONAL STANDARDS MAY ON OCCASION HAVE TO BE CONSIDERED IN THE LIGHT OF THEIR POTENTIAL TO BECOME STANDARDS TO WHICH REFERENCE MAY BE MADE IN NATIONAL REGULATIONS.

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Reference number  
ISO/IEC FDISP 00000-0:1998(E)

# G16 FDISP Letter Ballot

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**VOTE ON  
FINAL  
DRAFT**

<b>VOTE ON ISO/IEC FDISP</b>	
Date	ISO/IEC JTC 1
National body	

Circulated to all national bodies for voting in accordance with 12.7.2 of the ISO/IEC JTC 1 Directives. All national bodies are invited to vote.

**P-members of the joint technical committee concerned have an obligation to vote.**

To cast a vote on a Final Draft International Standardized Profile, national bodies shall complete and sign this ballot paper, **and return it to the ISO Central Secretariat.**

If a national body votes affirmatively, it shall not submit comments. If a national body finds the FDISP unacceptable, it shall vote negatively and state the technical reasons.

## ISO/IEC FDISP

Title

**We approve the technical content of the draft as presented**

**We disapprove for the technical reasons stated**

Remarks:

**We abstain**

Signature



## G17 Fast-track DIS Cover Page

### DRAFT INTERNATIONAL STANDARD ISO/IEC DIS 00000-00

Attributed to ISO/IEC JTC 1 by the Central Secretariat (see page ii)

Voting begins on  
CCYY-MM-DD

Voting terminates on  
CCYY-MM-DD

INTERNATIONAL  
INTERNATIONAL

ORGANISATION  
ELECTROTECHNICAL

FOR  
STANDARDIZATION  
COMMISSION

•

ORGANISATION  
COMMISSION

INTERNATIONALE  
ÉLECTROTECHNIQUE

DE

NORMALISATION  
INTERNATIONALE

# FAST-TRACK PROCEDURE

## General title E —

Part 00:

### Part title E

[Revision of xxx edition (ISO 00000:CCYY)]

*Titre général F —*

*Partie 00: Titre de partie F*

**To expedite distribution, this document is circulated as received from the committee secretariat.**

**Pour accélérer la distribution, le présent document est distribué tel qu'il est parvenu du secrétariat du comité.**

THIS DOCUMENT IS A DRAFT CIRCULATED FOR COMMENT AND APPROVAL. IT IS THEREFORE SUBJECT TO CHANGE AND MAY NOT BE REFERRED TO AS AN INTERNATIONAL STANDARD UNTIL PUBLISHED AS SUCH.

IN ADDITION TO THEIR EVALUATION AS BEING ACCEPTABLE FOR INDUSTRIAL, TECHNOLOGICAL, COMMERCIAL AND USER PURPOSES, DRAFT INTERNATIONAL STANDARDS MAY ON OCCASION HAVE TO BE CONSIDERED IN THE LIGHT OF THEIR POTENTIAL TO BECOME STANDARDS TO WHICH REFERENCE MAY BE MADE IN NATIONAL REGULATIONS.

© International Organisation for Standardization, CCYY  
International Electrotechnical Commission, CCYY

# G18 DIS Letter Ballot

© ISO/IEC CCYY



**VOTE ON  
ENQUIRY  
DRAFT**

<b>VOTE ON ISO/IEC DIS</b>	
Date	ISO/IEC JTC 1
National body	

Circulated to all national bodies for voting in accordance with the ISO/IEC JTC 1 Directives. All national bodies are invited to vote.

**P-members of the joint technical committee concerned have an obligation to vote.**

To cast a vote on a Draft International Standard, national bodies shall complete and sign this ballot paper, **and return it to the ISO Central Secretariat.**

If a national body votes affirmatively, it shall not submit comments. If a national body finds the DIS unacceptable, it shall vote negatively and state the technical reasons.

<b>ISO/IEC DIS</b>  Title
---------------------------------

**We approve the technical content of the draft**

as presented

with comments (editorial or other) appended

**We disapprove for the technical reasons stated**

The reasons for our disapproval are the following (use a separate page as annex, if necessary)

Acceptance of specified technical modifications will change our vote to approval

**We abstain**

Signature

## G19 DCOR Letter Ballot

### Vote on DCOR X to ISO/IEC XXXXX

Date of circulation: <b>CCYY-MM-DD</b>	Reference number ISO/IEC JTC 1/SC YY N XXXX
Closing date: <b>CCYY-MM-DD</b>	

ISO/IEC JTC 1/SC YY Committee Title	Circulated to P-members of the committee for voting
Secretariat: National Body (Acronym)	Please return all votes and comments in electronic form directly to the SC YY Secretariat by the due date indicated.

ISO/IEC
Title:
Project: 1.xx.xx.xx.xx

#### Vote:

<input type="checkbox"/>	APPROVAL OF THE DRAFT AS PRESENTED
<input type="checkbox"/>	APPROVAL OF THE DRAFT WITH COMMENTS AS GIVEN ON THE ATTACHED
<input type="checkbox"/>	general:
<input type="checkbox"/>	technical:
<input type="checkbox"/>	editorial:
<input type="checkbox"/>	DISAPPROVAL OF THE DRAFT FOR REASONS ON THE ATTACHED
<input type="checkbox"/>	Acceptance of these reasons and appropriate changes in the text will change our vote to approval
<input type="checkbox"/>	ABSTENTION (FOR REASONS BELOW):

P-member voting:

National Body (Acronym)

Date:

CCYY-MM-DD

Submitted by:

Name

Address Reply to: Secretariat, ISO/IEC JTC 1/SC YY, Address  
Telephone: 1234567; Facsimile: 1234568; E-Mail: [abcd@efghi.jkl](mailto:abcd@efghi.jkl)

INTERNATIONAL  
STANDARD

ISO/IEC  
00000-0

xxxxxxx edition  
CCYY-MM-DD

---

**English general title —**  
**Part 0:**  
English part title

*Titre général en français —*  
*Partie 0: Titre de partie en français*

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Reference number

INTERNATIONAL  
STANDARD

ISO/IEC  
00000-0

xxxxxxx edition  
CCYY-MM-DD

**AMENDMENT 0**  
CCYY-MM-DD

---

**English general title —**

**Part 0:**

English part title

AMENDMENT 0

*Titre général en français —*

*Partie 0: Titre de partie en français*

*AMENDEMENT 0*

---

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Reference number

## G22 Technical Corrigendum Cover Page

**INTERNATIONAL STANDARD ISO/IEC 00000:CCYY**

TECHNICAL CORRIGENDUM 0

Published CCYY-MM-DD

INTERNATIONAL ORGANISATION FOR STANDARDIZATION •  
INTERNATIONAL ELECTROTECHNICAL COMMISSION •

ORGANISATION INTERNATIONALE DE NORMALISATION  
COMMISSION ÉLECTROTECHNIQUE INTERNATIONALE

## English title

TECHNICAL CORRIGENDUM 0

*Titre français*

*RECTIFICATIF TECHNIQUE 0*

Technical Corrigendum 0 to International Standard ISO/IEC 00000:CCYY was prepared by Joint Technical Committee ISO/IEC JTC 1, *Titre du TC*, Subcommittee SC 0, *Titre du sous-comité*.

Début du texte du rectificatif

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ICS 00.000.000

Ref. No. ISO/IEC 00000:CCYY/Cor.0:CCYY(E)

**Descriptors:** xxxxxxxxxxx xxxxxx xxxxxxxxxxx xxxxxxxxxxx xxxxxxx, xxxx xxxxxxxxxxxxxxxxxxx xxxxxxxxxxx xxxxxxx xxxxx xx.

© ISO/IEC CCYY

Printed in Switzerland

TECHNICAL  
REPORT

ISO/IEC  
TR  
00000-0

xxxxxxx edition

CCYY-MM-DD

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**English general title —**

**Part 0:**

English part title

*Titre général en français —*

*Partie 0: Titre de partie en français*

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Reference number

INTERNATIONAL  
STANDARDIZED  
PROFILE

**ISO/IEC**  
**ISP**  
**00000-0**

xxxxxxx edition

CCYY-MM-DD

---

**English general title —**

**Part 0:**

English part title

*Titre général en français —*

*Partie 0: Titre de partie en français*

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Reference number



## **G25 JTC 1 or SC Business Plan**

### **BUSINESS PLAN FOR JTC 1 or JTC 1/SCxx**

The specific group to which this business plan relates including the full group and or subcommittee.

**Note:** Specific action requests identified by an SC shall be submitted separately to JTC 1 and not solely be a part of the business plan.

#### **PERIOD COVERED:**

The time frame to which this submission/update relates, indicating the month and year in full (from - to). This time frame would normally cover the period between plenary meetings of JTC 1 or of the SC to which this business plan applies.

The Business Plan should be approved by the committee to which the plan applies.

To address situations where SC plenary meetings are held out of phase with the JTC 1 Plenary, the period shall be the period between the SC Plenaries and use of the Chairman's Remarks (Section 1.1) is required. In this situation the Chairman's Remarks may be presented as a stand-alone document referencing the current Business Plan.

#### **SUBMITTED BY:**

The name of the JTC 1 or JTC 1/SC officer (Chairman or Secretariat) making the submission to the Plenary meeting.

### **1.0 MANAGEMENT SUMMARY**

#### **1.1 CHAIRMAN'S REMARKS**

When plenary dates for an SC and for JTC 1 are out of phase, the SC chairman's use of this section for updating JTC 1 on SC status is required as a means to reflect developments since the business plan was approved. This section may also be used for any other remarks the chairman believes pertinent in regards to the SC's Business Plan, its projects, opportunities, risks or new initiatives.

#### **1.2 JTC 1 and or JTC 1 SCxx STATEMENT OF SCOPE**

The current Scope of work approved for this specific group.

Should the Chairman wish to highlight need for a change of Scope, this is the place to make such a case followed up with the normal procedure for such action.

#### **1.3 PROJECT REPORT**

At this point include a pointer (url) to the appropriate Programme of Work link on the [www.jtc1.org](http://www.jtc1.org) SC page.

#### **1.4 CO-OPERATION AND COMPETITION**

Include here an analysis of the key players in the area pertaining to JTC 1 or its SC, in order to highlight any possibility for Co-operation with other JTC 1 SCs, ISO TCs or Industry Consortia/Fora. Also indicate agreed division of work or opportunities for projects of a complimentary nature. Identification of standards initiatives or de-facto standards shall be made that may be in direct competition with some of the projects.

### **2.0 PERIOD REVIEW**

This is the report from the Chairman of JTC 1 and or one of its SC's highlighting project progress, special considerations and or needs which were or were not met. This is where generic or specific comment

from the Chairman is to be made highlighting special items requiring visibility and action. The review shall focus on the following elements:

## **2.1 MARKET REQUIREMENTS**

Identification of key market trends, needs (anticipatory standards or voids) and determining factors for JTC 1's success in this area. Main fields and overall size of the market and any relevant quantitative market indicators should be noted.

## **2.2 ACHIEVEMENTS**

Highlight accomplishments reference work programme, target dates, corrective action and special circumstances.

## **2.3 RESOURCES**

Status of resource availability/commitment and the impact on projects, completion dates and priorities for the new work period.

## **2.4 ENVIRONMENTAL ISSUES**

(for SCs where environmental issues are relevant)

Environmental impact (resource consumption, energy consumption, pollution, waste generation...) over the whole life of the product from materials procurement to end of life.

## **2.5 PARTICIPATION METRICS**

Indicate the active participation of National Bodies in both meetings and balloting. In particular, note if the 50% voting participation requirement is being met.

## **3.0 FOCUS NEXT WORK PERIOD**

An identification of the direction and focus for the new work period leading up to the next plenary session. This section shall include information on following elements.

### **3.1 DELIVERABLES**

This shall indicate specific deliverables expected in the work period on a project level.

### **3.2 STRATEGIES**

A statement or statements related to strategic approaches required to accomplish goals and objectives.

#### **3.2.1 RISKS**

A definition of potential risk(s) involved with the strategy and the impact to the project or JTC 1. Risk(s) shall be defined for each strategy to be employed/included.

#### **3.2.2 OPPORTUNITIES**

An explanation of the related opportunity(ies) afforded by the strategy or envisioned due to trends and market developments.

### **3.3 WORK PROGRAMME PRIORITIES**

Based on the scope, market needs, strategies, resource availability and status of existing projects, provide an overview of the work programme priorities in capsule form. This should be as generic as possible with rationale provided to support the determination by the group involved.

#### **3.3.1 Archival Policy**

Indicate the SC (including WGs) policy for maintenance of archives.

## **G26 RS Referencing Explanatory Report (RER) Template**

SC \_\_\_\_\_

Date \_\_\_\_\_

RS Originator \_\_\_\_\_

RS Name and Identifier \_\_\_\_\_

Note: URLs to specific portions of an organization's web site are acceptable answers throughout this document.

### **1. Justification Statement**

This section shall address the following:

- A) What is the relationship of the proposed RS to existing or emerging international standards (and regional or other standards as appropriate)
- B) If the RS is competing with or complementing an existing or emerging international standard, what is the rationale for referencing the RS?
- B) What is the degree of market acceptance of the proposed RS?
- C) Why (or to what degree) is the transposition of the proposed RS into an IS inappropriate or impractical?

### **2. Co-operative stance**

This section shall address the following:

- A) Has the RS Originator been notified that JTC 1 is preparing to normatively reference the RS?
- B) Has the SC reviewed this RER with an authorized representative of the RS Originator?
- C) Has the RS Originator indicated any reluctance for JTC 1 to reference the RS?.

#### **2.1 Ongoing maintenance:**

This section should address the following:

- A) What arrangements have been made for the ongoing maintenance of the RS?
- B) Has consideration been given to maintenance of the RS if the RS Originator ceases operation? If so, what plans are in place to address this?

#### **2.2 Changes**

This section should address the following:

- A) What is the flexibility of the RS Originator to apply changes to the RS if so requested during the process of balloting the referencing standard?

#### **2.3 Availability of the referenced specification**

This section should address the following:

- A) What is the status of public availability<sup>6</sup> of the RS on fair, reasonable and nondiscriminatory terms and conditions?
- B) What is the URL or address where the RS Originator's specifications may be acquired?

### 3. Intellectual property rights

This section should address the following:

- A) Is the IPR policy of the RS Originator publicly available or attached to this application?
- B) Has the RS Originator reviewed this application for accuracy?

#### 3.1 Patents:

This section should address the following:

- A) Does the RS Originator meet the ISO/IEC policy on patent matters?
  - i) If not, what difference or differences should JTC 1 be aware of?

#### 3.2 Copyrights:

This section should address the following:

- A) What copyrights exist, and what copyrights is the RS Originator willing to grant, throughout both the evaluation and the publication cycle?
- B) Will the RS Originator allow the text of the RS to be attached to a JTC 1 ballot as part of the ballot package for the referencing specification?

#### 3.3 Trademark rights:

This section should address the following:

- A) What trademarks apply to the RS and with what conditions?

### 4. Quality

This section should address the following:

- A) Has the SC establish that the proposed RS is of adequate quality, considering topics such as the length of the time the specification has existed, whether products have been implemented using it, whether conformance requirements are clear, and whether the specification is readily and widely available?
- B) What is the current level of standardization as of the data of this RER?

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<sup>6</sup> Standards that are Publicly Available to implementers, evaluators and other interested parties for as long as the IS that references them is an active document are those which:

- May be obtained from the source organization by any person (with or without payment) simply by quoting the reference number given in the IS to the source organization or typical supplier.
- Are available in one of the official ISO and IEC languages from a publicly accessible source.
- Are available without contractual limitations relating to its evaluation (other than limitations reasonably intended to restrict duplication and redistribution) and without substantive contractual limits on implementation of the referenced material or the IS as a condition of obtaining access to the referenced material.

- Example: for IETF references, state what the level is - Best Current Practice, Proposed Standard , Draft Standard or Internet Standard

## G27 Approved RS Originator Organization (ARO) Template

Sponsor (SC or NB) \_\_\_\_\_

Date of Application \_\_\_\_\_

ARO Candidate Name \_\_\_\_\_

Note: URLs to specific portions of an organization's web site are acceptable answers throughout this document.

### 1. General Information about the ARO Candidate

This section shall address the following:

- A) A Brief History of the ARO Candidate
- B) The contact information and organizational structure of the ARO candidate.
- C) The scope of standardization work within the ARO Candidate.

### 2. Co-operative stance

This section shall address the following:

- A) Has the ARO candidate been notified that JTC 1 is preparing to consider the organization as an ARO?
- B) Has the ARO candidate indicated any reluctance for JTC 1 to consider the organization as an ARO.

#### 2.1 Ongoing maintenance:

This section should address the following:

- A) What arrangements have been made for the ongoing maintenance of the documents created by the ARO that are normatively referenced by JTC 1 standards?
- B) Has consideration been given to maintenance of the ARO candidate's standards if the ARO ceases operation?

#### 2.2 Changes

This section should address the following:

- A) What is the flexibility of the ARO candidate to apply changes to an RS if so requested during the process of balloting a referencing standard?

#### 2.3 Availability of the referenced specification

**This section should address the following:**

- A) What is the status of public availability<sup>7</sup> of the ARO candidate's specifications?**
- B) What is the URL or address where the ARO's specifications may be acquired?**

### **3 Intellectual property rights**

**This section should address the following:**

- A) Is the IPR policy of the ARO candidate publicly available or attached to this application?**

#### **3.1 Patents:**

**This section should address the following:**

- A) Does the ARO candidate meet the ISO/IEC policy on patent matters?**
  - i) If not, what difference or differences should JTC 1 be aware of?**

#### **3.2 Copyrights:**

**This section should address the following:**

- A) What copyrights exist, and what copyrights is the ARO candidate willing to grant, throughout both the evaluation and the publication cycle, of specifications developed by the ARO candidate?**
- B) Will the ARO candidate allow the text of the RS to be attached to a JTC 1 ballot as part of the ballot package for the referencing specification?**

#### **3.3 Trademark rights:**

**This section should address the following:**

- A) What trademarks apply to the ARO candidate's specifications and with what conditions?**

### **4 Quality**

**This section should address the following:**

- A) Has the sponsor (SC or NB) established that the ARO candidate's specifications are of adequate quality, considering topics such as the length of the time the organization and its specifications have existed, whether products have been implemented using the ARO candidate's specifications, whether conformance requirements are clear, and whether the specifications are readily and widely available.**

---

<sup>7</sup> Standards that are Publicly Available to implementers, evaluators and other interested parties for as long as the IS that references them is an active document are those which:

- May be obtained from the source organization by any person (with or without payment) simply by quoting the reference number given in the IS to the source organization or typical supplier.
- Are available in one of the official ISO and IEC languages from a publicly accessible source.
- Are available without contractual limitations relating to its evaluation (other than limitations reasonably intended to restrict duplication and redistribution) and without substantive contractual limits on implementation of the referenced material or the IS as a condition of obtaining access to the referenced material.

## 5 Review

- A) Has the sponsor reviewed this application with an authorized representative of the ARO candidate?



NOTE: This is written as a web-based document intended to be navigated with a web browser; it is included in this annex for information. If this document is updated, the current version will be on the world wide web and will be considered the official (controlling) document. The web-based version is available at URL <http://www.JTC 1.org/> (first select committee JTC 1, then select PROCEDURES).

## H1 Scope

Users and implementers of this policy should be aware of the philosophy change between diskette-based distribution and web-based distribution. Previously (with diskette distribution) users received documents with no action on their part. With web-based distribution, users are notified that new documents are available and they must then actively access or download them on their own initiative.

This document shall be used in conjunction with the ISO/IEC JTC 1 Directives (current edition) and in a manner that is consistent with the policies and procedures of the ISO Central Secretariat and the IEC Central Office. National laws and current ISO/IEC policies regarding copyright and intellectual property rights shall be respected.

This document should be used in conjunction with *Tips and Techniques Guide for JTC 1 Web-based Distribution* which provides important implementation guidelines for web authors and administrators.

Users of diskette and e-mail distribution mechanisms should refer to JTC 1 Policy on Electronic Document Distribution using diskettes and e-mail.

Related Documentation for Electronic Document Distribution:

- Strategy Recommendations from ISO/IEC JTC 1 ad hoc on IT Implementation Strategy
- Electronic Document Tips and Techniques Guide
- Tips and Techniques Guide for JTC 1 Web-based Distribution
- Transition Plan for IT Implementation
- IT Implementation timeline
- ISO ITSIG Guide

## H2 Medium

JTC 1 and SC documents shall be made available using the facilities of the World Wide Web (Web). The preferred distribution mechanism is via http protocol software (commonly referred to as web browsers). For the purposes of efficiency, ftp capability may be provided as an additional distribution mechanism at the discretion of the individual Secretariats.

## H3 Virus Checking

It is the responsibility of the webmaster and the Secretariat to use well maintained anti-virus software to verify that files are virus-free. End users also share the responsibility for an overall virus-free environment and are strongly encouraged to utilise up-to-date anti-virus software capable of scanning and verifying documents accessed via the Web.

It is the responsibility of *any* party, including the end user, to alert the Secretariat if it detects a virus in a distributed document. This will at least assist in minimising the spread of the infestation.

## H4 Document Preparation and Distribution

An Executive Summary or abstract shall accompany all standards as early as possible during development. Such a summary will especially be of value for the machine-readable standards.

## H4.1 Document Formats

The choice of the document format shall be a function of the type of document being distributed (i.e. revisable or non-revisable text). The following document formats are acceptable:

- Hypertext Markup Language (HTML) version 2.0 or 3.2
- Plain DOS Text file, encoded in ISO/IEC 8859-1
- Microsoft Word™ Version 2.0 - Word 97.

Notes:

1. This refers to the document format, NOT the version of Word used to create the document. Lower levels of Word documents may be created with higher levels of Word by using "save-as" instead of "save".
  2. Word version 2.0 is no longer an acceptable format to submit to ISO for printed publications.
- WordPerfect™ Version 5.1 - 7.0
  - Portable Document Format (PDF™) version 4.0  
Note: PDF is recommended only where there is a requirement for a non-revisable form of the document, e.g. circulation of FDIS text, or when PDF is the only choice as a result of the document development tool being used.
  - Rich Text Format (RTF)  
Note: RTF is to be used only as a last resort, acceptable if none of the other formats can be produced. It is *NOT* a preferred file format.
  - Excel 2000™

Annex HE lists recommended formats for many different types of documents. For all documents intended to be viewed on the web (including administrative documents such as agendas, SoVs, DoCs, meeting notices, etc), HTML is the preferred format.

It is recognised that in certain cases, standards documents may be prepared which utilise other formats to provide both human and machine readable content in the same document or standard. Specific JTC 1 approval to use such formats, in a normative manner, should be sought by the appropriate SC and such approval, if granted, does not remove the need to provide a copy of the human readable content for distribution in one of the formats above.

By itself, the use of one of the above file formats will not necessarily enable electronic documents to be successfully processed by a recipient. Guidance on avoiding problems and maximising the possibility of successful processing by the recipient of a document is contained in the *Tips and Techniques Guide for JTC 1 Web-based Distribution*. This guide should also be consulted for information on minimising problems associated with the selection of fonts and the use of international versions of software and languages.

For those documents whose final intended use is to be printed, Annex HA defines the common areas for both North American paper (8 1/2" x 11") and A4 paper.

### H4.1.1 Considerations for Upgrading Document Formats

Considerable problems can occur when changing application software versions. Secretariats should take the following into account when considering upgrading their applications:

- New Release Introduction - At least 6 months' notice shall be given prior to moving to a new release for a particular document format. Consideration prior to making this change should include:
  - Impact on users
  - Stability of the application software
  - Availability of national versions

- How the newest software will benefit the user and secretariat
- Approval Mechanism
- Rapporteur group makes recommendation including time and date of introduction
- JTC 1 NB approval
- Migration policy
- Dual support for at least 6-months shall be provided by the secretariat

## H4.2 Graphics and other Non-Textual Data

Graphics embedded in web-based revisable documents should be either GIF or JPEG formats. If a more robust graphics package is required the final graphic must be editable by the graphics application of the accepted word processing packages. In any case, the use of the PDF document format will allow for readability of the integrated document regardless of complexity.

For continuity and readability, graphics should be located at the appropriate location in the document, however they may be appended to the back of the document as alternative.

It is acknowledged that some documents, such as those prepared in Table and Tree Combined Notation (TTCN) are of value only when they are in machine-readable format. As the document formats listed in H4.1 will provide no usable version of the standard, those formats can be considered inappropriate in such situations.

## H4.3 Document Structure

Non-standards documents should be in single column format, which is more readable via electronic media.

Standards documents should conform to either of the following (as appropriate) concerning the rules for the presentation of ISs:

- ISO/IEC Directives, Part 2 - *Rules for the structure and drafting of International Standards*
- ISO/IEC JTC 1 Directives, Annex K - *Guide for ITU-T and ISO/IEC JTC 1 Co-operation*

Committees shall make use of the ISO/IEC forms supplied by the JTC 1 Secretariat and which are obtainable from JTC 1 Web and ftp sites.

Project editors are encouraged to make use of the templates provided by the ISO Central Secretariat, the IEC Central Office or the ITU-T Technical Standards Bureau as appropriate.

Annex HG is the overall Web Server Policy covering web page structure, web server content and web server maintenance.

## H4.4 Document Server Navigation Structure / Document Distribution

Each SC should define their navigational structure for document distribution. Only SC documents should be posted to the SC level web pages. All parent JTC 1 documents should be located on the JTC 1 web pages but can be referenced (e.g. linked to) by the SCs as needed. The home page URL (Universal Resource Locator) is <http://www.JTC.1.org>. Links to all SC home pages should be via the JTC 1 home page and vice versa.

Documents that are specified as "defined access" (*Def* in Annex HD) on the JTC 1 web site may be copied between JTC 1 and SC web sites in order to simplify distribution without the need for multiple passwords.

### H4.4.1 Directory Naming Schema

Knowledge of directory structure is not needed for navigation of the Web and its implementation is left to the discretion of the individual secretariats. The *Tips and Techniques Guide for JTC 1 Web-based Distribution* document contains additional information which may aid the secretariat.

### H4.4.2 File Naming Schema

Files should be named according to the following criteria:

Each file name shall have no more than eight characters mnemonic.

If a document replaces an earlier document a new number shall be assigned (i.e. "n 346 Revised" is not permitted.)

Documents shall be named using the format YYnXXXXa.sss where:

- **YY** is the lowercase originating committee designator (j1 for JTC 1; 07 for SC 7, etc.)
- **nXXXX** is the letter "n" followed by a four-digit numeric document number. If a document number is over 9999, **nXXXX** indicates the last four digits of the document number. Leading zeros shall be prepended for all document numbers less than 1000.
- **.SSS** is the lowercase software application identifier according to the following table

File Extension	Originating Application Program or File Type
.htm	ASCII text file containing valid HTML tags suitable for direct viewing by a web browser such as Netscape Navigator or Internet Explorer
.txt	Plain DOS Text file, encoded in ISO/IEC 8859-1
.doc	Microsoft Word <sup>TM</sup> format
.wp	WordPerfect <sup>TM</sup> format
.xls	Microsoft Excel <sup>TM</sup> format
.pdf	Portable Document Format <sup>TM</sup> Note: PDF is recommended only where there is a requirement for a non-revisable form of the document, e.g. circulation of FDIS text, or when PDF is the only choice as a result of the document development tool being used.
.rtf	Rich Text Format  Note: RTF is <i>NOT</i> a preferred file format. It is to be used only as a last resort, acceptable if none of the other formats can be produced.
.zip	Compressed archive file created by PKZIP <sup>TM</sup> or WINZIP <sup>TM</sup>  Note: The ZIP file type is intended for block distribution, as a single file, of multiple files of the other types.

- **a** identifies specific file categories according to the following table:

c	Cover Sheet	Where possible all document categories should be combined into a single document (or zipped file) with no category letter. The use of categories should be used only for complex documents where no other option exists
b	Ballot form	
t	Ballot Text	
e	Explanatory Text	
m	multiple file designator	If documents are prepared in multiple files (e.g. cross references, an index, or a table of contents created by combinations of master documents and sub documents), master documents should be named using the format YYnXXXXm.sss where YYnXXXX and .SSS are as defined above and <i>m</i> is the letter m. The author should name subdocuments as meaningfully as possible.

*	document element	For those instances where the elements of a document are stored in multiple files (e.g. annexes, graphics, etc), the files corresponding to these elements shall be named using the format <i>YYnXXXX*.SSS</i> where <i>YYnXXXX</i> and <i>.SSS</i> are as defined above and where <i>*</i> is the numerical serial number (1-9) of the multiple files of the same format.
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Annex HB of this document provides examples of valid file names.

#### H4.4.3 Document Register Log

On the web site, a master document register log will be maintained in descending order (most recent document first), allowing for character string search of the register. This file will satisfy the requirement of a document register to be issued as per the ISO/IEC JTC 1 Directives.

To enable easier downloading of the register for local use, the register will also be organised in 50 document increments. The document register will contain those elements of the cover sheet deemed to be useful for document identification as defined below. The hyperlinked register will, when selected, provide a copy of the document to those with authorised access.

The secretariat shall ensure that the document register contains the following information. Cover sheets to documents shall contain a formatted version of this information per the JTC 1 Revised Electronic Document Templates Guide.

1. Committee designator ("j1" for JTC 1; "07" for SC 7)
2. Numeric Document number (without the "n" prefix)
3. Backward pointer (i.e. "Replaces N 346")
4. Document type
5. Date document placed on server ("CCYY-MM-DD")
6. Document title (Appropriately descriptive and including the specific technical topic)
7. Due date (if applicable) ("CCYY-MM-DD")
8. Approximate number of pages in document
9. Source
10. Project number
11. Status (brief description)
12. Action identifier
13. Approximate file size in kB (or MB)
14. Language used (as defined in ISO 639-2)
15. Optional field (used for additional references, alternative sequence designators, etc.)
16. Document access level (See [Annex HD](#))

#### H4.4.4 Announcement of Document Availability

Notice of newly posted documents to the web shall be announced via an e-mail message to the designated electronic distribution list as described in H6.1. The e-mail message shall contain the following:

1. Committee
2. Date of posting ("CCYY-MM-DD")
3. Sequential issue serial number (i.e. Issue 001)
4. Document numbers found on the issue

5. (e.g. "N 17, 19, 21"; "N 25-30"; or "Documents in the range of N 100-150")
6. Applicable segment of the document Register Log as defined above.

The Secretariat should work toward posting all new documents together in a "batched mailer" such that a group of documents can be downloaded together. Secretariats are strongly encouraged to provide meeting agendas that are hyperlinked with all posted documents placed in a single folder for download prior to the meeting.

#### **H4.4.5 Use of Log File Data**

The applicable segment of the Document Register Log included in the announcement shall be provided to the National Bodies for their use. Secretariats shall use this information, formatted according to *JTC 1 Revised Electronic Document Templates Guide*, to create applicable coversheets.

#### **H4.5 Web Site Document Retention and Archiving**

Documents shall be retained on the Web Site for two years or two Plenary cycles, whichever is greater. After this, documents may be removed from the Web but shall be available from the secretariat in a format of its choice. Alternatively the out of date documents may be retained in a compressed form. The use of CD ROMs to provide collections of documents on an annual or other basis is encouraged as another mechanism for archival of out of date documents.

#### **H5 Compression Utilities**

Compression may be used if so agreed by the recipients of the file distribution. Compression should be considered if a file or block of files is more than 500K bytes. When compression is used, it shall be compatible with PKZIP™. Refer to *Tips and Techniques Guide for JTC 1 Web-based Distribution* for how to address directory structures if applicable.

#### **H6 Direct Electronic Distribution**

##### **H6.1 E-mail Lists**

Each Secretariat shall establish a list of electronic mail (e-mail) addresses that replicates the committee's formal distribution list as defined in section 8.3 of these Directives, together with appropriate committee officers. Any member that does not have an e-mail address may be listed with a facsimile number.

In some instances, and only upon written confirmation of the member, responsibility for receipt and distribution of documents may be delegated to the member's Head of Delegation or other identified expert.

Secretariats may establish a separate distribution list including additional addresses (i.e. individual experts, etc.) for exchange of less formal documents. Registered experts on such mailing lists still require their national body agreement to gain regular access to formal documents.

##### **H6.2 Encoding Utilities**

At this time, there is no expectation that encoding utilities will be needed for this medium.

##### **H6.3 Electronic Balloting**

The JTC 1 Secretariat will investigate procedures for electronic responses to letter ballots. The process should take advantage of hyperlinking the letter ballot logs to the letter ballots themselves. National bodies should be able to respond directly via the web to submit their letter ballot response. The Secretariat is empowered to make use of IT technology for automatic letter ballot tabulation.

#### **H7 Access Control to JTC 1 documents**

##### **H7.1 Open and restricted documents**

ISO, IEC and JTC 1 policies require that while some information is publicly available, other information must be kept private to defined recipients. Document availability is defined in Annex HD.

## **H7.2 Access control**

Privacy arrangements (using password and/or ID protection) shall be incorporated into Web sites where appropriate to meet these policies. When ftp capabilities are provided as an additional distribution mechanism, the same password/ID combinations should work no matter which method is used.

## **H7.3 Password control**

Document protection must include regular password changes, notified to designated recipients in a secure manner. Changes should be made once or twice per plenary cycle and at other times if a security breach occurs.

When passwords are about to be changed, an e-mail message containing the new password shall be sent to the distribution list as defined in H6.1. The e-mail notification should be sent sufficiently far in advance of the change so that authorised participants at the national body level will have received notice of the change by the time it is effective. Alternatively, if the responsible secretariat has the capability, an overlap of passwords during the change may be implemented.

Embedded passwords at the document level (e.g. use of passwords within documents) shall not be used. The document shall be freely readable without a password once it has been downloaded. This does not preclude the use of a password in order to be able to download or access the document in the first place.

**Annex HA  
Text Area for A4 and North American Paper Sizes**

Paper	A4	North American
Size	210 mm wide 297 mm high	216 mm wide, (8 1/2" wide) 279 mm high , (11" high)
MAXIMUM common text area for each paper size	177 mm wide 256 mm high	179 mm (7.05") wide 253 mm (9.96") high
Minimum Margins for placing a common text area	Top 13 mm Bottom 28 mm Left 20 mm Right 13 mm	Top 13 mm Bottom 13 mm Left 20 mm Right 17 mm

Symmetrical margins which are more generous than the above minimum margins enhance electronic readability.

**Annex HB  
Examples of Valid File Names**

Files associated with Document n8888 originating in SC6	<ul style="list-style-type: none"> <li>• 06n88881.doc Annex A to SC 6 n 8888 (in Microsoft Word™)</li> <li>• 06n88882.doc Annex B to SC 6 n 8888(in Microsoft Word™)</li> <li>• 06n88883.doc Annex C to SC 6 n 8888 (in Microsoft Word™)</li> <li>• 06n88884.doc Annex D to SC 6 n 8888 (in Microsoft Word™)</li> <li>• 06n8888c.rtf Cover sheet for SC 6 n 8888 (in RTF)</li> <li>• 06n8888.zip - file containing all of the above in ZIP'd format</li> </ul>
Files associated with Document n9999 originating in SC7	<ul style="list-style-type: none"> <li>• 7n99991.doc Pages 1-50 of SC 7 n 9999 (in Microsoft Word™)</li> <li>• 7n99992.txt Pages 51-75 of SC 7 n 9999 (in text)</li> <li>• 7n99993.xls Pages 76-78 of SC 7 n 9999 (in Excel)</li> <li>• 7n9999c.rtf Cover sheet for SC 7 n 9999 (in RTF)</li> </ul>
Files associated with Document n0000 originating in SC 6	<ul style="list-style-type: none"> <li>• 6n0000.txt SC 6 n 10,000 (in text)</li> <li>• 6n0000b.doc Ballot form for SC 6 n 10,000 (in Microsoft Word™)</li> <li>• 6n0000c.doc Cover sheet for SC 6 n 10,000 (in Microsoft Word™)</li> </ul>
Files associated with Document n1111 originating in SC27	<ul style="list-style-type: none"> <li>• 271111c.wp Cover sheet for SC 27 n 1111 (in WordPerfect™)</li> <li>• 2711111.wp Pages 1-40 for SC 27 n 1111 (in WordPerfect™)</li> <li>• 2711112.wp Annex A-C for SC 27 n 1111 (in WordPerfect™)</li> <li>• 2711113.pdf Annex D for SC 27 n 1111 (in PDF)</li> </ul>
Files associated with n2222 originating in JTC 1	<ul style="list-style-type: none"> <li>• J12222.rtf JTC 1 n 2222, including cover sheet (in RTF)</li> </ul>

**Annex HC  
8859-1 Character Set**

**Annex HD  
Document Access Classification List**

Document Classification/Type	Action Identifier	Acceptable Forms of Distribution
<b>Official Publications</b>		



Procedural Documentation	FYI	P, Open
ISO TC Communiqué	FYI	P, Open
Published International Standard	FYI	Defined by ISO/IEC
Published Amendment	FYI	Defined by ISO/IEC
Published Technical Report	FYI	Defined by ISO/IEC
Published Technical Corrigendum	FYI	Defined by ISO/IEC
<b>Project-related Documents</b>		
Proposed NP (proposal under review by WG or SC)	COM or LB	P, Open*
Text for NP ballot (text submitted to JTC 1 for ballot)	LB	P, Open*
Working Draft Text (for information or comment)	FYI or COM	P, Open*
Working Draft Amendment Text (for information or comment)	FYI or COM	P, Open*
Working Draft Technical Report Text (for information or comment)	FYI or COM	P, Open*
Text for CD ballot or comment	LB or COM	P, Open*
Text for PDAM ballot or comment	LB or COM	P, Open*
Text for PDTR ballot or comment	LB or COM	P, Open*
Text for PDISP ballot or comment	LB or COM	P, Open*
Defect Report	COM	P, Open*
Text for DIS ballot (Fast Track document)	ITTF	Def
Text for DAM ballot (Fast Track document)	ITTF	Def
Text for DTR ballot	LB	P, Def
Text for DISP ballot	ITTF	P, Def
Text for DCOR ballot	LB	P, Def
Text for FCD ballot	LB	open*
Text for FPDAM ballot	LB	open*
Text for FDIS ballot	ITTF	Def
Text for FDAM ballot	ITTF	Def
Revised DIS text for review (Fast Track/PAS document)	ACT	Def
Revised DAM text for review (Fast Track/PAS document)	ACT	Def
Revised DTR text for NB review or ITU-T action	FYI	P, Def
Revised DCOR text for NB review or ITU-T action	FYI	P, Def
Final Text Submitted for IS Publication	ITTF	P, Def
Final Text Submitted for AMD Publication	ITTF	P, Def
Final Text Submitted for TR Publication	ITTF	P, Def
Final Text Submitted for ISP Publication	ITTF	P, Def
Final Text Submitted for COR Publication	ITTF	P, Def
Summary of Voting/Table of Replies	FYI or ACT	P, Def
Disposition of Comments	FYI or COM	P, Def
Instructions to editor	ACT	P, Def
Notice of Publication	FYI	P, Open

National Body Contribution	FYI, COM, or ACT	P, Def
Officer's Contribution (Contribution from Chairman, Convener, Rapporteur, etc.)	FYI or COM	P, Def
Liaison Organisation Contribution	FYI, COM, or ACT	P, Def
Outgoing Liaison Statement	FYI or ACT	P, Def
Request for Periodic Review	ACT	P, Def
<b>Administrative Documents</b>		
Document Register	FYI	P, Open
Management Report	FYI	P, Open
Secretariat Report	FYI or ACT	P, Open
Programme of Work	FYI or ACT	P, Open
Programme Extension Document	ACT	P, Open
Standing Document	FYI	P, Open
Meeting Announcement	FYI or ACT	P, Open
Meeting Agenda	FYI	P, Open
Call for delegates	ACT	P, Open
Logistical information for meeting	FYI	P, Open
Meeting Report	FYI	P, Open
Resolutions	FYI	P, Open
Call for officer	ACT	P, Def
Vote on officer nomination	LB	P, Def
Notification of appointment of officer	FYI	P, Open
Information from SC Secretariat	FYI, COM, or ACT	P, Def
Information from JTC 1 Secretariat	FYI or COM	P, Def
Information from ISO Central Secretariat	FYI or COM	varies
Information from IEC Central Office	FYI or COM	varies
Information from ITTF	FYI or COM	varies
Press Release	FYI	P, Open
National Body Activity Report	FYI	P, Def
Request for comments	COM	P, Def
Other document	varies	varies

### Action Identifiers

Identifier	Action	Examples
LB	TC or SC letter ballot	<ul style="list-style-type: none"> <li>NP/CD/PDAM/PDTR for ballot</li> </ul>

COM	For comment	<ul style="list-style-type: none"> <li>• WD/CD for comment</li> <li>• Strategic Plan</li> <li>• New procedural document</li> </ul>
ACT	Action required by identified group	<ul style="list-style-type: none"> <li>• Summary of Voting for consideration at Editing Meeting</li> <li>• National Body Contribution</li> <li>• Incoming Liaison Statement for consideration at WG meeting</li> </ul>
ITTF	ITTF action expected	<ul style="list-style-type: none"> <li>• Revised CD/PDAM to ITTF for DIS/DAM registration</li> <li>• Revised DIS/DAM/DTR/DCOR to ITTF for publication</li> </ul>
FYI	For information	<ul style="list-style-type: none"> <li>• Document Register</li> <li>• Disposition of Comments</li> <li>• Meeting Report</li> </ul>

### Acceptable Forms of Document Distribution

Abbreviation	Definition
P	Paper (only for those without Web access)
Def	Defined-access FTP or WWW site (access limited to participants in the ISO system*)
Open	Open-access FTP or WWW site (no restrictions or passwords required)
Open*	Open-access FTP or WWW site during the trial approved by ISO Council in January 1997

\* The ISO standardisation process encourages the widest possible dissemination of the working documents needed for preparing standards free of charge within the ISO system to ensure that all interested parties have the opportunity to contribute to the development of a standard. In this context, the ISO system should be understood to mean the member bodies of ISO, specifically those who have elected to be P-members of a particular ISO committee (although O-members and non-members are entitled to receive documentation on request), liaison organisations, the delegates accredited by ISO members and liaison organisation to participate in committee meetings, experts appointed to ISO working groups, members of national committees corresponding to an ISO committee and their sponsoring organisations (e.g. trade associations, government departments, etc.). ISO/TC/SC working documents are not intended for free distribution outside the ISO system as defined above. It may be noted that the POCOSA agreement allows the member bodies to sell TC/SC working documents to those outside the system.

### Annex HE Table of Recommended Formats

As there are different acceptable document formats, the following table of recommended document formats is based on the intended use of the final document.

Intended Use of Final Document	Document Format					
	HTML	TXT	DOC	WP	PDF	RTF
Simple Administrative Document	HR	HR	P	P	-	NR
Simple Technical	P	HR	P	P	P	NR
ISO/IEC Standard in preparation	P	NR	HR	HR	P	NR
Joint ISO/IEC and ITU-T Standard/Recommendation in Preparation	NR	NR	HR	P	NR	NR
Document intended for Web page browsing	HR	P	P	NR	NR	NR
Complex * document in revisable form	P	NR	HR	HR	NR	NR

Complex document in non-revisable form	NR	NR	NR	NR	HR	NR
Document needing template as defined in this document	IA	IA	IA	IA	NR	IA
		<b>KEY</b> <ul style="list-style-type: none"> <li>• <b>HR</b> Highly recommended</li> <li>• <b>P</b> Possible/Plausible</li> <li>• <b>IA</b> If template available</li> <li>• <b>NR</b> Not recommended - No guidance</li> </ul>				

\* Complex: Denotes the use of other than simple tables or graphics. Possibly also a function of volume/structure.

## Annex HF Glossary of Terms

This is not a formal list of terms and definitions as found in most standards, but where appropriate, suitable definitions from existing vocabularies are cited.

<b>ASCII</b>	coding for a small subset of characters consisting of the numbers 0-9, upper and lower case letters a-z without diacritical marks, and simple punctuation normally used for creating simple text files equivalent to IEC 606
<b>browser</b>	computer program used to locate and display documents on the <i>World Wide Web</i>
<b>diskette or floppy disk</b>	small magnetic disk used for storage of data
<b>ftp</b>	abbreviation for File Transfer Protocol, the protocol used on the Internet for exchanging files
<b>FAQs</b>	abbreviation for Frequently Asked Questions, a document, often designed as a <i>hypertext</i> document, that answers questions on a technical topic
<b>home page</b>	main page of a web site, typically serving as an index or table of contents to other documents or services provided at the site
<b>hypertext</b>	database system in which various types of object (such as text, pictures, sound, video, programs) can be creatively linked to each other
<b>HTML</b>	abbreviation for Hypertext Markup Language, the authoring language used to create documents on the <i>World Wide Web</i> and is similar to <i>SGML</i> , although not strictly a subset
<b>Internet</b>	global, decentralised communications network connecting millions of computers, providing exchange of data, news and opinions
<b>link</b>	reference to another document permitting, in the case of the <i>World Wide Web</i> , direct access to the document referenced
<b>media</b>	<ul style="list-style-type: none"> <li>a. &lt;communications&gt; physical means of linking computers and similar devices together so that they can communicate (for example, cable, optical fibre)</li> <li>b. &lt;storage&gt; form and technology used to communicate information; for example, multimedia combines text, sound, pictures and video, all of which are different types of media</li> <li>c. objects on which data can be stored</li> </ul>
<b>PDF</b>	abbreviation for Portable Document Format, a file format developed by Adobe which captures formatting information from a variety of applications and makes it possible to transmit and display documents in an identical way, independent of the platform

## ANNEX HG ISO/IEC JTC 1 Web Server Policy

- I. **Web Page Structure:** The minimal structure of web based pages for JTC 1 and its SCs (jointly referred to simply as *committee*). It is *not* intended to dictate structure or content at the WG level.
- II. **Web Server Content:** The minimal structure/content of JTC 1 and SC web servers
- III. **Web Server Maintenance:** Policy concerning the maintenance of those web pages

It is expected that National Bodies and Committees will utilise this document as they begin their web-server implementation. Additional information is available in *Tips and Techniques for JTC 1 Web Pages*.

## I. Web Page Structure

Every JTC 1/SC web page shall contain the following structural elements:

(These elements may appear in any order, however it is highly recommended that the committee retain the same style for all pages within the committee's purview.)

1. **Title Block** (should have a common "look-and-feel" within the committee)
  - a. Title of committee with the ISO/IEC logo.
  - b. The page author and date created or last modified (preferably generated automatically)
  - c. A version number
  - d. Optional use of a common background image may also be employed.
  - e. Optional committee logo if desired
2. **Body** - contains information specific to the committee. The use of forward navigational pointers is highly recommended
3. **Web Master information** - who to contact for errors, suggestions, etc.
4. **Consistent Set of Back Pointers** (for example the Parent Committee main page, Committee web-page design guidelines, primary site information, etc.)

## II. Web Server Content

Each web server (JTC 1 and SC) shall provide the following, mandatory information in the form of web pages which conform to the common look and feel of the Web Page Structure appropriate to the committee.

1. Description of the Organisation Structure of the committee
2. Committee Membership (List of P, O, L members and the contact information for liaisons and rapporteurs)
3. Committee Meeting schedule
4. Next meeting information
  - a. Agenda
  - b. Venue
5. Programme of Work
6. A single document register for all committee documents
7. Personnel information on officers and members

Although optional, each secretariat is strongly encouraged to add the following information as appropriate.

1. Frequently Asked Questions (FAQ) Page
2. Ballot information
  - a. Due dates
  - b. Document number of balloted text
  - c. Document number of Summary of Voting
3. Procedures (which may simply point to the parent committee's procedures)
4. News and Press releases
5. Links to committee relevant Publications and Standards

6. Links to non-JTC 1 sites shall be done in such a way that it is obvious to the viewer that what is being viewed is *NOT* under the auspices or control of JTC 1. This is especially important in frame-based sites.

### III. Web Server Maintenance

#### 1. Open Access vs Defined Access Documents

The committee shall distinguish between open access vs defined access documents as per Annex HD.

#### 2. Password Protection

The server administrator shall provide appropriate limited access to non-members by use of group level passwords with appropriate notification to users. Non-members attempting to access protected pages shall be automatically replied to with a message stating the criteria for access.

#### 3. Data Integrity

a. Site shall be backed up automatically

b. All Documents shall contain authorship and timestamp information as defined in the Web Page Structure Title Block

The original document shall be considered the "source" document. NBs or committees may utilise the source document in a variety of ways:

a. By simply linking to it or e-mailing its URL (highly recommended in the event that there is no password involved)

b. Creating a new document with a unique document number representing a cover letter plus the content of the original document

c. NB mirroring of the original document

In the event of a difference in content between the original and the copy, the content of the original shall take preference. It is therefore up to the administrator of the mirror site or new document to ensure its integrity.

c. Site shall utilise virus checking - In the event a virus is detected, the files shall be cleaned prior to updating or retransmission and the original sender of the infected file notified of the infection.

#### 4. Document Registration, Retention and Archival

##### a. Hierarchy

Structured with a register list every 50<sup>th</sup> document

##### b. Access

- Each register shall show all Document numbers, title, date, due date, **including those produced by the committee before electronic documents were available.**

- Register entries shall be hot-linked to the actual documents **where available**

- Provisions shall be provided to download documents as a package (e.g. for documents with enclosures, annexes, drawings, embedded data, etc.)

- Provision shall be made for providing paper printouts of documents to those with no web access.

##### c. On-line Retention

Documents shall be retained for a minimum of two years or two complete plenary cycles, whichever is greater.

##### d. Archival

After the retention period, documents may be removed from on-line availability and shall be available from the secretariat in a format at the discretion of the secretariat. **All WGs and SCs shall formulate a policy for the maintenance of their archives and shall include this in their business plans and on**

**their web site together with information on the format in which the archived documents are available.**

**5. Use of Embedded Executable Code (e.g. Java, Active-X, etc) in HTML Documents**

a. Care should be taken to utilise only those constructs which can be viewed using all commonly available browsers.

This policy statement specifies the JTC 1 position on interoperability and clarifies the relationship between interoperability and conformity. It complements the JTC 1 policy statement on conformity assessment (see Annex C). For the purpose of this policy statement, interoperability is understood to be the ability of two or more IT systems to exchange information at one or more standardised interfaces and to make mutual use of the information that has been exchanged. An IT system is a set of IT resources providing services at one or more interfaces.

JTC 1 recognises that interoperability is a major user requirement which can be facilitated by standardisation. Accordingly JTC 1 accepts the responsibility to identify the key interfaces and produce the key IT standards at those interfaces (including the relevant content standards, e.g. ODA, SGML, CGM) to facilitate practical, timely and cost-effective interoperability, consistent with market requirements and current technologies.

Standards designed to facilitate interoperability need to specify clearly and unambiguously the conformity requirements that are essential to achieve the interoperability. Complexity and the number of options should be kept to a minimum and the implementability of the standards should be demonstrable. Verification of conformity to those standards should then give a high degree of confidence in the interoperability of IT systems using those standards. However, the confidence in interoperability given by conformity to one or more standards is not always sufficient and there may be need to use an interoperability assessment methodology in demonstrating interoperability between two or more IT systems in practice.

An assessment methodology for interoperability may include the specification of some or all of the following: terminology, basic concepts, requirements and guidance concerning test methods, the appropriate depth of testing, test specification and means of testing, and requirements and guidance concerning the operation of assessment services and the presentation of results. In technical areas where there is a conformity assessment methodology and an interoperability assessment methodology, the relationship between them must be specified.

JTC 1 has the authority and responsibility to clarify whether interoperability is intended to be facilitated by each JTC 1 standard and ISP, to what or whom the interoperability applies, how conformity is related to the provision of interoperability, and how to verify that interoperability is provided between relevant IT systems.

Each JTC 1 Subcommittee has the responsibility to ensure that standards produced by that Subcommittee for implementation in IT systems clarify whether interoperability should be facilitated by use of that standard, and how conformity to the standard is related to the provision of the interoperability.

Each JTC 1 Subcommittee has the authority and responsibility to specify or identify an interoperability assessment methodology, applicable to any distinct area of IT that is entirely within the scope of that Subcommittee.

RG-CAI has the authority and responsibility to advise JTC 1 on work that needs to be done relevant to assessment of interoperability for JTC 1 standards and ISPs. This may include IT specific interpretations of general ISO/IEC Guides as well as work specific to particular areas of IT not covered or inadequately covered by existing assessment methodologies.



## J1 Characteristics and Definition

### J1.1 Application Program Interface (API) Related Concepts

An API is a boundary across which application software uses facilities of programming languages to invoke services. These facilities may include procedures or operations, shared data objects and resolution of identifiers. A wide range of services may be required at an API to support applications. Different methods may be appropriate for documenting API specifications for different types of services.

The information flow across the API boundary is defined by the syntax and semantics of a particular programming language, such that the user of that language may access the services provided by the application platform on the other side of the boundary. This implies the specification of a mapping of the functions being made available by the application platform into the syntax and semantics of the programming language.

An API specification documents a service and/or service access method that is available at an interface between the application and an application platform.

An API specification may take the form of one of the following:

- a Programming language specification, which is a description of a language defined within the programme of work of SC 22, such as Fortran, Ada and C;
- b Language independent API specification, which is a description of a set of functionality in terms of semantics (in an abstract syntax) and abstract data types that can be bound to multiple programming languages;
- c Language specific API specification, which is a description of a set of functionality in terms of the syntax and data types of some programming language.

Language-independent API specifications are useful in defining specifications for invoking services at the API. The language independent specification serves primarily as the reference used to assure consistency across different language bindings. However, one or more language bindings to programming languages such as COBOL or C must also exist. Language specific API specifications are used by programmers, writing in a particular programming language, to invoke a service provided by the application platform. They may be used by a program to invoke a supporting service offered by another application software entity.

### J1.2 Level of Abstraction

The concept of "Level of Abstraction" is complex, with several (possibly non-conflicting) uses. Usage of "Level of Abstraction" implies variation in the amount of functionality offered to the calling program by each invocation.

The same service may be provided by multiple API specifications which differ in level of abstraction. For example, a less abstract API specification for X.400 electronic mail services may provide the application programmer substantial control over details of its interaction with the mail servers. On the other hand, a more abstract API specification may provide a simple, single subroutine call for sending a file as a mail message to a mailbox.

Under this usage, a more abstract API specification is easier to use than a less abstract specification provided that the conventions adopted in implementing the service are appropriate to the application. A less abstract API specification is used where there are application specific requirements relating to details of the interaction or the implementation.

Another usage of "Level of Abstraction" reflects the degree to which the implementation method is visible/invisible to the users of the API specification calls.

An API specification may reflect a pure abstraction driven only by the service requirements (e.g. a protocol independent network API specification), or it may reflect details of the implementation. These details may be associated with one of several alternative methods for service satisfaction (e.g. OSI, TCP/IP, or ISDN communication service API specification). The details could also reflect aspects of alternative platforms'

implementations. In this context, use of a more abstract API specification yields greater portability and implementation independence while a less abstract API specification may provide more control or improved performance.

The level of abstraction of API specification varies with the programming language and the abstractions inherent to the specific service. Therefore, a "uniform" level of abstraction across the set all API specifications is not appropriate.

## **J2 Methods and Components for JTC 1 API Work**

### **J2.1 Relation to Other Standards**

A standard API specification specifies a mapping between a programming language and the features of a particular service, and thereby provides access to that service from applications written in a particular programming language. Such a mapping is said to create a binding between the service and the programming language.

A standard API specification may be part of the standard that specifies the associated programming language, may be part of the standard that specifies the associated service, or may be a separate standard that refers to other standards that define the associated programming language and service. Thus, programming language standards can be considered as one kind of standard API specification.

The following policies apply:

J2.1.1. Standard API specifications shall identify the standards that specify the programming language and the service associated with it, if these are not specified by the standard API specification itself.

J2.1.2. Standard API specifications shall be consistent with, and shall avoid duplication of, requirements specified by the associated service and programming language standards.

J2.1.3. Where it can be expected that implementations will support bindings to a service for multiple programming languages, any requirements on interoperability between these bindings should be specified, including requirements on exchange of data values.

J2.1.4. Where it can be expected that implementations will support bindings to multiple services for a single programming language, any requirements on compatibility between these bindings should be specified, including requirements on coordination of identifier name spaces. There is a need to list the requirement for correct interworking between the services accessed via the language binding.

### **J2.2 Language-Independent API Specifications and Language Bindings**

Standard API specifications can specify a direct mapping between a programming language and a service, or an indirect mapping that makes use of an intermediate, abstract interface model and syntax that is separately mapped to the programming language and to the service. Where an indirect mapping is used and the same abstract interface is mapped to multiple programming languages, the specification of the mapping from the service to the abstract interface model and syntax is called a language-independent API specification. A specification of a mapping to a programming language, whether directly from a service or from a language-independent API for a service, is called a language binding for that service (see TR 10182:1993).

Where there are multiple language bindings to a service, some language bindings may depend on a language-independent API specification, while others map directly to the service, and different groups of language bindings may depend on separate language-independent API specifications, for example where the bindings for different programming languages have incompatible requirements. The following policies apply:

J2.2.1 Where a standardisation project for an API specification includes multiple language bindings with common interface characteristics, the use of language-independent API specifications should be strongly encouraged.

J2.2.2 Where a standardisation project for an API specification includes a language-independent API specification, the language-independent API specification shall be progressed together with at least one language binding that depends on the language-independent API specification.

J2.2.3 The use of common, standardised methods where available for the specification of language-independent API specification should be encouraged.

### **J2.3 Conformance and Testability**

Clear definitions of conformance and testability are essential for standard API specifications. Not all required functions can be effectively tested. However, where possible, test methods should be readily derivable from the standard. (See ISO/IEC 9646:1994 and ISO/IEC 13210:1994.)

The following policies apply:

J2.3.1 If either a programming language or the service specification to which it is interfaced has multiple levels of conformance, then the API standard should have corresponding conformance levels.

J2.3.2 The "conformance clauses" and conformance requirements specified in standard API specifications shall distinguish between the requirements on a platform's conforming service implementations and those on conforming applications.

J2.3.3 API conformance requirements should include sufficient level of specification that verification test methods can be readily derived.

J2.3.4 The use of API specification methods that support the use of automated test procedures should be encouraged.

### **J2.4 Relationship to Models**

All API specifications, in mapping between a programming language and a service, must take into account the underlying semantic models of the programming language and the service, whether these are explicit or implicit.

The following policies apply:

J2.4.1 The specification of explicit semantic models should be encouraged in the development of standards for programming languages and services, in order to facilitate the development of API specifications which bind them together.

J2.4.2 When a difference is encountered between the semantic models of the programming language and the service, the API specification should document the approach taken to either harmonise or address this difference.

J2.4.3 Where a JTC 1 standard exists for a model or framework that addresses the scope of proposed work, the relationship of that work to the model shall be documented.

## **J3 Considerations in Proposing API Standardization**

### **J3.1 Placement within JTC 1 for Standardization of API Specifications**

There are three types of expertise that need to be involved in the development of API specifications. The developers of the service standards must be involved to provide detailed knowledge on the use of service standards. The users of the base standards and the API must be involved to facilitate determining the appropriate levels of abstraction and "common usage". Language experts need to be involved to ensure that the API is properly integrated into the various languages. One of the more important aspects of the language dependent API specifications is that they fit well into the style and model of the language in which they are to be used without conflicting with existing syntax and semantics. Those participating in the development of an API specification would not be expected to limit their participation to a single type of expertise. However, these categories do serve to characterise the kinds of knowledge that needs to be involved.

Level of Abstraction and Language-independence are two characteristics of API specifications that could be used to help determine the placement of work on API specifications. Much like the types of expertise just described, these are not an absolute characterisation, but more an indication of degrees or shadings. For API specifications that were very language independent and were at a lower level of abstraction, the work may rely more heavily on base standards participation. By moving to higher levels of abstraction, more user participation and a rise in the need for language expertise is expected. By moving from more language independence to more language

dependence, greater participation by language experts and less participation from base standards is expected. The following policy applies:

J3.1.1 To expedite placement of future work, an NP or fast-track submission that includes an API component shall be accompanied by a statement that addresses the questions:

- a) Which SC is responsible for the underlying service?
- b) Which SC is responsible for the programming language(s)?
- c) Will the API specification require extension(s) to an existing programming language or service'?
- d) What is the kind of expertise required in the development of the API specification?
- e) What resources of the SC are available to perform the new API specification work?
- f) What is the relationship of the API specification work to other work in the SC?
- g) Is the appropriate expertise available for review and consideration of the draft API specifications, especially during the CD ballot Stage?

### **J3.2 Coordination**

Standardization of API specifications is dependent upon related standards which apply to one or both sides of the interface involved. Therefore, it is important that during the development of standards for API specifications:

- a) related work is progressed, and
- b) liaison bodies involved with related work are active,

in order to ensure that technically sound and complete standards are developed in a timely fashion. The following policy applies:

J3.2.1 Standardization of API specifications should require specific explicit review by specifically identified liaisons at specific stages of development (e.g. CD, at time of registration, should be sent to these identified liaison SCs for required review and comment to the developing SC.)

## **Annex K**

## **Collaborative Procedures for ITU-T and JTC 1 Co-operation**

This annex incorporates by reference the Guide for ITU-T and ISO/IEC JTC 1 Co-operation, published jointly by ISO, IEC and ITU.

## Annex L Rules for ISO/IEC JTC 1 Workshop Mode of Operation

### L1 Proposals to hold JTC 1 Workshops

A proposal to hold a JTC 1 Workshop for the purpose of developing one or more IWAs on a particular subject may come from any source, including JTC 1 National Bodies, liaison organisations, corporate bodies etc. An organisation that is not a JTC 1 National Body or liaison Organisation, or is not international in scope, shall inform the JTC 1 National 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
- Co-operation and liaison,

in accordance with Annex C of the fourth edition (2001) of Part 1 of the ISO/IEC Directives.

Additionally, wherever possible, proposals shall include indication of a JTC 1 National Body willing to provide Secretariat, administrative and logistic support, and a candidate Workshop Chairman. If it is considered likely that participation in the Workshop will need to be limited (see L5.2), this shall also be indicated. The proposal should indicate the predicted further route of any deliverables.

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 JTC 1, 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.

*Note: Guidance to workshop proposers is provided in Annex LB.*

### L2 Review of proposals

Proposals will be submitted to the JTC 1 Secretariat for approval by JTC 1. If the proposal is accepted, JTC 1 will initiate, if necessary, consultations with JTC 1 National Bodies to identify a candidate willing to act as the organiser and to provide administrative and logistics support to the Proposer. Preference will normally be given to:

- The National Body from the country of the Proposer, if the Proposer is not a JTC 1 National Body; or
- National Bodies holding Secretariats in fields related to that covered by the proposal.

If there is more than one offer, JTC 1 will formally designate the National Body assigned to act as the Workshop Secretariat. The assigned JTC 1 National Body may establish financial arrangements with the Proposer to cover administrative and logistics support costs for the Workshop. If a National Body is not willing to act as Workshop Secretariat, JTC 1 may authorise its Secretariat to fulfil this role, provided all associated costs are recovered by Workshop registration fees.

*Note: An informative checklist for estimating workshop costs is provided in Annex LA.*

The Workshop Secretariat and the Proposer shall designate the Chairman of the Workshop.

### L3 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 JTC 1 National Bodies. These details shall be further announced by the Workshop Secretariat, the JTC 1 Secretariat and by any other interested National 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 JTC 1 Subcommittees 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 first meeting 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.

## **L4 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.

## **L5 Participation**

### **L5.1 Workshop chairmen**

The Workshop 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.

### **L5.2 Registered participants**

Any Organisation or individual may register as a participant in a Workshop and participation will be open to the registered participants only. Registration of participants may take place at any time during the existence of the Workshop. Participants are not required to be appointed by the JTC 1 National 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 Organisation). If the need to limit participation is expected at the outset, this shall be indicated in the proposal submitted to JTC 1. If a need for limitation becomes apparent after announcement of the Workshop, this shall be authorised by the JTC 1 Secretariat following consultation with the JTC 1 Chairman and, if needed, JTC 1 National Bodies.

### **L5.3 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 registered participants to participate fully.

## **L6 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 and IEC 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 standardisation activities if relevant and to ensure that appropriate resource is provided by the ISO and IEC systems. 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:

*“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. Consensus need not imply unanimity.”*

It should be noted that a JTC 1 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).

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

- 1 The Workshop and the process to arrive at its deliverable have not complied with these procedures;
- 2 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
- 3 The contents of the deliverable resulting from the Workshop conflict with existing or draft ISO/IEC standard(s) or may be detrimental to the reputation of ISO or IEC.

Such appeals shall be submitted to the JTC 1 Secretariat within two months of the date of submission of the Workshop deliverables and shall be considered by JTC 1, which in such circumstances will take the final decision concerning publication of an IWA.

## **L7 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 ITTF for publication as International Workshop Agreements. They will be numbered in a special ISO/IEC IWA series. The workshop should make a recommendation to JTC 1 as to its intention for future processing of its deliverables (i.e. if they are to be submitted for processing as an International Standard).

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 authorised by JTC 1.

## **L8 Review of IWAs**

No later than three years after publication, the National Body which provided the Workshop Secretariat will be requested to organise the review of an IWA, consulting interested market players as well as, if needed, the relevant JTC 1 Subcommittee(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/IEC deliverable in accordance with Part 1 of the ISO/IEC Directives.

An IWA may be further processed to become a Technical Report or an International Standard, either through the normal five-stage process or, in case of an International Standard, also through the JTC 1 PAS transposition



process as in JTC 1 N 5746 and the JTC 1 Directives. In the latter case, the need to be recognised as a PAS Submitter is waived if the intention of the Workshop Proposer to later submit the IWA into the PAS transposition process is indicated at the time of the Workshop proposal. This will allow JTC 1 National Bodies to take this intention into account when deciding about the Workshop approval.

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

## **Annex LA: 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 a JTC 1 International 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.

### **Overall measures to consider**

Expected number of deliverables:

Expected number of Project Groups:

Expected number of

- WS plenary meetings:
- Project Group meetings:

Expected number of participants:

## Planned Resources Breakdown

Human Resource Costs (Function)	Who	Estimated Cost	Covered by (Whom)	Commitment (Y/ N)
<p>WS Secretariat</p> <ul style="list-style-type: none"> <li>- organising WS plenary meetings</li> <li>- producing WS and project meeting reports and action lists</li> <li>- administrative contact point for WS's projects</li> <li>- managing WS (and project group) membership lists</li> <li>- managing WS (and project group) document registers</li> <li>- follow- up of action lists</li> </ul> <p>if the Workshop works mainly by electronic means, assist Chairperson in monitoring and follow- up of electronic discussion</p>				
<p>WS Chairperson</p> <ul style="list-style-type: none"> <li>- chairing WS plenary meetings</li> <li>- responsible for overall WS/ project management</li> <li>- producing project management progress reports</li> <li>- acting as formal liaison with related WS/ projects and liaison body</li> <li>- if the Workshop works mainly by electronic means, follow and steer electronic discussions that take place between meetings, take necessary decisions</li> </ul>				
<p>NB: 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>Where applicable:</p>				
<p>Project Leader(s)</p> <ul style="list-style-type: none"> <li>- chairing project group meetings</li> <li>- producing project group meeting reports and action lists</li> <li>- preparing project group progress reports</li> <li>- if the Workshop works mainly by electronic means, follow and steer electronic discussions that take place regarding his/ her particular project</li> </ul>				

<p>IWA Editor</p> <ul style="list-style-type: none"> <li>- editing of the IWA texts</li> <li>- attend meetings</li> <li>- follow discussions relating to the -IWA (s) that he/ she is editing</li> </ul>				
<p>WS Meetings</p> <ul style="list-style-type: none"> <li>- meeting rooms</li> <li>- logistics (IT support, photocopies, etc.)</li> <li>- food and beverage</li> <li>- interpretation during meetings</li> </ul>				

## **Annex LB: Guidance to Workshop Proposers**

This is a guidance document for a workshop proposal. Workshop proposers should consider the items listed below when generating the proposal. The list, however, is not mandatory unless the component is specified in this Annex as mandatory:

- Workshop title and scope;
- Purpose and justification of the proposal;
- Relevant documents;
- Co-operation and liaison;
- Workshop programme of work, including identification of deliverables;
- Workshop business plan;
- Dates and place of proposed initial meeting;
- Indication of a JTC 1 National Body willing to provide Secretariat, administrative and logistic support;
- A candidate Workshop Chairman and, if necessary, one or more candidate Vice-Chairmen;
- Indication of the preferred further route of any deliverables, such as transposition of the IWA into an International Standard using the JTC 1 PAS process, or submission to the normal JTC 1 five-stage process;
- Membership rules and instructions for registration, including any intentions to limit workshop participation (see L5.2);
- Voting procedures;
- Any additional relevant workshop working procedure, such as intended public availability of working documents.

For further guidance, contact the JTC 1 Secretariat.

## **Annex M The Transposition of Publicly Available Specifications into International Standards - A Management Guide**

### **M1 Purpose and Scope of this Guide**

The international world of IT standardisation is changing: ISO/IEC JTC 1 has defined and implemented a policy that encourages and assists the transposition of technical specifications from sources outside of JTC 1 into international standards. The purpose of this document is to make this policy known to a larger audience worldwide. In particular, its purpose is to explain the transposition process, its benefits, and the obligations to potential owners of such specifications. The Guide intentionally uses a narrative language, hence no in-depth knowledge of the formalities of international standardisation is required. The prime audience for this document are managers of organisations that have developed candidate specifications for submission to international standardisation. After having read the Guide, you should appreciate the value to all parties involved of having your specification adopted as an International Standard, and you will understand the process you will need to follow.

The scope of this Guide is limited to the transposition of Publicly Available Specifications (PAS) into international standards. Such a standard may be either an IS (International Standard) or an ISP (International Standardized Profile).

The objective of the Guide is to inform potential submitters of PASs for transposition. It does not replace the JTC 1 Directives or parts thereof. In cases of conflict, the JTC 1 Directives prevail.

Having read this Guide, a PAS originator should be able to judge the benefits for their own organisation to submit a specification for adoption as an international standard. A PAS originator requiring explanation on the material in this guide or wishing to consider the possibility of a PAS submission further should contact any of the organisations identified in Annex A.

### **M2 Benefits of the international standardisation process**

International Standards (IS) issued by JTC 1 are considered the most authoritative standards on IT. International Standardized Profiles (ISPs) constitute a special form of international standards that bring together elements of other Standards.

Both ISs and ISPs are recognised throughout the world, and in many countries constitute the technical regulatory basis for public procurement of IT goods and services. The transposition of a specification into an IS or ISP makes it eligible for such procurement, and hence widens the market recognition of such a specification.

### **M3 The JTC 1 Policy regarding Publicly Available Specifications**

JTC 1 has decided that

*"... it (JTC 1) will provide the capability of accepting standard solutions to IT problems that have been developed outside JTC 1. ..."*

This JTC 1 landmark decision recognises the value of the work of other organisations and the contribution they may make to International IT standardisation. It aims at complementing existing or forthcoming JTC 1 programs by other leading edge activity with the objective of providing the best standards worldwide.

Though the manner of transposing an acceptable specification from another organisation into an international standard mainly follows existing JTC 1 processes, the new process is significantly expedited by the concept of a recognised PAS Submitter. This will help to achieve a nominal eleven months period as a target for the transposition, and thus greatly reduce the time needed to establish international standards in areas of rapidly developing technology. As a result of this process, a specification will emerge with the enhanced status of an international standard. This is to the benefit of both the owner of the specification and JTC 1.

## M4 JTC 1's strategic orientation and its standards establishment processes

- JTC 1 is committed to successfully providing users and industry with information technology standards that meet the marketplace in a timely manner.

PAS originators are invited to explicitly reference their Common Strategic Characteristics when submitting their application or any PAS for transposition.

The normal JTC 1 process to establish an International Standard is through work in one of its technical bodies, which, once it has led to technical consensus, will be concluded by a four month ballot among JTC 1 National Bodies, to promote a specification to an IS. The duration of the consensus-building phase is dependent on the complexity of the subject, and the amount of resources available from JTC 1 members.

The Fast Track process has been established in JTC 1 to allow a standard from any source to be submitted by a National Body or an A-liaison organisation directly into a final JTC 1 ballot, to become an IS. The duration of the ballot is six months. As a result, the proposed specification may become an IS, possibly with minor modifications.

International Standardized Profiles (ISPs) are international standards which bring together elements of ISs.

## M5 The PAS transposition process

### M5.1 Concepts

The PAS transposition process is based on the following key concepts:

- Publicly Available Specification (PAS)

A technical specification is called a Publicly Available Specification (PAS) if it meets certain criteria, making it suitable for possible processing as an international standard. These criteria (see clause 6 below) have been established in order to ensure a high level of consensus, quality and proper treatment of Intellectual Property Rights (IPR) related matters.

- PAS originator

Any organisation that has developed and hence owns a PAS which it considers proposing for transposition into an international standard is called the PAS originator. There are no fundamental restrictions as to what form the organisation should have, but it should be recognised that constitutional characteristics of the organisation are supposed to reflect the openness of the organisation and the PAS development process.

- Recognised PAS Submitter

A PAS originator may apply to JTC 1 for recognition as a Submitter of PASs for transposition. Once approved, the status of a recognised PAS Submitter will remain valid for an initial period of two years, with the possibility of further extension (see also clause M6.1.1)

- Explanatory Report

The submission of the PAS must be accompanied by an Explanatory Report generated by the PAS originator. This report provides all information necessary to support the submission. In particular, it shall contain statements as to the extent that the PAS criteria are met by the specification. It should also clearly define the technical concepts used in the PAS.

It is JTC 1's intention to offer a template for the Explanatory Report.

- PAS Transposition ballot

The PAS together with the corresponding Explanatory Report is submitted for ballot.

*Note to JTC 1: Such ballot is either a Fast Track ballot in case of an IS transposition; or an ISP ballot in case of an ISP transposition, both following normal JTC 1 rules.*

## **M6PAS Criteria: Overview**

JTC 1 has established criteria which serve as a basis for the judgement as to whether a particular organisation can be recognised and whether its specification can be accepted as a candidate for transposition into an international standard. Such criteria may also be used by potential submitters to determine the level of suitability of their specification for the standardisation process.

JTC 1 considers the primary benefit of these acceptance criteria to be guidance for evaluation and acceptance rather than an absolute pass/fail mechanism. There are a wide variety of PAS available for consideration as well as a wide variety of needs within the JTC 1 community.

An absolute pass/fail mechanism over such a wide variety of material is unlikely.

What is needed throughout this process is flexibility and good judgement on the part of all concerned. Rather than provide quantitative measures to evaluate acceptability of a PAS, on a pass/fail basis, the criteria set forth the key topics for consideration and measures for evaluating them in terms of the scope, depth, and thoroughness with which the criteria topics have been considered.

The PAS criteria are broadly classified into two categories and address the following topics:

- Organisation related criteria:
  - co-operative stance;
  - characteristics of the organisation;
  - intellectual property rights.
- Document related criteria:
  - quality;
  - consensus;
  - alignment.

It should, however, be noted that some of the above criteria, though primarily assigned to one category, may also be relevant for the other. Please refer to clause M7 for details.

### **M6.1 The phases of the PAS transposition process**

Based on these concepts, the PAS transposition process can be described as below. It is JTC 1's firm intention to provide full process transparency and the current status of any proposal from its website. This will contribute to an open dialogue between a PAS submitter and JTC 1 and its National Bodies which is strongly encouraged.

#### **M6.1.1 Recognition of a PAS Submitter**

A PAS originator interested in submitting an existing or forthcoming specification into the transposition process applies to the JTC 1 Secretariat for recognition as a PAS Submitter. Such application has to be accompanied by an identification of initial PAS(s) which are planned to be submitted, and by statements of the PAS Originator regarding the organisation related criteria (see below). It will be balloted among JTC 1 National Bodies. Once approved, the status of a recognised PAS Submitter gives a PAS originator the right to submit specifications into the transposition process for a period of two years with the possibility of further extension (see below). This status will lapse:

- if a National Body request for re-qualification is sustained by JTC 1;
- or because the PAS originator failed to submit a specification to JTC 1 for transposition within the expected period (see M6.1.2 below).

The initiative to submit an application for recognition may come from a PAS originator or from an NB, an SC or a Category A liaison.



Since the ballot among JTC 1 National Bodies will take three months, it is recommended that the application for recognition be submitted in time before the planned first submission of a PAS. While there are no particular requirements as to the format of the application, it is requested

- that it identifies the overall scope of the application;
- that it identifies the initial PASs which are planned to be submitted, together with their scope;
- that it addresses all mandatory elements of the organisation acceptance criteria as in M7.3.

*Note: The rules for this recognition ballot are set in accordance with the JTC 1 Directives. In particular, the majority required for a recognition ballot to pass is the same as required for an A-liaison request to JTC 1. In effect, the ballot result is a straight yes/no decision; no ballot resolution process will be invoked. However, in the case of a negative result, the applicant may re-apply. In the case of a positive result, the recognised PAS submitter must respond to all comments received on the ballot within 6 months of close of ballot and not later than the submission of the first PAS.*

Six months prior to the expiration of an organisation's status as an approved JTC 1 PAS Submitter, the JTC 1 Secretariat will invite the submitter to review its future intentions as a PAS submitter and consider the following options with regard to its initial application for recognition as a JTC 1 PAS submitter:

- revise (significant changes to the initial application, e.g. changes in scope, procedures),
- withdraw (lapse), or
- reaffirm (extend current status with no significant changes).

If the PAS submitter opts to revise, it must submit a document to the JTC 1 Secretariat stating the changes to the answers to the questions in clause M7.3 from its previous application. If the PAS submitter opts to reaffirm, it should identify subsequent PAS(s) intended for submission. In order to allow JTC 1 a timely reaction to the revision or reaffirmation, the necessary documentation should be submitted not later than three months and one week prior to the expiration of its status as a PAS submitter. JTC 1 Secretariat will issue a three-month letter ballot on the request for either a revision or reaffirmation. Failure to respond to the Secretariat's invitation for review of PAS submitter status will automatically result in lapse of a PAS submitter's status at the conclusion of its term.

### **M6.1.2 Submission**

Once a PAS originator has been recognised, a PAS submission to the JTC 1 Secretariat may occur within the scope as identified on application (see M6.1.1 above). This submission has to be accompanied by an Explanatory Report produced by the Submitter, and a statement that the conditions for recognition have not changed or an indication of the nature of changes that have occurred. The Explanatory Report particularly shall contain statements regarding the document-related criteria (see below). It should also explicitly mention how the JTC 1 Common Strategic Characteristics (see M4 above) are addressed.

JTC 1 requests all submissions including the Explanatory Report to occur in electronic form.

JTC 1 requests that the first submission will occur not later than six months after the initial recognition. On request by the PAS originator not later than six weeks before the end of this 6 months period, the period may be extended for another six months, subject to approval by the JTC 1 chair and secretary. Failure by the PAS originator to submit a specification within the expected period will result in its recognition status to lapse.

The format of the specification submitted is not regulated by JTC 1. However, PAS Submitters are encouraged to apply, if flexibility still exists, a documentation style close to ISO/IEC's style, as this will ease later alignment at the time of the first review after five years. Advice on JTC 1's documentation style can be obtained from JTC 1 National Bodies.

The JTC 1 Secretariat, after checking the recognition status of the submitter, will forward the specification together with the Explanatory Report to the ISO/IEC Information Technology Task Force (ITTF) to initiate the appropriate ballot process among the JTC 1 National Bodies.

In view of the importance of the Explanatory Report for a successful transposition, JTC 1 offers its National Bodies, its Subcommittees (SCs) or A-liaison organisations for counsel and advice to PAS originators during the

generation of this Report and throughout the whole transposition process. JTC 1 encourages PAS Submitters to make use of this counsel. This counselling process could include a review of the submissions.

In the case of interest in receiving this support, PAS Submitters are encouraged to approach any of the organisations whose addresses are given in Annex MA.

*Note to JTC 1: The right of JTC 1 National Bodies and organisations in A-liaison to JTC 1 to submit standards from any source into the Fast Track process is not affected.*

### **M6.1.3 Ballot**

The ballot on the transposition of a PAS into an international standard follows normal JTC 1 rules: In the case of a transposition into an IS, it is the Fast Track process; in the case of a transposition into an ISP, it is the ISP process.

The PAS Submitter will receive a copy of the ballot document.

Reflecting the importance of the PAS process, the JTC 1 secretariat will inform JTC 1 National Bodies and Liaison Organisations, and those organisations authorised to be PAS submitters, of the initiation of any PAS ballot, the result of the ballot, and the identity of the JTC 1 committee which will be responsible for any future work.

For ballot, JTC 1 National Bodies will receive both the PAS to be transposed and the accompanying Explanatory Report. During the ballot JTC 1 members may propose changes to the PAS. These can be resolved with the PAS Submitter after completion of the ballot.

In the case of a failure of the ballot, JTC 1 will make known to the Submitter the reasons which have led to the negative result. Based on this information, the Submitter may choose to re-submit the specification after modification.

The duration of the ballot is five or seven months (= one month administrative time + four months for an ISP ballot or six months for an IS ballot). There may be additional time needed to consolidate the ballot results. A period of five to eleven months is therefore to be expected for this phase.

*Note to JTC 1: The ballot follows normal JTC 1 Fast Track rules in the case of an IS transposition, and normal ISP rules in the case of an ISP transposition. Negative votes by National Bodies have to be accompanied by comments giving the reasoning for the vote. It is expected that a National Body vote will primarily be based on judgement of the Explanatory Report. Any additional judgement of the technical content of the PAS is at the National Body's choice. It is, however, recommended that format /editorial aspects be left out of consideration of National Bodies.*

### **M6.1.4 Publication**

Once the specification has been approved by JTC 1 as an IS or ISP, it will be published following ISO and IEC standing copyright policy, i.e.:

- Copyright for publication of the specification as an International Standard (IS) or an International Standardized Profile (ISP) is granted to ISO/IEC and any National Body which transposed such IS or ISP into a national standard.
- The originator of the specification retains copyright for its own publication.

The expected duration of this phase is two months.

### **M6.1.5 Maintenance**

For the maintenance of an International Standard of whatever origin normal JTC 1 rules apply. Such rules distinguish between correction of defects and revisions of or amendments to existing Standards.

*Note: The JTC 1 rules for maintenance are found in clause 15 of the JTC 1 Directives.*

For the correction of defects, JTC 1 provides for the installation of an editing group. Active participation of the submitter in such an editing group is expected and strongly encouraged. Depending on the degree of openness of the PAS submitter, JTC 1 will determine its specific approach.

As for revisions and amendments, it is JTC 1's intention to avoid any divergence between the JTC 1 revision of a transposed PAS and a version published by the originator. Therefore, JTC 1 invites the submitter to work closely with JTC 1 in revising or amending a transposed PAS.

The submitter is requested to state its willingness for co-operation with JTC 1 for both on-going maintenance and revisions in its application (see M7.3.1).

It is at the discretion of the originator to withdraw the specification from the transposition process at any point prior to publication. It is also the right of the Submitter to request that the specification remain unchanged throughout the transposition process. Such request should be clearly stated in the Explanatory Report, and may be an issue in the ballot process. Changes to the specification during the ballot process are, however, not acceptable as they will lead to confusion.

## **M7 Detailed PAS Criteria**

### **M7.1 Introduction**

There are three key sets of parties involved in the transposition process wherein a Publicly Available Specification (PAS) from a source external to JTC 1 is to be considered as a candidate to become an international standard. First, there is the body of technical experts responsible for generating the PAS. Second, there is usually an organisation under whose auspices the technical experts generate, review, and ultimately approve a PAS document.

Third, there are one, or more, organisational entities within the JTC 1 infrastructure that review and process a candidate PAS for consideration as an international standard. While there may be more than three parties involved in some instances, these three are considered common to all transposition processes.

It is believed that this set of criteria can be used by all affected organisations and experts throughout the entire process. That is, some PAS organisational entities may use these criteria to judge for themselves whether a completed document is appropriate to be considered for the transposition process. Other PAS organisational entities might consider these criteria prior to the generation and approval of a specification that subsequently is to be reviewed by JTC 1 as a PAS candidate. JTC 1 Subcommittees (SCs) might use these criteria to facilitate a smooth transposition process as they work with potential PAS organisations either prior to or after the generation of a PAS. Finally, JTC 1 National Bodies might use these criteria to judge about a PAS to become an international standard.

### **M7.2 Expectations in the Use of These Acceptance Criteria**

#### **M7.2.1 Basic Perspective**

These PAS Criteria are to be viewed as a checklist of subjects and measures considered useful in both preparing and reviewing a PAS specification. The list is rather extensive in order to address the wide range of potential PAS expected to be generated and considered for transposition. It is not anticipated that all criteria will be relevant to every PAS. Instead a somewhat unique set of criteria are likely to be important for each different PAS.

#### **M7.2.2 Mandatory Elements**

Of all the criteria, there are the following Clauses deemed to be essential for consideration of a PAS originator and a PAS for transposition (see also M7.2.5 below):

- Organisation related criteria:
  - Co-operative stance (M7.3.1);
  - Characteristics of the Organisation (M7.3.2); and
  - Intellectual Property Rights (M7.3.3).
- Document related criteria
  - Completeness (M.7.4.1.1);

- Testability (M.7.4.1.3);
- Stability (M.7.4.1.4);
- Availability (M.7.4.1.5);
- Consensus (M7.4.2),

The wording throughout the Clauses identified above is in terms of "shall" respond. Hence, failure to respond to any of these Clauses will result in rejection of the application for recognition or of the submitted PAS. All remaining criteria Clauses are, in effect, optional. A response is desired but not absolutely necessary. The mandatory response Clauses have been identified by "(M)" after the clause heading.

### **M7.2.3 Supplementary Elements**

It is intended that the questions asked under each Criteria Category (e.g. "M.7.4.1.2 Clarity", items a, b, and c) are to be viewed as examples of ways in which the basic criteria sub-category might be evaluated. There may well be other responses to unasked questions that best describe how well a given PAS meets, for example, an acceptable level of "Clarity". In general, the more complete the PAS Explanatory Report the more the process in JTC 1 National Bodies to judge about a PAS transposition will be eased.

### **M7.2.4 Rationale for Extensive Criteria List**

This rather extensive list of criteria is intended to produce positive benefits for all concerned.

Essential aspects of this rationale are as follows:

- A single comprehensive list to apply to as wide a range of PAS specifications as possible should open up a variety of submissions under an extensive set of conditions. The net result should be the transposition of not just a few but a variety of useful technologies into the JTC 1 arena.
- A comprehensive criteria checklist will hopefully address all reasonable means of evaluating appropriateness on a "single pass" through the evaluation process.
- The criteria are intended to help ensure that the international standards resulting from the PAS transposition process in turn facilitate the development and use of successful products in the market place which result from quality standards of a stable and widely accepted nature.
- It is believed that consistent application of the criteria will help ensure that the transposition process is not misused.
- The criteria are intended to focus the valuable time of PAS producing organisations on those factors and characteristics considered most important to a successful transposition process.

### **M7.2.5 Application of the criteria**

When applying for recognition as a PAS Submitter, a PAS originator shall respond to the criteria of clause M7.3.

When submitting a PAS the recognised PAS Submitter shall respond, in the Explanatory Report, to the criteria of clause M7.4.

## **M7.3 Organisation Acceptance Criteria**

### **M7.3.1 Co-operative Stance (M)**

There should be evidence of a co-operative attitude toward open dialogue, and a stated objective of pursuing standardisation in the JTC 1 arena. The JTC 1 community will reciprocate in similar ways, and in addition, will recognise the organisation's contribution to international standards.

It is JTC 1's intention to avoid any divergence between the JTC 1 revision of a transposed PAS and a version published by the originator. Therefore, JTC 1 invites the submitter to work closely with JTC 1 in revising or amending a transposed PAS.

There should be acceptable proposals covering the following categories and topics.

### **M.7.3.1.1 Commitment to Working Agreement(s)**

- a) What working agreements have been provided, how comprehensive are they?
- b) How manageable are the proposed working agreements (e.g. understandable, simple, direct, devoid of legalistic language except where necessary)?
- c) What is the attitude toward creating and using working agreements?

### **M.7.3.1.2 Ongoing Maintenance**

- a) What is the willingness and resource availability to conduct ongoing maintenance, interpretation, and 5 year revision cycles following JTC 1 approval (see also M6.1.5)?
- b) What level of willingness and resources are available to facilitate specification progression during the transposition process (e.g. technical clarification and normal document editing)?

### **M.7.3.1.3 Changes during transposition**

- a) What are the expectations of the proposer toward technical and editorial changes to the specification during the transposition process?
- b) How flexible is the proposing organisation toward using only portions of the proposed specification or adding supplemental material to it?

### **M.7.3.1.4 Future Plans**

- a) What are the intentions of the proposing organisation toward future additions, extensions, deletions or modifications to the specification? Under what conditions? When? Rationale?
- b) What willingness exists to work with JTC 1 on future versions in order to avoid divergence?

Note that the answer to this question is particularly relevant in cases where doubts may exist about the openness of the submitter organisation.

- c) What is the scope of the organisation activities relative to specifications similar to but beyond that being proposed?

## **M7.3.2 Characteristics of the Organisation (M)**

The PAS should have originated in a stable body that uses reasonable processes for achieving broad consensus among many parties. The PAS owner should demonstrate the openness and non-discrimination of the process which is used to establish consensus, and it should declare any ongoing commercial interest in the specification either as an organisation in its own right or by supporting organisations such as revenue from sales or royalties.

### **M.7.3.2.1 Process and Consensus:**

- a) What processes and procedures are used to achieve consensus, by small groups and by the organisation in its entirety?
- b) How easy or difficult is it for interested parties, e.g. business entities, individuals, or government representatives to participate?
- c) What criteria are used to determine "voting" rights in the process of achieving consensus?

### **M.7.3.2.2 Credibility and Longevity:**

- a) What is the extent of and support from (technical commitment) active members of the organisation?
- b) How well is the organisation recognised by the interested/affected industry?
- c) How long has the organisation been functional (beyond the initial establishment period) and what are the future expectations for continued existence?
- d) What sort of legal business entity is the organisation operating under?

### **M7.3.3 Intellectual Property Rights: (M)**

The organisation is requested to make known its position on the items listed below. In particular, there shall be a written statement of willingness of the organisation and its members, if applicable, to comply with the ISO/IEC patent policy in reference to the PAS under consideration.

*Note: Each JTC 1 National Body should investigate and report the legal implications of this section.*

#### **M.7.3.3.1 Patents:**

- a) How willing are the organisation and its members to meet the ISO/IEC policy on these matters?
- b) What patent rights, covering any item of the proposal, is the PAS owner aware of?

#### **M.7.3.3.2 Copyrights:**

- a) What copyrights have been granted relevant to the subject specification(s)?
- b) What copyrights, including those on implementable code in the specification, is the PAS originator willing to grant?
- c) What conditions, if any, apply (e.g. copyright statements, electronic labels, logos)?

#### **M.7.3.3.3 Distribution Rights:**

- a) What distribution rights exist and what are the terms of use?
- b) What degree of flexibility exists relative to modifying distribution rights; before the transposition process is complete, after transposition completion?
- c) Is dual/multiple publication and/or distribution envisaged, and if so, by whom?

#### **M.7.3.3.4 Trademark Rights:**

- a) What trademarks apply to the subject specification?
- b) What are the conditions for use and are they to be transferred to ISO/IEC in part or in their entirety?

#### **M.7.3.3.5 Original Contributions:**

- a) What original contributions (outside the above IPR categories) (e.g. documents, plans, research papers, tests, proposals) need consideration in terms of ownership and recognition?
- b) What financial considerations are there?
- c) What legal considerations are there?

### **M7.4 Document Related Criteria**

#### **M7.4.1 Quality**

Within its scope the specification shall completely describe the functionality (in terms of interfaces, protocols, formats, etc) necessary for an implementation of the PAS. If it is based on a product, it shall include all the functionality necessary to achieve the stated level of compatibility or interoperability in a product independent manner.

##### **M.7.4.1.1 Completeness (M):**

- a) How well are all interfaces specified?
- b) How easily can implementation take place without need of additional descriptions?
- c) What proof exists for successful implementations (e.g. availability of test results for media standards)?

##### **M.7.4.1.2 Clarity:**

- a) What means are used to provide definitive descriptions beyond straight text?



- b) What tables, figures, and reference materials are used to remove ambiguity?
- c) What contextual material is provided to educate the reader?

#### **M.7.4.1.3 Testability (M)**

The extent, use and availability of conformance/interoperability tests or means of implementation verification (e.g. availability of reference material for magnetic media) shall be described, as well as the provisions the specification has for testability.

The specification shall have had sufficient review over an extended time period to characterise it as being stable.

#### **M.7.4.1.4 Stability (M):**

- a) How long has the specification existed, unchanged, since some form of verification (e.g. prototype testing, paper analysis, full interoperability tests) has been achieved?
- b) To what extent and for how long have products been implemented using the specification?
- c) What mechanisms are in place to track versions, fixes, and addenda?

#### **M.7.4.1.5 Availability (M):**

- a) Where is the specification available (e.g. one source, multinational locations, what types of distributors)?
- b) How long has the specification been available?
- c) Has the distribution been widespread or restricted? (describe situation)
- d) What are the costs associated with specification availability?

### **M7.4.2 Consensus (M)**

The accompanying report shall describe the extent of (inter)national consensus that the document has already achieved.

#### **M.7.4.2.1 Development Consensus:**

- a) Describe the process by which the specification was developed.
- b) Describe the process by which the specification was approved.
- c) What "levels" of approval have been obtained?

#### **M.7.4.2.2 Response to User Requirements:**

- a) How and when were user requirements considered and utilised?
- b) To what extent have users demonstrated satisfaction?

#### **M.7.4.2.3 Market Acceptance:**

- a) How widespread is the market acceptance today? Anticipated?
- b) What evidence is there of market acceptance in the literature?

#### **M.7.4.2.4 Credibility:**

- a) What is the extent and use of conformance tests or means of implementation verification?
- b) What provisions does the specification have for testability?

### **M7.4.3 Alignment**

The specification should be aligned with existing JTC 1 standards or ongoing work and thus complement existing standards, architectures and style guides. Any conflicts with existing standards, architectures and style guides should be made clear and justified.

**M.7.4.3.1 Relationship to Existing Standards:**

- a) What international standards are closely related to the specification and how?
- b) To what international standards is the proposed specification a natural extension?
- c) How is the specification related to emerging and ongoing JTC 1 projects?

**M.7.4.3.2 Adaptability and Migration:**

- a) What adaptations (migrations) of either the specification or international standards would improve the relationship between the specification and international standards?
- b) How much flexibility do the proponents of the specification have?
- c) What are the longer-range plans for new/evolving specifications?

**M.7.4.3.3 Substitution and Replacement:**

- a) What needs exist, if any, to replace an existing international standard? Rationale?
- b) What is the need and feasibility of using only a portion of the specification as an international standard?
- c) What portions, if any, of the specification do not belong in an international standard (e.g. too implementation-specific)?

**M.7.4.3.4 Document Format and Style**

- a) What plans, if any, exist to conform to JTC 1 document styles?



## Annex MA: Points of contact

### • JTC 1 Secretariat

The JTC 1 Secretariat is the central contact point in JTC 1. Approaching it is recommended when contact is sought with a JTC 1 Subcommittee, or in cases where no other appropriate contact point (see below) is readily available.

The JTC 1 Secretariat is reached at:

American National Standards Institute  
25 West 43rd Street, 4th Floor  
New York, NY 10036  
USA

Tel: +1 212 642-4932

Fax: +1 212 398-0023

e-mail: [Irajchel@ANSI.org](mailto:Irajchel@ANSI.org)

<http://www.JTC 1.org>

### • ITTF

The Information Technology Task Force (ITTF) of ISO and IEC is the central contact point for JTC 1 matters in ISO and IEC. Approaching it is recommended in cases where no other appropriate contact point is readily available.

ITTF is reached at:

ITTF: ISO Central Secretariat  
1, rue de Varembe  
CH-1211 Geneva 20  
Switzerland

TP: +41 22 7490 111

TF: +41 22 733 34 30

e-mail: [brannon@isocs.iso.ch](mailto:brannon@isocs.iso.ch)

### • The national standardisation organisations

The national standardisation organisations are the members of JTC 1 and as such, contact points on JTC 1 matters in the individual countries. A potential PAS originator may choose to approach the national standardisation organisation in the country of its residence.

A list of the JTC 1 National Bodies is found at: <http://www.JTC 1.org>

### • The organisations in A-liaison with JTC 1

An organisation in A-liaison with JTC 1 is entitled, among others, to submit a standard for ballot in JTC 1 under the Fast Track process. A list of organisations in A-liaison with JTC 1 is found at: <http://www.JTC 1.org>

## **Annex N The Normative Referencing of Specifications other than International Standards in JTC 1 International Standards - Guidelines for JTC 1 SCs**

### **N1 Purpose and scope of this Guide**

ISO/IEC JTC 1 has defined and implemented a policy that encourages and assists the transposition of certain technical specifications from sources outside JTC 1 into international standards. Annex M "The Transposition of Publicly Available Specifications (PAS) into International Standards - A Management Guide" describes in detail this transposition process.

JTC 1 also recognises that there may be situations where it is appropriate to reference a specification without performing the transposition process as described in Annex M. This situation may apply in a number of cases. JTC 1 assumes that the procedures and conditions for referencing depend on the process and the kind of international standard (IS) in which the reference will be established.

One of the cases is described in this document, namely where an International Standard (IS) is developed by a JTC 1 Subcommittee, using the five stage process. Other cases will be considered later.

JTC 1 re-emphasises its preference for transposition into international standards as the approach to include material from outside JTC 1. However, if the referencing approach is chosen, it is necessary to establish such references in international standards in a consistent way which ensures the quality of international standards established by JTC 1 as well as the proper treatment of IPR issues. Therefore, a process has to be defined by JTC 1 for the establishment of references to documents other than from ISO, IEC or ITU.

JTC 1 SCs may, in the course of their work, find it appropriate to incorporate specifications into an emerging IS by way of reference. The need for such action, the selection of the appropriate specification, and the evaluation of the proposed Referenced Specification (RS) itself are matters for the SC to determine. Any such SC decision will, however, be subject to JTC 1 National Body evaluation during the respective ballot.

JTC 1 SCs are reminded that, in accordance to Resolution 28 of the 11th JTC 1 Plenary Meeting in Seoul, Korea in 1999, "SCs and National Bodies are requested to pay particular attention to mechanisms that could be utilized to reduce the burden of the process on officers at the SC level. Examples can include reuse by on SC of prior written statements developed by another SC, or the use of appropriate statements from approved co-operative agreements between JTC 1 and another organization."

As no restrictions apply to making informative references (see ISO/IEC Directives Part 2), the scope of this document is limited to the normative referencing of a specification other than from ISO, IEC or ITU in an international standard.

These Guidelines provide insights to facilitate the SC consideration and subsequent incorporation of an RS into a JTC 1 IS. Since the consideration of a proposed RS may well involve more than purely technical considerations, it is deemed helpful to provide these Guidelines. The SC is asked to use this document to facilitate the process. As to IPR issues or organisational matters, it is expected that the SC will contact the appropriate bodies (e.g. ITTF) to obtain the necessary information and that the SC will, if necessary, facilitate discussion between ISO/IEC and the RS Originator.

## **N2 JTC 1 approach to referencing other specifications**

According to ISO/IEC Directives, Part 2, referencing sources other than ISO, IEC, or ITU is a valid approach for making use of such specifications, provided JTC 1 deems it appropriate. While JTC 1 supports this approach, it has to maintain the quality of its work and the integrity of the standards development process. Therefore, it is necessary to establish some referencing rules that complement those of ISO/IEC. Though rules and guidelines are important, JTC 1 wishes them to be as straightforward as possible. This also takes account of the fact that the initiative for establishing references usually comes from the standards developing community within JTC 1. Further, minimal additional burden should be put on the originator of a specification being referenced.

## **N3 Terms for normative references to other specifications**

The process of establishing normative references to documents other than from ISO, IEC or ITU is based on the ISO/IEC Directives and the JTC 1 Directives with the addition of the following terms:

- **Referenced Specification (RS)**

A specification from a source other than ISO, IEC, or ITU is called a Referenced Specification (RS) if it meets certain criteria (see N6) and has been balloted and accepted together with the FDIS at the JTC 1 National Body level as suitable for normative referencing in the resulting international standard (IS). An RS may be a part of a larger specification.

- **RS Originator**

The originator of an RS or a proposed RS is called an RS Originator.

In N7 there is a procedure whereby an organization may be designated as an approved RS Originator for all of its standards in order to simplify RS processing by SCs.

- **Approved RS Originator Organization (ARO)**

## **N4 Principles for referencing of specifications**

**N4.1 An RS shall be within the JTC 1 scope.**

**N4.2 Concerning conformity and interoperability, ISs containing normative references to other specifications have to follow the same requirements and rules as for other JTC 1 standards as defined in the JTC 1 Directives.**

**N4.3 When the referencing specification (CD or FDIS) is submitted for ballot it shall either be accompanied by a Referencing Explanatory Report (RER) which has been generated by the SC wishing to incorporate the RS in a target IS or the SC will ensure that the organization creating the reference specification has previously met such organizational requirements so as to be listed as an Approved RS Originator Organization (ARO).**

**N4.4 The RER shall contain the following elements:**

**N4.4.1 a justification for the referencing which shall also address the following aspects:**

- relationship of the proposed RS to existing or emerging international standards (and regional or other standards as appropriate) and when the RS is competing with or complementing an existing or emerging international standard, the rationale for the referencing;
- the degree of market acceptance of the proposed RS; and
- the rationale as to why the transposition of the proposed RS into an IS is inappropriate or impractical,

**N4.4.2 statements that address the criteria as detailed in N6.**

**N4.4.3 a copy of the normative referencing policy of the RS Originator (where one exists).**

**N4.5 The material submitted for ballot shall either include a copy of the proposed RS or a means by which National Bodies may readily access the material (e.g., ISBN or URL) and meet the availability requirements of N6.3.1.3. If the referenced material has been made available to JTC 1 member bodies previously as an N numbered document, it is acceptable, instead, to refer to this document.**

**N4.6 For actual referencing, the rules of the ISO/IEC Directives apply. In particular, any reference shall be specific and indicate the publication date and/or version number as appropriate.**

**N4.7 If an RS, in turn, contains a normative reference to a specification other than an international standard or ARO standard, the information required by an RER shall normally be provided for each additional reference. The exception to this requirement is when the level of detail involved would be so time-consuming to assemble, and difficult to interpret, that its collection would be counter-productive. In this case, the SC shall explain the situation in a way that will enable National Bodies to make an informed assessment of the references that are being made. The responsible SC is expected to thoroughly process all nested references.**

## **N5 Description of the process for JTC 1 Subcommittee use**

**N5.1 Announcement of intent to make reference**

The intention to make a normative reference to a specification other than an international standard should be stated in the New Work Item Proposal (NP) if the requirement is known at that time; otherwise, the intent should be communicated to JTC 1 National Bodies as soon as consensus on the need is reached in the SC.

#### **N5.2 Preparation of the Referencing Explanatory Report**

It is the obligation of the JTC 1 Subcommittee which develops an IS containing normative references to specifications other than international standards, to either provide for each proposed RS a related RER or to ensure that the organization creating the reference specification has previously met such organizational requirements so as to be listed as an Approved Reference Organization. The elements of this Report are described in clause 4.4 above. In order to avoid any undue delay in the standard ratification process and to avoid the wasting of development resources, the production of a RER or the confirmation of the organization as an Approved RS Originator Organization should commence as soon as the standard developing Subcommittee has determined the need to establish a normative reference.

#### **N5.3 Availability of the Referencing Explanatory Report**

The RER, or confirmation of the organization as an ARO, shall be made available to JTC 1 and its National Bodies as early as possible and appropriate. The latest date for the availability of the Report or ARO status is the submission of the first CD. The RER/ARO confirmation shall also accompany any subsequent CD and FDIS ballot.

#### **N5.4 Ballot**

The material submitted for ballot (CD and FDIS) shall include the RER/ARO confirmation together with a copy of the proposed RS. If the Report or the proposed RS have already been provided earlier, it is acceptable to give, instead, a reference to the earlier submission and a statement verifying that no changes have occurred in the meantime.

In the case of a CD ballot, JTC 1 National Bodies are invited to independently submit their comments on the RER/ARO confirmation by the time the CD ballot closes, for review by the relevant SC.

Comments and votes are handled in the usual way. The RS Originator may be invited to attend the appropriate part of any resolution meeting held.

#### **N5.5 Publication of the standard**

No particular provisions regarding publication apply where an IS contains a reference to an RS. The source of the RS may be different from that of an IS, and it is not required that the text of the RS should be published, or distributed, with the referencing standard.

#### **N5.6 Maintenance**

It is expected that JTC 1 will evaluate the consequences of any change to the RS subsequent to its inclusion as a reference in a JTC 1 standard, for appropriate action (e.g. revision, exclusion). At every maintenance interval the RER and all RSs shall be evaluated for their continued availability and relevance. If required (see N3), new RERs may be generated for RSs not presently covered by an RER or sourced from an ARO.

## **N5.7 Documentation requirements**

Further to the requirements in the ISO/IEC Directives, Part 2, all RSs to which a normative reference is made, should be identified in a subclause of clause 2 of the IS. This subclause should start with the following text:

All references in this subclause were correct at the time of approval of this International Standard. The provisions of the referenced specifications, as identified in this subclause, are valid within the context of this IS. The reference to a specification within this IS does not give it any further status within ISO/IEC; in particular, it does not give the referenced specification the status of an International Standard.

## **N6 Evaluation of a proposed RS**

### **N6.1 Introduction**

JTC 1 has established criteria which serve as a basis for the judgment as to whether a particular specification can be accepted as a normative reference in an international standard. This judgment initially occurs at JTC 1 Subcommittee level when a decision to establish a normative reference is made, and later at NB level during the CD or FDIS ballot.

JTC 1 considers that the primary benefit of these criteria is guidance for consistent evaluation rather than an absolute pass/fail mechanism. There is a wide variety of specifications available for consideration as well as a wide variety of needs within the JTC 1 community. An absolute pass/fail mechanism over such a wide variety of material is unlikely. What is needed throughout this process is flexibility and good judgment on the part of all concerned. Rather than provide quantitative measures to evaluate acceptability of a proposed RS on a pass/ fail basis, the criteria set forth the key topics for consideration and measures for evaluating them in terms of the scope, depth, and thoroughness with which the criteria topics have been considered.

### **N6.2 Supplementary elements**

It is intended that the questions asked under each Criteria Category are to be viewed as examples of ways in which the basic criteria sub-category might be evaluated. There may well be other responses to unasked questions that best describe how well a given proposed RS meets, for example, an acceptable level of "Quality". In general, the more complete the RER and its accompanying documents, the easier it will be for JTC 1 National Bodies to evaluate an international standard making a normative reference to an RS.

### **N6.3 Criteria**

### **N6.3.1 Co-operative stance**

The SC shall notify the RS Originator of the intent to reference the RS and provide the RS Originator with a copy of the RER. The SC is encouraged to, where possible, work with the RS Originator to ensure the accuracy of all elements of the RER. The RS Originator shall be provided the opportunity, within a reasonable period of time, to object to the reference to the RS. If the RS Originator notifies the SC that it objects to such a reference the SC must not include the reference to the RS.

The RER There shall be contain comprehensive statements covering the following categories and topics:

#### **N6.3.1.1 Ongoing maintenance:**

If the RS Originator is not available to maintain the RS, who is responsible for maintenance of the RS if and when the need arises?

#### **N6.3.1.2 Changes**

What is the flexibility of the RS Originator to apply changes to the RS if so requested during the process of balloting the referencing standard?

#### **N6.3.1.3 Availability of the referenced specification**

What is the status of public availability of the RS on fair, reasonable and nondiscriminatory terms and conditions? Standards that are Publicly Available to implementers, evaluators and other interested parties for as long as the IS that references them is an active document are those which:

- May be obtained from the source organization by any person (with or without payment) simply by quoting the reference number given in the IS to the source organization or typical supplier.
- Are available in one of the official ISO or IEC languages from a publicly accessible source.
- Are available without contractual limitations relating to its evaluation (other than limitations reasonably intended to restrict duplication and redistribution) and without substantive contractual limits on implementation of the referenced material or the IS as a condition of obtaining access to the referenced material.

### **N6.3.2 Intellectual property rights**

It is the SC's responsibility to ensure that statements in response to N6.3.2.1 - N6.3.2.3 are provided in the RER. The SC is encouraged to work with the RS Originator to ensure the accuracy of the statements on the items listed below.

#### **N6.3.2.1 Patents:**

What is the status of the RS Originator, or where appropriate, the policy governing the RS meeting the ISO/IEC policy on patent matters?

#### **N6.3.2.2 Copyrights:**

What copyrights exist, and what copyrights is the RS Originator willing to grant, throughout both the evaluation and the publication cycle?

#### **N6.3.2.3 Trademark rights:**

What trademarks apply to the RS and with what conditions?

#### **N6.3.3 Quality**

The SC shall establish that the proposed RS is of adequate quality, considering topics such as the length of the time the specification has existed, whether products have been implemented using it, whether conformance requirements are clear, and whether the specification is readily and widely available.

### **N7 An Approved RS Originator Organization (ARO)**

#### **N7.1 Confirmation as an Approved RS Originator Organization (ARO)**

On the occasion that a particular RS Originator has already been referenced by a prior ISO/IEC JTC 1 IS (or TR) and documented in an RER, or in preparation for future referencing in an IS (or TR), the SC or any National Body may nominate the RS Originator to be confirmed as an ARO. In the absence of an objection from the candidate ARO, an ARO Overview Submission, describing the RS Originator's cooperative stance: the ongoing maintenance agreement, the application of changes, the availability of the referenced specifications, the position of the RS Originator on intellectual property, patent rights, copyrights, and trademark rights, and the overall qualification of all of its deliverables to meet the criteria specified herein for RSs, shall be issued for a 3 month ballot by JTC 1 for approval of that organization as an ARO. Upon ballot approval, the RS Originator shall be added to a list of AROs in good standing. Such a list of Approved RS Originator Organizations will be maintained by the JTC 1 Secretariat and published on the JTC 1 website.

An SC may reference an ARO as a previously submitted and Approved RS Originator Organization.

#### **N7.2 Change of status for an Approved RS Originator Organization**

An SC or National Body shall notify JTC 1 if it becomes aware that the content of an ARO's Overview Submission is no longer accurate. Furthermore, prior to referencing an ARO in an FDIS or amended IS, the SC must confirm that all content as contained in the documented Overview Submission is accurate and current.



Should an ARO's procedures vary in a non-essential manner from the RS ARO Overview on file, the submitting SC or sponsoring NB, in cooperation with the ARO, shall provide an updated ARO Overview, no later than submission of the FDIS/FDAM ballot to JTC 1. The JTC 1 Secretariat is to notify all other affected SCs of a change in the ARO's RER for their consideration. On the occasion that an ARO's policies change in a substantial manner (e.g., such that they are no longer aligned with ISO/IEC Directives and Policies), the submitting SC or NB shall request reconfirmation with JTC 1 of the organization's status as an ARO. Should reconfirmation fail, the ARO will be removed from the JTC 1 ARO listing and the affected SCs shall be notified to take necessary action to address all pending referenced specifications from that ARO and the ARO will be removed from the JTC 1 approved listing.

## Annex O Ballot Periods

TYPE OF VOTE	DURATION	REFERENCES TO DURATION
CD	Min. 3 months, Max. 6 months	9.4.1; 12.6.3.2
DCOR	Min. 3 months	9.11;
DTC	3 months	<b>Error! Reference source not found.</b>
DTR	Min. 3 months, Max. 6 months	9.10.1; 16.3.5
Fast Track DIS	5 months	9.8;13.3; 13.4
FCD	Min. 4 months, Max. 6 months	9.4.1; 12.6.3.2
FDAM	2 months	9.7
FDIS	2 months	9.7; 12.7.1.2
FDISP	2 months	9.7
FPDAM	Min. 4 months, Max. 6 months	9.4.1
FPDISP	Min. 4 months, Max. 6 months	9.4.1
JTC 1 - action between plenary meetings	60 days	9.1.7
JTC 1 - other letter ballot periods	Min. 3 months	9.1.7
NP – JTC 1 ballot	3 months normally	9.3.2.1; G3
NP – SC initiated but requiring JTC 1 confirmation	60 days	9.3.1.1; <b>Error! Reference source not found.</b>
PAS DIS ballot	6 months	14.4.3
PAS submitter reaffirmation	3 months	14.4.1
PAS submitter recognition	3 months	14.4.1
PDAM	Min. 3 months, Max. 6 months	9.4.1
PDISP	Min. 3 months, Max. 6 months	9.4.1
PDTR	Min. 3 months, Max. 6 months	9.4.1
SC Program Of Work Change – default ballot	75 days	6.2.2.2
Stabilised Standard – reinstatement proposal	60 days	15.6.6
Stabilised Standard – withdrawal proposal	60 days	15.6.4

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